

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) Favro, Gary L.	2. Court or Organization U.S. District Court, Northern District of New York	3. Date of Report 7/18/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Part Time	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 14 Durkee Street, Suite 360 Plattsburgh, New York 12901		
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. Law Offices of Gary L. Favro PLLC	Sole Member
2. CVPH Medical Center	Advisory Board Member
3. Glens Falls National Bank and Trust Company	Advisory Board Member
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Law Offices of Gary L. Favro PLLC	\$400,302.00
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. 2016	Plattsburgh City School District - wages - teacher
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.)*

<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. Office Building Plattsburgh NY, Clinton County	E	Rent	M	W					
2. Trust 1 GFNB Money Purchase Retirement Plan									
3. - Black Rock Liq FD Treasury	A	Dividend	L	T					
4. - Fidelity High Income Fund	A	Dividend	J	T					
5. - Fidelity Capital & Income Fund	A	Dividend	K	T					
6. - North Country Intermediate Bond Fund	A	Dividend	L	T					
7. - Dodge & Cox Stock Fund	A	Dividend	K	T					
8. - North Country Equity Growth Fund	A	Dividend	M	T					
9. - Nuveen Preferred Securities -I	A	Dividend	K	T					
10. - Vanguard Mid Cap Index - Adm.	A	Dividend	K	T					
11. - Vanguard Small Cap Index - Adm.	A	Dividend	J	T					
12. - Vanguard 500 Index Fund - Adm.	A	Dividend	K	T					
13. - Fidelity Overseas Fund	A	Dividend	J	T					
14. - Vanguard Total - International Stock Index - Adm.	A	Dividend	J	T					
15. Vanguard 500 Index Fund	A	Dividend	K	T					
16. Blackrock Liquid Fund Tempfund	A	Dividend	K	T					
17. North Country Intm Bond Fund	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$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	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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18. Nuveen Preferred Security	A	Dividend	J	T					
19. Vanguard Mid Cap Index	A	Dividend	J	T					
20. T Rowe Price Growth Stock	A	Dividend	J	T					
21. North Country Equity Growth Fund	A	Dividend	K	T					
22. Dodge & Cox Stock Fund	A	Dividend	J	T					
23. Fidelity Overseas Fund	A	Dividend	K	T					
24. Vanguard High Yield Corp.	A	Dividend	J	T					
25. Vanguard High Yield Corp.	A	Dividend	J	T					
26. Vanguard High Yield Corp.	A	Dividend	J	T					
27. North Country Intm Bond Fund	A	Dividend	K	T					
28. Vanguard Mid Cap Index	A	Dividend	J	T					
29. North Country Equity Growth Fund	A	Dividend	J	T					
30. Fidelity Overseas Fund	A	Dividend	J	T					
31. Blackrock Liquid Fund Tempfund	A	Dividend	K	T					
32. Pimco Low Duration Fund	A	Dividend	K	T					
33. Pimco Low Duration Fund	A	Dividend	J	T					
34. North Country Equity Growth Fund	A	Dividend	K	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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35. North Country Equity Growth Fund	A	Dividend			Buy (add'l)	03/04/16	J		
36.					Buy (add'l)	04/19/16	J		
37.					Sold (part)	08/24/16	J	B	
38.					Sold	11/17/16	L	B	
39. T Towe PR Growth Stock-I	A	Dividend	J	T	Buy (add'l)	03/04/16	J		
40.					Sold (part)	05/10/16	K	B	
41.					Buy (add'l)	04/19/16	J		
42. Vanguard Total Int St Idx-Ad	A	Dividend			Sold	03/04/16	J	A	
43. North Country Intm Bond Fund	A		J	T	Sold (part)	03/04/16	J	A	
44.					Buy (add'l)	04/19/16	J		
45.					Sold (part)	08/24/16	J	A	
46.					Buy (add'l)	11/17/16	M		
47. Pimco Low Duration Fund-Inst	A	Dividend	J	T	Sold (part)	03/04/16	J	A	
48.					Buy (add'l)	04/19/16	J		
49.					Buy (add'l)	11/17/16	J		
50. Blackrock Liq Fd Tempfund-In	A	Dividend		T	Sold (part)	03/04/16	J	A	
51.					Buy (add'l)	04/20/16	K	B	

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52.					Sold (part)	04/15/16	K		
53.					Sold (part)	06/23/16	K	B	
54. Vanguard Reit Index Fund-Adm	A	Dividend	K	T	Buy	03/04/16	K		
55.					Buy (add'l)	04/19/16	J		
56.					Buy (add'l)	11/17/16	J		
57. Fidelity Overseas Fund	A	Dividend	J	T	Buy	03/04/16	J		
58.	A	Dividend	J	T	Buy (add'l)	04/19/16	J		
59.					Sold (part)	08/24/16	K	A	
60.					Sold	11/17/16	J	A	
61. Vanguard 500 Index Fund-Adm	A	Dividend	J	T	Buy	04/19/16	J		
62.					Buy (add'l)	08/25/16	L		
63.					Sold	11/17/16	K	A	
64. Vanguard Mid Cap Index-Adm	A	Dividend	J	T	Buy	04/19/16	J		
65.					Sold (part)	08/24/16	J	A	
66.					Sold	11/17/16	J	A	
67. BlackRock Liq FD Treasury-In	A	Dividend	K	T	Buy	06/23/16	K		
68.					Sold (part)	08/25/16	L	B	

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69.					Buy (add'l)	08/24/16	L		
70.					Sold (part)	08/26/16	K	A	
71.					Sold (part)	11/17/16	J	A	
72.					Buy (add'l)	12/23/16	J		
73.					Buy (add'l)	12/14/16	J		
74.					Buy (add'l)	11/21/16	J		
75. Vanguard Dividend Growth-IV	A	Dividend	K	T	Buy	05/10/16	K		
76.					Buy (add'l)	08/25/16	J		
77.					Sold	11/17/16	J	A	
78. Nuveen Preferred Securit-I	A	Dividend	K	T	Buy	08/24/16	K		
79. Vanguard Small-Cap Index-Adm	A	Dividend		T	Sold (part)	08/24/16	J	A	
80.					Sold	11/17/16	J	A	
81. Ishares Msci Emerging Mkt Etf	A	Dividend	K	T	Buy	08/26/16	K		
82.					Sold	11/21/16	J	A	
83. MetLife Universal Life Ins. Policy	B	Dividend	L	T					
84. GFNB Bank Accounts	B	Interest	O	T					
85. DFCU IRA & Share accounts	A	Interest	J	T					

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86. Trust 2 HR-10 Keogh Retirement Plan Lincoln Trust									
87. - American Funds: Growth Fund of America	C	Dividend			Sold	11/08/16	K	B	Trust 2 Retirement Plan
88. - American Funds: New Perspective	C	Dividend			Sold	11/08/16	J	A	Trust 2 Retirement Plan
89. - American Funds: Investment Company of America	C	Dividend			Sold	11/08/16	K	A	Trust 2 Retirement Plan
90. - American Funds: Washington Mutual	C	Dividend			Sold	11/08/16	L	A	Trust 2 Retirement Plan
91. - Eaton Vance Worldwide	A	Dividend			Sold	11/08/16	K	A	Trust 2 Retirement Plan
92. - Franklin Templeton Global Bond	B	Dividend			Sold	11/08/16	K	A	Trust 2 Retirement Plan
93. Abbott Labs	A	Dividend			Sold	11/08/16	J	A	Trust 2 Retirement Plan
94. Abbvie	A	Dividend			Sold	11/08/16	J	B	Trust 2 Retirement Plan
95. AT&T	A	Dividend			Sold	11/08/16	J	B	Trust 2 Retirement Plan
96. Colgate	A	Dividend			Sold	11/08/16	J	C	Trust 2 Retirement Plan
97. Facebook	A	Dividend			Sold	11/08/16	J	D	Trust 2 Retirement Plan
98. General Electric	A	Dividend			Sold	11/08/16	J	B	Trust 2 Retirement Plan
99. Kellogg	A	Dividend			Sold	11/08/16	J	B	Trust 2 Retirement Plan
100. Microsoft	A	Dividend			Sold	11/14/16	J	D	Trust 2 Retirement Plan
101. Proctor & Gamble	A	Dividend			Sold	11/14/16	J	B	Trust 2 Retirement Plan
102. Southern Co.	A	Dividend	L	T					

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103. United Health	A	Dividend			Sold	11/08/16	K	E	Trust 2 Retirement Plan
104. Verizon	A	Dividend			Sold	11/08/16	K	D	Trust 2 Retirement Plan
105. Prudential Premier Retirement Variable series B Annuity **see 106-109									
106. **AST Advanced Strategies Portfolio		Dividend	L	T					*See attached email
107. **AST Prudential Growth Allocation		Dividend	M	T					
108. **AST Schroders Global Tactical Portfolio		Dividend	L	T					
109. **AST T. Rowe Price Asset		Dividend	L	T					
110. Pacific Life Pacific Voyages Annuity BR Global Allocation	D	Dividend	M	T					
111. Columbia Property Trust Inc.	A	Dividend	K	T					
112. InvenTrust Properties (from Inland America American Real Estate Inc.)	A	Dividend	L	T					
113. Community Bank (personal checking account)	A	Interest	K	T					
114. NBT Bank (checking account for building-46 Court)	A	Interest	K	T					
115. Alphabet	A	Dividend			Sold	11/08/16	K	D	Retirement Plan
116. Alphabet	A	Dividend			Sold	11/08/16	K	D	Retirement Plan
117. Google	A	Dividend			Sold	11/8/16	L	D	
118. Apple	A	Dividend			Sold	11/14/16	J	A	Retirement Plan
119. Eaton Vance Worldwide Health	A	Dividend			Sold	11/08/16	J	A	Retirement Plan

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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
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)
120. Energy Select Sector	A	Dividend	J	T	Buy	01/08/16	J		Trust 2 Retirement Plan
121. Energy Select Sector	A	Dividend			Sold	05/26/16	J	C	Trust 2 Retirement Plan
122. Van Eck Vectors Morningstar Wide Moat (ETF)	A	Dividend	K	T	Buy	07/18/16	K		Trust 2 Retirement Plan
123. Van Eck Vectors Morningstar Wide Moat (ETF)	A	Dividend			Sold	11/08/16	K	A	Trust 2 Retirement Plan
124. John Hancock Tax Advantaged Dividen Income Fund	A	Dividend	K	T	Buy	07/18/16	K		Trust 2 Retirement Plan
125. John Hancock Tax Advantaged Dividen Income Fund	A	Dividend			Sold	11/08/16	K	A	Trust 2 Retirement Plan
126. Bank of America Corp.	B	Dividend	K	T	Buy	06/30/16	K		Trust 2 Retirement Plan
127. Bank of America Corp.	B	Dividend			Sold	11/14/16	K	D	Trust 2 Retirement Plan

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

Part III A: Compensation from law practice for legal services rendered to various clients before payment of taxes and pension contribution.

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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/ Gary L. Favro

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

Phyllis Dodd

From: Bob Donlan
Sent: Tuesday, May 14, 2019 1:19 PM
To: gary@favrolaw.net
Subject: Prudential

Hey Gary:

I'm not sure how the question is being asked on your disclosure. However, there are no distributions or income produced from any of the 4 sub-accounts. All proceeds are reflected in the share price with no dividends or capital gains shown. Let me know if this will answer your question. Bob