

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Stewart, Daniel J.	2. Court or Organization United States District Court, Northern District of New York	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Term	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States District Court, Northern District of New York 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust #1 - Manning & Napier
2. Adjunct Faculty Member	Albany Law School
3. Vice President	Bedford Close Homeowners Association
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.	

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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. _____

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.)*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.)*

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.		

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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. SEFCU	A	Int./Div.	J	T					
2. 1/4 Interest in Property - Jay, NY Assessed at \$65,000		None	L	S					
3. American Bar Association IRA, 2020 Retirement Date Fund	C	Int./Div.			Distributed	11/15/17	K		
4. Hickory Hill Ski Center, Inc Stock		None	J	U					
5. Next Gen 529 College Savings Plan of Maine, Blackrock age 14-16		None	J	T	Distributed (part)	09/15/17	J		
6. Manning and Napier, IRA, Pro Blend Extended Term Series S	E	Dividend	O	T					
7. Trust #1 - Manning & Napier (H)									
8. -EXETER TRUST COMPANY CASH AND CASH EQUIVALENTS	A	Dividend	J	T					
9. -ALCOA CORPORATION		None			Sold	01/24/17	J	B	
10. -ALEXION PHARMACEUTICALS INC		None			Sold (part)	04/11/17	J		
11.					Sold	04/27/17	J		
12. -ALPHABET INC CL A		None	J	T	Sold (part)	11/07/17	J	B	
13. -ALPHABET INC CL C		None	J	T	Sold (part)	11/07/17	J	C	
14. -AMAZON.COM INC		None	J	T	Sold (part)	01/31/17	J	B	
15.					Sold (part)	11/07/17	J	B	
16. -AMBEV SA ADR	A	Dividend	J	T	Buy (add'l)	05/10/17	J		
17. -ANHEUSER BUSCH INBEV SA/NV	A	Dividend	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 H = \$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	
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18. -APPLE INC	A	Dividend			Sold (part)	01/06/17	J	A	
19.					Sold (part)	04/04/17	J	A	
20.					Sold	05/23/17	J	B	
21. -ARCONIC INC	A	Dividend	J	T	Sold (part)	11/07/17	J	A	
22. -ASHLAND GLOBAL HOLDINGS INC	A	Dividend	J	T	Sold (part)	04/20/17	J	B	
23.					Buy (add'l)	05/24/17	J		
24. -ANTOFAGASTA PLC	A	Dividend	J	T	Buy	05/23/17	J		
25.					Sold (part)	11/08/17	J	A	
26. -BALL CORP	A	Dividend	J	T	Buy	06/26/17	J		
27. -BIOGEN INC		None	J	T	Buy	05/01/17	J		
28.					Buy (add'l)	06/16/17	J		
29.					Sold (part)	10/04/17	J		
30. -BIOMARIN PHARMACEUTICAL INC		None	J	T	Buy (add'l)	06/02/17	J		
31. -BLACKROCK INC	A	Dividend	J	T	Sold (part)	06/13/17	J	B	
32. -BRISTOL-MYERS SQUIBB CO	A	Dividend	J	T	Sold (part)	04/07/17	J	A	
33. -CERNER CORP		None			Sold (part)	01/11/17	J		
34.					Sold	05/01/17	J	A	

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35. -DAVITA INC		None	K	T	Buy	05/01/17	J		
36.					Buy (add'l)	08/11/17	J		
37.					Buy (add'l)	09/20/17	J		
38.					Buy (add'l)	10/27/17	J		
39. -DIAGEO PLC	A	Dividend	J	T	Sold (part)	11/08/17	J	A	
40. -DIAMOND OFFSHORE DRILLING		None	J	T	Buy	10/12/17	J		
41. -ELECTRONIC ARTS		None	J	T	Sold (part)	01/06/17	J	C	
42.					Sold (part)	01/30/17	J	C	
43. -ENSCO PLC CL A	A	Dividend	J	T	Buy	11/13/17	J		
44. -EQUIFAX INC	A	Dividend	J	T	Buy	10/04/17	J		
45. -EURONET WORLDWIDE INC		None	J	T	Buy	12/15/17	J		
46. -EXPRESS SCRIPTS HOLDING CO		None	J	T	Sold (part)	10/26/17	J		
47. -FACEBOOK INC-A		None	K	T	Buy (add'l)	03/02/17	J		
48.					Sold (part)	05/04/17	J	B	
49. -FEDEX CORP	A	Dividend	J	T	Buy	05/01/17	J		
50.					Buy (add'l)	06/16/17	J		
51. -FIRST QUANTUM MINERALS LTD	A	Dividend	J	T	Buy	05/17/17	J		

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52.					Sold (part)	11/07/17	J	A	
53. -FLOWERVE CORP	A	Dividend			Sold	01/27/17	J	A	
54. -FREEPORT MCMORAN INC		None			Buy	01/19/17	J		
55.					Sold	10/10/17	J		
56. -GENESEE & WYOMING INC CL A		None	J	T	Buy	09/08/17	J		
57. -INCYTE CORP		None	J	T	Buy	09/28/17	J		
58. -KINGFISHER PLC	A	Dividend			Sold	07/17/17	J		
59. -LIBERTY GLOBAL PLC A		None			Sold (part)	05/30/17	J		
60.					Sold (part)	06/12/17	J		
61.					Sold	07/07/17	J	A	
62. -LULULEMON ATHLETICA INC		None	J	T	Sold (part)	11/07/17	J		
63. -LUNDIN MINING CORP	A	Dividend	J	T	Buy	05/19/17	J		
64.					Sold (part)	11/07/17	J	A	
65. -M&N DYNAMIC OPPORTUNITIES SR CL S SHARES		None			Sold (part)	02/08/17	J		
66.					Sold	04/19/17	K	A	
67. -MANNING & NAPIER FUND INC EMERGING MARKETS SERIES	A	Dividend			Sold	11/13/17	J		
68. -MANNING & NAPIER FUND INC HIGH YIELD BOND SERIES	B	Dividend	K	T					

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69. -MANNING & NAPIER INTERNATIONAL SERIES FUND	A	Dividend	K	T					
70. -MANNING & NAPIER FUND INC NEW YORK TAX EXEMPT SERIES FUND	B	Dividend	M	T					
71. -MANNING & NAPIER FUND INC REAL ESTATE SERIES	A	Dividend	K	T					
72. -MANNING & NAPIER FUND INC WORLD OPPORTUNITIES SERIES FUND	A	Dividend	K	T					
73. -MANNING & NAPIER GL FI S		None	K	T					
74. -MASTERCARD INC CL A	A	Dividend	J	T	Sold (part)	05/31/17	J	C	
75.					Sold (part)	11/07/17	J	A	
76. -MEDTRONIC PLC	A	Dividend	J	T					
77. -MICROSOFT CORP	A	Dividend	J	T	Sold (part)	06/09/17	J	A	
78.					Sold (part)	11/07/17	J	A	
79. -MONSANTO CO NEW COM	A	Dividend			Sold (part)	04/03/17	J	A	
80.					Sold	10/10/17	J	A	
81. -NIELSEN HOLDINGS PLC	A	Dividend	J	T	Buy (add'l)	05/02/17	J		
82. -NOVARTIS AG NAMEN SPON ADR	A	Dividend	J	T	Buy (add'l)	05/01/17	J		
83. -OCEANEERING INTL		None			Buy	10/11/17	J		
84.					Sold	11/14/17	J		

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85. -PAYPAL HOLDINGS INC		None			Sold	04/24/17	J	B	
86. -PRICELINE GROUP INC/THE		None	K	T					
87. -QORVO INC		None	J	T	Buy	05/23/17	J		
88.					Buy (add'l)	07/11/17	J		
89.					Buy (add'l)	09/26/17	J		
90.					Buy (add'l)	12/06/17	J		
91. -RANGE RES CORP COM		None			Sold (part)	01/06/17	J	A	
92.					Sold	02/23/17	J	A	
93. -REGENERON PHARMACEUTICALS		None	J	T	Buy (add'l)	10/04/17	J		
94.					Sold (part)	06/01/17	J	A	
95. -SAFRAN SA		None			Sold	01/30/17	J	A	
96. -SALESFORCE.COM INC		None			Sold	09/18/17	J	B	
97. -SCHLUMBERGER LTD	A	Dividend	J	T					
98. -SEALED AIR CORP	A	Dividend	J	T	Buy	06/27/17	J		
99. -SEATTLE GENETICS INC		None	J	T	Buy	07/17/17	J		
100.					Sold (part)	11/07/17	J	A	
101. -SERVICENOW INC		None	K	T	Sold (part)	02/06/17	J	A	

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102.					Sold (part)	07/25/17	J	B	
103.					Buy (add'l)	08/24/17	J		
104. -SOUTHERN COPPER CORP	A	Dividend	J	T	Buy	01/27/17	J		
105.					Sold (part)	11/07/17	J	A	
106. -SKYWORKS SOLUTIONS INC	A	Dividend	J	T	Sold (part)	02/07/17	J	B	
107.					Buy (add'l)	07/11/17	J		
108. -TENCENT HOLDINGS LTD	A	Dividend	J	T	Buy	04/28/17	J		
109.					Sold (part)	11/08/17	J	B	
110.					Sold (part)	11/10/17	J	B	
111. -TEXAS INSTRUMENTS INC		None	J	T	Buy	11/2/17	J		
112. -TIME WARNER INC		None			Sold (part)	01/06/17	J	B	
113.					Sold	01/23/17	J	B	
114. -TRANSOCEAN LTD		None	J	T	Buy	10/11/17	J		
115.					Buy (add'l)	11/13/17	J		
116. -TRIBUNE COMPANY NEW	B	Dividend			Sold	03/06/17	J		
117. -TSY INFL IX N/B 0.125% 04/15/2018	A	Interest	J	T					
118. -TSY INFL IX N/B 0.625% 02/15/2043	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 \$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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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)
119. -TSY INFL IX N/B 1.125% 01/15/2021	A	Interest	J	T					
120. -US TREASURY INFL IX N/B 0.125% 01/15/2022	A	Interest	J	T					
121. -TWENTY FIRST CENTURY FOX INC	A	Dividend			Sold (part)	10/06/17	J		
122.					Sold	10/12/17	J	A	
123. -UNILEVER PLC ADR AMER SHS SPON	A	Dividend	J	T					
124. -US TREASURY BOND 2.50% 02/15/2045	A	Interest	J	T					
125. -US TREASURY BOND 4.75% 02/15/2037	A	Interest	J	T					
126. -US TREASURY BOND 6.25% 05/15/2030	A	Interest	J	T					
127. -US TREASURY NOTE 1.625% 04/30/2023	A	Interest	L	T	Buy	04/28/17	K		
128.					Buy (add'l)	05/03/17	K		
129.					Buy (add'l)	08/01/17	K		
130.					Buy (add'l)	11/30/17	K		
131. -US TREASURY NOTE 2.375% 05/15/2027	A	Interest	K	T	Buy	10/02/17	K		
132. -US TREASURY NOTE 1.75% 04/30/2022	A	Interest			Buy	01/31/17	K		
133.					Buy (add'l)	02/28/17	K		
134.					Buy (add'l)	03/31/17	J		
135.					Sold (part)	07/07/17	L	A	

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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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)
136.					Sold	09/28/17	J	A	
137. -VALVOLINE INC (SPINOFF FROM ASHLAND GLOBAL HOLDINGS)		None			Spinoff (from line 22)	05/05/17	J		
138.					Sold (part)	05/19/17	J	A	
139.					Sold	05/31/17	J	A	
140. -VERTEX PHARMACEUTICALS INC		None	J	T	Sold (part)	07/18/17	J	B	
141. -VISA INC CL A	A	Dividend	J	T	Sold (part)	11/07/17	J	B	
142. -WEYERHAEUSER CO REITS	A	Dividend	J	T	Sold (part)	11/07/17	J	A	
143. -YUM BRANDS INC		None			Sold	01/06/17	J	A	
144. -YUM CHINA HOLDINGS INC		None			Sold	04/11/17	J	A	
145. -ZAYO GROUP HOLDINGS INC		None	J	T	Buy	01/11/17	J		
146.									

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

Part VII - Investments and Trusts

1. The 2016 report included "Thrift Savings Plan - Lifecycle Funds L2030 (x)" on line 8. This is not included on the 2017 Report as Federal Thrift Savings Plans are not required to be reported.
2. Line 3, Amerian Bar Association IRA was fully distributed into a Federal Thrift Savings Plan. As such no gain is reported.

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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/ **Daniel J. Stewart**

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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