

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) Schroeder, HKennethJr	2. Court or Organization U.S. District Court, W.D.N.Y.	3. Date of Report 07/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.Magistrate Judge-Full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 2 Niagara Square Buffalo, New York 14202		
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. _____	_____
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. May 2000	Hodgson, Russ, Andrews, Woods & Goodyear Retirement Plan - former law firm - no control
2. May 2000	Hodgson, Russ, Andrews, Woods & Goodyear Capital Accounts - former law firm - no control
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. 12/01/18	Hodgson,Russ,Andrews,Woods&Goodyear-Retirement income from pension plan.	\$75,000.00
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.)

[x] 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.)

[x] 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.)

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.		

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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)	(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. IRA ACCOUNT - Common Stock & money funds:									
2. MLIKX Money Funds		None	J	T					
3. Hodgson, Russ, Andrews, Woods & Goodyear 401(k) - no control									
4. Common Stock:									
5. Harbor Capital Appreciation	A	Dividend	K	T					
6. Managers Special Equity		None	K	T					
7. Dodge & Cox Stock Fund		None	K	T					
8. Loomis Sayles Small Cap		None	K	T					
9. Fleet Bank-checking account		None	J	T					
10. Common Stock - M&T Bank	A	Dividend	L	T					
11. Mutual Funds:									
12. AIM Large Cap Growth Fund		None	J	T					
13. Alliance Premier Growth Fund		None	J	T					
14. Legg Mason Value Trust		None	J	T					
15. Lord Abbett Secs Tr.		None	J	T					
16. Putnam Int. Growth Fund		None	J	T					
17. Templeton Funds Inc		None	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 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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18. Van Kampen Comstock CL		None	J	T					
19. Van Kampen Equity Trust		None	J	T					
20. Money Market Funds:									
21. Legg Mason Cash Reserve Trust		None	K	T					
22. Section 529 - Internal Revenue Code Education Funds for									
23. New York's College Savings Program (age/ risk based invest.)									
24.		None	K	T					
25.		None	K	T					
26.		None	K	T					
27. M&T BANK (common stock)	B	Dividend	K	T					
28. M&T BANK (common stock)	A	Dividend	J	T					
29. M&T BANK (common stock)	A	Dividend	K	T					
30. M&T BANK (common stock)	A	Dividend	K	T					
31. M&T BANK (common stock)	B	Dividend	J	T					
32. M&T BANK (common stock)	B	Dividend	J	T					
33. M&T BANK (common stock)	B	Dividend	J	T					
34. M&T BANK (common stock)	B	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

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35. MARKEL CORP (HOLDING CO) DE	A	Dividend	J	T					
36. FACEBOOK INC CL A DE	A	Dividend	J	T					
37. EOG RESOURCES INC DE	A	Dividend			Sold	01/04/19	J	A	
38. CONS ENERGY INC DE	A	Dividend			Sold	01/04/19	J	A	
39. LOCKHEED MARTIN CORP DE	A	Dividend	J	T	Buy (add'l)	01/04/19	J		
40. BARCLAYS PLC ADR DE	A	Dividend	J	T	Buy (add'l)	02/13/19	J		
41. SCANA CORP NEW DE	A	Dividend	J	T					
42. WALT DISNEY CO (HOLDING CO) DISNEY COM DE	A	Dividend	J	T					
43. FIRSTENERGY CORP DE	A	Dividend	J	T	Buy (add'l)	02/13/19	J		
44. UNITED STATES STEEL CORP NEW DE	A	Dividend	J	T					
45. ALBEMARLE CORP DE	A	Dividend			Sold	02/07/19	J	A	
46. DOWDUPONT INC DE	A	Dividend	J	T	Buy (add'l)	01/08/19	J		
47.					Sold	01/24/19	J	A	
48. PRUDENTIAL FINANCIAL INC DE	A	Dividend			Sold	01/08/19	J	A	
49. DISCOVERY COMMUNICATIONS INC CL A DE	A	Dividend			Sold	01/17/19	J	A	
50. EXPEDIA GROUP INC DE	A	Dividend	J	T					
51. LANDSTAR SYSTEMS INC DE	A	Dividend	J	T					

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52. CALANESE CORP NEW SER A DE	A	Dividend	J	T					
53. WESTLAKE CHEMICAL CORP DE	A	Dividend	J	T					
54. NORTHROP GRUMMAN CORP DE	A	Dividend	J	T	Buy (add'l)	01/24/19	J		
55. EDWARDS LIFESCIENCES CORP DE	A	Dividend	J	T					
56. ALIBABA GROUP HLDG LTD SPON ADR DE	A	Dividend			Sold	07/17/19	J	A	
57. PVH CORP COM DE	A	Dividend			Sold	07/17/19	J	A	
58. CVS HEALTH CORP DE	A	Dividend			Sold	07/17/19	J	A	
59. MELLONOX TECHNOLOGIES LTD ILS DE	A	Dividend	J	T					
60. AMER EXPRESS CO DE	A	Dividend	J	T					
61. BIG LOTS INC DE	A	Dividend	J	T	Buy (add'l)	10/16/19	J		
62. CENTENE CORP DE	A	Dividend			Sold	10/23/19	J	A	
63. CONOCOPHILLIPS DE	A	Dividend	J	T					
64. POSCO SPON ADR DE	A	Dividend			Sold	04/11/19	J	A	
65. COMERICA INC DE	A	Dividend			Sold	04/11/19	J	B	
66. NUTRIEN LTD CAD DE	A	Dividend	J	T					
67. STMICROELECTRONICS N.V EUR DE	A	Dividend			Sold	01/16/19	J	B	
68. GENTEX CORP DE	A	Dividend	J	T					

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69. CONDUENT INC DE	A	Dividend	J	T					
70. SIGNATURE BANK NEW YORK N Y DE	A	Dividend	J	T					
71. VODAFONE GROUP PLC SPON ADR DE	A	Dividend			Sold	11/14/19	J	A	
72. ELECTRONIC ARTS DE	A	Dividend			Sold	05/16/19	J	A	
73. TOTAL SYSTEM SERVICES INC DE	A	Dividend	J	T	Buy (add'l)	05/16/19	J		
74. ALIGN TECHNOLOGY INC DE	A	Dividend	J	T					
75. CISCO SYSTEMS INC DE	A	Dividend	J	T					
76. MOSAIC CO DE	A	Dividend			Sold	02/20/19	J	B	
77. CANADA GOOSE HLDGS INC CAD DE	A	Dividend			Sold	05/16/19	J	A	
78. SVB FINANCIAL GROUP DE	A	Dividend	J	T					
79. DIAMONDBACK ENERGY INC DE VSP	A	Dividend	J	T	Buy	10/22/19	J		
80.					Sold	10/30/19	J	A	
81. ADIENT PLC DE VSP	A	Dividend	J	T	Buy	10/22/19	J		
82. NETGEAR INC DE VSP	A	Dividend	J	T	Buy	10/25/19	J		
83. JETBLUE AIRWAYS CORP DE VSP	A	Dividend	J	T	Buy	10/25/19	J		
84. CNX RESOURCES CORP DE VSP	A	Dividend	J	T	Buy	11/05/19	J		
85. NATL FUEL GAS CO DE VSP	A	Dividend	J	T	Buy	11/05/19	J		

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86. SK TELECOM CO LTD ADR DE VSP	A	Dividend	J	T	Buy	11/05/19	J		
87. SKECHERS USA INC CL A DE VSP	A	Dividend	J	T	Buy	11/07/19	J		
88. AUSTRALIA & NEW ZEALAND BKG GRP LTD	A	Dividend	J	T	Buy	11/07/19	J		
89.					Sold	12/03/19	J	A	
90. WALMART INC DE VSP	A	Dividend	J	T	Buy	11/19/19	J		
91. SCOTTS MIRACLE-GRO CO CL A DE	A	Dividend	J	T	Buy	11/19/19	J		
92. FIRST SOLAR INC DE VSP	A	Dividend	J	T	Buy	11/19/19	J		
93. AMERICAN AIRLS GROUP INC DE VSP	A	Dividend	J	T	Buy	12/03/19	J		
94.					Sold	12/17/19	J	A	
95. MASCO CORP DE VSP	A	Dividend	J	T	Buy	12/17/19	J		
96. ASSOCIATED BRITISH FOODS PLC	A	Dividend	J	T	Buy	12/17/19	J		
97. COCA COLA EUROPEAN PARTNERS	A	Dividend	J	T	Buy	12/20/19	J		
98. CUMMINS INC DE VSP	A	Dividend	J	T	Buy	12/20/19	J		
99. D R HORTON INC DE VSP	A	Dividend	J	T	Buy	12/26/19	J		
100. LAUDER ESTEE COS CL A DE VSP	A	Dividend	J	T	Buy	12/16/19	J		

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

Continuation of Part I. POSITIONS:

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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/ HKennethJr Schroeder

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