AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Arcara, Richard J.	U.S. District Court W.D.N.Y.	8/13/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Arcara, Richard J.	8/13/2024

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	William Gacioch	One way air travel from NY to Florida on Mr. Gacioch's private aircraft	$1,000.00
2.	Patrick Lee	Accomodations aboard vessel chartered by longstanding friend	$3,000.00
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	RBC Branch Sweep Program	A	Interest	K	T					
2.	RBC Branch Sweep Program	A	Interest	J	T					
3.	RBC Wealth Management cash (x)	A	Interest	J	T					
4.	Alger Small Cap Focus Fund CL A		None	J	T					
5.	Ally Finl Inc. Callable 5/15/24 100.00 Moody N/A S&P BBB	A	Interest	K	T	Buy	11/20/23	K		
6.	Amazon.com Inc.		None	K	T					
7.	Annaly Capital Management Inc 6.50 SRS	B	Dividend	K	T					
8.	Annaly Capital Management Inc 6.95 SRS	C	Dividend	K	T					
9.	AT&T Inc 5.350 Global Notes due 2066	B	Interest	K	T					
10.	Bank of America Corp	B	Dividend	K	T					
11.	Bank of America Corp 5.00% Dep Shrs callable 9/17/24	B	Dividend	K	T					
12.	Bank of America FNDG Corp TR Series 2007-5 Class CA4	A	Interest	J	T					
13.	Bank of China NYC Cert of Deposit Due 9/22/23	A	Interest	L	T	Buy	07/03/23	L		
14.	Bank of ChinaNYC Cert of Deposit Due 9/22/23	A	Interest			Redeemed	09/22/23	K	A	
15.	Bank of MontrealContingent inc Autocall LNKD to MTB	A	Interest	K	T	Buy	09/15/23	K		
16.	Blackrock Capital Allocation Trust Common Shares of Bene Int	C	Dividend	K	T					
17.	Blackrock Enhanced Int'l Div Trust	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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18.	Blackrock Global Alloc Fd Inc CI A	A	Dividend	K	T					
19.	BlackRock Global Alloc Fd Inc Cl A	A	Dividend	J	T					
20.	BlackRock Health Sciences Trust II Com	D	Dividend	K	T					
21.	BlackRock Health Sciences Trust II Com	B	Dividend	J	T					
22.	Blackrock Multi Sector Income	B	Dividend	K	T					
23.	BlackRock NY Muni Income	A	Dividend	J	T					
24.	BMO harris Bk Nat'l Assn Callable 1/28/24 at 100.00 moody N/A S&P	A	Interest	K	T	Buy	07/14/23	K		
25.	Charles Schwab BK SSB	B	Interest	L	T	Buy	03/15/23	K		
26.	Citigroup Inc. 6.875% ser K	B	Dividend			Redeemed	11/15/23	K		
27.	CitiMortgage Alt. Loan Trust Series 2006-A4	A	Interest	J	T					
28.	Clearbridge Value Trust Class A	D	Dividend	L	T					
29.	Clearbridge MLP and Midstream Total Return Fund	B	Dividend	K	T					
30.	Cohen & Steers Real Estate Opportunity Income	B	Interest	K	T					
31.	Cohen & Steers Tax Advantaged Pref Securities and Income Fund	A	Dividend	J	T					
32.	Cohen & Steers Tax Advantaged Pref Securities and Income Fund	A	Interest	J	T					
33.	CSMC Mortgage Backed Trust MTGPC/ Series 2006-9 2-A-1 Fixed Rt	A	Interest	J	T					
34.	CWALT Inc Class 2-A-10	B	Interest	K	T					

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35.	Delta Air Lines Del OID 12/15/25	B	Interest	K	T					
36.	Doubleline Income Solutions FD	A	Dividend	J	T					
37.	Doubleline Income Solutions FD	A	Dividend	J	T					
38.	Duke Energy Corporation 5.625% Jr Sub Debentures	B	Interest	K	T					
39.	Eaton Vance Grwth TR Atlanta Cap Select CL A	C	Dividend	L	T					
40.	Eaton Vance Tax-Managed Glbl Diversified Equity Income Fd	C	Dividend	K	T					
41.	Eaton Vance Mut FDS TR FLTG Rate Advantage	C	Interest	K	T					
42.	Euro Pacific Growth Fund CI. A	A	Dividend	K	T					
43.	Federal Home Loan Mtg Corp Ser 5000 CL HU	A	Interest	J	T					
44.	Federal Home Loan Mtg Corp Ser 5200CL QA	A	Interest	K	T					
45.	Federated Hermes Intl Equity CI A	A	Dividend	K	T					
46.	Fidelity Adv New Insights Fd Cl A	A	Dividend	J	T					
47.	Fidelity Adv New Insights Fd Cl A	C	Dividend	K	T					
48.	Fidelity Advisor New Insights Fd CI A	B	Dividend	K	T					
49.	Fidelity Advisor New Insights CI A	D	Dividend	M	T					
50.	First St Bk Winchester OH Callable 5/30/24 at 100.00 Moody N/A S&P		None	L	T	Buy	11/24/23	K		
51.	First TR MLP & Energy Income Fund	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)
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52. First Trust Intermediate Duration Preferred & Income FD	B	Dividend	K	T					
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54. FNMA REMIC Trust 2016-39 CA	A	Interest	J	T					
55. Ford Motor Company 6.20% Notes Due 2059 callable 06/01/24	B	Interest	K	T					
56. Ford Motor Company 6.0%Notes Due 2059 callable 12/1/24	B	Interest	K	T					
57. Ford Motor Credit Company FR Callable 3/20/24 at 100.00 Moody N/A S&P	B	Interest	K	T					
58. FS KKR Capital Corp Common Stock	D	Dividend	K	T					
59. Global X FDS call ETF	C	Dividend	K	T					
60. Goldman Sachs BK USA	B	Interest	K	T					
61. Goldman Sachs HY Fund CI.A	B	Dividend	K	T					
62. Goodyear Tire & Rubber Co Make Whole Call until 12/15/26 Senior unsecu	B	Interest	K	T					
63. GS MTG Secs Corp Series 2006-2F Class 2A6	A	Interest	J	T					
64. Hotchkis & Wiley Funds Mid Cap Value FD CL A	A	Dividend	K	T					
65. Invesco Value Opportunities Class A	B	Dividend	K	T					
66. Invesco Charter Fund CI A	A	Dividend	K	T					
67. Invesco Trust for Investment	A	Dividend	J	T					
68. Ivy FDS Inc Asset Strategy CI A	B	Dividend			Sold	09/18/23	J	A	

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69.	Ivy FDS Large Cap growth Fd CI A	A	Dividend	K	T					
70.	Ivy FDS Large Cap Growth FD CI A	A	Dividend	K	T					
71.	Janus Invt FD Henderson Multisector Income FD A	B	Dividend	K	T					
72.	John Hancock Financial Opportunity Fund	D	Dividend	L	T	Buy	03/13/23	K		
73.	JP Morgan Trust Series 2005-S3	B	Interest	J	T					
74.	JP Morgan Chase&Co 4.20% Dep Shs Rep1/400th callable 09-01-26	B	Dividend	K	T					
75.	JP Morgan Chase & Co Dep Shs Each REPSTG A 6.0% callable 3/1/24	B	Dividend	K	T					
76.	JP Morgan Chase Bank N/a Callable 1/25/24 at 100.00 Moody N/A		None	K	T	Buy	07/17/23	K		
77.	JP Morgan Chase Bank N/A Callable 1/29/24 at 100.00 4%	B	Interest	K	T					
78.	JP Morgan Chase FINK CO LLC VR LKD TO CPURNSA	B	Interest	K	T	Buy	01/27/23	K		
79.	Kearny BK New Jersey CD	A	Interest			Redeemed	03/17/23	K	A	
80.	KeyCorp New	A	Dividend			Sold	09/13/23	K		
81.	Kinetics Paradigm Fund Adv CI A	B	Dividend			Sold	06/13/23	K	E	
82.	Kinetics Paradigm Fund Advisor CI C	B	Dividend	L	T					
83.	Locorr Invt TR Spectrum Income FD CL A	B	Dividend	K	T					
84.	M&T Bank Corp	C	Dividend	L	T					
85.	Merck & Co Inc	B	Dividend	L	T					

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86. Morgan Stanley Mortgage Loan Tr Series 2006-11 2-A-1 Fixed RT	A	Interest	J	T					
87. National Fuel Gas Co	A	Dividend	K	T					
88. New Perspective Fund IncCl. A	A	Dividend	K	T					
89. Northeast Bk Lewiston ME CD Due 6/14/23 4.650%		None	K	T	Buy	04/12/23	K		
90. NortheastBk Lewiston ME CD Due 6/14/23 4.650%	A	Interest			Redeemed	06/14/23	K		
91. Nuveen High Income 2023 Target Term Fund	A	Dividend			Sold	12/04/23	K		
92. Nuveen Credit Strategies Inc Fund	D	Dividend	L	T					
93. Nuveen Municipal Credit Opport Fund Common	A	Dividend	J	T					
94. Pennymac Corp SR Exch Conv Moody BAA2 S&P BBB	B	Interest	K	T					
95. PGIM Jenn Glbl Opportunities Fund CI A		None	J	T					
96. PGIM Jennison Growth Fund Class A	D	Dividend	M	T					
97. Pimco Access Income Fund Commons Shares of Beneficial Interest	B	Interest	K	T					
98. Proctor & Gamble	A	Dividend	K	T					
99. QVC Inc. 6.25% Senior Secured Notes due 2068	B	Interest			Sold	12/04/23	J		
100. Qwest Corporation 6.5% SR Notes due 2056	C	Interest	K	T					
101. Royal Bank of Canada Callable 2/15/24 at 100 Moody A1 S&P A	B	Interest	K	T					
102. Royal Bank of Canada Callable 4/30/24 at 100 Moody AA1 S&P A	A	Interest	K	T	Buy	07/27/23	K		

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103. Royce Fd Total Return Fd Consultant	A	Dividend	J	T					
104. Royce Fund - PAMutual Fund Consultant CI	A	Dividend	J	T					
105. Royce Fund - PAMutual Fund Consultant CI	B	Dividend	L	T					
106. Royce Small Cap Total Return Fund Consultant CI	A	Dividend	J	T					
107. SRH Total Return Fund Inc Common Stock	B	Dividend	K	T					
108. Templeton Foreign Fd CI A	A	Dividend	K	T					
109. Thredup Inc Class A (Y)									
110. Thornburg Intl Value Fund CI. A	A	Dividend	K	T					
111. Toronto Dominion Bank Callable 7/31/24 at 100 Moody A1 S&P A	A	Interest	K	T	Buy	07/26/23	K		
112. Triton International LTD 6.875% Series D 3/15/25	B	Dividend	K	T					
113. Trst for Advised Port Miller Opport TR CL A		None	L	T					
114. Trst for Advised Port Miller Opport TR CL A		None	J	T					
115. Trst for Advised Port Miller Opport TR CI A		None	L	T					
116. Trst for Advised Port Miller Opport TR CL C		None	J	T					
117. UIT AAM High 50 Divid Strategy Port Ser 2022-2Q Reinvest	A	Dividend			Redeemed	08/22/23	K		
118. UIT AAM High 50Divid Strategy Port Ser 2022-4Q Reinvest	B	Dividend	K	T					
119. UIT FT Amern Recovery Portfolio Ser 9 Reinvest	A	Dividend			Redeemed	07/26/23	K	C	

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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: (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period: (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period: (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. Virtus Invt TR NFJ Divid Valye Fd CI A (formerly Allianzgi Divid Value	D	Dividend	K	T					
121. United Continental Holdings Inc Senior Notes	B	Interest	K	T					
122. United States Treasury Note 3.0%	B	Interest	K	T					
123. United States Treasury Note 4.25%	C	Interest	L	T					
124. Wells Fargo & Company 4.375% Dep Shs callable 3/15/26	B	Dividend	J	T					
125. Wells Fargo Bank Natl Assn CD Due 1/21/25 5.200%	B	Interest	K	T	Buy	07/10/23	K		
126. Wells Fargo Bank Natl Assn CD Due 7/11/23 3.95%	B	Interest			Buy	02/16/23	K		
127. Wells Fargo Bank Natl Assn CD Due 7/11/23 3.95%	B	Interest			Redeemed	07/11/23	K	A	
128. Western Asset Diversified Income Fund Common Share	B	Dividend	J	T					
129. Western Asset High Yield Defined Opportunity Fd	C	Dividend	K	T					
130. Zions Bancorporation Natl Cert of Deposit Due 11/24/23 5.2%	B	Interest			Buy	05/16/23	K		
131. Zions Bancorporation Natl Cert of Deposit Due 11/24/23 5.2%	B	Interest			Redeemed	11/24/23	K		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Arcara, Richard J.	8/13/2024

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

Name of Person Reporting	Date of Report
Arcara, Richard J.	8/13/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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