

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013**

*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 6/25/2014
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Two 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.		

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

AAA Western and Central New York Board Member - Stipend

2. 2013

Executive Dimensions - Salary

3. 2013

Health Now Board Member - Stipend

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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. Prime MM Fund RBC (formerly Cash RBC)	A	Dividend	J	T					
2. Tamarack Inv. Fds. Prime (Y)									
3. Allianz NFJ Dividend Val. Cl. C	A	Dividend	K	T					
4. Clearbridge Energy MLP	A	Dividend	J	T					
5. San Bernardino Cnty Calif Fing 1995		None	J	T					
6. Fidelity Adv. New Insights Cl A	C	Dividend	K	T					
7. United Sts STL Corp New SR NT	A	Interest	J	T					
8. Residential Accredi LNS Inc CL A-5	A	Interest	J	T					
9. Residential Accredi LNS Inc CL I-A-5 (X)	A	Interest	J	T					
10. Jennison-Growth CLA (Prudential Inv)	B	Dividend	K	T					
11. Kinetics Paradigm Fund Cl C		None	J	T					
12. Royce Fund - PA	B	Dividend	K	T					
13. Countrywide Alternative Loan Ser. 2005	A	Interest	J	T					
14. Europacific Growth Cl. A	A	Dividend	K	T					
15. CWALT Inc Alternative Loan Trust	A	Interest	J	T					
16. Templeton Foreign A	A	Dividend	J	T					
17. Alternative Loan Trust MTGPC Series	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 \$5,000,000	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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18. Wells Fargo Mortgage Sec. 2006-8 A-5	A	Interest	J	T					
19. Wells Fargo Mortgage Sec. 2006-11 A-13	A	Interest	J	T					
20. Thornburg Intl Value Cl. A	A	Dividend	K	T					
21. Eaton Vance High Income	B	Dividend	K	T					
22. Goldman Sachs HY Cl. A	B	Dividend	K	T					
23. Nuveen Multi-Strategy Inc Fund	A	Dividend	J	T					
24. Ivy Asset Strat A	A	Dividend	K	T	Sold (part)	06/05/13	J	A	
25. Invesco Basic Value CL C	A	Dividend	J	T					
26. Legg Mason Capital Management	A	Dividend	K	T	Buy (add'l)	01/23/13	K		
27.					Sold (part)	01/23/13	K	C	
28. Goldman Sachs Group Inc. 6.125%	A	Interest	J	T					
29. Western Asset High Yield	B	Dividend	K	T					
30. SCE Trust I	B	Dividend	K	T					
31. SLM Corp Ednotes	A	Interest	J	T	Buy (add'l)	08/01/13	J		
32. General Electric Cap SR	A	Interest			Redeemed	01/08/13	K		
33. Bank Amer Corp	B	Interest	K	T					
34. General Motors Accep., Corp	A	Interest			Redeemed	07/15/13	J	A	

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35. Arcelormittal	A	Interest	J	T					
36. Countrywide Home LN Class A11	A	Interest	J	T					
37. CWALT Inc Class 1-A-10	A	Interest	J	T					
38. CHL Mortgage Pass Through	A	Interest	J	T					
39. Bank of America Fund Corp CL TA1B	A	Interest	J	T					Sold prior year. Line 37.
40. JP Morgan Trust	A	Interest	J	T					
41. Government National MTG Assn CL UE	A	Interest	K	T					
42. Bank of America Mrtg Ser 2006-3	A	Interest	J	T					
43. CHL Mortgage Pass Through 2006-15	A	Interest	J	T					
44. Citi corp Mrtg Securities 2007-5	A	Interest			Redeemed	06/25/13	J		
45. Federal National Mtg. Assn 2011-37	A	Interest			Redeemed	06/25/13	J		
46. First TR MLP & Energy Inc.	A	Dividend	K	T					
47. Bank of America Funding Trust	A	Interest	J	T					
48. Hotchkis & Wiley Funds Mid Cap Value FD CL C	A	Dividend	J	T	Buy	9/4/13	J		
49. Duke Energy Corp.	A	Interest	K	T	Buy	01/09/13	K		
50. First Trust Intermediate Duration Preferred & Income FD	A	Dividend	J	T	Buy	5/23/13	J		
51. Government Nat. MTG MH	A	Interest	J	T	Buy	02/13/13	J		

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52. Tamarack Inv Fds Prime (Y)									
53. Prime MM Fund RBC Reserve Class (X)		None	J	T					
54. Fidelity Adv New Insight A	B	Dividend	J	T					
55. Royce Fund - Total Return Con	A	Dividend	J	T					
56. Royce Fund - PA	A	Dividend	J	T					
57. New Perspective CLA	A	Dividend	J	T					
58. Invesco Charter Fund	A	Dividend	J	T					
59. IVY FDS Inc. Growth	A	Dividend	J	T					
60. Legg Mason Capital	A	Dividend	J	T					
61. Black Rock Global CL C	A	Dividend	J	T	Sold (part)	11/20/13	J	A	
62. IVY Asset Strategy CL C	A	Dividend	J	T					
63. CTS Cash RBC Wealth		None	J	T					
64. Prime MM Fund RBC Reserve (formerly Tamarack)	A	Dividend	L	T					
65. Cleveland Biolabs Inc.		None	J	T					
66. John Hancock Global Opp. CL C		None	J	T					
67. Citigroup Inc.	A	Dividend	J	T					
68. First Niagara FINL Grp Inc. 8.625%	B	Dividend	K	T					

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69. Philadelphia PA Public Serv Rev 1999B		None	K	T					
70. Fidelity Adv New Insight C	C	Dividend	K	T					
71. Home Depot Inc.		None			Sold	1/9/13	K	D	
72. HSBC Holdings PLC	B	Dividend	J	T					
73. Corp Back JCP Ser 07-1CL A-1(X)	B	Interest	J	T					
74. JP Morgan US Large Cap Core Plus C	B	Dividend	K	T					
75. KeyCorp New	A	Dividend	J	T					
76. Kinetics Paradigm Fd CL C (formerly Mut Fds)		None	K	T					
77. Super Valu Inc SR NTS	B	Interest	K	T					
78. United STS STL Corp New SR NT	B	Interest	K	T					
79. RFMSI Trust MTGPC/SER 2005	A	Interest	J	T					
80. M&T Bank Corp	B	Dividend	L	T					
81. National Fuel Gas	A	Dividend	K	T					
82. Proctor & Gamble	A	Dividend	K	T					
83. Prudential Finl Inc	B	Interest	K	T	Redeemed (part)	6/17/13	K		
84. Royce Fund - PA	C	Dividend	K	T					
85. Alpine Total Dynamic Div Fund	B	Dividend	J	T					

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86. Blackrock Intl Growth & Income Fund	B	Dividend	K	T					
87. Eaton Vance Tax-Managed Global	B	Dividend	K	T					
88. Blackrock Enhanced Gov't	A	Dividend			Sold	4/25/13	J		
89.					Sold	4/29/13	J		
90.					Sold	04/29/13	J		
91.					Sold	09/03/13	J		
92.					Sold	09/03/13	J		
93. GOV'T Nat'l Mtge Assoc 2003-110-PC	A	Interest			Redeemed	01/16/13	J		
94. FHLMC REMIC 2864-A4 Lottery Bond (Y)									
95. Chase Mortgage Serv 2005 (formerly Chase Mtge FIN Tr 20)	A	Interest	J	T					
96. Bank of America FDG Corp	A	Interest	J	T					
97. Countrywide Capital V	B	Interest	K	T					
98. JC Penney Co SR NTS (formerly CBTCs for JC Penney Co)	B	Interest	K	T					
99. Ivy Asset Strategy C	A	Dividend	L	T					
100. Wells Fargo Mtge Backed 2006-6 1-A-1	A	Interest	J	T					
101. Wells Fargo Mtge Backed 2006-8 A-4	A	Interest	J	T					
102. United States National Gas Fund		None	J	T					

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103. Countrywide Alt. Ln. Trust (Y)									
104. Legg Mason Capital Management	A	Dividend	K	T					
105. Euro Pac Growth Fund	A	Dividend	K	T					
106. General Motors Accep Corp	A	Interest	J	T	Redeemed (part)	11/15/13	J		
107. Ally Financial Inc. 2.15%	A	Interest	K	T					
108. San Bernardino Cnty CA		None	K	T					
109. SLM Corp	A	Interest	K	T					
110. Credit Suisse First Boston Mtg	A	Interest	J	T	Redeemed (part)	03/27/13	J		
111.					Redeemed (part)	04/29/13	J		
112.					Redeemed (part)	5/30/13	J		
113.					Redeemed (part)	07/30/13	J		
114. CitiMortgge Alt. Loan	A	Interest	J	T					
115. BlackRock Global Allocation	B	Dividend	K	T					
116. Ford Motor Credit Co.	A	Interest	K	T					
117. Sears Holdings Corp SR Sec'd	B	Interest	K	T					
118. GOV'T Nat'l Mtg Assoc 2012-96 CLYG	A	Interest	J	T					
119. Aells Fargo Mtge Backed 2006-9 1-A-16	A	Interest			Buy	3/25/13	K		

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120.					Redeemed	10/25/13	J	A	
121. Cohen & Steers MLP Income & Energy Opportunity FD Inc.	A	Dividend	K	T	Buy	03/25/13	K		
122. Computer Task Group Inc	A	Dividend	J	T	Buy	07/23/13	J		
123. Allstate Corporation		None	J	T	Buy	09/23/13	J		
124. Black Rock Multi Sector Income	B	Dividend	K	T	Buy	02/25/13	K		
125. Citigroup Inc. 5.8%	A	Dividend	K	T	Buy	03/19/13	K		
126. Citigroup Inc. 6.875%		None	K	T	Buy	10/24/13	J		
127. Doubleline Income Solutions FD	A	Dividend	K	T	Buy	04/25/13	K		
128. Compton Calif Cmnty Redev Agy		None	J	T	Buy	01/29/13	J		
129. San Bernardino Cnty Calif Fing		None	J	T	Buy	06/27/13	J		
130. Lehman Mtge Trust	A	Interest	K	T	Buy	09/11/13	K		
131. GOV'T Nat'l Mtge Assoc 2012-038 CL UE	A	Interest	K	T	Buy	06/17/13	K		
132. Prime MM Fund RBC Reserve (formerly Tamarack)	A	Dividend	J	T					
133. BlackRock Global Dividend	A	Dividend	J	T					
134. Legg Mason Capital	A	Dividend	J	T					
135. Bank of America Corp	A	Dividend			Redeemed	05/28/13	J	C	
136. Dominion Res Inc. VA	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 \$5,000,000	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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Name of Person Reporting

Arcara, Richard J.

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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)
137. CitiCorp Mortgage Securities	A	Interest			Redeemed	06/25/13	J		
138. Wells Fargo Mtg. Backed Securities	A	Interest	J	T					
139. BlackRock NY Muni Income	A	Dividend	J	T					
140. Invesco Trust Invst (formerly Invesco Van Kampen Tr Invst)	A	Dividend	J	T	Sold (part)	03/10/13	J	C	
141. BlackRock Global Allocation	A	Dividend	J	T					
142. IVY Asset Strategy CL C	A	Dividend	J	T					
143. Prudential Jennison 20/20	B	Dividend	J	T					
144. Citimortgage Alternative Loan (X)	A	Interest	J	T					
145. Hotchkis & Wiley FDS Mid Cap Value	A	Dividend	J	T	Buy	09/03/13	J		
146. First Trust Intermediate Duration	A	Dividend	J	T	Buy	05/23/13	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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Name of Person Reporting

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

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Name of Person Reporting:

Arcara, Richard J.

Date of Report:

06/25/2014

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 21 U.S.C. app. § 801 et. seq., 21 U.S.C. § 7351, and judicial conference regulations.

Signature: s/ Richard J. Arcara

NOTE: ANY INDIVIDUAL WHO KNOWLEDGELY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 404)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544