

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) Arcara, Richard J.	2. Court or Organization U.S. District Court W.D.N.Y.	3. Date of Report 05/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address 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. _____	_____
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. 2018	AAA Western and Central New York Board Member - Stipend
2. 2018	Gwen Arcara, LLC - self employed executive recruitment for the healthcare industry
3. 2018	Health Now Board Member - Stipend
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.		
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. RBC Branch Sweep Program	A	Interest	K	T					
2. RBC Branch Sweep Program		None	J	T					
3. RBC Branch Sweep Program	A	Int./Div.	J	T					
4. RBC Wealth Management Cash	A	Interest	J	T					
5. Alcoa Inc OID Callable 01/15/21	B	Interest	K	T					
6. Allianzgi NFJ Dividend Value FD CL A	D	Dividend	K	T					
7. Allstate Corporation 6.25% pfd ser F	A	Dividend	J	T					
8. Allstate Corporation 6.75%, pfd stk ser C	A	Dividend			Redeemed	10/15/18	J		
9. Ally BK Midvale Utah C/D FDIC Ins to Limits		None	K	T	Buy	10/30/18	K		
10. Ally Financial Inc 4.15%	B	Interest	K	T					
11. Ally FINL Inc FR 3.35% 061519 Callable 02/15/19	A	Interest	J	T	Buy	01/16/18	K		
12. Ally FINL Inc FR 4.15% 081519 Callable 02/15/17	B	Interest	K	T					
13. Annaly Capital Management Inc 6.50 SRS	B	Dividend	K	T	Buy	01/18/18	K		
14. Annaly Capital Management Inc 6.95 SRS	B	Dividend	K	T					
15. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
16. AT&T Inc 5.350 Global Notes due 2066	A	Dividend	K	T					
17. Bank of America Corp	A	Dividend	K	T	Buy	07/03/18	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	
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18. Bank of America Corp 6.5% Shs REPSTG	B	Dividend	K	T					
19. Bank of America Corp 6.5% Shs REPSTG	A	Dividend	J	T					
20. Bank of America Corp 6.625% Non Cum Prfd	A	Dividend	J	T					
21. Bank of America FDG Corp Series 2007-2 Class 1A7		None	J	T					
22. Bank of American Fund Corp Ser 2007-2 CL TA1B	A	Interest	J	T					
23. Bank of America FNDG Corp TR Series 2007-5 Class CA4	A	Interest	K	T	Buy	03/28/18	J		
24. Blackrock Enhanced Int'l Div Trust	B	Dividend	J	T					
25. BlackRock Global Allocation Fd Inc CL C	A	Dividend	J	T	Sold (part)	11/23/18	J		
26. BlackRock Global Allocation Fd Inc Cl C	B	Dividend	K	T					
27. BlackRock Global Allocation Fd Inc Cl C	A	Dividend	J	T	Buy	11/26/18	J		
28. Blackrock Multi Sector Income	B	Dividend	K	T					
29. BlackRock NY Muni Income	A	Dividend	J	T					
30. Bristol Myers Squibb Co	A	Dividend			Sold	02/08/18	K		
31. CHL Mortgage Pass Through 2006-15	A	Interest	J	T					
32. CHL Mortgage Pass Through 2006-J4	A	Interest	J	T					
33. CHL Mortgage Pass Through 2006-16	A	Interest	J	T					
34. CHL Mortgage Pass Through 2007-3	A	Interest	J	T					

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35. Citigroup Coml Mtg Ser 2008-C7 Class AJ	B	Interest	J	T					
36. Citigroup Commercial Mort Tr MTGPC Ser 2006-C5 A-J Fixed	B	Interest	J	T					
37. Citigroup Inc. 5.8% pfd ser C non cum	B	Dividend			Redeemed	10/22/18	K		
38. Citigroup Inc. 6.875% ser K	B	Dividend	K	T					
39. CitiMortgage Alt. Loan Trust Series 2006-A4	A	Interest	J	T					
40. Clearbridge Value Trust Class C	A	Dividend	K	T					
41. Clearbridge Energy MLP Total Return Fund	B	Dividend	K	T					
42. Cohen & Steers MLP Income & Energy Opportunity FD Inc	C	Dividend	K	T					
43. Corp Back JCPenney Ser 07-1CL A-1	B	Interest	J	T					
44. Countrywide Capital V 7%	A	Interest			Redeemed	06/06/18	J		
45. Countrywide Home LN Class A11(Y)									
46. CSMC Mortgage Backed Trust MTGPC/ Series 2006-9 2-A-1 Fixed Rt	A	Interest	J	T	Buy	01/04/18	K		
47. Doubleline Income Solutions FD	C	Dividend	K	T					
48. Doubleline Income Solutions FD	A	Dividend	J	T					
49. Duke Energy Corporation 5.125% Jr Sub Debentures	B	Interest	K	T					
50. Duke Energy Corporation 5.625% Jr Sub Debentures	A	Dividend	K	T	Buy	09/11/18	K		
51. Eaton Vance Fltng RT 2022 Trgt Trm TR	B	Dividend	K	T					

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52. Eaton Vance Floating Rate Income Plus Fund	A	Dividend	J	T					
53. Eton Vance Floating Rate Income Plus Fund	B	Dividend	K	T					
54. Eaton Vance Grwth TR Atlanta Cap Select CL A	B	Dividend	L	T	Buy	01/24/18	K		
55. Eaton Vance High Income 2021 Target Term TR Com SH	B	Dividend	K	T					
56. Eaton Vance Tax-Managed Gbl Diversified Equity Income Fd	C	Dividend	K	T					
57. Eaton Vance Mut FDS TR FLTG Rate Advantage	B	Dividend	K	T	Buy	10/25/18	J		
58. Euro Pac Growth Fund CL C	A	Dividend	K	T					
59. Euro Pacific Growth Fund Cl. A	A	Dividend	K	T					
60. Federal Home Loan Mtg Corp Ser 4604 Cl CD	A	Interest	J	T					
61. Federal Nation Meeting Assn 2013-41	A	Interest	J	T					
62. Federal National MTG Assn Ser 2017-11-CL CA	A	Interest	J	T					
63. Fidelity Adv New Insights CL C	D	Dividend	L	T					
64. Fidelity Adv New Insights Fd Cl A	D	Dividend	K	T					
65. Fidelity Adv New Insights Fd Cl A	B	Dividend	J	T					
66. Fidelity Adv New Insights Cl C	B	Dividend	J	T					
67. Fidelity Adv New Insights Fd Cl A	A	Dividend	J	T					
68. First TR MLP & Energy Income Fund	B	Dividend	J	T					

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69. First Trust Intermediate Duration Preferred & Income FD	B	Dividend	J	T					
70. First Trust Intermediate Duration Preferred & Income Fd	B	Dividend	J	T					
71. FHLMC REMIC Series 4588 LZ	A	Interest	J	T					
72. FNMA REMIC Trust 2016-39 CA	A	Interest	K	T					
73. General Electric Company Com	A	Dividend			Sold	06/26/18	J		
74. GNMA REMIC Trust 2016-170A	A	Interest	J	T					
75. Goldman Sachs HY Fund CIA	B	Dividend	K	T					
76. GOV'T Nat'l Mtge Assoc 2012-96 CLYG	A	Interest	J	T					
77. Gov't Nat'l Mtg Assn Ser 2012-074 CL MB	A	Interest	K	T					
78. Gov't Nat'l Mtg Assn Ser 2016-160 CL UB	A	Interest	K	T					
79. Gov't Nat'l Mtg Assn Ser 2017-149 CL A	A	Interest	J	T					
80. GS MTG Secs Corp Series 2006-2F Class 2A6	A	Interest	J	T					
81. Hertz Corp SR NT 7.375%21 Callable 01/31/19		None	J	T	Buy	07/25/18	K		
82. Hotchkis & Wiley FDS Mid Cap Value Fd CII	A	Dividend	J	T					
83. Hotchkis & Wiley Funds Mid Cap Value FD CL A	A	Dividend	K	T					
84. HSBC Holdings PLC 8.125% Pfd	A	Dividend			Redeemed	06/04/18	J		
85. Icahn Enterprises LP/Corp SR Glbl NT 22 Callable 02/01/22	B	Interest	K	T					

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86. Invesco Value Opportunities Class A	C	Dividend	K	T	Buy	01/26/18	J		
87. Invesco Charter Fund CI A	A	Dividend	J	T					
88. Invesco Trust for Investment	A	Dividend	J	T					
89. Ivy Asset Strategy CL C	B	Dividend			Sold	12/27/18	J		
90. Ivy Asset Strategy Fd CI A	D	Dividend	K	T					
91. Ivy Fds Asset Strategy CI A	D	Dividend	K	T					
92. IVY FDS Inc. Large Cap Growth Fd CI C	B	Dividend	J	T					
93. IVY FDS Inc. Large Cap Growth Fd CI C		None	J	T	Buy	12/27/18	J		
94. Janus Invt FD Henderson Multisector Income FD A	B	Dividend	K	T					
95. JP Morgan TrustnSeries 2007-S1	A	Interest	J	T					
96. JPMorgan TR1 US Large Cap CI A	C	Dividend	K	T					
97. JP Morgan Chase & Co 6.30% Pfd Ser W	B	Dividend	K	T					
98. JP Morgan Chase Commercial Mortgage Secumtgpc/Series 2006	A	Dividend	J	T	Buy	01/19/18	K		
99. KeyCorp New	A	Dividend	J	T					
100. Kinetics Paradigm Fund Adv CI A		None	K	T					
101. Kinetics Paradigm Fund Advisor CI C		None	K	T	Buy	01/24/18	K		
102. KKR & Co LP 6.75% Series A Preferred Units	A	Dividend	K	T					

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103. Lehman Mortgage Trust Series 2007-10	B	Interest	K	T	Buy	06/06/18	J		
104. Locorr Invt TR Spectrum Income FD CL A	A	Dividend	J	T					
105. Locorr Invt TR Spectrum Income FD CL A	B	Dividend	K	T					
106. M&T Bank Corp	B	Dividend	L	T					
107. Merck & Co Inc	A	Dividend	K	T	Buy	02/08/18	K		
108. Morgan Stanley Mortgage Loan Tr Series 2006-11 2-A-1 Fixed RT	B	Interest	J	T					
109. National Fuel Gas Co	A	Dividend	K	T					
110. New Perspective Fund IncCl. A	A	Dividend	J	T					
111. Nuveen CR Opportunities 2022 TRGT Term FD	B	Dividend	K	T					
112. .Nuveen High Income December 2018 Target Term Fund	A	Dividend			Sold	12/04/18	K		
113. Nuveen High Income December 2019 target Term Fund	B	Dividend	K	T					
114. .Nuveen High Income 2020 Target Term Fund	B	Dividend	K	T					
115. Nuveen High Income 2023 Target Term Fund		None	K	T	Buy	12/19/18	K		
116. Nuveen High Income November 2021 Target Term Fund Com Shs	B	Dividend	K	T					
117. Nuveen Credit Strategies Inc Fund	A	Dividend	J	T					
118. PGIM Jennison Growth Fund Class A (formerly Prudential Jennison Growth	C	Dividend	L	T					
119. PGIM Jennison 20/20 Focus Fund CI (formerly Prudential Jennison 20/20)	B	Dividend	J	T					

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		

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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)
120. PNC FDS Intl Equity Fd CL A	A	Dividend	K	T					
121. Proctor & Gamble	A	Dividend	K	T					
122. Prospect Cap Corp FR 4.75% callable 1/31/19	B	Interest	K	T					
123. Prospect Cap Corp FR 5% 011519 Callable	A	Interest	K	T	Redeemed (part)	01/16/18	K		
124. Prospect Cap Corp 6.875% due 2029 Callable 12/15/21		None	K	T	Buy	11/28/18	K		
125. Qwest Corporation 6.5% SR Notes due 2056	B	Interest	K	T					
126. Residential Accredit LNS Inc CL A-5	A	Interest	J	T					
127. Residential Accredit LNS Inc CL I-A-5	A	Interest	J	T					
128. Royal Bank of Canada Soft Bullet MD 09/23/19	A	Interest	K	T	Buy	07/25/18	K		
129. Royce Fd Total Return Fd Consultant	B	Dividend	J	T					
130. Royce Fd Total Return Fd Consultant		None	L	T	Buy	12/27/18	L		
131. Royce Fund - PAMutual Fund Consultant CI	B	Dividend	J	T					
132. Royce Fund - PAMutual Fund Consultant CL	D	Dividend	K	T					
133. Royal Fund - PAMutual Fund Consultant CL	D	Dividend			Sold	12/27/18	L		
134. SLM Corp endnotes 4% 12/08, thereafter 6.75% Callable 01/21/17	B	Interest	J	T					
135. SLM Corp Ednotes callable 1/21/17	A	Interest	K	T					
136. Southern Company (The) SER 2015A 6.25% JNR Subordntd	B	Interest	K	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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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)
137. Southern Company (The) SER 2015A 6.25% JNR Subordntd	A	Interest	J	T					
138. Templeton Foreign Fd CI A	A	Dividend	J	T					
139. Thornburg Intl Value Fund CI. A	A	Dividend	K	T					
140. Trst for Advised Port Miller Opport TR CL A		None	K	T					
141. Trst for Advised Port Miller Opport TR CL A		None	J	T					
142. Trst for Advised Port Miller Opport TR CL C		None	J	T					
143. Trst for Advised Port Miller Opport TR CL C		None	J	T					
144. Trst for Advised Port Miller Opport TR CL C	B	Dividend	K	T					
145. UIT AAM High 50 Divid Strategy Ser 2017-4Q Portfolio Reinvest	B	Dividend	K	T	Buy	02/20/18	K		
146. UIT AAM Tactical Income CLosed Ser 2018-2	B	Dividend	K	T	Buy	07/25/18	K		
147. United States Cellular Corp 7.25% Sr. Notes (x)	B	Interest	K	T					
148. Wells Fargo & Company 5.7% Dep Shs Rep 1/1000th Int	B	Dividend	K	T					
149. Wells Fargo & Company 6% Dep Shs REPSTG 1/1000th INT	B	Dividend	K	T					
150. Wells Fargo Mtge Backed 2006-8 A-4 (Y)									
151. Wells Fargo Mtge Sec 2006-8 A-5 (Y)									
152. Western Asset High Yield Defined Opportunity Fd	B	Dividend	K	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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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/ **Richard J. Arcara**

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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