AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Hurd, David N.	Northern District of New York	08/29/2023
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 (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
U.S. Courthouse, Room 300 10 Broad Street Utica, New York 13501		

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
Hurd, David N.	08/29/2023

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.			
2.			
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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Hurd, David N.	08/29/2023

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	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)	
1. Wells Fargo Advisors (no control) (H)									
2. -Madison Investment Advisors Mid Cap Equity SMA	C	Dividend	L	T					
3. -Capital Group International Equity SMA	D	Dividend	M	T					
4. -Kayne Anderson Rudnick Inv. Mgmt. LLC small cap core	A	Dividend	K	T					
5. -Diamond Hill Capital Mgmt., Inc. large-cap equity	A	Dividend	M	T					
6. -Clear Bridge Investments LLC all cap growth	A	Dividend	M	T					
7. -Dodge and Cox Income Mutual Fund	A	Dividend	M	T					
8. -American Funds Capital World Mutual Fund	B	Dividend	M	T					
9. -Pimco Total Return Mutual Fund	A	Dividend	M	T					
10. -Pimco Low Duration Mutual Fund	A	Dividend	L	T					
11. -Templeton Global Bond Mutual Fund	C	Dividend	M	T					
12.									
13. Wells Fargo Advisors Tactical ETF (no control) (H)									
14. -GSIE	A	Dividend	K	T					
15. -GSLC	B	Dividend	L	T					
16. -PDBC	C	Dividend	K	T					
17. -PCY		None			Sold	01/26/22	J		

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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☐ NONE *(No reportable income, assets, or transactions.)*

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18. -IWM	A	Dividend	K	T					
19. -IWD		None			Sold	03/22/22	K	A	
20. -ITOT	B	Dividend	M	T					
21. -IVV		None			Sold (part)	01/26/22	K	D	
22.		None			Sold	04/06/22	J	C	
23. -IJR		None			Sold	04/06/22	K		
24. -IUSB	B	Dividend	L	T					
25. -AGG	B	Dividend	M	T					
26. -HYG		None			Sold	06/17/22	K		
27. -IEMG		None			Sold (part)	03/22/22	K		
28.		None			Sold	07/19/22	K		
29. -EMB	B	Dividend	K	T					
30. -VO	B	Dividend	M	T					
31. -HYLB	B	Dividend	K	T					
32.									
33. Wells Fargo Advisors Fundsource (no control) (H)									
34. -ABEMX		None			Sold	03/28/22	J		

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	
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☐ NONE *(No reportable income, assets, or transactions.)*

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35. -ACVIX		None			Sold	04/20/22	J		
36. -BEXIX		None			Sold	08/01/22	J		
37. -BAGIK	A	Dividend	J	T					
38. -CRSOX	A	Dividend	J	T					
39. -EIBIX	A	Dividend	J	T					
40. -FTIXX	A	Dividend	J	T					
41. -JCVIX		None			Sold (part)	03/14/22	J	A	
42.					Sold (part)	03/28/22	J	A	
43.					Sold (part)	08/01/22	J	A	
44.					Sold	10/19/22	J	A	
45. -WMFFX	A	Dividend	J	T					
46. -LEVIX	A	Dividend	J	T					
47. -MEDIX	A	Dividend	J	T					
48. -MWTIX	A	Dividend	J	T					
49. -CIPNX		None			Sold	03/28/22	J	A	
50. -VSEIX	A	Dividend	J	T					
51. -PTTRX	A	Dividend	J	T					

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☐ 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)	
52. -TRBCX	A	Dividend	J	T					
53. -TMCPX	A	Dividend	J	T					
54.									
55. Oneida Savings Bank	A	Interest	L	T					
56. AmeriCU Credit Union	A	Interest	M	T					
57.									
58.									

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

Amended report clarifies Part VII in response to August 23, 2023 letter of inquiry. Amended report clarifies that assets on lines 17, 19, 23, 26, 27, 34-36, and 49 were sold (column C) and did not generate other income during the reporting period. Amended report also clarifies that Column C was not completed for lines 21, 27, and 41 because those assets were sold, as noted in Column D on lines 21-22, 27-28, and 41-44. Amended Column D(1) on lines 22, 28, and 44 to better clarify that these holdings were sold in whole rather than in part.

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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/ David N. Hurd

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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