

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) Pedersen, Mark	2. Court or Organization U.S. District Court - Western District of New York	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 Kenneth B. Keating Federal Building 100 State St. Rochester, NY 14614		
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	Trust #1 (no reportable assets)
2. Adjunct Instructor	Medaille College
3. Captain	New York Naval Militia
4. Troop Committee Chair	Boy Scouts
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. 2018	New York State Employees Retirement Fund (defined benefit pension plan)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Pedersen, Mark

Date of Report

08/12/2021

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. 2020	Medaille College (teaching salary)	\$2,250.00
2. 2020	New York State Employees Retirement (pension)	\$7,599.00
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	Self-employed (attorney)
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Pedersen, Mark

Date of Report

08/12/2021

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.		
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. Discover	Credit Card	K
2. Bank of America	Credit Card	J
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

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08/12/2021

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)
1. Individual Assets (H)									
2. M&T Bank (cash) (Y)									
3. SBLI USA Whole Life Insurance	A	Dividend	J	T					
4. New York Life Insurance Company Whole Life Insurance	A	Dividend	K	T					
5. Account #1 (H)									
6. Stifel Insured Deposit (cash)	A	Interest	K	T					
7. Abbvie Inc Shs (ABBV)	A	Dividend	J	T					
8. Activision Blizzard Inc (ATVI)	A	Dividend	K	T					
9. Berkshire Hathaway Inc Del Cl B (BRKB)		None	K	T					
10. Ford Motor Co (F)	A	Dividend	J	T					
11. Ingersoll-Rand (IR)		None	J	T					
12. Microsoft Corp (MSFT)	A	Dividend	K	T					
13. Procter & Gamble Co (PG)	A	Dividend	J	T					
14. Qualcomm Inc (QCOM)	A	Dividend	K	T					
15. Tractor Supply Co (TSCO)	A	Dividend	K	T					
16. Trane Technologies (TT)	A	Dividend	K	T	Buy (add'l)	03/03/20	J		
17. Allegion PLC Shs (ALLE)		None			Sold	02/27/20	J	C	

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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	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 New York Mellon Preferred Stock (BK'C)	A	Dividend			Redeemed	12/21/20	J		
19. HSBC Holdings PLC Preferred Stock (HSBC'A)	A	Dividend	J	T					
20. Account #2 (H)									
21. Stifel Insured Deposit (cash)	A	Interest	K	T					
22. Amazon.com Inc. (AMZN)		None	K	T					
23. Berkshire Hathaway Inc. Cl B (BRKB)		None	K	T					
24. Exxon Mobil Corp (XOM)	A	Dividend	J	T					
25. Keycorp New (KEY)	A	Dividend	J	T					
26. Eli Lilly & Co (LLY)	A	Dividend	K	T					
27. MGM Growth Properties LLC Cl A (MGP)	A	Dividend	J	T					
28. Verizon Communications Inc. (VZ)	A	Dividend	J	T					
29. Medtronic PLC (MDT)	A	Dividend			Sold	10/29/20	K	C	
30. HSBC Holdings PLC Preferred Stock (HSBC'A)	A	Dividend	J	T					
31. Account #3 (H)									
32. Stifel Insured Deposit (cash)	A	Interest	J	T					
33. Vanguard Mid-Cap ETF (VO)	A	Dividend			Sold	10/29/20	J	A	
34. Bank of Montreal Medium Term Note (06366RJJ5)	B	Interest	L	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 12

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Pedersen, Mark

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08/12/2021

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35. Caterpillar Financial Se Medium Term Note (14912L6E6)	B	Interest	L	T					
36. John Deere Capital Corp Medium Term Note (24422ETF6)	B	Interest	K	T					
37. PNC Bank NA Medium Term Note (69349LAG3)	B	Interest	L	T					
38. AB Large Cap Growth Fund Adv Cl (APGYX)	A	Dividend	J	T					
39. Blackrock Total Return Fund Instl Class (MAHQX)	A	Dividend	J	T					
40. Delaware Value Fund Intl Cl (DDVIX)		None			Sold	03/12/20	J		
41. MFS Mid Cap Value Fund Cl I (MCVIX)	A	Dividend	J	T					
42. PGIM Global Total Return Fund Inc Cl Z (PZTRX)	A	Dividend			Sold	03/20/20	J		
43. PGIM Total Return Bond Fund Cl Z (PDBZX)	A	Dividend	J	T					
44. PGIM Jennison Focused Growth Fund Cl Z (SPFZX)	A	Dividend	J	T					
45. Vanguard Prime Money Market Admiral Cl (VMRXX)	A	Dividend	J	T	Buy	03/20/20	J		
46. Account #4 (H)									
47. Stifel Insured Deposit (cash)	A	Interest	M	T					
48. Abbvie Inc Shs (ABBV)	B	Dividend	K	T					
49. Alphabet Inc SHS Cl C (GOOG)		None	K	T					
50. Alphabet Inc Shs Cl A (GOOGL)		None	K	T					
51. Altria Group Inc (MO)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. Berry Global Group Inc (BERY)		None	J	T					
53. Citigroup Inc Com New (C)	A	Dividend	J	T					
54. Coca Cola Com (KO)	A	Dividend	J	T					
55. Disney (Walt) Co Com Stk (DIS)	A	Dividend	K	T					
56. Dominion Energy Inc (D)	A	Dividend	J	T					
57. Dover Corp (DOV)	A	Dividend	K	T					
58. Exxon Mobil Corp Com (XOM)	A	Dividend	J	T					
59. Facebook Inc (FB)		None	K	T					
60. Ford Motor Co (F)	A	Dividend	J	T					
61. General Motors (GM) (X)		None	J	T					
62. Intel Corp (INTC)	A	Dividend	K	T					
63. Kar Auction Services Inc (KAR)	A	Dividend	J	T					
64. Kimberly Clark (KMB)	A	Dividend	K	T					
65. Eli Lilly & Co (LLY)	A	Dividend	K	T					
66. NVIDIA (NVDA)	A	Dividend	N	T					
67. Procter & Gamble Co (PG)	A	Dividend	K	T					
68. Prudential Financial Inc (PRU)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Pedersen, Mark

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69. Sanofi Adr (SNY)	A	Dividend	J	T					
70. Starbucks Corp (SBUX)	A	Dividend	L	T					
71. Tiffany & Co New (TIF)	A	Dividend			Sold	02/27/20	K	D	
72. Tractor Supply Co (TSCO)	A	Dividend	K	T					
73. Verizon Communcatns Com (VZ)	A	Dividend	J	T					
74. Visa Inc Cl a Shrs (V)	A	Dividend	K	T					
75. Allied Capital Corp PFD Note (01903Q207)	B	Interest	K	T					
76. HSBC HLDGS PLC (40428604)	A	Interest	K	T					
77. Public Storage (74460W875)	A	Interest			Redeemed	09/30/20	K		
78. Wells Fargo & Co (949746655)	A	Interest	J	T					
79. Amherst NY Dev Crp Stf (031358AS3)	A	Interest			Redeemed	10/01/20	J		
80. Solar Senior Capital Ltd (SUNS)	A	Dividend	J	T					
81. Plains All Amern Pipl Lp (PAA)	A	Dividend	J	T					
82. Account #5 (H)									
83. NVIDIA Corp (NVDA)	A	Dividend	M	T					
84. Account #6 (H)									
85. JPMorgan 529 Moderate Growth Portfolio - A		None	J	T	Sold (part)	08/05/20	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Pedersen, Mark

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86.					Sold (part)	12/11/20	J		
87. Account #7 (H)									
88. Stifel Insured Deposit (cash)	A	Interest	J	T					
89. First Trust Value Line Dividend Index ETF (FVD)		None	J	T	Buy	12/29/20	J		
90. Vanguard Mid-Cap ETF (VO)	A	Dividend			Sold	10/29/20	J	A	
91. AB Discovery Growth Fund Adv Cl (CHCYX)	A	Dividend	J	T					
92. AB Large Cap Growth Fund Adv Cl (APGYX)	A	Dividend	J	T					
93. Blackrock Total Return Fund Instl Cl (MAHQX)	A	Dividend	J	T	Buy (add'l)	12/31/20	J		
94.					Buy (add'l)	12/31/20	J		
95. Goldman Sachs Core Fixed Income Instl Cl (GSFIX)	A	Dividend	J	T	Buy	05/13/20	J		
96. Delaware Value Fund Instl Cl (DDVIX)		None			Sold	03/12/20	J		
97. JP Morgan Global Bond Opportunities Fund I (GBOSX)	A	Dividend			Sold	03/19/20	J		
98. MFS Mid Cap Value Fund Cl I (MCVIX)	A	Dividend	J	T	Buy (add'l)	12/31/20	J		
99. MFS Value Cl I (MEIIX)		None	J	T	Buy	12/29/20	J		
100. PGIM Global Total Return Fund Cl Z (PZTRX)	A	Dividend			Sold	03/19/20	J		
101. PGIM Total Return Bond Fund Cl Z (PDBZX)	A	Dividend	J	T	Buy (add'l)	12/31/20	J		
102. PGIM Jennison Focused Growth Fund Cl Z (SPFZX)	A	Dividend	J	T					

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103. PGIM Short Term Corp Bond Cl Z (PIFZX)	A	Dividend	J	T	Buy	05/13/20	J		
104. T Rowe Price QM US Small Cap Growth Eq Fd Inv Cl (PRDSX)	A	Dividend	J	T					
105. Transamerica Bond Cl I (TFXIX)	A	Dividend	J	T	Buy	05/13/20	J		
106. Vanguard Prime Money Market Admiral Cl (VMRXX) (cash)	A	Dividend			Buy	03/20/20	J		
107.					Sold	12/29/20	J		
108. Account #8 (H)									
109. Lonestar Age Based 18+ Years Portfolio A (X)		None			Sold	01/15/20	J		

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(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	
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(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	
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Pedersen, Mark

Date of Report

08/12/2021

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Pedersen, Mark

Date of Report

08/12/2021

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/ Mark Pedersen**

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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Washington, D.C. 20544