AO 10
Rev. 1/2019

# FINANCIAL DISCLOSURE REPORT
# FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| D'AGOSTINO, MAE A. | US District Court for the Northern Districty of New York | 06/27/2022 |
| **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** |
| US District Court Judge - Active | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021<br>**to**<br>12/31/2021 |

**7. Chambers or Office Address**

US District Court
James T. Foley US 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. | | |
| 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. | | |

## 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.)*

| | 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 AND TYPE |
|---|---|---|
| 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.)*

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

| Name of Person Reporting | Date of Report |
|---|---|
| **D'AGOSTINO, MAE A.** | 06/27/2022 |

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 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.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **D'AGOSTINO, MAE A.** | 06/27/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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 | L | T | | | | | |
| 2. TRUSTCO BANK CHECKING | A | Interest | J | T | | | | | |
| 3. TRUSTCO BANK MONEY MARKET | A | Interest | J | T | | | | | |
| 4. TD AMERITRADE - IRA ACCOUNT | | | | T | | | | | |
| 5. CHANGEBRIDGE CAPITAL ETF | A | Int./Div. | | | Buy | 01/21/21 | L | | |
| 6. CHANGEBRIDGE CAPITAL ETF | A | Int./Div. | K | T | Sold (part) | 10/27/21 | K | | |
| 7. I-SHARES GSCI COMMODITIES ETF | A | Int./Div. | K | T | Buy | 06/02/21 | K | | |
| 8. I-SHARES MSCI EAFE GROWTH ETF | A | Int./Div. | L | T | Buy | 10/27/21 | K | | |
| 9. I-SHARES MSCI EAFE VALUE ETF | A | Int./Div. | L | T | Buy | 06/02/21 | M | | |
| 10. I-SHARES ESG AWARE MSCI USA ETF | A | Int./Div. | M | T | Sold (part) | 12/22/21 | M | | |
| 11. I-SHARES FALLEN ANGELS BOND ETF | A | Int./Div. | M | T | Buy | 10/27/21 | M | | |
| 12. FIDELITY MSCI INFO TECH ETF | A | Int./Div. | | | Sold | 06/02/21 | K | | |
| 13. I-SHARES US TREASURY BOND | A | Int./Div. | | | Buy | 01/21/21 | L | | |
| 14. I-SHARES US TREASURY BOND | A | Int./Div. | M | T | Sold (part) | 10/27/21 | M | | |
| 15. I-SHARES GOLD ETF | A | Int./Div. | M | T | Buy | 3/24/21 | J | | |
| 16. I-SHRES 10+ YEAR INV CORP BOND ETF | A | Int./Div. | L | T | Buy | 1/21/21 | L | | |
| 17. I-SHRES 10+ YEAR INV CORP BOND ETF | A | Int./Div. | | | Sold (part) | 10/27/21 | L | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **D'AGOSTINO, MAE A.** | 06/27/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. I-SHARES 1-5 YEARS INV CORP BOND ETF | A | Int./Div. | | | Sold | 01/21/21 | M | | |
| 19. I-SHARES MEDICAL DEVICES ETF | A | Int./Div. | | | Sold | 01/21/21 | K | | |
| 20. I-SHARES CORE TOTAL BOND ETF | A | Int./Div. | M | T | Buy | 10/27/21 | M | | |
| 21. I-SHARES GLOBAL FINANCIALS ETF | A | Int./Div. | K | T | Buy | 06/02/21 | K | | |
| 22. I-SHARES US TECHNOLOGY ETF | A | Int./Div. | K | T | Buy | 10/27/21 | K | | |
| 23. I-SHARES MBS ETF | A | Int./Div. | M | T | Buy | 01/21/21 | K | | |
| 24. I-SHARES MSCI USA MOMENTUM ETF | A | Int./Div. | | | Buy | 01/21/21 | K | | |
| 25. I-SHARES MSCI USA MOMENTUM ETF | A | Int./Div. | | | Sold | 10/27/21 | K | | |
| 26. HARTFORD MULTIFACTOR DEV MRTS ETF | A | Int./Div. | | | Sold | 01/21/21 | K | | |
| 27. SCHWAB 5 - 10 YEAR CORP BOND ETF | A | Int./Div. | | | Buy | 01/21/21 | M | | |
| 28. SCHWAB 5 - 10 YEAR CORP BOND ETF | A | Int./Div. | | | Sold | 06/02/21 | M | | |
| 29. SCHWAB 1-5 YEAR CORP BOND ETF | A | Int./Div. | | | Buy | 03/24/21 | M | | |
| 30. SCHWAB 1-5 YEAR CORP BOND ETF | A | Int./Div. | M | T | Sold (part) | 10/27/21 | L | | |
| 31. SCHWAB US TIPS ETF | A | Int./Div. | M | T | Buy | 10/27/21 | M | | |
| 32. I-SHARES 0-5 HIGH YIELD ETF | A | Int./Div. | | | Sold | 01/21/21 | L | | |
| 33. I-SHARES MSCI USA SIZE FACTOR ETF | A | Int./Div. | | | Sold | 01/21/21 | K | | |
| 34. SPDR PORTFOLIO LT CORP BOND ETF | A | Int./Div. | | | Sold | 01/21/21 | M | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 | |
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| Name of Person Reporting | Date of Report |
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| **D'AGOSTINO, MAE A.** | 06/27/2022 |

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| 35. SPDR PORTFOLIO INT CORP BOND ETF | A | Int./Div. | | | Sold | 01/21/21 | M | | |
| 36. SPDR PORTFOLIO S&P 500 ETF | A | Int./Div. | | | Buy | 10/27/21 | K | | |
| 37. SPDR PORTFOLIO S&P 500 ETF | A | Int./Div. | M | T | Sold (part) | 12/22/21 | M | | |
| 38. SPDR PORTFOLIO LONG TERM TREASURY ETF | A | Interest | | | Sold | 12/22/21 | K | | |
| 39. I-SHARES 10-20 YEAR TREASURY BOND ETF | A | Int./Div. | K | T | Buy | 10/27/21 | K | | |
| 40. iShares MSCI USA Min Vol Factor ETF | A | Int./Div. | | | Sold | 01/21/21 | K | | |
| 41. iShares MSCI USA Value Factor ETF | A | Int./Div. | K | T | Sold (part) | 10/27/21 | L | | |
| 42. Energy Select Sector SPDR® ETF | A | Int./Div. | K | T | Buy | 10/27/21 | K | | |
| 43. WisdomTree EmMkts ex-Stt-Ownd ETF | A | Int./Div. | K | T | Sold (part) | 10/27/21 | K | | |
| 44. | | | | | | | | | |
| 45. TD AMERITRADE - BROKERAGE ACCOUNT | | | | | | | | | |
| 46. iShares ESG Aware MSCI USA ETF | A | Int./Div. | | | Sold | 09/02/21 | J | | |
| 47. iShares US Treasury Bond ETF | A | Int./Div. | | | Sold | 09/02/21 | J | | |
| 48. SPDR® Portfolio S&P 500 ETF | A | Int./Div. | | | Sold | 09/02/21 | J | | |
| 49. | | | | | | | | | |
| 50. | | | | | | | | | |
| 51. | | | | | | | | | |

1 Income Gain Codes: (See Columns B1 and D4)
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| Name of Person Reporting | Date of Report |
|---|---|
| **D'AGOSTINO, MAE A.** | 06/27/2022 |

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| A | B | | C | | D | | | | |
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| 52. | | | | | | | | | |
| 53. | | | | | | | | | |
| 54. | | | | | | | | | |
| 55. | | | | | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **D'AGOSTINO, MAE A.** | 06/27/2022 |

## 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