

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 04/30/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge -- active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Charles L. Bricant U.S. Courthouse 300 Quarropas St., Rm. 633 White Plains, NY 10601		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. board member	Fordham Law Alumni Association
2. Adjunct Professor of Law (part-time trial practice instructor)	Columbia University School of Law
3. board member	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2018	\$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2019
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	Columbia University -- payment for teaching	\$10,000.00
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. 2018	New York University -- salary as faculty member and physician
2. 2/22/18	Columbia University -- payment for speaking
3. 3/4/18	Johns Hopkins University Press -- book royalties
4. 4/25/18	Beacon press -- book royalties
5. 10/27/18	Beacon press -- book royalties
6.	
7.	
8.	
9.	
10.	
11.	
12.	
13.	
14.	
15.	

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16.

17.

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐

NONE (No reportable reimbursements.)

SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. Federal Bar Council

10/19/18 - 10/20/18

Westbrook, CT

Fall Bench & Bar Retreat
(CLE)

hotel, meals

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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Federico E. Virella, Jr.	Mets baseball tickets (3)	\$639.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Amreican Century Heritage Fund (formerly Vista Fund)	E	Distribution	M	T					
2. Sterling Nat. Bk. Insured Money Maker Account (formerly Astoria Fed.)	A	Interest	M	T					
3. Sterling Nat. Bk. Insured Money Maker Account (formerly Astoria Fed.)	A	Interest	L	T					
4. Sterling Nat. Bk. account (checking) (formerly Astoria Fed.)	A	Interest	J	T					
5. AT&T common stock	A	Dividend	J	T					
6. AT&T common stock	A	Dividend	J	T					
7. AMG Brandywine Fund		None	L	T					
8. Comcast common stock	A	Dividend	J	T					
9. Comcast common stock	A	Dividend	J	T					
10. Prudential (formerly Dryden) Global Total Return Fund	A	Dividend	J	T					
11. Dreyfus NY Tax-Exempt Bond Fund	A	Dividend	K	T					
12. Enbridge Energy Partners LP common stock	A	Dividend	J	T					
13. Fidelity Magellan Fund (IRA)	D	Distribution	L	T					
14. Fidelity Capital Appreciation Fund (IRA)	C	Distribution	K	T					
15. Fidelity NY Muni Income Fund	A	Dividend	L	T					
16. Janus Fund	E	Distribution	M	T					
17. John Hancock Patriot Premium Div Fund I common stock	B	Dividend	K	T					

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

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18. Fidelity Government Money Market Account	C	Interest	J	T					
19. Fidelity Money Market Premium Class Account	A	Interest	N	T	Open	12/18/18	N		
20. Victory RS Growth Fund	E	Distribution	L	T					
21. TIAA/CREF T-C Lifecycle 2025 Inst Fund (formerly Rtrmt. Fund)	B	Dividend	K	T					
22. TIAA/CREF Lifecycle Index 2025 Prem. Fund	A	Dividend	K	T					
23. TIAA/CREF stock fund (retirement annuity)		None	N	T					
24. TIAA/CREF global equity fund (retirement annuity)		None	L	T					
25. T. Rowe Price Blue Chip Growth Fund IRA	B	Dividend	K	T					
26. T. Rowe Price Blue Chip Growth Fund IRA	B	Dividend	K	T					
27. T. Rowe Price Gov't Money Fund (formerly Prime Reserve Fund)	C	Dividend	N	T					
28. Fidelity Government Money Market Account	C	Interest	J	T					
29. Fidelity Money Market Premium Class Account	A	Interest	N	T	Open	12/18/18	N		
30. T. Rowe Price Gov't Money Fund (formerly Prime Reserve Fund)	C	Dividend	M	T					
31. Vanguard 500 Index Fund (retirement annuity)	D	Dividend			Sold	07/31/18	O		
32. Vanguard International Growth Fund (retirement annuity)	A	Dividend			Sold	07/31/18	M		
33. Vanguard Long-Term Treasury Inv. Fund (retirement annuity)	A	Dividend			Sold	04/19/18	K		
34. Vanguard Long Term Treasury Fund Admiral (retirement annuity)	A	Dividend	K	T	Buy	04/19/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Vanguard Long-Term Bond Index Fund (retirement annuity)	A	Dividend			Sold	04/19/18	K		
36. Vanguard Long-Term Bond Index Fund Institutional (retirement annuity)	B	Dividend	K	T	Buy	04/19/18	K		
37. Vanguard Infl'n-Prot'd Sec Ins (formerly Sec A) (retirement annuity)	B	Dividend	L	T					
38. Vanguard US Growth Adm (retirement annuity)	C	Distribution	K	T					
39. Vanguard Inst Tg Rtm 25 Inst (formerly Target 2025 Inv (ret. ann.))	C	Dividend	M	T					
40. Vanguard Int Term Inv Gd Adm (retirement annuity)	B	Dividend	L	T					
41. Vanguard High Yield Corp Adm (retirement annuity)	B	Dividend	K	T					
42. Virtus Global Div. Income Fund (formerly Zweig Total Return)	B	Dividend	J	T					
43. Fidelity Money Market Premium Class account IRA	A	Interest	O	T	Open	12/18/18	O		

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

Exchange of Vanguard Long-Term Treasury Fund Investor retirement annuity for Vanguard Long-Term Treasury Fund Admiral retirement annuity, and exchange of Vanguard Long-Term Bond Index Fund retirement annuity for Vanguard Long-Term Bond Index Fund Institutional retirement annuity, were Plan-Sponsor Requested Transfers initiated by my [REDACTED] employer.

Proceeds of sale of Vanguard 500 Index Fund retirement annuity and Vanguard International Growth Fund retirement annuity were rolled over into Fidelity Money Market Premium Class account IRA.

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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/ **Cathy Seibel**

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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