

**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) Arcara, Richard J.	2. Court or Organization U.S. District Court W.D.N.Y.	3. Date of Report 7/12/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 2 Niagara Square Buffalo, New York 14202		
IMPORTANT NOTES: <i>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>		

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

Page 2 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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	Health Now New York, Inc Board Member - Stipend
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.				

Name of Person Reporting	Date of Report
Arcara, Richard J.	7/12/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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. RBC Branch Sweep Program	A	Interest	N	T					
2. RBC Branch Sweep Program	A	Interest	J	T					
3. RBC Branch Sweep Program - Y		None	J	T					
4. RBC Wealth Management Cash		None	J	T					
5. Alcoa Inc. p/c 04/06/20 (formerly)Alcoa Inc OID Callable 01/15/21)	A	Interest	K	T	Redeemed (part)	04/06/20	J		
6. Alger Small Cap Focus Fund CL A		None	J	T					
7. Allianzgi NFJ Dividend Value FD CL A	A	Dividend	K	T					
8. Ally BK Midvale Utah C/D FDIC Ins to Limits	A	Interest	K	T					
9. Annaly Capital Management Inc 6.50 SRS	B	Dividend	K	T					
10. Annaly Capital Management Inc 6.95 SRS	B	Dividend	K	T					
11. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
12. AT&T Inc 5.350 Global Notes due 2066	B	Interest	K	T					
13. Bank of America Corp	A	Dividend	K	T					
14. Bank of America Corp 5.00% Dep Shrs callable 9/17/24	B	Dividend	K	T					
15. Bank of America Corp 6.5% Shs REPSTG	A	Dividend			Redeemed	01/27/20	K		
16. Bank of America Corp 6.5% Shs REPSTG	A	Dividend			Redeemed	01/27/20	J		
17. Bank of America FDG Corp Series 2007-2 Class 1A7	A	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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. Bank of American Fund Corp Ser 2007-2 CL TA1B	A	Interest	J	T					
19. Bank of America FNDG Corp TR Series 2007-5 Class CA4	B	Interest	K	T					
20. Blackrock Capital Allocation Trust Common Shares of Bene Int	A	Dividend	K	T	Buy	09/29/20	K		
21. Blackrock Enhanced Int'l Div Trust	B	Dividend	K	T					
22. Blackrock Global Alloc Fd CI A(was BlackRock Global Alloc Fd Inc CL C)	C	Dividend	L	T					
23. BlackRock Global Alloc Fd Inc CI C (was Blackrock Global FD Inc CL C)	A	Dividend	J	T					
24. BlackRock Health Sciences Trust II Com	C	Dividend	L	T	Buy	01/29/20	K		
25. BlackRock Health Sciences Trust II Com	A	Dividend	J	T	Buy	01/29/20	J		
26. Blackrock Multi Sector Income	C	Dividend	K	T					
27. BlackRock NY Muni Income	A	Dividend	J	T					
28. CHL Mortgage Pass Through 2006-15	A	Interest	J	T					
29. CHL Mortgage Pass Through 2006-J4	A	Interest	J	T					
30. CHL Mortgage Pass Through 2006-16	A	Interest	J	T					
31. CHL Mortgage Pass Through 2007-3	A	Interest	J	T					
32. Citigroup Coml Mtg Ser 2008-C7 Class AJ	A	Interest	J	T					
33. Citigroup Commercial Mort Tr MTGPC Ser 2006-C5 A-J Fixed	A	Interest	J	T					
34. Citigroup Inc. 6.875% ser K	B	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
35. CitiMortgage Alt. Loan Trust Series 2006-A4	A	Interest	J	T					
36. Clearbridge Value Trust Class A(was Clearbridge Value Trust Class C)	C	Dividend	L	T					
37. Clearbridge MLP and Midstream Total Return Fund	B	Dividend	J	T					
38. Cohen & Steers MLP Income & Energy Opportunity FD Inc	B	Dividend	K	T					
39. Cohen & Steers Tax Advantaged Pref Securities and Income Fund	A	Dividend	J	T	Buy	10/28/20	J		
40. Cohen & Steers Tax Advantaged Pref Securities and Income Fund		None	J	T	Buy	10/28/20	J		
41. CSMC Mortgage Backed Trust MTGPC/ Series 2006-9 2-A-1 Fixed Rt	A	Interest	J	T					
42. Delta Air Lines Del OID 12/15/25		None	K	T	Buy	06/30/20	K		
43. Doubleline Income Solutions FD	C	Dividend	K	T					
44. Doubleline Income Solutions FD	A	Dividend	J	T					
45. Duke Energy Corporation 5.125% Jr Sub Debentures	B	Interest	K	T					
46. Duke Energy Corporation 5.625% Jr Sub Debentures	B	Dividend	K	T					
47. Eaton Vance Fltng RT 2022 Trgt Trm TR	B	Dividend	K	T					
48. Eaton Vance Fltng RT 2002 Trgt Trm TR	B	Dividend	K	T					
49. Eaton Vance Floating Rate Income Plus Fund	A	Dividend	J	T					
50. Eton Vance Floating Rate Income Plus Fund	B	Dividend	K	T					
51. Eaton Vance Grwth TR Atlanta Cap Select CL A	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
52. Eaton Vance High Income 2021 Target Term TR Com SH	B	Dividend	K	T					
53. Eaton Vance Tax-Managed Gbl Diversified Equity Income Fd	C	Dividend	K	T					
54. Eaton Vance Mut FDS TR FLTG Rate Advantage	B	Dividend	K	T					
55. Euro Pac Growth Fund CL F1 (was Euro Pac Growth Fund CL C)		None			Sold	05/13/20	K	C	
56. Euro Pacific Growth Fund CI. A	A	Dividend	K	T					
57. Federal Home Loan Mtg Corp Ser 4604 CL CD	A	Interest	K	T					
58. Federal Home Loan Mtg Corp Ser 5000 CL HU	A	Interest	K	T	Buy	07/28/20	K		
59. Federal Nation Meeting Assn 2013-41	A	Interest			Redeemed	12/28/20	J	A	
60. Federal National MTG Assn Ser 2017-11-CL CA	A	Interest			Redeemed	08/25/20	J		
61. Federated Hermes Intl Equity CI A (was Federated Advisor Ser Intl Equi	A	Dividend	K	T	Sold (part)	06/30/20	J		
62. Fidelity Adv New Insights CL A	D	Dividend			Sold	08/20/20	K	E	
63. Fidelity Adv New Insights Fd CI A	D	Dividend	L	T					
64. Fidelity Adv New Insights Fd CI A	B	Dividend	J	T					
65. Fidelity Advisor New Insights Fd CI A	A	Dividend	J	T					
66. Fidelity Adv New Insights CI C	A	Dividend	K	T					
67. Fidelity Adv New Insights Fd CI C	B	Dividend	J	T					
68. First TR MLP & Energy Income Fund	B	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
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
69. First Trust Intermediate Duration Preferred & Income FD	B	Dividend	K	T					
70. First Trust Intermediate Duration Preferred & Income Fd	B	Dividend	K	T					
71. FHLMC REMIC Series 4588 LZ	A	Interest			Redeemed	10/15/20	J		
72. FNMA REMIC Trust 2016-39 CA	A	Interest	K	T					
73. Ford Motor Company 6.20% Notes Due 2059 callable 06/01/24	B	Interest	K	T					
74. Ford Motor Company 6.0%Notes Due 2059 callable 12/1/24	B	Interest	K	T					
75. Ford Motor Credit Company FR 3.7% 082024 callable 8/20/20	A	Interest	K	T					
76. GNMA REMIC Trust 2016-170A	A	Interest			Redeemed	07/20/20	J		
77. Goldman Sachs HY Fund Cl.A	B	Dividend	K	T					
78. GOV'T Nat'l Mtge Assoc 2012-96 CLYG	A	Interest	J	T					
79. Gov't Nat'l Mtg Assn Ser 2012-074 CL MB	A	Interest	J	T					
80. Gov't Nat'l Mtg Assn Ser 2012-136 CI Ba	A	Interest	J	T	Buy	04/15/20	K		
81. Gov't Nat'l Mtg Assn Ser 2016-160 CL UB	A	Interest	K	T					
82. Gov't Nat'l Mtg Assn Ser 2017-149 CL A	A	Interest	J	T					
83. GS MTG Secs Corp Series 2006-2F Class 2A6	A	Interest	J	T					
84. Hotchkis & Wiley FDS Mid Cap Value Fd CII	A	Dividend	J	T					
85. Hotchkis & Wiley Funds Mid Cap Value FD CL A	A	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
86. Icahn Enterprises LP/Corp SR Gbl NT 22 Callable 02/01/22	A	Interest			Redeemed	02/03/20	K		
87. Invesco Value Opportunities Class A	A	Dividend	K	T					
88. Invesco Charter Fund CI A	B	Dividend	J	T					
89. Invesco Trust for Investment	A	Dividend	J	T					
90. Ivy Asset Strategy Fd CI A	B	Dividend	L	T					
91. Ivy Fds Asset Strategy CI A	B	Dividend	K	T					
92. Ivy FDS Large Cap growth FdCI A (IVY FDS Inc. Large Cap Growth Fd CI C	A	Dividend	J	T					
93. Ivy FDS Large Cap Growth FdCI A (IVY FDS Inc. Large Cap Growth Fd CI C	B	Dividend	K	T					
94. Janus Invt FD Henderson Multisector Income FD A	B	Dividend	K	T					
95. John Hancock Financial Opportunity Fund	B	Dividend	K	T	Buy	06/26/20	K		
96. JP Morgan TrustnSeries 2007-S1	A	Interest	J	T					
97. JP Morgan Chase & Co Dep Shs Each REPSTG A 6.0% callable 3/1/24	B	Dividend	K	T					
98. JP Morgan Chase Commercial Mortgage Secumtgpc/Series 2006	A	Dividend	J	T					
99. KeyCorp New	A	Dividend	K	T	Buy	05/13/20	J		
100. Kinetics Paradigm Fund Adv CI A	A	Dividend	K	T					
101. Kinetics Paradigm Fund Advisor CI C	A	Dividend	K	T					
102. KKR & Co LP 6.75% Series A Preferred Units	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
103. Lehman Mortgage Trust Series 2007-10	B	Interest	J	T					
104. Locorr Invt TR Spectrum Income FD CL A	B	Dividend	K	T					
105. M&T Bank Corp	C	Dividend	M	T					
106. Merck & Co Inc	B	Dividend	L	T					
107. Morgan Stanley Mortgage Loan Tr Series 2006-11 2-A-1 Fixed RT	A	Interest	J	T					
108. National Fuel Gas Co	A	Dividend	K	T					
109. New Perspective Fund IncCl. A	A	Dividend	K	T					
110. Nuveen Corporate Income Nov 2021 Taget Term Fund	B	Dividend	K	T					
111. Nuveen CR Opportunities 2022 TRGT Term FD	B	Dividend	K	T					
112. .Nuveen High Income 2020 Target Term Fund	A	Dividend			Sold	11/02/20	K		
113. Nuveen High Income 2023 Target Term Fund	B	Dividend	K	T					
114. Nuveen Credit Strategies Inc Fund	C	Dividend	K	T	Buy	03/10/20	J		
115. Nuveen Municipal Credit Opport Fund Common	A	Dividend	J	T					
116. Nuveen Municipal Credit Opport Fund Common	C	Dividend	K	T					
117. PGIM Jennison Growth Fund Class A	D	Dividend	M	T	Sold (part)	08/20/20	K		
118. PGIM Jennison 20/20 Focus Fund CI C	B	Dividend	K	T					
119. Proctor & Gamble	A	Dividend	M	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		

FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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. Prospect Cap Corp FR 4.75% callable 1/31/19	B	Interest	K	T					
121. Prospect Cap Corp 6.875% due 2029 Callable 12/15/21	B	Interest	K	T					
122. QVC Inc. 6.25% Senior Secured Notes due 2068	B	Dividend	K	T					
123. Qwest Corporation 6.5% SR Notes due 2056	B	Interest	K	T					
124. Residential Accredit LNS Inc CL A-5	A	Interest	J	T					
125. Residential Accredit LNS Inc CL I-A-5	A	Interest	J	T					
126. Royce Fd Total Return Fd Consultant	B	Dividend	J	T	Sold (part)	07/21/20	L		
127. Royce Fund - PAMutual Fund Consultant CL	A	Dividend	J	T					
128. Royce Fund - PAMutual Fund Consultant CI	B	Dividend	K	T					
129. SLM Corp endnotes 4% 12/08, thereafter 6.75% Callable 01/21/17	A	Interest			Redeemed	02/28/20	J		
130. Southern Company (The) SER 2015A 6.25% JNR Subordntd	B	Interest			Redeemed	10/20/20	K		
131. Southern Company (The) SER 2015A 6.25% JNR Subordntd	B	Interest			Redeemed	10/20/20	J		
132. Templeton Foreign Fd CI A	A	Dividend	K	T					
133. Thornburg Intl Value Fund CI. A	A	Dividend	K	T					
134. Triton International LTD 6.875% Series D 3/15/25	B	Dividend	K	T	Buy	01/17/20	K		
135. Trst for Advised Port Miller Opport TR CL A		None	L	T					
136. Trst for Advised Port Miller Opport TR CL A		None	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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)
137. Trst for Advised Port Miller Opport TR CI A (formerly TR CL C)		None	J	T					
138. Trst for Advised Port Miller Opport TR CL C		None	J	T					
139. Trst for Advised Port Miller Opport TR CL C		None	K	T					
140. UIT AAM High 50 Divid Strategy Portfolio Ser 2019-1Q Reinvest	A	Dividend			Redeemed	06/15/20	K		
141. UIT AAM 50 Divid Strategy Port Ser 2020-2Q Reinvest	A	Dividend	J	T	Buy	06/12/20	K		
142. UIT AAM Tactical Income CLOsed Ser 2018-2	A	Dividend			Redeemed	05/11/20	K		
143. UIT FT AAmem Reconvert Prtfolio Ser Semi Annual Reinvest 9/13/2022	A	Dividend	J	T	Buy	05/08/20	K		
144. United States Cellular Corp 7.25% Sr. Notes (x)	B	Interest	K	T					
145. Wells Fargo & Company 5.7% Dep Shs Rep 1/1000th Int	B	Dividend	K	T					
146. Wells Fargo & Company 6% Dep Shs REPSTG 1/1000th INT	A	Dividend			Redeemed	12/15/20	K		
147. Western Asset High Yield Defined Opportunity Fd	B	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Arcara, Richard J.

Date of Report

7/12/2021

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544