

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) D'AGOSTINO, MAE A.	2. Court or Organization US District Court for the Northern District of New York	3. Date of Report 04/29/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge - Active	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 US District Court James T. Foley US Courthouse 445 Broadway Albany, NY 12207		
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.	

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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.	
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. Key Bank Account	A	Interest	K	T					
2. Trustco Bank - checking accocunt	A	Interest	J	T					
3. Trustco Bank - money market	A	Interest	J	T					
4. TD Ameritrade Brokerage Account (H)									
5. ISHARES TRUST MSCI ACWI ETF		None			Sold	04/15/20	J		
6. ISHARES ESG		None	J	U	Buy	04/15/20	J		
7. ISHARES ESG		None	J	U	Sold (part)	10/15/20	J		
8. ISHARES ESG	A	Dividend	J	U	Sold (part)	12/18/20	J		
9. Ishares US Treasury Bond	A	Dividend	J	U	Buy	10/16/20	J		
10. Ishares US Treasury Bond	A	Dividend	J	U					
11. JP Morgan Ultra Short-term Bond	A	Dividend	J	U	Buy	06/22/20	J		
12. JP Morgan Ultra Short-term Bond	A	Dividend			Sold	04/15/20	J		
13. SPDR S&P 500	A	Dividend	J	U					
14.									
15. TD Ameritrade IRA (H)									
16. ISHARES TRUST MSCI USA VALUE	A	Dividend	L	U	Buy	04/15/20	L		
17. ISHARES TRUST MSCI USA VALUE	B	Dividend	L	U	Open	06/22/20	J		

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. WISDOM TREE EM EX ST-OWNED	A	Dividend	L	U	Buy	04/15/20	L		
19. WISDOM TREE EM EX ST-OWNED	A	Dividend	L	U	Sold (part)	06/22/20	K		
20. WISDOM TREE EM EX ST-OWNED	A	Dividend	L	U	Buy	04/15/20	L		
21. ISHARES MIN VOLATILITY	A	Dividend	K	U	Buy	04/15/20	K		
22. ISHARES MIN VOLATILITY	A	Dividend	K	U	Buy	12/18/20	J		
23. ISHARES US HIGH DIVIDEND	A	Dividend	J	U	Sold (part)	04/15/20	J		
24. SDR LN TSR ETF	A	Dividend	K	U	Sold (part)	01/22/20	K		
25. SPDR S&P 500	A	Dividend	M	U	Buy	01/22/20	M		
26. SPDR CORE ETF	A	Dividend	M	U	Buy	10/16/20	M		
27. SPDR INTERMEDIATE	A	Dividend	M	U	Sold (part)	04/15/20	K		
28. SPDR EM MK ETF		None	J	U	Sold (part)	01/22/20	K		
29. ISHARES MSCI USE SIZE FACTOR	A	Dividend	K	U	Buy	06/22/20	L		
30. ISHARES MSCI USE SIZE FACTOR	A	Dividend	K	U	Sold (part)	01/22/20	K		
31. ISHARES 0 TO 5 YEARS	A	Dividend	L	U	Buy	01/22/20	L		
32. LATTICE STRATEGY HARTFORD	A	Dividend	K	U	Buy	04/15/20	L		
33. LATTICE STRATEGY HARTFORD	A	Dividend	K	U	Sold (part)	10/16/20	K		
34. ISHARES TRUST USA QUALITY	A	Dividend	J	U	Sold (part)	04/15/20	M		

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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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	(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)
35. ISHARES ESG		None	M	U					
36. FIDELITY COVINGTON		None	K	U					
37. ISHARES GOLD ETF		None	L	U					
38. ISHRES MBS		None	M	U					
39. ISHARES 1-5 YEAR CORP BOND	A	Dividend	M	U					
40. ISHARES US MEDICAL DEVICE		None	K	U					
41. ISHARES EAFE GROWTH		None	L	U					
42. ISHARES US TREASURY	A	Dividend	M	U					
43.									

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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/ MAE A. D'AGOSTINO

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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