

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) McCarthy, Jeremiah J.	2. Court or Organization United States District Court	3. Date of Report 07/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address Robert H. Jackson United States Courthouse 2 Niagara Square, Room 640 Buffalo, New York 14202-3498		
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.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Supplemental Needs Trust
2.	Director	Hilbert College
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	DATE	PARTIES AND TERMS
1.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

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. First Niagara Checking	A	Interest	J	T					
2. First Niagara Savings	A	Interest	K	T					
3. First Niagara Supp. Needs Trust Acct	A	Interest	K	T					
4. M&T Bank Savings Account	A	Interest	J	T					
5. Franklin NY Intermediate - Term Tax Fee Income Fund Class A	A	Dividend	J	T					
6. Columbian Mutual Life Ins. Co.	A	Interest	K	T					
7. Fundamental Investors A (American Fund)	A	Interest	J	T					
8. AQR Managed Futures Fund CL 1	A	Int./Div.	K	T	Sold (part)	05/20/13	J		
9. AQR Managed Futures Fund CL 1	A	Int./Div.	K	T	Sold (part)	08/13/13	J		
10. Blackrock Equity Dividend	B	Int./Div.	L	T	Sold (part)	05/20/13	J		
11. Doubleline Total Rt Bond FD	B	Dividend	K	T					
12. Fidelity Cash Reserves	A	Interest	L	T					
13. Goldman Sachs Strg Income Fund	A	Dividend	K	T	Buy	08/13/13	K		
14. Ing Mid Cap Opportunity	D	Int./Div.	L	T	Sold (part)	08/13/13	J		
15. John Hancock Discipl. Value Mid Cap	B	Dividend	L	T	Sold (part)	08/13/13	J		
16. JP Morgan Chase & Co. Alerian MLP	A	Interest	K	T					
17. Lazard Intl Strategy Equity	A	Dividend	K	T	Buy	05/20/13	K		

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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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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. Mainstay Large Cap Growth	D	Dividend	M	T					
19. Morgan Stanley Sm Co. Gr	D	Dividend	L	T	Buy	08/13/13	K		
20. Oppenheimer Dev Markets	A	Dividend	L	T	Buy	05/20/13	K		
21. Oppenheimer Dev Markets	A	Dividend	L	T	Sold (part)	08/13/13	K		
22. Oppenheimer Sr. Floating Rt Y	A	Dividend	K	T	Buy	05/20/13	K		
23. Pimco Fundmntl Adv Total Return	C	Dividend	K	T					
24. Templeton Frontier Markets	B	Dividend	K	T	Buy	05/20/13	J		
25. Metropolitan West Total Return	B	Dividend			Sold	12/17/13	L		
26. SPDR Gold Tr Gold SHS		None			Sold	08/13/13	K		
27. MFS Emerging Markets Debt	A	Dividend			Sold	08/13/13	J		
28. Thornburg Intl Value	A	Dividend			Sold	05/20/13	L		
29. Wells Fargo High Income	A	Dividend			Sold	05/20/13	K		

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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/ Jeremiah J. McCarthy**

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
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Washington, D.C. 20544