

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) D'AGOSTINO, MAE A.	2. Court or Organization US District Court for the Northern District of New York	3. Date of Report 05/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address US District Court James T. Foley US Courthouse 445 Broadway Albany, NY 12207		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Adjunct Professor	Albany Law School
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 06/10/18	American International Life Insurance Co, structured settlement for future payments of legal fees earned (was paid in 2018)
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	Albany Law School	\$3,200.00
2. 06/01/18	American International Life Insurance Co, structured settlement for future payments of legal fees earned	\$135,465.00
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.*(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Chase Bank	Credit Card Balance	J
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Key Bank Account	A	Interest	K	T					
2. Trustco Bank - checking account	A	Interest	K	T					
3. Trustco Bank - money market	A	Interest	K	T					
4. Fidelity Brokerage Account (H)									
5. - Cash	A	Interest	J	T					
6. - Fidelity 500 Index	A	Dividend	K	T	Buy (add'l)	04/24/18	J		
7. - Fidelity Contra Fund	A		J	T	Sold (part)	01/18/18	J	A	
8. - Fidelity Extended Market	A	Dividend	J	T					
9. - Fidelity Strategic Divd & Income	A	Dividend	J	T					
10. - Fidelity Mid Cap Index	A	Dividend	J	T	Sold (part)	03/22/18	J	A	
11. - Fidelity Low Priced Stock	A	Dividend	J	T					
12. - Fidelity Real Estate Income	A	Dividend	J	T					
13. - Fidelity Select Technology	A	Dividend	J	T					
14. - Fidelity Select Medical Equipment	A	Dividend	J	T					
15. - Fidelity Mid Cap Index	A	Dividend	J	T					
16. - Fidelity Select Banking	A	Dividend	J	T					
17. - Artisan Midcap value	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. - Artisan Intl Value	A	Dividend	J	T					
19. - FMI Intl Value	A	Dividend	J	T					
20. - MFS Value fund	A	Dividend	J	T	Sold (part)	01/18/18	J	A	
21. - Matthews Asia	A	Dividend	J						
22. - Oppenheimer Intl Sm/Mid	A		J	T	Buy (add'l)	04/24/18	J		
23. - Fidelity Floating Rate	A		J	T	Buy (add'l)	01/17/18	J		
24.					Buy (add'l)	03/22/18	J		
25. - Fidelity GNMA Fund	A		J	T	Sold (part)	03/22/18	J	A	
26. - Fidelity Focused High Income	A		J	T	Sold (part)	03/22/18	J	A	
27. - Fidelity Strategic Income	A		J	T	Buy (add'l)	01/17/18	J		
28. - Pimco Foreign Bond	A	Dividend	J	T					
29. - American Europacific Growth	A	Dividend	J	T	Buy	06/26/18	J		
30. - Fidelity Government Cash Reserves	A	Int./Div.	J	T					
31. Fidelity IRA (H)									
32. - American Europacific Growth	A	Dividend	J	T	Buy (add'l)	06/26/18	L		
33.					Buy (add'l)	09/11/18	J		
34. - Fidelity 500 Index	C	Dividend	M	T	Sold (part)	06/26/18	J	A	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35.					Sold (part)	09/11/18	J	A	
36. - Fidelity Extended Mkt Index	C	Dividend	L	T	Buy (add'l)	06/26/18	J		
37. - Fidelity Contra Fund	C	Dividend	L	T	Sold (part)	06/26/18	J	A	
38.					Sold (part)	09/11/18	J	A	
39. - Fidelity Mid Cap Index	C	Dividend	K	T	Sold (part)	06/26/18	J	A	
40. - Fidelity Real Estate Income	C	Dividend	L	T	Sold (part)	06/26/18	J	A	
41. - Fidelity Select Healthcare	C	Dividend	K	T	Sold (part)	06/26/18	J	A	
42. - Fidelity Total Bond	A	Dividend	L	T	Buy	06/26/18	L		
43.					Sold (part)	09/11/18	L	A	
44. - Fidelity Select Banking	C	Dividend	L	T	Sold (part)	06/26/18	J	A	
45.					Sold (part)	09/20/18	K	A	
46. - Amer Beacon Bridgeway	C	Dividend	L	T	Buy (add'l)	06/26/18	J		
47. - Artisan Intl Value	C	Dividend	L	T	Sold (part)	06/26/18	J	A	
48.					Buy (add'l)	09/11/18	J		
49. - FMI International	C	Dividend	L	T	Sold (part)	06/26/18	L		
50. - Janus Global Technology	C	Dividend	M	T	Sold (part)	06/26/18	J	A	
51. - MFS Value Fund	C	Dividend	L	T	Buy (add'l)	06/26/18	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	09/11/18	J	A	
53. - Matthews Asia	C	Dividend	L	T	Buy (add'l)	06/26/18	J		
54.					Sold (part)	09/11/18	J	A	
55. - Oppenheimer Intl Sm/Mid Cap	C	Dividend	L	T					
56. - Parnassus mid cap Fund	C	Dividend	L	T	Sold (part)	06/26/18	J	A	
57. - Pax World Small Cap	C	Dividend	J	T					
58. - Fidelity Low Priced Stock	C	Dividend	J	T					
59. - Fidelity Strategic Income	C	Dividend	J	T	Buy (add'l)	06/26/18	K		
60.					Buy (add'l)	09/11/18	J		
61. - Fidelity Floating Rate	C	Dividend	J	T	Buy (add'l)	06/26/18	K		
62.					Buy (add'l)	09/11/18	J		
63. - Pimco Foreign Bond	C	Dividend	J	T	Buy (add'l)	06/26/18	J		
64. - Fidelity Advisor Telecom	C	Dividend	K	T	Buy	09/20/18	K		
65. - Fidelity GNMA Fund	C	Dividend	J	T	Sold (part)	06/26/18	L		
66. - Fidelity - Capital and Income	D	Dividend	J	T	Buy (add'l)	06/26/18	J		
67.					Buy (add'l)	09/11/18	J		
68. - Fidelity Conservative Income Bond	A	Dividend	L	T	Buy	09/11/18	L		

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69. - Fidelity Government Cash Reserves	A	Int./Div.	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ MAE A. D'AGOSTINO**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544