

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) McCarthy, Jeremiah J.	2. Court or Organization United States District Court	3. Date of Report 08/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time	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 Robert H. Jackson United States Courthouse 2 Niagara Square, Room 690 Buffalo, New York 14202-3498		
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. Trustee	Timothy V. Riordan Supplemental Needs Trust
2. Director	Hilbert College
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

McCarthy, Jeremiah J.

Date of Report

08/10/2021

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.)*

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.		
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

McCarthy, Jeremiah J.

Date of Report

08/10/2021

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 8

Name of Person Reporting

McCarthy, Jeremiah J.

Date of Report

08/10/2021

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. Allianz GI Structured Return Inst'l	B	Dividend			Sold	04/23/20	K		
2. Tri State Capital Bank Insured Cash Account	A	Interest	K	T					
3. Franklin NY Intermediate - term Tax Fee Income Fund Class A	A	Dividend	J	T					
4. Fundamental Investors A (American Fund)	A	Dividend	J	T					
5. Fundamental Investors A (American Fund)	A	Dividend	L	T	Buy	01/06/20	J		
6.					Buy (add'l)	02/21/20	J		
7.					Buy (add'l)	08/06/20	J		
8.					Buy (add'l)	10/12/20	J		
9. Calvert Emerging Markets Equity 1	A	Dividend	K	T	Buy	08/18/20	K		
10.					Buy (add'l)	10/29/20	J		
11. Parnassus Mid Cap 1	B	Dividend	M	T	Buy	08/18/20	M		
12.					Buy (add'l)	09/18/20	L		
13. JP Morgan Hedged Equity A	A	Dividend			Sold	08/18/20			
14. Key Bank Checking	A	Interest	K	T					
15. Key Bank Savings	B	Interest	M	T					
16. M&T Bank Savings Account	A	Interest	J	T					
17. Northwest Supp. Needs Trust Acct (Account transf from First Niagara	A	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
18. Baron Emerging Mkts 1	A	Dividend			Sold	08/18/20	K		
19. Glenmede Large Cap Growth 1	A	Dividend			Sold	08/18/20	N		
20. Guggenheim Total Return Bd 1	B	Dividend			Sold	08/18/20	L		
21. John Hancock Disciplined Value Mid Cap 1	B	Dividend			Sold	08/18/20	L		
22. John Hancock Int'l Growth 1	A	Dividend			Sold	08/18/20	K		
23. JP Morgan Diversified Mid Cap Growth 1	C	Dividend			Sold	08/18/20	L		
24. JP Morgan Equity Income 1	B	Dividend			Sold	08/18/20	M		
25. JP Morgan Small Cap Equity 1	B	Dividend			Sold	08/18/20	K		
26. Lord Abbett Short Term Dur Inc F	C	Dividend			Sold	08/18/20	M		
27. Western Asset Core Plus Bd. 1	B	Dividend			Sold	08/18/20	L		
28. Am Washington Mutual Investors F2	C	Dividend	M	T	Buy	08/18/20	M		
29.					Buy (add'l)	10/29/20	J		
30. Brown Advisory Sustain Gr 1	A	None	N	T	Buy	08/18/20	M		
31.					Buy (add'l)	09/18/20	K		
32. JP Morgan Core Bd 1	B	Dividend	M	T	Buy	09/18/20	M		
33.					Buy (add'l)	10/29/20	J		
34. PIMCO Low Dur ESG Fd 1	A	Dividend	M	T	Buy	08/18/20	M		

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

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)
35.					Sold (part)	09/18/20	L		
36.					Buy (add'l)	10/29/20	J		
37. PIMCO Total Return ESG Fd 1	D	Dividend	N	T	Buy	08/18/20	N		
38.					Sold (part)	09/18/20	K		
39.					Buy (add'l)	10/29/20	J		
40. Ishares TR MSCI LW CRB TG	A	Dividend	K	T	Buy	08/18/20	K		
41.					Buy (add'l)	10/29/20	J		
42. SPDR Ser TR SSGA Gnder ETF	B	Dividend	K	T	Buy	08/18/20	K		
43.					Buy (add'l)	10/29/20	J		
44.									
45.									
46.									

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 7 of 8

Name of Person Reporting

McCarthy, Jeremiah J.

Date of Report

08/10/2021

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

Part VII Item 2: "Tri State Capital Bank Insured Cash Account". This is the same account that was listed last year as "Securities American Bank Deposit Sweep Program FDIC Insured". Only the bank has changed.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

McCarthy, Jeremiah J.

Date of Report

08/10/2021

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/ Jeremiah J. McCarthy**

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