

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) Waldor, Cathy L.	2. Court or Organization US District Court, New Jersey	3. Date of Report 06/27/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge	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 US District Court 50 Walnut Street MLK Building Newark, NJ 07102		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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. 2018	Rex Vinegar Company - self employed business executive
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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. (H) Brokerage Account #1 (44)									
2. Clearbridge Tactical Dividend Income Fund C I C	C	Dividend	L	T					
3. Gugenheim Small Cap Value Fund C I C	C	Dividend	K	T					
4. Mainstay Epoch Global Equity Yield C I C	C	Dividend	L	T					
5. Principal Investors Preferred Securities Fund C I C	B	Dividend			Sold	10/26/18	K		
6. Franklin Templeton Income Fund C I C	C	Dividend	L	T					
7. Thornburg Income Builder C I C	C	Dividend	L	T					
8. Vaneck Vectors High Yield Muni ETF	B	Dividend	K	T					
9. (H) AIG Sun America Polaris Choice IV Variable Annuity (X)									
10. - SA VCP Dynamic Allocation Portfolio		None	L	T					
11. - SA VCP Dynamic Strategy Portfolio		None	L	T					
12. - Secure Value Account		None	K	T					
13. (H) Brighthouse Life Ins Co Series L Variable Annuity (X)									
14. - American Funds Growth Portfolio		None	K	T					
15. - Bailie Gifford International Stock Portfolio		None	K	T					
16. - BH Small Cap Value Portfolio		None	J	T					
17. - Invesco Small Cap Growth Portfolio		None	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)

18. - JP Morgan Core Bond Portfolio		None	K	T					
19. - MetLife Stock Index Portfolio		None	K	T					
20. - MFS Value Portfolio B		None	J	T					
21. - PIMCO Total Return Portfolio B		None	K	T					
22. - T Rowe Price Mid Cap Growth Portfolio B		None	J	T					
23. - VanEck Global Natural Resources B		None	J	T					
24. American Funds Income Fund of America C	D	Dividend			Sold	12/20/18	M		
25. Eaton Vance R Bernstein All Asset Strategy Fund C	B	Dividend	L	T					
26. Janus Henderson Balanced Fund C	C	Dividend	L	T					
27. JP Morgan Income Builder Class C (X)	B	Dividend	K	T					
28. Mainstay High Yield Muni Bond Fund Cl C	C	Dividend	M	T					
29. Principal Small Cap Dividend Income Fund C	D	Dividend	K	T	Sold (part)	12/20/18	K		
30. AIG Focused Dividend Strategy Fund C	B	Dividend	K	T					
31. Cohen & Steers Preferred Sec & Inc Fund Cl C	C	Dividend	K	T	Sold (part)	12/20/18	K		
32. Mainstay Funds Tax Free Bond Cl A	D	Dividend	N	T					
33. Nuveen Large Cap Value Fund Cl C	D	Dividend			Sold (part)	12/19/18	K		
34.					Sold	12/20/18	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)

35. Nuveen Large Cap Core Fund C1 C	E	Dividend	N	T	Buy (add'l)	12/19/18	K		
36.					Buy (add'l)	12/20/18	K		
37. Principal Global Diversified Income Fund C1 C	B	Dividend	L	T					
38. Putman Multi-Cap Core Fd C1 C (X)	A	Dividend	M	T					
39. (H) Transamerica Life Insurance Co B-Share - Variable Annuity (X)									
40. - Fidelity - VIP Contrafund Portfolio		None	K	T					
41. - TA Janus Balanced		None	K	T					
42. - TA Managed Risk - Growth ETF		None	L	T					
43. - American Funds Growth Fund		None	K	T					
44. - American Funds Growth - Income Fund		None	K	T					
45. Voya Floating Rate Fund Class C	C	Dividend	K	T	Sold (part)	12/24/18	K		
46. Dreyfus Active Mid Cap Fund C1 C	C	Dividend			Sold	12/21/18	K		
47. Janus Henderson Enterprise Fund C1 C (X)	D	Dividend	L	T					
48. Nuveen High Income November 2021	B	Dividend			Sold	10/26/18	K		
49. Units FT US EQ C/E Ser 19	A	Dividend			Redeemed	03/14/18	K	B	
50. Units FT US EQ C/E Ser 26	B	Dividend	K	T	Buy	03/14/18	K		
51. UBS Bank UT US 3.5% Mat 10/30/20 Fixed Rate CD	A	Interest	L	T	Buy	10/26/18	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)

52. Goldman Sachs Access Treas 0-1 Year ETF		None	L	T	Buy	12/20/18	L		
53. Principal Blue Chip Fund Cl C	C	Dividend	L	T	Buy	10/26/18	K		
54.					Buy (add'l)	12/20/18	K		
55. American Funds American Balanced Fd Cl C		None	M	T	Buy	12/20/18	M		
56. Dreyfus Premier Equity Income Fd Cl C		None	K	T	Buy	12/21/18	K		
57.									
58. (H) Brokerage Account #2 (45)									
59. iShares Trust Russell 2000 Index ETF	A	Dividend	K	T					
60. iShares Trust Core S&P Mid Cap ETF	B	Dividend	L	T					
61. iShares TIPS Bond ETF	A	Dividend	K	T	Sold (part)	10/25/18	J		
62. Vanguard Index Funds Vanguard Growth ETF	B	Dividend	M	T					
63. Vanguard Total Stock Market ETF	B	Dividend	L	T					
64. Vanguard Index Fund S&P 500 ETF	B	Dividend	L	T					
65. Vanguard Divid Appreciation ETF	B	Dividend	M	T					
66. Vanguard Mega Cap ETF	B	Dividend	M	T					
67. Vaneck Vectors AMT-Free Short Municipal Index ETF	A	Dividend	K	T					
68. Vaneck Vectors High Yield Municipal Index ETF	B	Dividend	L	T	Buy (add'l)	06/18/18	J		

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
69. First Trust Dorsey Wright FO ETF	A	Dividend	K	T					
70. Principal Small Mid Cap Div Inst	D	Dividend	K	T					
71. First Trust Preferred Security & Inc ETF	B	Dividend	K	T					
72. Vaneck Vectors AMT-Free Inter ETF	A	Dividend	K	T	Buy (add'l)	06/18/18	K		
73.					Sold (part)	10/25/18	K		
74. Voya Floating Rate Fund CL I	B	Dividend	K	T	Sold (part)	12/19/18	K		
75. Wisdomtree Trust Small Cap Dividend Fund ETF	C	Dividend	L	T					
76. First Trust Morningstar Div Leader Index Fund	A	Dividend	K	T					
77. First Trust Value Line Divid Index Fund	A	Dividend	K	T					
78. Goldman Sachs Active Beta US Large Cap Equity ETF	B	Dividend	L	T					
79. Goldman Sachs Active Beta Emerging Markets Equity ETF	A	Dividend			Sold	10/26/18	K		
80. iShares Core US Aggregate Bond ETF	A	Dividend			Sold	06/14/18	J		
81. iShares EDGE MSCI Min Vol USA ETF	A	Dividend	J	T					
82. SPDR Nuveen S&P High Yield Municipal Bond ETF	B	Dividend	L	T					
83. Vanguard Financials ETF (X)	B	Dividend	L	T	Sold	10/28/18	L		
84.					Buy	12/24/18	K		
85. Vanguard Health Care ETF	A	Dividend	K	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
86. Vanguard Value ETF	A	Dividend	K	T	Buy (add'l)	10/26/18	K		
87. First Trust Dow Jones Internet Index Fund ETF		None	L	T	Buy (add'l)	02/08/18	K		
88. First Trust STOxx European Select Divd Index Fund ETF	B	Dividend	J	T	Sold (part)	08/03/18	K		
89.					Sold (part)	10/25/18	J		
90. Blackrock Muniholdings NJ Quality Fund Inc.	A	Dividend			Sold (part)	06/18/18	K		
91.					Sold	10/25/18	J		
92. Wisdomtree Intl High Divid Fund ETF	B	Dividend	K	T					
93. First Trust North American Energy Infrastructure Fund		None			Sold	02/08/18	K		
94. Legg Mason Lo Vol Hi Div ETF	A	Dividend			Sold	07/12/18	J		
95. First Trust Managed Municipal ETF	B	Dividend			Sold	10/25/18	K		
96. Schwab US Mid-Cap ETF	A	Dividend	K	T	Buy	08/03/18	K		
97.					Buy (add'l)	10/25/18	J		
98. iShares US Aerospace 7 Defense ETF	A	Dividend			Buy	10/25/18	K		
99.					Buy (add'l)	10/26/18	K		
100.					Sold	12/20/18	K		
101. SPDR S&P Aerospace & Defense ETF	A	Dividend	K	T	Buy	12/20/18	L		
102. Vanguard High Divid Yield ETF	A	Dividend	J	T	Buy	07/12/18	J		

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
103. Franklin Short Duration US Govt ETF	A	Dividend	J	T	Buy	06/14/18	J		
104. Thornburg Limited Term Municipal Fund Cl I	A	Dividend	L	T	Buy	10/25/18	L		
105. iShares Core S&P Small-Cap ETF		None	K	T	Buy	12/19/18	K		
106. Vanguard S&P Small-Cap 600 ETF	A	Dividend			Buy	06/18/18	K		
107.					Sold	12/19/18	K		
108. OSI ETF Trust OShares FTSE	A	Dividend			Buy	06/19/18	K		
109.					Sold	12/19/18	K		
110. Financial Select Sector SPDR Fund ETF		None			Buy	10/25/18	L		
111.					Sold	12/20/18	L		
112.									
113. (H) Brokerage Account #5 (51)									
114. Principal MidCap Fund Class A	C	Dividend	K	T					
115. Blackrock Basic Value Fund Cl A	C	Dividend	K	T					
116. Blackrock Global Allocation Fund Inc Cl A	C	Dividend	L	T					
117. Franklin Mutual Global Discover Fund Cl A	D	Dividend	M	T					
118. Franklin Templeton Income Cl A	B	Dividend	K	T					
119. American Funds American Balanced Fund Cl R4	B	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
120. First Eagle Global Fund CI C	C	Dividend	L	T					
121. Thornburg Income Builder CI C	B	Dividend	K	T					
122. Goldman Sachs Income Builder Funds CI IR	B	Dividend	K	T					
123. Ivy Balanced Funds CI C	A	Dividend	J	T					
124. iShares Edge MSCI Min Vol USA EFT	A	Dividend	K	T					
125. Putnam Equity Income Fund CI C	B	Dividend	K	T					
126.									
127. (H) Brokerage Account #6 (52)									
128. iShares Russell MidCap ETF	A	Dividend	J	T					
129. SPDR S&P 500 ETF TR	A	Dividend	K	T	Sold (part)	06/22/18	J	B	
130.					Sold (part)	07/20/18	J	B	
131.					Buy (add'l)	08/23/18	J		
132.					Sold (part)	08/29/18	K	D	
133. FMI Large Cap Fund Institutional Class		None			Buy (add'l)	08/23/18	J		
134.					Sold	08/29/18	K	C	
135. John Hancock Disciplined Value Mid Cap Fund CI A	A	Dividend	J	T					
136. Baird MidCap Fund Institutional Class	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
137. Chartwell Small Cap Value I Share	A	Dividend	J	T					
138. Gabelli Small Cap Growth Fund Class I	A	Dividend	J	T					
139. iShares 7-10 Year Treasury Bond ETF (X)	A	Dividend			Buy	02/23/18	J		
140.					Sold	12/17/18	J	A	
141. iShares IBOXX \$ Invst Grade Corporate Bond ETF	A	Dividend	J	T	Sold (part)	12/17/18	J		
142. Ashmore Emerging Markets Total Ret Fund CI I	A	Dividend	J	T					
143. iShares CORE MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	08/23/18	J		
144.					Buy (add'l)	08/29/18	J		
145. iShares CORE MSCI Emerging Markets ETF	A	Dividend	K	T	Buy (add'l)	08/23/18	J		
146.					Buy (add'l)	12/17/18	J		
147. iShares Core S&P US Growth ETF	A	Dividend	K	T	Buy (add'l)	08/23/18	J		
148. Vanguard Total World Stock ETF	A	Dividend	J	T	Sold (part)	07/20/18	J	A	
149.					Buy (add'l)	11/09/18	J		
150. Oppenheimer International Growth Fund Y	A	Dividend	K	T	Buy (add'l)	08/23/18	J		
151. Pear Tree Polaris Foreign Value Fund Instl	A	Dividend	K	T	Buy (add'l)	08/23/18	J		
152. iShares Treasury Bond ETF	A	Dividend	J	T	Sold (part)	01/19/18	J		
153.					Sold (part)	02/23/18	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
154.					Buy (add'l)	06/22/18	J		
155.					Sold (part)	09/21/18	J		
156.					Sold (part)	11/09/18	J		
157. SPDR Bloomberg Barclays High Yield Bond ETF	A	Dividend			Buy (add'l)	08/23/18	J		
158.					Sold	10/03/18	K		
159. Vaneck Vectors JP Morgan EM Local Currency Bond ETF	A	Dividend			Sold	02/23/18	J	A	
160. Pimco Investment Grade Corporate Bond Fund P	B	Dividend	K	T	Buy (add'l)	07/20/18	J		
161.					Buy (add'l)	08/23/18	J		
162. SPDR Portfolio S&P 500 Value ETF	A	Dividend	J	T	Buy	08/29/18	J		
163. AQR US Defensive Equity Fund C1 I	A	Dividend	K	T	Buy	08/29/18	K		
164. LSV Value Equity Fund CL NL	B	Dividend	K	T	Buy	08/29/18	K		
165. iShares 20+ Year Treasury Bond ETF		None	J	T	Buy	12/17/18	J		
166. iShares JP Morgan USD Emerging Market Bond ETF	A	Dividend	J	T	Buy	02/23/18	J		
167.					Sold (part)	06/22/18	J		
168.					Buy (add'l)	09/21/18	J		
169. PIMCO Enhanced Short Mat Active Ex-Traded FD		None	J	T	Buy	08/29/18	J		
170.					Sold (part)	09/21/18	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
171.					Sold (part)	11/09/18	J		
172. Lord Abbett High Yield Fund Cl F	A	Dividend	K	T	Buy	10/03/18	K		
173.									
174. (H) IRA #1 (42)									
175. First Eagle Global Fund Class C	C	Dividend	L	T					
176. Blackrock Equity Dividend Fund C	D	Dividend	L	T					
177. Blackrock Global Allocation Fund C (X)	A	Dividend	K	T					
178. Blackrock Global Allocation Fund A (X)	A	Dividend	J	T					
179. Franklin Templeton Mutual Global Discovery Fund Cl C	A	Dividend	J	T					
180. Franklin Templeton Income C (X)	B	Dividend	J	T					
181. Franklin Templeton Income Fund Class A (X)	A	Dividend	K	T					
182. American Funds American Balanced Fund Cl C (X)	B	Dividend	K	T					
183. American Funds American Balanced F-1 (X)	B	Dividend	K	T					
184.									
185. (H) IRA #2 (43)									
186. American Funds American Balanced Fund Cl C (X)	A	Dividend			Closed	11/13/18	J		
187. American Funds American Balanced F-1 (X)	A	Dividend	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
188. Blackrock Global Allocation Fund C1 C (X)	B	Dividend			Closed	11/09/18	K		
189. Blackrock Global Allocation Fund Inc A (X)	A	Dividend	K	T					
190.									
191. (H) IRA #3 (13)									
192. JP Morgan Income Builder C1 C (X)	B	Dividend	L	T	Distributed (part)	11/30/18	J		
193. Janus Balanced Fund C	C	Dividend	L	T					
194.									
195. (H) AXA Equitable Flexible Premium Variable Life Insurance #4									
196. - AXA Moderate Allocation Fund		None	K	T					
197.									
198. Nationwide Life Insurance #2		None	K	T					
199.									
200. (H) Cash Accounts #1									
201. Santander Cash Accounts	A	Int./Div.	J	T					
202. Wells Fargo Cash Accounts	A	Int./Div.	J	T					
203. UBS Cash Accounts	A	Int./Div.	L	T					
204. TD Bank Cash Account	A	Int./Div.	J	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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)
205.									
206. Real Estate - Rental Property - Verona, Essex County, NJ	E	Rent	O	W					
207.									
208.									
209.									
210.									

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		

FINANCIAL DISCLOSURE REPORT

Page 17 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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

Line 9 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Line 13 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Lines 27 and 192 - A partial transfer was made from IRA #3, Line 192 to Brokerage Account #1, Line 27. This was a required minimum annual distribution.

Line 38 - The name of this asset changed from Putnam Investors Fund C1 C to Putnam Multi-Cap Core Fd C1 C.

Line 39 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Line 47 - The name of this asset changed from Janus Enterprise Fund C1 C to Janus Henderson Enterprise Fund C1 C.

Line 83- This asset was sold completely on 10/28/18 and repurchased on 12/24/18.

Line 139 - This asset was sold completely in 2017 and repurchased in 2018.

Lines 177-178 - On 11/09/18, 802.12 shares of Class C (Line 177) were exchanged to 722.16 shares of Class A (178).

Lines 180-181 - On 10/22/18, 9270.00 shares of Class C (Line 180) were exchanged to 9433.35 shares of Class A (Line 181).

Lines 182-183 - On 11/13/18, 1461.72 shares of Class C (Line 182) were exchanged to 1452.51 shares of Class A (Line 183).

Lines 186-187 - On 11/13/18, all shares of Class C (Line 186) were exchanged to shares of Class A (Line 187).

Lines 188-189 - On 11/09/18, all shares of Class C (Line 188) were exchanged to shares of Class A (Line 189).

FINANCIAL DISCLOSURE REPORT

Page 18 of 18

Name of Person Reporting

Waldor, Cathy L.

Date of Report

06/27/2019

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 L. Waldor

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