

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) D'Agostino, Mae A.	2. Court or Organization U.S. District Court for the Northern District of New York	3. Date of Report 07/25/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. District Court James T. Foley U.S. 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Albany Law School
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. 06/10/2008	American International Life Assurance Co., structured settlement for future payments of legal fees earned
2. 09/04/2002	American General Life Ins. Co., structured settlement for previously earned legal fees (final payment received August 2015)
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. 2015	Albany Law School	\$3,200.00
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.	
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. Cornell Law School	4/10/15 - 4/12/15	Cornell University - Ithaca, NY	Moot Court Judge	Hotel 2 nights, 2 dinners
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.	College of St. Rose	Tuition	None
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. Key Bank Account	A	Interest	K	T					
2.									
3. Trustco Bank Accounts	A	Interest	K	T					
4.									
5. Fidelity Brokerage Account (H)									
6. - Cash	A	Interest	J	T					
7. - Fidelity Government Cash Reserves	A	Dividend	J	T					
8. - American Beacon Large Cap Investor	A	Dividend			Sold (part)	04/24/15	J	A	
9.	A	Dividend			Sold	12/11/15	J		
10. - Artisan Mid Cap Value	A	Dividend	J	T	Sold (part)	02/13/15	J	A	
11. - Artisan Intl Value Fund Inv Cl	A	Dividend	J	T					
12. - Spartan 500 Index Fd Adv Cl	A	Dividend	K	T					
13. - Spartan Extended Mkt Index Fid Adv Cl	A	Dividend	J	T					
14. - Fidelity Contrafund	A	Dividend	J	T					
15. - Fidelity Strategic Dividend & Income	A	Dividend	J	T	Sold (part)	04/24/15	J	A	
16.	A	Dividend	J	T	Sold (part)	06/23/15	J	A	
17. - Fidelity Low Priced Stock	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 = \$250,000.001 - \$500,000.000	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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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)

18. - Fidelity Select Medical Equip & System	A	Dividend	J	T					
19. - Oakmark International Small Cap I	A	Dividend	J	T					
20. - Fidelity Floating Rate High Income	A	Dividend	J	T					
21. - Fidelity High Income	A	Dividend			Sold	12/11/15	J		
22. - Fidelity Strategic Income	A	Dividend	J	T					
23. - Matthews Asia Dividend Fund	A	Dividend			Buy	04/24/15	J		
24.					Sold	08/25/15	J		
25. - Matthews Asian Growth & Income	A	Dividend			Sold	04/24/15	J	A	
26. - Metropolitan West Low Duration M	A	Dividend			Sold	02/13/15	J	A	
27. - PIMCO Foreign Bond CL D	A	Dividend	J	T					
28. - Fidelity Real Estate Income	A	Dividend	J	T					
29. - Fidelity GNMA	A	Dividend	J	T	Buy (add'l)	02/13/15	J		
30. - Fidelity Focused High Income	A	Dividend	J	T	Buy	12/11/15	J		
31. - Fidelity Select Health Care	A	Dividend	J	T	Buy	04/24/15	J		
32. - Fidelity Select Technology	A	Dividend	J	T	Buy	12/11/15	J		
33. - Fidelity Spartan Mid Cap	A	Dividend	J	T	Buy	02/13/15	J		
34.	A	Dividend	J	T	Buy (add'l)	06/23/15	J		

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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. - FMI International	A	Dividend	J	T	Buy	02/13/15	J		
36. - Matthews India	A	Dividend	J	T	Buy	08/25/15	J		
37. - MFS Value A	A	Dividend	J	T	Buy	12/11/15	J		
38.									
39. Fidelity IRA (H)	F	Dividend	P1	T					
40. - American Beacon Large Cap Investor					Sold (part)	02/13/15	J		
41.					Sold (part)	04/24/15	J		
42.					Sold (part)	08/25/15	J		
43.					Sold	12/17/15	L		
44. - Artisan Mid Cap Value					Sold	02/13/15	K		
45. - Artisan Intl Value Fund Inv C1					Sold (part)	04/24/15	J		
46. - Fidelity Contrafund					Sold (part)	02/13/15	J		
47.					Buy (add'l)	08/25/15	J		
48. - Fidelity Low Priced Stock									
49. - Oakmark International Small Cap I					Sold (part)	02/13/15	J		
50.					Sold (part)	04/24/15	J		
51. - Fidelity Floating Rate High Income					Sold (part)	02/13/15	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	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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52.					Sold (part)	04/24/15	J		
53.					Buy (add'l)	06/23/15	J		
54. - Spartan 500 Index Fd Adv					Buy (add'l)	04/24/15	J		
55.					Buy (add'l)	08/25/15	J		
56. - Spartan Extended Mkt Index Fid Adv CL					Sold (part)	02/13/15	J		
57.					Sold (part)	04/24/15	J		
58. - Fidelity Large Cap Value Enhanced Index					Buy (add'l)	04/24/15	J		
59.					Sold (part)	06/23/15	J		
60.					Sold (part)	08/25/15	J		
61.					Sold (part)	12/17/15	K		
62. - Matthews Asian Growth & Income Fund					Buy (add'l)	02/13/15	J		
63.					Sold (part)	04/24/15	K		
64.					Sold	06/23/15	K		
65. - Fidelity High Income					Sold (part)	02/13/15	J		
66.					Sold (part)	08/25/15	J		
67.					Sold	12/17/15	L		
68. - Metropolitan West Low Duration M					Sold	02/13/15	L		

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69. - PIMCO Foreign Bond CL D					Sold (part)	06/23/15	J		
70.					Sold (part)	08/25/15	J		
71. - Fidelity Strategic Income					Sold (part)	08/25/15	J		
72. - Fidelity Real Estate Income					Buy (add'l)	04/24/15	J		
73. - Fidelity Select Health Care					Buy (add'l)	02/13/15	J		
74.					Sold (part)	12/17/15	K		
75. - American Beacon Brdway Large Cap Value Invst					Buy	12/17/15	L		
76. - Fidelity Capital & Income					Buy	12/17/15	L		
77. - Fidelity GNMA					Buy	02/13/15	L		
78.					Sold (part)	04/24/15	J		
79.					Buy (add'l)	12/17/15	K		
80. - Spartan Mid Cap Index Fid Adv CL					Buy	02/13/15	L		
81.					Buy (add'l)	04/24/15	J		
82.					Sold (part)	12/17/15	J		
83. - FMI International					Buy	04/24/15	K		
84. - Janus Global Technology T					Buy	12/17/15	K		
85. - Matthews Asia Dividend Inv					Buy	06/23/15	K		

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
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86.					Sold	08/25/15	K		
87. - Matthews India					Buy	08/25/15	K		
88. - Fidelity Government Cash Reserves									
89.									
90. Prudential Fixed-Rate Annuity (Inherited)	A	Interest	K	T	Distributed (part)	12/31/15	K		
91.									
92.									
93.									

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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/ Mae A. D'Agostino

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