

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Davis, Diane	2. Court or Organization Utica, NY	3. Date of Report 05/15/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 220 U.S. Courthouse 10 Broad Street Utica, New York 13501		
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. 2020	NYS Department of Taxation and Finance - salary
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. NYS Retirement Plan - no control		None	N	T					
2. Trustco	A	Interest	J	T					
3. Keybank	A	Int./Div.	M	T					
4. SEFCU	A	Interest	M	T					
5. Citizens	A	Interest	K	T					
6. Brokerage #3 (H)									
7. Morgan Stanley Bank N.A.,	A	Interest	J	T					
8. -IWR	A	Int./Div.	K	T					
9. -IJH	A	Int./Div.	K	T					
10. -IJR	A	Int./Div.	K	T					
11. -IWM	A	Int./Div.	K	T					
12. -FNX	A	Int./Div.	J	T					
13. -FYX	A	Int./Div.	J	T					
14. -EWJ	A	Int./Div.	J	T					
15. -DIA	A	Int./Div.	K	T	Sold (part)	02/10/20	J	A	
16. -FEZ	A	Int./Div.	J	T	Buy (add'l)	09/10/20	J		
17. -SPY	A	Int./Div.	K	T	Sold (part)	09/10/20	J	B	

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) 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)
18. -VGK	A	Int./Div.	J	T	Buy (add'l)	09/10/20	J		
19. -VPL	A	Int./Div.	J	T					
20. -EEM	A	Int./Div.	J	T					
21. -EWU	A	Int./Div.	J	T					
22. -MDY	A	Int./Div.	J	T					
23. -IWD	A	Int./Div.	J	T					
24. -IWF	A	Int./Div.	J	T	Sold (part)	09/10/20	J	B	
25. -RSP	A	Int./Div.	J	T					
26. -IJJ	A	Int./Div.	J	T					
27. -MUXA	A	Int./Div.	J	T					
28. -JPM	A	Int./Div.	J	T					
29. -WMT	A	Int./Div.	J	T					
30. -MSFT	A	Int./Div.	J	T					
31. -VZ	A	Int./Div.	J	T					
32. -T (Y)									
33. -CAT	A	Int./Div.	J	T					
34. -CSCO	A	Int./Div.	J	T					

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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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☐ 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				
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35. -XOM	A	Int./Div.	J	T					
36. -JNJ	A	Int./Div.	J	T					
37. -WFC (Y)									
38. -PG	A	Int./Div.	J	T					
39. -AXP	A	Int./Div.	J	T					
40. -AAPL	A	Int./Div.	J	T					
41. -BK	A	Int./Div.	J	T					
42. -BA	A	Int./Div.	J	T					
43. -EMN	A	Int./Div.	J	T					
44. -HD	A	Int./Div.	J	T					
45. -IBM	A	Int./Div.	J	T					
46. -PEP	A	Int./Div.	J	T					
47. -RTX (name change from UTX)	A	Int./Div.	J	T					
48. -DIS	A	Int./Div.	J	T					
49. -FE (Y)									
50. -MRK	A	Int./Div.	J	T					
51. -Bank of China New York NY CD	A	Interest			Buy	04/17/20	M		

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
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52.					Sold	07/22/20	M	A	
53. -MSBNA Preferred Savings	A	Interest	M	T	Sold (part)	04/17/20	N	A	
54.					Buy (add'l)	08/04/20	M		
55. -State Bank Ind New York City	A	Interest			Buy	04/07/20	L		
56.					Matured	08/04/20	L	A	
57. -MSPBNA Preferred Savings	A	Interest	M	T	Buy	08/04/20	M		
58. Brokerage Account #4 (H)									
59. -JPM	A	Dividend	J	T					
60. -T (Y)									
61. -CAT	A	Dividend	J	T					
62. -CSCO	A	Dividend	J	T					
63. -KO	A	Dividend	J	T					
64. -INTC	A	Dividend	J	T					
65. -JNJ	A	Dividend	J	T					
66. -WFC (Y)									
67. -PG	A	Dividend	J	T					
68. -MCD	A	Dividend	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
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69. -WMT	A	Dividend	J	T					
70. -MSFT	A	Dividend	J	T					
71. -MRK	A	Dividend	J	T					
72. -Morgan Stanley Bank (X)	A	Interest	J	T					
73. IRA (H)									
74. -EWJ	A	Int./Div.	J	T	Buy (add'l)	04/14/20	J		
75. -DIA	A	Int./Div.	K	T	Buy (add'l)	05/04/20	J		
76. -BND	A	Int./Div.	L	T	Sold (part)	04/14/20	J	A	
77. -BSV	A	Int./Div.	K	T					
78. -BNDX	A	Int./Div.			Sold	04/14/20	J	A	
79. -VRP	A	Int./Div.	J	T					
80. -IWD	A	Int./Div.	K	T	Buy (add'l)	04/14/20	J		
81. -IWF	A	Int./Div.	K	T					
82. -HYG	A	Int./Div.	J	T	Buy (add'l)	04/14/20	J		
83. -IWO	A	Int./Div.	J	T					
84. -IWN	A	Int./Div.	J	T	Buy (add'l)	04/14/20	J		
85. -IJJ	A	Int./Div.	J	T					

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86. -IJK	A	Int./Div.	J	T					
87. -IWS	A	Int./Div.	J	T					
88. -IWP	A	Int./Div.			Sold	04/14/20	J	A	
89. -JSOSX	A	Int./Div.	J	T					
90. -EFA	A	Int./Div.	J	T					
91. -IEFA	A	Int./Div.	L	T	Sold (part)	04/14/20	J	A	
92. -IEMG	A	Int./Div.	K	T	Buy (add'l)	04/14/20	J		
93. -SPY	A	Int./Div.	J	T	Buy (add'l)	05/04/20	J		
94. -BIL	A	Int./Div.	J	T	Sold (part)	05/04/20	J	A	
95. -VCIT	A	Int./Div.	J	T					
96. -SHY	A	Int./Div.	J	T	Sold (part)	01/13/20	J	A	
97. -MINT	A	Int./Div.	K	T	Sold (part)	04/14/20	J	A	
98. -EMB	A	Int./Div.	J	T					
99. -Morgan Bank Stanley	A	Interest	J	T					
100. -TIP	A	Int./Div.	J	T	Buy	01/13/20	J		
101.					Buy (add'l)	04/04/20	J		
102. Everflow Eastern Partners LP (X)	A	Distribution	J	U					

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
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	(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)
103.									
104.									
105.									
106.									

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
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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/ **Diane Davis**

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