AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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
Arcara, Richard J.	U.S. District Court W.D.N.Y.	05/22/2013
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	01/01/2012 to 12/31/2012
7. Chambers or Office Address		
Two 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 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.		

Name of Person Reporting	Date of Report
Arcara, Richard J.	05/22/2013

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.	2012	AAA Western and Central New York Board Member - Stipend
2.	2012	Executive Dimensions - Salary
3.	2012	Health Now Board Member - Stipend
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
Arcara, Richard J.	05/22/2013

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
Arcara, Richard J.	05/22/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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. Prime MM Fund RBC(formerly Cash RBC)		None	J	T					
2. Tamarack Invt. Fds. Prime (Y)									
3. Nextel Communications Inc SER F	A	Dividend			Redeemed	11/19/12	J		
4. Allianz NFJ Dividend Val. Cl. C	A	Dividend	K	T					
5. Clearbridge Energy MLP	A	Dividend	J	T	Buy	6/26/12	J		
6. Bank of America Sub Internotes	A	Interest			Redeemed	7/9/12	J	A	
7. San Bernardino Cnty Calif Fing 1995		None	J	T					
8. Fidelity Adv. New Insights Cl A		None	K	T					
9. United Sts STL Corp New SR NT	A	Interest	J	T					
10. Residential Accredit LNS Inc CL A-5	A	Interest	J	T	Buy	02/2/12	J		
11. Residential Accredit LNS Inc CL I-A-5(X)	A	Interest	J	T					
12. Jennison-Growth Cl.A (Prudential Inv)		None	K	T					
13. Kinetics Paradigm Fund Cl C	A	Dividend	J	T					
14. Royce Fund - PA	A	Dividend	K	T					
15. Countrywide Alternative Loan Ser. 2005	A	Interest	J	T					
16. Europacific Growth Cl. A	A	Dividend	J	T	Sold (part)	2/3/12	J	A	
17. CWALT Inc Alternative Loan Trust	A	Interest	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 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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A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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. Templeton Foreign A	A	Dividend	J	T					
19. Alternative Loan Trust MTGPC Series	A	Interest	J	T					
20. Wells Fargo Mtge Sec[redacted]	A	Interest	J	T	Buy	9/18/12	J		
21. Wells Fargo Mtge Sec[redacted]	A	Interest	J	T					
22. Thornburg Intl Value Cl. A	A	Dividend	K	T					
23. Eaton Vance High Income	B	Dividend	K	T					
24. Goldman Sachs HY Cl. A	B	Dividend	K	T					
25. Nuveen Multi-Strategy Inc Fund	A	Dividend	J	T					
26. Pimco High Income Fd.	A	Dividend			Sold	6/21/12	J	A	
27.					Sold	6/21/12	J	A	
28.					Sold	7/9/12	J	A	
29. Ivy Asset Strat A	A	Dividend	K	T					
30. Invesco Basic Value CL C	A	Dividend	J	T					
31. Legg Mason Capital Management	A	Dividend	K	T					
32. Goldman Sachs Group Inc. 6.125%	A	Interest	J	T					
33. Western Asseet High Yield	B	Dividend	K	T					
34. SCE Trust 1 (X)	A	Dividend	K	T	Buy	5/10/12	K		

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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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35. SLM Corp Ednotes	A	Interest			Redeemed	3/15/12	K		
36. General Electric Cap SR	A	Interest	K	T					
37. Bank Amer Corp	B	Interest	K	T	Redeemed (part)	9/17/12	J	A	
38. General Motors Accep,. Corp	A	Interest	J	T					
39. Arcelormittal (X)		None	J	T	Buy	8/31/12	J		
40. Countrywide Home LN Class A11	A	Interest	J	T					
41. CWALT Inc Class 1-A-10	A	Interest	J	T					
42. CHL Mortgage Pass Through	B	Interest	J	T					
43. Bank of America Fund Corp CL TA1B	A	Interest	J	T					
44. JP Morgan Trust	A	Interest	J	T					
45. Government National MTG Assn CL UE (X)	A	Interest	K	T	Buy	3/30/12	K		
46. Government National MTG Assn CL MA	A	Interest			Redeemed	6/18/12	J	A	
47. Ford Motor Credit Corp Co. (Y)									
48. Bank of America Mrtg Ser[redacted]	A	Interest	J	T					
49. Wynn Las Vegas, LLC (Y)									
50. CHL Mortgage Pass Through 2[redacted]	A	Interest	J	T					
51. Citi Corp Mrtg Securities[redacted]	A	Interest	J	T					

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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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52.	Federal National Mtg. Assn	A	Interest	J	T					
53.	First TR MLP & Energy Inc (X)		None	K	T	Buy	11/27/12	J		
54.						Buy (add'l)	11/27/12	J		
55.	Bank of America Funding Trust (X)	A	Interest	J	T	Buy	1/19/12	J		
56.						Redeemed (part)	10/25/12	J	A	
57.	Tamarack Invt. Fds Prime (Y)									
58.	Prime MM Fund RBC Reserve Class (X)		None	J	T					
59.	Fidelity Adv New Insight A	A	Dividend	J	T					
60.	Royce Fund - Total Return Con	A	Dividend	J	T					
61.	Roye Fund - PA	A	Dividend	J	T					
62.	New Perspective Cl.A	A	Dividend	J	T					
63.	Invesco Charter Fund	A	Dividend	J	T					
64.	IVY FDS Inc. Growth		None	J	T					
65.	Legg Mason Capital		None	J	T	Sold (part)	12/7/12	J	A	
66.	Black Rockk Global CL C	A	Dividend	J	T					
67.	IVY Asset Strategy CL C	A	Dividend	J	T					
68.	CTS Cash RBC Wealth		None	J	T					

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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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69.	Prime Mm Fund RBC Reserve formerly Tamarack	A	Dividend	M	T					
70.	Cleveland Biolabs Inc.		None	J	T					
71.	JohnHancock Global Opp. CL C	A	Dividend	J	T					
72.	Citigroup Inc.	A	Dividend	J	T					
73.	First Niagara FINL Grp Inc. 8.625%	B	Dividend	K	T					
74.	Nextel Communications Inc. Senior	B	Interest			Redeemed	11/19/12	J		
75.	Bank of America Corp Call Step [redacted]	B	Interest			Redeemed	10/31/12	K		
76.	Philadelphia PA Public Serv Rev		None	K	T					
77.	Fidelity Adv New Insight C		None	K	T					
78.	Home Depot Inc.	A	Dividend	K	T					
79.	HSBC Holdings PLC	B	Dividend	J	T					
80.	Corp Back JCP Ser [redacted] (X)	B	Interest	J	T					
81.	JP Morgan US Large Cap Core Plus C	A	Dividend	K	T					
82.	KeyCorp New	A	Dividend	J	T					
83.	Kinetics Paradigm Fd CL C (formerly Mut Fds)	A	Dividend	J	T					
84.	Super Valu Inc SR NTS	B	Interest	K	T					
85.	United STS STL Corp New SR NT	B	Interest	K	T					

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86. RFMSI Trust MTGPC/SER[redacted]	A	Interest	J	T					
87. M&T Bank Corp	B	Dividend	K	T					
88. National Fuel Gas Co.	A	Dividend	K	T	Buy	7/25/12	J		
89. Proctor & Gamble	A	Dividend	J	T					
90. Prudential Finl Inc	B	Interest	K	T					
91. Royce Fund - PA	A	Dividend	K	T					
92. Alpine Total Dynamic Div Fund	B	Dividend	J	T					
93. Blackrock Intl Growth & Income Fund	B	Dividend	K	T					
94. Eaton Vance Tax-Managed Global	B	Dividend	K	T					
95. Templeton Growth C (Y)									
96. Blackrock Enhanced Gov't	A	Dividend	J	T					
97. GOV'T Nat'l Mtge Assoc[redacted]	A	Interest	J	T					
98. FHLMC REMIC[redacted] Lottery Bond (Y)									
99. Residential Asst Sec[redacted] (Y)									
100. Chase Mtge Ser 2005 (formerly Chase Mortgage FIN Tr 20)	A	Interest	J	T					
101. CHL Mtg Pass Thru TR[redacted] (formerly CSMBkd Pass Thru	A	Interest			Redeemed	9/25/12	J		
102. Bank of America FDG Corp	A	Interest	J	T	Buy	1/26/12	J		

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103.					Buy (add'l)	1/26/12	J		
104. Bank of America FDG TR [redacted] (X)	A	Interest			Redeemed	4/26/12	J	A	
105. Bank of America FDG TR [redacted] (X)	A	Interest			Redeemed	10/25/12	J	A	
106. Countrywide Capital V	B	Interest	K	T					
107. Keycorp Capital IX (Y)									
108. JC Penney Co SR NTS(formerly CBTCS for JC Penney		None	K	T	Buy (add'l)	9/17/12	K		
109. Ivy Asset Strategy C	A	Dividend	K	T					
110. Wells Fargo Mtge Backed [redacted] (X)	A	Interest	J	T	Buy	2/9/12	J		
111. Wells Fargo Mtge Backed [redacted]	A	Interest	J	T					
112. Wells Fargo Mtge Backed [redacted] X)	A	Interest			Redeemed	2/27/12	J	A	
113. JP Morgan MTG Trust (Y)									
114. United States National Gas Fund		None	J	T					
115. Countrywide Alt. Ln. Trust (Y)									
116. Legg Mason Capital Management	A	Dividend	K	T					
117. Euro Pac Growth Fund	A	Dividend	J	T					
118. General Motors Accep Corp	B	Interest	J	T	Redeemed (part)	12/17/12	J	A	
119. Ally Financial Inc 2.15% (X)		None	K	T	Buy	12/10/12	K		

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

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)
120. San Bernardino Cnty CA		None	K	T					
121. SLM Corp	A	Interest	K	T					
122. Lehman Mortgage Trust	A	Interest			Redeemed	2/27/12	J	B	
123. Credit Suisse First Boston Mtg	A	Interest	J	T					
124. CitiMortgage Alt. Loan	A	Interest	J	T					
125. BlackRock Global Allocation	A	Dividend	K	T					
126. Ford Motor Credit Co.	B	Interest	K	T	Buy (add'l)	12/3/12	K		
127.					Redeemed	9/20/12	K		
128. Sears Holdings Corp SR Sec'd (X)		None	K	T	Buy	12/10/12	K		
129. GOV'T Nat'l Mtge Assoc. (X)	A	Interest	K	T	Buy	8/9/12	K		
130. Banc Amer Fund Trust 2006-3 (X)	A	Interest			Buy	1/9/12	J		
131.					Sold	10/25/12	J	A	
132. Prime MM Fund RBC Reserve (Formerly Tamarack)	A	Dividend	J	T					
133. Black Rock Global Dividend	A	Dividend	J	T					
134. Legg Mason Capital		None	J	T	Buy (add'l)	10/2/12	J		
135. Bank of America Corp	B	Dividend	J	T					
136. Dominion Res Inc. VA	A	Interest	J	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

Name of Person Reporting	Date of Report
Arcara, Richard J.	05/22/2013

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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
137. Citiorp Mortgage Securities	A	Interest	J	T					
138. JP Morgan Mtg. Trust (Y)									
139. Wells Fargo Mtg. Backed Securities	A	Interest	J	T	Redeemed (part)	2/27/12	J	A	
140. BlackRock NY Muni Income	A	Dividend	J	T	Redeemed (part)	6/12/12	J	A	
141. Invesco Trust Invt (Formerly Invesco Van Kampen Tr Invt)	B	Dividend	K	T					
142. BlackRock Global Allocation	A	Dividend	J	T					
143. IVY Asset Strategy CL C	A	Dividend	J	T					
144. Prudential Jennison 20/20 (X)		None	J	T	Buy	1/31/12	J		
145. Citimortgage Alternative Loan (X)		None	J	T					
146. BlackRock NY Muni Inc TR (X)		None	J	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		

Name of Person Reporting	Date of Report
Arcara, Richard J.	05/22/2013

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

Name of Person Reporting	Date of Report
Arcara, Richard J.	05/22/2013

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/ 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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544