

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) McCarthy, Jeremiah J.	2. Court or Organization United States District Court	3. Date of Report 10/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
	5b. ☒ Amended Report	
7. Chambers or Office Address Robert H. Jackson United States Courthouse 2 Niagara Square, Room 690 Buffalo, New York 14202-3498		
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.	Trustee	Timothy V. Riordan Supplemental Needs Trust
2.	Director	Hilbert College
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.	
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Allianz GI Structured Return Inst'l	B	Dividend	K	T	Buy	01/04/17	J		
2. AQR Style Premia Alternatic Lv 1	B	Dividend	K	T	Buy	01/04/17	J		
3. Bank Deposit Sweep Program (Compass Bank)	A	Interest	K	T					
4. Blackrock Hi Yield Bond Inst	A	Dividend			Sold	01/04/17	K		
5. Cohen & Steers Pref Securities Inc. 1		None			Sold	01/04/17	K		
6. Doubleline Total Rt Bond N		None			Sold	01/04/17	K		
7. Doubleline Total Rt Bond N	A	Dividend			Sold	07/24/17	J		
8. Flexshares Trust Morningstar Emerg Mkts	A	Dividend	L	T	Buy	07/25/17	K		
9. Franklin NY Intermediate - term Tax Fee Income Fund Class A	A	Dividend	J	T					
10. Fundamental Investors A (American Fund)	A	Dividend	J	T	Buy	12/30/17	J		
11. Fundamental Investors A (American Fund)	A	Dividend	J	T					
12. Glenmede Large Cap Gr Inst		None			Sold	01/04/17	M		
13. Ishares Russell 1000 Gr ETF	C	Dividend	M	T	Buy	01/04/17	M		
14.		None	M	T	Sold (part)	07/25/17	K		
15. Ishares Russell 1000 Value ETF	C	Dividend	M	T	Buy	01/04/17	M		
16.					Buy	07/24/17	J		
17. Ishares Russell 2000 ETF	A	Dividend	K	T	Buy	01/04/17	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
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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18. Ishares Russell MidCap Value ETF	B	Dividend	L	T	Buy	01/04/17	L		
19. Ishares TR US PFD St ETF		None			Buy	01/04/17	K		
20. Ishares TR US PFD St ETF	B	Dividend			Sold	07/25/17	K		
21. Ishares Russell MidCap Gr	A	Dividend	L	T	Buy	01/04/17	L		
22.		None	L	T	Sold (part)	07/25/17	J		
23. Ishares GNMA Bond ETF		None			Buy	01/04/17	K		
24.	A	Dividend			Sold	07/25/17	K		
25. Ishares TR EAFE Sml Cap ETF	A	Dividend	K	T	Buy	07/25/17	K		
26. John Hancock Disciplined Val MidCap I		None			Sold	01/04/17	L		
27. John Hancock Life Insurance Co. (X)	D	Dividend			Sold	10/26/17	J		
28. JP Morgan Divsfd Mid Cap Growth		None			Sold	01/04/17	L		
29. JP Morgan Equity Income Select Shares		None			Sold	01/04/17	M		
30. JP Morgan Hedged Equity A	A	Dividend	K	T	Buy	01/04/17	K		
31. JP Morgan Sm Cap Equity		None			Sold	01/04/17	K		
32. JP Morgan Exchange Tr Fd Div Rtn Eq	B	Dividend	L	T	Buy	01/04/17	L		
33.					Buy	07/25/17	J		
34. Lazard Int'l Strategy Equity Int'l		None			Sold	01/04/17	L		

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35. Key Bank Checking	A	Interest	J	T					
36. Key Bank Savings	A	Interest	M	T					
37. M&T Bank Savings Account	A	Interest	J	T					
38. Northwest Supp. Needs Trust Acct (Account transf from First Niagara	A	Interest	K	T					
39. SSGA Active ETF TR SPDR Tr Tactic	B	Dividend	K	T	Buy	01/04/17	K		
40. Swan Defined Risk Fund I		None			Sold	01/04/17	M		
41. Vaneck Vectors ETF TR Fallen Angel HG	B	Dividend	K	T	Buy	01/04/17	K		
42. Vanguard GNMA Admiral	A	Dividend			Sold	01/04/17	K		
43. Vanguard Scottsdale Interm Tm Corp Bond Index	A	Dividend	K	T	Buy	07/25/17	K		

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

Part VII, line 27 - This was a retirement plan which my wife had from a job that ended years ago. We did not know of the existence of this plan until we received notice in October 2017. We cashed it out at that time.

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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/ Jeremiah J. McCarthy

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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