

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Dancks, Therese W.	2. Court or Organization NDNY District Court-Syracuse	3. Date of Report 11/07/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 100 Clinton Street Syracuse, NY 13261		
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. Director	Volunteer Lawyers Project, Inc.
2. Board Member	Le Moyne College Board of Regents
3. Co-Executrix, beginning September 2016	Estate #1
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 11

Name of Person Reporting

Dancks, Therese W.

Date of Report

11/07/2017

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. Practising Law Institute	6/2/16	1177 6th Ave., New York, NY 10036	Lecture on prisoner civil rights.	Round trip travel expenses to NYC from Syracuse.
2. Pepperdine University School of Law at the Judicial Clerkship Institute	3/16/16-3/18/16	24255 Pacific Coast Highway, Malibu, CA 90263	Lecture on clerking for a magistrate judge.	Round trip travel expenses to California from Syracuse.
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Danks, Therese W.

Date of Report

11/07/2017

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Dancks, Therese W.

Date of Report

11/07/2017

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. Kraushaar; Personal Note	B	Interest	K	T					
2. Key Bank Account	A	Interest	K	T					
3. Community Bank (formerly Oneida Savings) Account 1	A	Interest	J	T					
4. Community Bank (formerly Oneida Savings) Account 2	A	Interest			Closed	4/30/16	K		
5. Fidelity Investments:									
6. -Allstate Corp Dep Sh 6.62500% (X)		None	J	T					
7. -AT&T Inc Com USD1 (X)		None	J	T					
8. -Bank Amer Corp Dep 6.375 % PFD (X)		None	J	T					
9. -Bershire Hathaway Inc Del CL B New (X)		None	J	T					
10. -C S X Corp (X)		None	J	T					
11. -Conagra Brands Inc (X)		None	J	T					
12. -Consolidated Edison Hldg Co Inc (X)		None	J	T					
13. -Corning Inc (X)		None	J	T					
14. -Countrywide Cap V GTD Cap Sec (X)		None	J	T					
15. -Duke Energy Corp New Com New (X)		None	J	T					
16. -Fidelity Govenment Cash Reserves	A	Int./Div.	J	T					
17. -Fidelity NY Muni Money Market	A	Int./Div.	J	T	Sold (part)	11/16/16	K		

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 11

Name of Person Reporting

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☐ NONE (No reportable income, assets, or transactions.)

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	(1) Amount Code I (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. -Fidelity Short Term Bond	A	Dividend	K	T	Buy	11/15/16	K		
19. -First TR Exchange Traded FD II	A	Dividend	K	T					
20. -First Trust Portfolios Large Cap Growth	A	Dividend	J	T					
21. -Ford MTR Co Del Com (X)		None	J	T					
22. -General Electric Co	B	Dividend	K	T					
23. -iShares MSCI Emerging Markets ETF	A	Dividend			Sold	11/16/16	L		
24. -iShares MSCI Pacific Ex Japan ETF	A	Dividend			Sold	11/16/16	L		
25. -iShares Nasdaq Biotechnology	A	Dividend	K	T					
26. -iShares 2016 AMT-Free Muni Term ETF	A	Interest			Sold	09/08/16	J		
27. -iShares New York Muni Bond ETF F/K/A iShares New York ATM-F	A	Int./Div.	K	T	Buy	11/16/16	K		
28. -iShares S&P Mid Cap 400 Growth ETF	A	Dividend	J	T					
29. -iShares S&P MidCap 400 Value ETF	A	Dividend	J	T					
30. -iShares US Financials ETF	A	Dividend	J	T					
31. -JP Morgan Chase & Co Depositary SHS (X)		None	J	T					
32. -Johnson & Johnson (X)		None	J	T					
33. -Kimberly Clark Corp (X)		None	J	T					
34. -Kraft Heinz Co Com (X)		None	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Dancks, Therese W.

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	(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. -Lamb Weston Hldgs Inc Com (X)		None	J	T					
36. -Loomis Sayles Core Plus Bd FD (X)	A	Dividend	J	T					
37. -Loomis Sayles SR FLT Rate & Fixed Inc C (X)	A	Dividend	J	T					
38. -Lord Abbett Floating Rate Inc Fd Cl F	B	Dividend	K	T					
39. -Lord Abbett Short Duration Income Cl F	B	Dividend			Sold	11/14/16	K		
40. -M&T Bank Corp (X)		None	J	T					
41. -Merck & Co Inc New Com (X)		None	J	T					
42. -Oppenheimer Rochester Muni CL C	A	Int./Div.	K	T					
43. -Qualcomm Inc (X)		None	J	T					
44. -Regeneron Pharmaceuticals		None	K	T					
45. -Schlumberger Limited Com (X)		None	J	T					
46. -SPDR Down Jones Indl Avg ETF TR Unit Ser 1(X)	A	Dividend	J	T					
47. -SPDR Ser Tr Dj Wilshire Reit ETF	A	Dividend	J	T					
48. -SPDR S&P 500 ETF Trust Unit Ser 1 (X)	A	Dividend	J	T					
49. -Vanguard Index Fds Vanguard Small Cap VBK	A	Dividend	J	T					
50. -Vanguard Index Fds Vanguard Small Cap VBR	A	Dividend	J	T					
51. -Vanguard Intl Equity Index Fund Inc FTSE VGK	A	Dividend	L	T	Buy	11/16/16	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Dancks, Therese W.

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52. -Vanguard Intl Equity Index Fds FTSE PAC	A	Dividend	L	T	Buy	11/16/16	L		
53. -Vanguard Intl Equity Index Fds	A	Dividend	J	T					
54. -Viacom Inc New Cl B (X)		None	J	T					
55. U.S. Savings Bonds	A	Interest	J	T					
56. Fidelity IRA:									
57. -Fidelity Cash Reserves	A	Dividend	L	T					
58. -First Tr Large Cap Value Opportunities	A	Dividend	K	T					
59. -First Trust Portfolios Large Cap Growth	A	Dividend	L	T					
60. -Global X Funds Global X Ftse Greece 20	A	Dividend	J	T					
61. -iShares MSCI Australia ETF	A	Dividend	J	T					
62. -iShares MSCI Brazil ETF	A	Dividend	J	T					
63. -iShares Tips Bond ETF	A	Dividend	K	T					
64. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
65. -iShares S&P Mid Cap 400 Growth ETF	A	Dividend	L	T					
66. -iShares S&P Mid Cap 400 Value ETF	B	Dividend	L	T					
67. -iShares US Financials ETF	A	Dividend	K	T					
68. -iShares iBoxx High Yield Corporate Bond	C	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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Dancks, Therese W.

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69. -iShares US Preferred Stock ETF	A	Dividend	J	T					
70. -iShares 2016 AMT-Free Muni Term ETF	A	Dividend			Matured	9/30/16	K		
71. -SPDR Ser Tr Barclays High Yield BD ETF	C	Dividend	K	T					
72. -SPDR Ser Tr Db Intl Govt Inflation	A	Dividend	K	T	Sold (part)	01/07/16	J	A	
73. -SPDR Ser Tr DJ Wilshire Reit ETF	A	Dividend	K	T					
74. -Vanguard Index Fds Vanguard Small Cap Value	A	Dividend	L	T					
75. -Vanguard Index Fds Vanguard Small Cap Growth	A	Dividend	L	T					
76. -Vanguard Index Fds Vanguard Growth	A	Dividend	K	T					
77. -Vanguard Index Fds Vanguard Value Vipers	A	Dividend	J	T					
78. MetLife Computershares - Estate (X)		None	J	T	Distributed (part)	12/6/16	J		
79. Solvay Checking Account - Estate (X)		None	K	T					
80. M&T Checking Account - Estate (X)		None	J	T					
81. 529 Plan #1 F.B.O. - Estate (X):									
82. -The Bond Fund of America-529C (X)	A	Dividend			Sold	11/25/16	J		
83. -EuroPacific Growth Fund-529C (X)		None			Sold	11/25/16	J		
84. -Fundamental Investors-529C (X)	A	Dividend			Sold	11/25/16	J		
85. -The Growth Fund of America-529C (X)		None			Sold	11/25/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Dancks, Therese W.

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86. -New World Fund-529C (X)		None			Sold	11/25/16	J		
87. 529 Plan #2 F.B.O. - Estate (X):									
88. -EuroPacific Growth Fund-529C (X)		None			Sold	11/25/16	J		
89. -Fundamental Investors-529C (X)		None			Sold	11/25/16	J		
90. -The Growth Fund of America-529C (X)		None			Sold	11/25/16	J		
91. -New World Fund-529C (X)		None			Sold	11/25/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Dancks, Therese W.

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

Part VII Line 16. Fidelity Government Cash Reserves account was used starting in May of 2016 to hold all dividends received which were not reinvested to purchase additional securities. This investment was not purchased nor was there an initial amount transferred into the account.

Part VII includes new listings with (X) after the name. Some of these items are assets of the Estate #1, of which Therese was named Executrix in 2016. Those listed in Therese's Fidelity accounts were her inheritance.

Part VII line 27 references an investment that underwent a name change between 2015 and 2016. The investment was listed under Part VII line 14 in 2015. The space does not allow enough room to enter all necessary information, so it should read as follows: -iShares New York Muni Bond ETF F/K/A iShares New York ATM-Free Muni.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

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11/07/2017

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/ Therese W. Dancks

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