

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) MCAVOY, THOMAS J.	2. Court or Organization U.S. DISTRICT COURT - NDNY	3. Date of Report 03/26/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR US DISTRICT COURT JUDGE	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 FEDERAL BUILDING 15 HENRY STREET BINGHAMTON, NEW YORK 13902		
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. Member Board of Trustees Emeritus - see VIII	Albany Law School
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 03/06/86	County of Broome-vested retirement health insurance benefit
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. 12/31/2019	NYS & Local Employees Retirement System - Pension	\$1,496.00
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.)*

<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.)

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. M&T Mortgage Co.	rental property - Conklin, NY	N
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. Edward Jones - cash/money market - see note section also	A	Int./Div.	J	T					
2. Conklin, NY - apartment buildings 1/3 owner -see Part VIII	G	Rent	N	W					
3. Binghamton, NY single family home	D	Rent	L	W					
4. Conklin, NY undeveloped lot		None	K	W					
5. Sanibel, Florida condominium	D	Rent	N	W					
6. Endicott, NY - 2family	D	Rent	L	W					
7. Kirkwood, NY - single family home	B	Rent	L	W					
8. Lord Abbett Affiliated FD CL A CUSIP	A	Dividend	K	T					
9. Nuveen New York Municipal Bond Class	C	Int./Div.	M	T					
10. Mutual Global Discovery Fund CL A	A	Dividend	J	T					
11. Franklin Rising Dividends Fund CLA	A	Dividend	J	T					
12. Franklin Mutual Shares Fund CL A	A	Dividend	J	T					
13. Chevron Corp Com	A	Dividend	K	T					
14. Target Corporation Common		None	K	T					
15. Edward Jones IRA (see Part VIII)	C	Dividend	N	T					
16. M&T Bank account	A	Interest	M	T					
17. Oppenheimer Main Street Fund Class A OPTFX	A	Dividend	L	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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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. Templeton China World Fund CL A TCWAX	A	Dividend	J	T					
19. Templeton Growth Fund CL A	A	Dividend	K	T					
20. Franklin Small-Mid Cap Growth Fund CL A	A	Dividend	K	T					
21. Apple, Inc.	A	Dividend	K	T					
22. Celenge Corp		None	K	T					
23. Invesco High Yield Municipal Fund	A	Dividend	L	T					
24. Natioinal Oilwell Varco, Inc.	A	Dividend	J	T					
25. Schlumberger Limited	A	Dividend	J	T					
26. Devon Energy Corp	A	Dividend	J	T					
27. Johnson & Johnson	A	Dividend	K	T					
28. Chevron Corp	A	Dividend	K	T					
29. GW Pharmaceuticals, PLC	A	Dividend	K	T					
30. Bank of Montreal --	A	Int./Div.	K	T					

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

Positions: No reportable assets associated with my position as Member of the Board of Trustees of Albany Law School.

Part VII Line 1 - All individual assets that are part of the Edward Jones brokerage account which are subject to disclosure have been listed.

Part VII Line 16 - All individual assets that are part of the Edward Jones IRA which are subject to disclosure have been listed.

Part VII Line 2 - On 11/25/14 Conklin , NY apartment buildings -- was tranferred to Conklin Road Apartments, LLC. I am a 1/3 owner. This is a passive investment and I have no active participation. All rental income and property value subject to disclosure have been listed in Part VII line 3. All assets of Conklin Road Apartments, LLC subject to disclosure have been listed.

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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/ THOMAS J. MCAVOY**

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