

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/22/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address Two Niagara Square Buffalo, New York 14202		
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.)

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. 2012

AAA Western and Central New York Board Member - Stipend

2. 2012

Executive Dimensions - Salary

3. 2012

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.)*

	<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.			
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)		None	J	T					
2. Tamarack Invst. Fds. Prime (Y)									
3. Nextel Communications Inc SER F	A	Dividend			Redeemed	11/19/12	J		
4. Allianz NFJ Dividend Val. Cl. C	A	Dividend	K	T					
5. Clearbridge Energy MLP	A	Dividend	J	T	Buy	6/26/12	J		
6. Bank of America Sub Internotes	A	Interest			Redeemed	7/9/12	J	A	
7. San Bernardino Cnty Calif Fing 1995		None	J	T					
8. Fidelity Adv. New Insights Cl A		None	K	T					
9. United Sts STL Corp New SR NT	A	Interest	J	T					
10. Residential Accreditt LNS Inc CL A-5	A	Interest	J	T	Buy	02/2/12	J		
11. Residential Accreditt LNS Inc CL 1-A-5(X)	A	Interest	J	T					
12. Jennison-Growth ClA (Prudential Inv)		None	K	T					
13. Kinetics Paradigm Fund Cl C	A	Dividend	J	T					
14. Royce Fund - PA	A	Dividend	K	T					
15. Countrywide Alternative Loan Ser. 2005	A	Interest	J	T					
16. Europacific Growth Cl. A	A	Dividend	J	T	Sold (part)	2/3/12	J	A	
17. CWALT Inc Alternative Loan Trust	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 = \$250,001 - \$500,000	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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	(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. Templeton Foreign A	A	Dividend	J	T					
19. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
20. Wells Fargo Mtge Sec	A	Interest	J	T	Buy	9/18/12	J		
21. Wells Fargo Mtge Sec	A	Interest	J	T					
22. Thornburg Intl Value Cl. A	A	Dividend	K	T					
23. Eaton Vance High Income	B	Dividend	K	T					
24. Goldman Sachs HY Cl. A	B	Dividend	K	T					
25. Nuveen Multi-Strategy Inc Fund	A	Dividend	J	T					
26. Pimco High Income Fd.	A	Dividend			Sold	6/21/12	J	A	
27.					Sold	6/21/12	J	A	
28.					Sold	7/9/12	J	A	
29. Ivy Asset Strat A	A	Dividend	K	T					
30. Invesco Basic Value CL C	A	Dividend	J	T					
31. Legg Mason Capital Management	A	Dividend	K	T					
32. Goldman Sachs Group Inc. 6.125%	A	Interest	J	T					
33. Western Asset High Yield	B	Dividend	K	T					
34. SCE Trust I (X)	A	Dividend	K	T	Buy	5/10/12	K		

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35. SLM Corp Ednotes	A	Interest			Redeemed	3/15/12	K		
36. General Electric Cap SR	A	Interest	K	T					
37. Bank Amer Corp	B	Interest	K	T	Redeemed (part)	9/17/12	J	A	
38. General Motors Accep., Corp	A	Interest	J	T					
39. Arcelormittal (X)		None	J	T	Buy	8/31/12	J		
40. Countrywide Home LN Class A11	A	Interest	J	T					
41. CWALT Inc Class 1-A-10	A	Interest	J	T					
42. CHL Mortgage Pass Through	B	Interest	J	T					
43. Bank of America Fund Corp CL TA1B	A	Interest	J	T					
44. JP Morgan Trust	A	Interest	J	T					
45. Government National MTG Assn CL UE (X)	A	Interest	K	T	Buy	3/30/12	K		
46. Government National MTG Assn CL MA	A	Interest			Redeemed	6/18/12	J	A	
47. Ford Motor Credit Corp Co. (Y)									
48. Bank of America Mrtg Ser	A	Interest	J	T					
49. Wynn Las Vegas, LLC (Y)									
50. CHL Mortgage Pass Through 2	A	Interest	J	T					
51. Citi Corp Mrtg Securities	A	Interest	J	T					

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52. Federal National Mtg. Assn	A	Interest	J	T					
53. First TR MLP & Energy Inc (X)		None	K	T	Buy	11/27/12	J		
54.					Buy (add'l)	11/27/12	J		
55. Bank of America Funding Trust (X)	A	Interest	J	T	Buy	1/19/12	J		
56.					Redeemed (part)	10/25/12	J	A	
57. Tamarack Inv. Fds Prime (Y)									
58. Prime MM Fund RBC Reserve Class (X)		None	J	T					
59. Fidelity Adv New Insight A	A	Dividend	J	T					
60. Royce Fund - Total Return Con	A	Dividend	J	T					
61. Royce Fund - PA	A	Dividend	J	T					
62. New Perspective CLA	A	Dividend	J	T					
63. Invesco Charter Fund	A	Dividend	J	T					
64. IVY FDS Inc. Growth		None	J	T					
65. Legg Mason Capital		None	J	T	Sold (part)	12/7/12	J	A	
66. Black Rock Global CL C	A	Dividend	J	T					
67. IVY Asset Strategy CL C	A	Dividend	J	T					
68. CTS Cash RBC Wealth		None	J	T					

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69. Prime Mm Fund RBC Reserve formerly Tamarack	A	Dividend	M	T					
70. Cleveland Biolabs Inc.		None	J	T					
71. JohnHancock Global Opp. CL C	A	Dividend	J	T					
72. Citigroup Inc.	A	Dividend	J	T					
73. First Niagara FINL Grp Inc. 8.625%	B	Dividend	K	T					
74. Nextel Communications Inc. Senior	B	Interest			Redeemed	11/19/12	J		
75. Bank of America Corp Call Step	B	Interest			Redeemed	10/31/12	K		
76. Philadelphia PA Public Serv Rev		None	K	T					
77. Fidelity Adv New Insight C		None	K	T					
78. Home Depot Inc.	A	Dividend	K	T					
79. HSBC Holdings PLC	B	Dividend	J	T					
80. Corp Back JCP Ser (X)	B	Interest	J	T					
81. JP Morgan US Large Cap Core Plus C	A	Dividend	K	T					
82. KeyCorp New	A	Dividend	J	T					
83. Kinetics Paradigm Fd CL C (formerly Mut Fds)	A	Dividend	J	T					
84. Super Valu Inc SR NTS	B	Interest	K	T					
85. United STS STL Corp New SR NT	B	Interest	K	T					

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86. RFMSI Trust MTGPC/SER [REDACTED]	A	Interest	J	T					
87. M&T Bank Corp	B	Dividend	K	T					
88. National Fuel Gas Co.	A	Dividend	K	T	Buy	7/25/12	J		
89. Proctor & Gamble	A	Dividend	J	T					
90. Prudential Finl Inc	B	Interest	K	T					
91. Royce Fund - PA	A	Dividend	K	T					
92. Alpine Total Dynamic Div Fund	B	Dividend	J	T					
93. Blackrock Intl Growth & Income Fund	B	Dividend	K	T					
94. Eaton Vance Tax-Managed Global	B	Dividend	K	T					
95. Templeton Growth C (Y)									
96. Blackrock Enhanced Gov't	A	Dividend	J	T					
97. GOV'T Nat'l Mtge Assoc [REDACTED]	A	Interest	J	T					
98. FHLMC REMIC [REDACTED] Lottery Bond (Y)									
99. Residential Asst Sec [REDACTED] (Y)									
100. Chase Mtge Ser 2005 (formerly Chase Mortgage FIN Tr 20)	A	Interest	J	T					
101. CHL Mtg Pass Thru TR [REDACTED] (formerly CSMBkd Pass Thru)	A	Interest			Redeemed	9/25/12	J		
102. Bank of America FDG Corp	A	Interest	J	T	Buy	1/26/12	J		

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103.					Buy (add'l)	1/26/12	J		
104. Bank of America FDG TR (X)	A	Interest			Redeemed	4/26/12	J	A	
105. Bank of America FDG TR (X)	A	Interest			Redeemed	10/25/12	J	A	
106. Countrywide Capital V	B	Interest	K	T					
107. Keycorp Capital IX (Y)									
108. JC Penney Co SR NTS(formerly CBTCs for JC Penney		None	K	T	Buy (add'l)	9/17/12	K		
109. Ivy Asset Strategy C	A	Dividend	K	T					
110. Wells Fargo Mtge Backed (X)	A	Interest	J	T	Buy	2/9/12	J		
111. Wells Fargo Mtge Backed	A	Interest	J	T					
112. Wells Fargo Mtge Backed (X)	A	Interest			Redeemed	2/27/12	J	A	
113. JP Morgan MTG Trust (Y)									
114. United States National Gas Fund		None	J	T					
115. Countrywide Alt. Ln. Trust (Y)									
116. Legg Mason Capital Management	A	Dividend	K	T					
117. Euro Pac Growth Fund	A	Dividend	J	T					
118. General Motors Accep Corp	B	Interest	J	T	Redeemed (part)	12/17/12	J	A	
119. Ally Financial Inc 2.15% (X)		None	K	T	Buy	12/10/12	K		

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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)
120. San Bernardino Cnty CA		None	K	T					
121. SLM Corp	A	Interest	K	T					
122. Lehman Mortgage Trust	A	Interest			Redeemed	2/27/12	J	B	
123. Credit Suisse First Boston Mtg	A	Interest	J	T					
124. CitiMortgage Alt. Loan	A	Interest	J	T					
125. BlackRock Global Allocation	A	Dividend	K	T					
126. Ford Motor Credit Co.	B	Interest	K	T	Buy (add'l)	12/3/12	K		
127.					Redeemed	9/20/12	K		
128. Sears Holdings Corp SR Sec'd (X)		None	K	T	Buy	12/10/12	K		
129. GOV'T Nat'l Mtge Assoc. (X)	A	Interest	K	T	Buy	8/9/12	K		
130. Banc Amer Fund Trust 2006-3 (X)	A	Interest			Buy	1/9/12	J		
131.					Sold	10/25/12	J	A	
132. Prime MM Fund RBC Reserve (Formerly Tamarack)	A	Dividend	J	T					
133. Black Rock Global Dividend	A	Dividend	J	T					
134. Legg Mason Capital		None	J	T	Buy (add'l)	10/2/12	J		
135. Bank of America Corp	B	Dividend	J	T					
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 \$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)
137. CitiCorp Mortgage Securities	A	Interest	J	T					
138. JP Morgan Mtg. Trust (Y)									
139. Wells Fargo Mtg. Backed Securities	A	Interest	J	T	Redeemed (part)	2/27/12	J	A	
140. BlackRock NY Muni Income	A	Dividend	J	T	Redeemed (part)	6/12/12	J	A	
141. Invesco Trust Invt (Formerly Invesco Van Kampen Tr Invt)	B	Dividend	K	T					
142. BlackRock Global Allocation	A	Dividend	J	T					
143. IVY Asset Strategy CL C	A	Dividend	J	T					
144. Prudential Jennison 20/20 (X)		None	J	T	Buy	1/31/12	J		
145. Citimortgage Alternative Loan (X)		None	J	T					
146. BlackRock NY Muni Inc TR (X)		None	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ Richard J. Arcara**

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