

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Dancks, Therese W.	2. Court or Organization NDNY District Court - Syracuse	3. Date of Report 06/01/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 100 Clinton Street Syracuse, NY 13261		
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. Director	Volunteer Lawyers Project, Inc.
2. Board Member	Le Moyne College Board Of Regents
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.	
2.	
3.	

Name of Person Reporting	Date of Report
Dancks, Therese W.	06/01/2020

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.		
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.)

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.				

Name of Person Reporting	Date of Report
Dancks, Therese W.	06/01/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Key Bank Account	A	Interest	J	T					
2. Community Bank F/K/A Oneida Savings Account 1	A	Interest	J	T					
3. Fidelity Investments									
4. Berkshire Hathaway Inc Cl B		None	J	T					
5. Fidelity Government Cash Reserves	A	Dividend	J	T					
6. Fidelity Short Term Bond	B	Dividend	L	T	Buy (add'l)	10/24/19	J		
7. First TR Exchange Traded FD II	A	Dividend	K	T					
8. First Trust Portfolios Large Cap Growth	A	Dividend	J	T					
9. General Electric Co	A	Dividend	K	T					
10. Hartford Schroders Intl Stock Cl I	A	Dividend	J	T	Buy	10/24/19	J		
11. IShares IBonds Dec 2021	A	Dividend	K	T					
12. IShares IBonds Dec 2022	A	Dividend	J	T	Buy	10/25/19	J		
13. IShares MSCI Pacific Japan ETF	A	Dividend	K	T					
14. IShares Nasdaq Biotechnology	A	Dividend	K	T					
15. IShares New York Muni Bond ETF F/K/A IShares New York ATM-F	A	Dividend	K	T					
16. IShares S&P Mid Cap 400 Growth ETF	A	Dividend	J	T					
17. IShares S&P Mid Cap 400 Value ETF	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. IShares TR FLTG Rate NT ETF	A	Dividend	K	T	Buy	01/08/19	K		
19. IShares Trust Core Divid Growth	A	Dividend	J	T	Buy	10/25/19	J		
20. Regeneron Pharmaceuticals		None	K	T					
21. SPDR Dow Jones Avg ETF TR Unit Ser I	A	Dividend	J	T					
22. SPDR Ser TR DJ Wilshire REIT ETF	A	Dividend	J	T					
23. Vanguard Index FDS Vanguard Small Cap VBK	A	Dividend	J	T					
24. Vanguard Index FDS Vanguard Small Cap VBR	A	Dividend	J	T					
25. Vanguard Intl Equity Index Fund Inc FTSE VWO	B	Dividend	L	T					
26. Vanguard Intl Equity Index Fund Inc FTSE PAC VPL	B	Dividend	L	T					
27. Vanguard Intl Equity Index Fds VGK	A	Dividend	J	T					
28. U.S. Savings Bonds		None	J	T					
29. Fidelity IRA:									
30. Fidelity Cash Reserves	A	Dividend	K	T					
31. First Tr Large Cap Value Opportunities	A	Dividend	K	T					
32. First Trust Portfolios Large Cap Growth	A	Dividend	L	T					
33. Global X Funds Global X MSCI Greece	A	Dividend	J	T					
34. IShares MSCI Australia ETF	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Dancks, Therese W.

Date of Report

06/01/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. IShares MSCI Brazil ETF	A	Dividend	K	T					
36. IShares Tips Bonds ETF	A	Dividend			Sold	10/25/19	K		
37. IShares IBonds Dec 2021	A	Dividend	J	T	Buy	10/25/19	J		
38. IShares MSCI Emerging Markets ETF	A	Dividend	K	T					
39. IShares Latin America 40 ETF	B	Dividend	L	T					
40. IShares S&P Mid Cap 400 Growth ETF	A	Dividend	L	T					
41. IShares S&P Mid Cap 400 Valure ETF	B	Dividend	L	T					
42. IShares US Financials ETF	A	Dividend	K	T					
43. IShares IBoxx High Yield Corporate Bond	C	Dividend	L	T					
44. IShares US Preferred Stock ETF	A	Dividend			Sold	10/25/19	J		
45. IShares TR MSCI UK ETF\\	A	Dividend	J	T					
46. IShares Trust Core Dividend Growth	A	Dividend	K	T	Buy	10/25/19	K		
47. SPDR Ser TR Bloomberg BRCLYS	B	Dividend	K	T					
48. SPDR Ser TR Db Intl Govt Inflation	A	Dividend			Sold	10/25/19	K		
49. SPDR Ser TR DJ Wilshire REIT ETF	A	Dividend	K	T					
50. Hartford Schroders Intl Stock Cl 1	A	Dividend	K	T	Buy	10/24/19	J		
51. Lord Abbett Short Duration Inome CL G	A	Dividend	J	T	Buy	10/24/19	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Lord Abbett High Yield FD CL F	A	Dividend	L	T	Buy	10/24/19	K		
53. Transamerica Floating Rate CL I	A	Dividend	J	T					
54. Vanguard Index Fds Vanguard Small Cap Value	B	Dividend	L	T					
55. Vanguard Index Fds Vanguard Small Cap Growth	A	Dividend	L	T	Sold (part)	10/25/19	K	D	
56. Vanguard Index Fds Vanguard Growth	A	Dividend	K	T					
57. Vanguard Index Fds Vanguard Value Vipers	A	Dividend	J	T					
58.									

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting	Date of Report
Dancks, Therese W.	06/01/2020

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Dancks, Therese W.

Date of Report

06/01/2020

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/ Therese W. Dancks**

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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