

AO 10
Rev. 1/2014

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

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) Sannes, Brenda K.	2. Court or Organization U.S. District Court, Northern District of New York	3. Date of Report 05/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☒ Nomination Date 05/08/2014 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2013 to 05/05/2014
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 100 South Clinton Street Syracuse, New York 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.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Sannes, Brenda K.	05/08/2014

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. 2013	Cornell University Law School - teaching
2. 2014	Cornell University Law School - teaching
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. Exempt				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Sannes, Brenda K.	05/08/2014

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

☐ NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☐ NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Residential Credit Services	Mortgage on rental property #1 (part VII, line 27)	M
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) 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. Amgen, Inc.	A	Dividend	J	T	Exempt				
2. Fidelity Asset Manager 20% Fund	A	Dividend	K	T					
3. Fidelity Asset Manager 50% Fund	A	Dividend	J	T					
4. Fidelity Blue Chip Growth Fund	A	Dividend	J	T					
5. Fidelity Capital Appreciation Fund	A	Dividend	J	T					
6. Fidelity Contrafund	A	Dividend	L	T					
7. Fidelity Contrafund K	E	Dividend	M	T					
8. Fidelity Diversified International Fund	A	Dividend	K	T					
9. Fidelity Dividend Growth Fund	A	Dividend	L	T					
10. Fidelity Freedom 2025 Fund	B	Dividend	L	T					
11. Fidelity Magellan Fund	A	Dividend	J	T					
12. Fidelity Municipal Money Market Fund	A	Dividend	J	T					
13. Fidelity Select Computers Portfolio	A	Dividend	J	T					
14. Fidelity Select Energy Portfolio	B	Dividend	L	T					
15. Fidelity Select Health Care Portfolio	D	Dividend	L	T					
16. Fidelity Select Leisure Portfolio	C	Dividend	K	T					
17. Fidelity Select Medical Equipment and Systems Portfolio	C	Dividend	K	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
3. Value Method Codes P3=\$25,000,001 - \$50,000,000 P4=More than \$50,000,000
(See Column C2) Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
U=Book Value V=Other W=Estimated

Name of Person Reporting	Date of Report
Sannes, Brenda K.	05/08/2014

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. Fidelity Select Software and Computer Portfolio	A	Dividend	J	T					
19. Fidelity Select Technology Portfolio	B	Dividend	J	T					
20. Fidelity Spartan 500 Index Fund	A	Dividend	K	T					
21. The Southern Company	A	Dividend	J	T					
22. New York State 529 Age-Based Option: Aggressive Growth Portfolio		None	J	T					
23. New York State 529 Age-Based Option: Conservative Growth Portfolio		None	J	T					
24. New York State 529 Age-Based Option: Income Portfolio		None	J	T					
25. New York State 529 Growth Stock Index Portfolio		None	J	T					
26. New York 529 State Mid-Cap Stock Index Portfolio		None	J	T					
27. Rental Property #1 (Los Angeles, California)	F	Rent	N	W					
28. M & T Accounts	A	Interest	J	T					
29. M & T (IRA)	A	Interest	J	T					
30. Chase Account	A	Interest	J	T					
31. National Life Group Life Insurance	A	Dividend	K	T					
32. State Farm Life Insurance	A	Int./Div.	K	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 7	Name of Person Reporting	Date of Report
	Sannes, Brenda K.	05/08/2014

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sannes, Brenda K.

Date of Report

05/08/2014

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/ Brenda K. Sannes**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		17	186	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		796	963	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable – see schedule		278	262
Real estate owned-add schedule		956	500	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		20	400				
Cash value-life insurance		40	084				
Other assets itemize:							
Thrift Savings Plan	1	371	401				
IRA (cash)		1	561				
				Total liabilities		278	262
				Net Worth	2	925	833
Total Assets	3	204	095	Total liabilities and net worth	3	204	095
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							