

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Norton, Cynthia A.	2. Court or Organization U.S. Bankruptcy Court, W.D. of Missouri	3. Date of Report 06/26/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 400 E. 9th St. Room 6462 Kansas City, MO 64106		
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.		

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Topeka Bankruptcy Bar Association	June 26, 2019	Topeka, KS	Teach CLE at bankruptcy seminar	Transportation
2.	National Assoc. Chapter 13 Trustees	July 16 - 19, 2019	Indianapolis, IN	Attend and teach CLE at annual meeting	Transportation, meals, hotel, registration
3.	American College of Bankruptcy	Mar. 14 - 16, 2019	San Diego, CA	Attend annual meeting	Transportation, meals, hotel, registration
4.	Kansas Bar Association	Apr. 5, 2019	Topeka, KS	Attend and teach CLE at annual meeting	Transportation, meal, registration
5.	National Conference of Bankruptcy Judges	Oct. 28- Nov 3, 2019	Washington, DC	Attend and teach CLE at annual meeting	Transportation, meals, hotel, registration

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6.	American Bankruptcy Institute	Aug. 19-21, 2019	Cincinnati, OH	Attend and teach CLE at bankruptcy seminar	Transportation, meals, hotel, registration
7.	Mississippi Bankruptcy Conference	Nov. 14 - 15, 2019	Oxford, MI	Attend and teach CLE at annual bankruptcy seminar	Transportation, meals, hotel, registration
8.	Southeastern Bankruptcy Law Institute	Mar. 20 - 23, 2019	Atlanta, GA	Attend and teach CLE at annual bankruptcy seminar	Transportation, meals, hotel, registration
9.	Missouri Bar	Mar. 27 -28, 2019	Springfield, MO	Attend and teach CLE at annual bankruptcy seminar	Transportation, meals, hotel, registration

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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.	American Express	Credit Card	K
2.	Chase Bank Southwest VISA	Credit Card	None
3.	USAA Federal Savings Bank	Credit Card	None
4.	Exchange National Bank of Atchison	Personal Loan	None
5.	Hilton Grand Vacations Properties Ownership Interest	Time Share Loan	None
6.	Hilton Grand Vacations Properties Ownership Interest	Time Share Loan	L
7.			
8.			
9.			

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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. Northwestern Mutual Whole Life Policies	A	Int./Div.			Redeemed	01/30/19	K	E	
2. TIAA-CREF 403(b) (H)									
3. -- TIAA-CREF Stock R3 Fund	D	Int./Div.			Distributed	10/22/19	L	F	
4. -- TIAA-CREF Bond Market R3 Fund	A	Int./Div.			Distributed	10/22/19	J	D	
5. -- TIAA-CREF Money Market	A	Int./Div.			Distributed	10/22/19	J	D	
6. -- TIAA-CREF 2019 RMD					Distributed (part)	08/12/19	J	C	
7. Exchange National Bank Accounts (Cash Accounts)	A	Interest	J	T					
8. Commerce Bank Accounts (Cash Accounts)	A	Interest	J	T					
9. Navy Federal Credit Union Accounts (Cash Accounts)	A	Interest	J	T					
10. Ivy Cash Management (Formerly Waddell & Reed) Accounts	A	Dividend	J	T					
11. Beneficiary IRA, BB&T, Scott & Stringfellow	D	Int./Div.	J	T	Open	03/08/19	J		
12.					Distributed (part)	08/19/19	J		
13. Rollover IRA, BB&T, Scott & Stringfellow (H)									
14. -- Altegris Futures Evolution Strategy (EVOIX)	A	Dividend	J	T	Buy	10/22/19	J		
15.					Buy (add'l)	11/18/19	J		
16.					Buy (add'l)	12/18/19	J		
17. -- Baird Core Plus Bond (BCOIX)	A	Dividend	J	T	Buy	10/22/19	J		

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		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	10/28/19	J		
19.					Buy (add'l)	11/26/19	J		
20.					Buy (add'l)	12/27/19	J		
21. -- Baird Short Term Bond (BSBIX)	A	Dividend	J	T	Buy	10/22/19	J		
22.					Buy (add'l)	10/28/19	J		
23.					Buy (add'l)	11/26/19	J		
24.					Buy (add'l)	12/27/19	J		
25. -- Blackstone Alt Multistrategy (BXMIX)	A	Dividend	J	T	Buy	10/23/19	J		
26.					Buy (add'l)	12/19/19	J		
27.					Buy (add'l)	12/19/19	J		
28.					Buy (add'l)	12/19/19	J		
29. -- Cohen & Steers Real Estate (CSDIX)	A	Dividend	J	T	Buy	10/22/19	J		
30.					Buy (add'l)	11/06/19	J		
31.					Buy (add'l)	11/06/19	J		
32.					Buy (add'l)	12/19/19	J		
33. -- Consumer Discretionary Select Sector (XLY)	A	Dividend	J	T	Buy	10/22/19	J		
34.					Buy (add'l)	12/26/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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

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35. -- Federated Kauffmann Small Cap (FKAIX)	A	Dividend	J	T	Buy	10/22/19	J		
36.					Buy (add'l)	12/09/19	J		
37.					Buy (add'l)	12/30/19	J		
38. -- Federated Treasury Obligations Fund (TOIXX)	A	Dividend	M	T	Buy	10/22/19	M		
39.					Sold (part)	10/23/19	L	A	
40.					Sold (part)	10/24/19	L	A	
41.					Buy (add'l)	10/31/19	J		
42.					Buy (add'l)	11/29/19	J		
43.					Buy (add'l)	12/31/19	J		
44. -- IShares Core MSCI Europe (IEUR)	A	Dividend	J	T	Buy	10/22/19	J		
45.					Buy (add'l)	12/20/19	J		
46. -- JP Morgan Equity Preimium Income (JEPIX)	A	Dividend	J	T	Buy	10/22/19	J		
47.					Buy (add'l)	11/01/19	J		
48.					Buy (add'l)	12/02/19	J		
49. -- JP Morgan Govt Bond (HLGAX)	A	Dividend	J	T	Buy	10/22/19	J		
50.					Buy (add'l)	10/30/19	J		
51.					Buy (add'l)	11/27/19	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	
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52.					Buy (add'l)	12/30/19	J		
53. -- JP Morgan Hedged Equity (JHEQX)	A	Dividend	J	T	Buy	10/22/19	J		
54.					Buy (add'l)	12/20/19	J		
55. -- Morgan Stanley Instl Global Francise (MSFAX)	A	Dividend	J	T	Buy	10/22/19	J		
56.					Buy (add'l)	12/17/19	J		
57.					Buy (add'l)	12/17/19	J		
58.					Buy (add'l)	12/17/19	J		
59. -- PIMCO High Yield Instl (PHYX)	A	Dividend	J	T	Buy	10/22/19	J		
60.					Buy (add'l)	11/01/19	J		
61.					Buy (add'l)	12/02/19	J		
62. -- PIMCO International Bond US Dollar (PFORX)	A	Dividend	J	T	Buy	10/22/19	J		
63.					Buy (add'l)	11/01/19	J		
64.					Buy (add'l)	12/02/19	J		
65.					Buy (add'l)	12/12/19	J		
66.					Buy (add'l)	12/27/19	J		
67. -- PIMCO Investment Grade Credit Bond (PIGIX)	A	Dividend	J	T	Buy	10/22/19	J		
68.					Buy (add'l)	11/01/19	J		

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69.					Buy (add'l)	12/02/19	J		
70. -- Sector Consumer Staples Select Sector (XLP)	A	Dividend	J	T	Buy	10/22/19	J		
71.					Buy (add'l)	12/26/19	J		
72. -- Sector Healthcare Select (XLV)	A	Dividend	J	T	Buy	10/22/19	J		
73.					Buy (add'l)	12/26/19	J		
74. -- Sector Technology Select (XLK)	A	Dividend	J	T	Buy	10/22/19	J		
75.					Buy (add'l)	12/26/19	J		
76. -- Select Sector Communications Services (XLC)	A	Dividend	J	T	Buy	10/22/19	J		
77.					Buy (add'l)	12/26/19	J		
78. -- Select Utilities Select Sector (XLU)	A	Dividend	J	T	Buy	10/22/19	J		
79.					Buy (add'l)	12/26/19	J		
80. -- T Rowe Price Dividend Growth (PDGIX)	A	Dividend	J	T	Buy	10/22/19	J		
81.					Buy (add'l)	12/13/19	J		
82.					Buy (add'l)	12/13/19	J		
83. -- TIAA CREF Bond Instl (TIBDX)	A	Dividend	J	T	Buy	10/22/19	J		
84.					Buy (add'l)	11/01/19	J		
85.					Buy (add'l)	12/01/19	J		

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86. -- Vanguard FTSE All World (VEU)	A	Dividend	J	T	Buy	10/22/19	J		
87.					Buy (add'l)	12/27/19	J		
88. - Vanguard FTSE Pacific (VPL)	A	Dividend	J	T	Buy	10/22/19	J		
89.					Buy (add'l)	12/27/19	J		

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

Part VII, Item 1, cancelled NWA insurance policy

Part VII, Items 2 through 5 refer to filer's [REDACTED] IRA which was rolled over from TIAA-CREF to a BB&T IRA with Scott & Stringfellow

Part VII, Item 6 refers to one of filer's [REDACTED] 2019 Required Minimum Distribution (RMD)

Part VII, Items 11 refers to filer's [REDACTED] receipt of a death benefit IRA

Part VII, Item 12 refers to one of filer's [REDACTED] 2019 RMD

Part VII, Items 13 through 89 are accounts/transactions belonging to filer's [REDACTED] Rollover 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/ Cynthia A. Norton**

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