

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 7/8/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address 2 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	AAA Western and Central New York Board Member - Stipend
2. 2014	Executive Dimensions - Salary
3. 2014	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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. RBC Branch Sweep Program (Formerly Prime MM Fund RBC)	A	Interest	J	T					
2. Allianz NFJ Dividend Val. Cl. C	A	Dividend	K	T					
3. Clearbridge Energy MLP	A	Dividend	J	T					
4. San Bernardino Cnty Calif Fing 1995		None	J	T					
5. Fidelity Adv. New Insights Cl A	C	Dividend	K	T					
6. United Sts STL Corp New SR NT	A	Interest	J	T					
7. Residential Accredit LNS Inc CL A-5	A	Interest	J	T					
8. Residential Accredit LNS Inc CL I-A-5	A	Interest	J	T					
9. Jennison-Growth CLA (Prudential Inv)	B	Dividend	K	T					
10. Kinetics Paradigm Fund Cl C	A	Dividend	K	T	Buy (add'l)	05/28/14	J		
11. Royce Fund - PA	C	Dividend	K	T					
12. Countrywide Alternative Loan Ser. 2005		None	J	T					
13. Europacific Growth Cl. A	A	Dividend	J	T					
14. CWALT Inc Alternative Loan Trust	A	Interest	J	T					
15. Templeton Foreign A	A	Dividend	J	T					
16. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
17. Wells Fargo Mortgage Sec. 2006-8 A-5	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. Wells Fargo Mortgage Sec. 2006-11 A-13	A	Interest	J	T					
19. Thornburg Intl Value Cl. A	B	Dividend	K	T					
20. Eaton Vance High Income	B	Dividend	K	T					
21. Goldman Sachs HY Cl. A	B	Dividend	K	T					
22. Nuveen Multi-Strategy Inc Fund	A	Dividend	J	T					
23. Ivy Asset Strat A	D	Dividend	K	T					
24. Invesco Basic Value CL C	A	Dividend	J	T					
25. Legg Mason Capital Management		None	K	T					
26. Goldman Sachs Group Inc. 6.125%	A	Interest	J	T					
27. Western Asset High Yield	B	Dividend	K	T					
28. SCE Trust I	B	Dividend	K	T					
29. SLM Corp Ednotes	A	Interest	J	T					
30. Bank Amer Corp	B	Interest	K	T					
31. ArcelorMittal	A	Interest	J	T					
32. Countrywide Home LN Class A11	A	Interest	J	T					
33. CWALT Inc Class 1-A-10	A	Interest	J	T					
34. CHL Mortgage Pass Through 2006-J4	A	Interest	J	T					

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35. Bank of America Fund Corp CL TA1B	A	Interest	J	T					
36. JP Morgan Trust	A	Interest	J	T					
37. Government National MTG Assn CL UE	A	Interest	K	T					
38. Bank of America Mrtg Ser 2006-3	A	Interest			Sold	03/27/14	J	A	
39. CHL Mortgage Pass Through 2006-15	A	Interest	J	T					
40. First TR MLP & Energy Inc.	B	Dividend	K	T					
41. Bank of America Funding Trust (Y)									
42. Hotchkis & Wiley Funds Mid Cap Value FD CL C	B	Dividend	J	T					
43. Duke Energy Corp.	B	Interest	K	T					
44. First Trust Intermediate Duration Preferred & Income FD	A	Dividend	J	T					
45. Government Nat. MTG MH	A	Interest	J	T					
46. CHL Mortgage Pass-Through 2006-16	A	Interest	J	T	Buy	01/08/14	J		
47. Federal National Mtg Assn 2012-70	A	Interest	J	T	Buy	11/17/14	J		
48. RBC Branch Sweep Program (Formerly Prime MM Fund RBC)(Y)									
49. Fidelity Adv New Insight A	A	Dividend	J	T	Sold (part)	11/06/14	J	A	
50. Royce Fund - Total Return Con	A	Dividend	J	T					
51. Royce Fund - PA	A	Dividend	J	T					

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52. New Perspective CLA	A	Dividend	J	T					
53. Invesco Charter Fund	A	Dividend	J	T					
54. IVY FDS Inc. Growth	A	Dividend	J	T					
55. Legg Mason Capital		None	J	T					
56. Black Rock Global CL C	A	Dividend	J	T					
57. IVY Asset Strategy CL C	A	Dividend	J	T					
58. CTS Cash RBC Wealth		None	J	T					
59. RBC Branch Sweep Program (formerly Prime MM Fund RBC)	A	Interest	L	T					
60. Cleveland Biolabs Inc.		None	J	T					
61. John Hancock Global Opp. CL C		None			Sold	04/08/14	J	A	
62. Citigroup Inc.	A	Dividend	J	T					
63. First Niagara FINL Grp Inc. 8.625%	B	Dividend	K	T					
64. Philadelphia PA Public Serv Rev 1999B		None	K	T					
65. Fidelity Adv New Insight C	C	Dividend	L	T					
66. HSBC Holdings PLC	A	Interest	J	T					
67.	A	Dividend							
68. Corp Back JCP Ser 07-1CL A-1(X)	B	Interest	J	T					

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69. JP Morgan US Large Cap Core Plus C	B	Dividend	K	T					
70. KeyCorp New	A	Dividend	J	T					
71. Kinetics Paradigm Fd CL C (formerly Mut Fds)	A	Dividend	K	T					
72. Super Valu Inc SR NTS	B	Interest	J	T	Redeemed (part)	12/15/14	J	B	
73. United STS STL Corp New SR NT	B	Interest	K	T					
74. RFMSI Trust MTGPC/SER 2005	A	Interest	J	T					
75. M&T Bank Corp	B	Dividend	L	T					
76. National Fuel Gas	A	Dividend	K	T					
77. Proctor & Gamble	A	Dividend	K	T					
78. Prudential Finl Inc (Y)									
79. Royce Fund - PA	D	Dividend	K	T					
80. Alpine Total Dynamic Div Fund	A	Dividend			Sold	04/08/14	K	A	
81. Blackrock Intl Growth & Income Fund	B	Dividend	K	T					
82. Eaton Vance Tax-Managed Global	B	Dividend	K	T					
83. Chase Mortgage Serv 2005 (formerly Chase Mtge FIN Tr 20)	A	Interest	J	T					
84. Bank of America FDG Corp	A	Interest	J	T					
85. Countrywide Capital V	B	Interest	K	T					

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86. JC Penney Co SR NTS (formerly CBTCs for JC Penney Co)	B	Interest	K	T					
87. Ivy Asset Strategy C	D	Dividend	K	T					
88. Wells Fargo Mtge Backed 2006-6 1-A-1	A	Interest	J	T					
89. Wells Fargo Mtge Backed 2006-8 A-4	A	Interest	J	T					
90. United States National Gas Fund		None	J	T					
91. Legg Mason Capital Management	B	Dividend	K	T	Buy (add'l)	04/08/14	K		
92. Euro Pac Growth Fund	A	Dividend	K	T					
93. General Motors Accep Corp (Y)									
94. Ally Financial Inc. 2.15%	A	Interest			Redeemed	06/16/14	K	A	
95. San Bernardino Cnty CA		None			Redeemed	08/01/14	K	A	
96. SLM Corp	A	Interest	K	T					
97. Credit Suisse First Boston Mtg	A	Interest	J	T					
98. CitiMortgage Alt. Loan	A	Interest	J	T					
99. BlackRock Global Allocation	C	Dividend	K	T					
100. Ford Motor Credit Co.	A	Interest	K	T					
101. Sears Holdings Corp SR Sec'd	B	Interest	K	T					
102. GOV'T Nat'l Mtge Assoc 2012-96 CLYG	A	Interest	K	T					

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103. Cohen & Steers MLP Income & Energy Opportunity FD Inc.	B	Dividend	K	T					
104. Computer Task Group Inc	A	Dividend	J	T					
105. Allstate Corporation 6.75%	A	Dividend	J	T					
106. Black Rock Multi Sector Income	B	Dividend	K	T					
107. Citigroup Inc. 5.8%	B	Dividend	K	T					
108. Citigroup Inc. 6.875%	B	Dividend	K	T					
109. Doubleline Income Solutions FD	B	Dividend	K	T					
110. Compton Calif Cmnty Redev Agy		None	J	T					
111. San Bernardino Cnty Calif Fing		None	J	T					
112. Lehman Mtge Trust	B	Interest	J	T					
113. GOV'T Nat'l Mtge Assoc 2012-038 CL UE	A	Interest	K	T					
114. Allstate Corporation 6.25%	A	Dividend	J	T	Buy	06/05/14	J		
115. JP Morgan Chase & Co 6.30%	A	Dividend	K	T	Buy	06/16/14	K		
116. Ally Financial Inc. 4.15%	A	Interest	K	T	Buy	08/11/14	K		
117. United States Cellular Corp. 7.25% (x)		None	K	T	Buy	12/02/14	K		
118. Clearbride Value Trust (x)		None	K	T					
119. RBC Branch Sweep Program (formerly Prime MM Fund RBC) Reserve	A	Dividend	L	T					

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☐ 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)
120. BlackRock Global Dividend	A	Dividend	J	T					
121. Legg Mason Opportunity Trust		None	K	T					
122. Dominion Res Inc. VA	A	Interest			Redeemed	10/15/14	J		
123. Wells Fargo Mtg. Backed Securities	A	Interest	J	T					
124. BlackRock NY Muni Income	A	Dividend	J	T					
125. Invesco Trust Invt (formerly Invesco Van Kampen Tr Invt)	A	Dividend	J	T					
126. BlackRock Global Allocation	A	Dividend	J	T					
127. IVY Asset Strategy CL C	A	Dividend	J	T					
128. Prudential Jennison 20/20	A	Dividend	J	T					
129. Citimortgage Alternative Loan (X)	A	Interest	J	T					
130. Hotchkis & Wiley FDS Mid Cap Value	A	Dividend	J	T					
131. First Trust Intermediate Duration	A	Dividend	J	T					
132. Bank of America Corp 6.625%	A	Dividend	J	T	Buy	09/02/14	J		
133. Fidelity Advisor CI C	A	Dividend	J	T	Buy	10/15/14	J		
134. Fannie Mae CMO Series 2011-142	A	Interest	J	T	Buy	11/17/14	J		
135. Federal Home Loan Mtg Corp CI KQ		None	J	T	Buy	12/29/14	J		
136. Leg Mason Global Asset Mgmt CI A	A	Dividend	J	T	Buy	10/15/14	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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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. Fidelity Advisor C1 A (x)	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 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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