

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Briccetti, Vincent L.                                                                                                                | <b>2. Court or Organization</b><br><br>U.S. District Court, Southern District of New York                                                                                                                                              | <b>3. Date of Report</b><br><br>05/04/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>District Judge (Active)                                                       | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>300 Quarropas Street<br>White Plains, NY 10601                                                                                    |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. Director                 | Fordham Law Alumni Association     |
| 2. Adjunct Professor of Law | Fordham Law School                 |
| 3.                          |                                    |
| 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.          |                          |
| 2.          |                          |
| 3.          |                          |

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Name of Person Reporting

Briccetti, Vincent L.

Date of Report

05/04/2020

**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><br>(yours, not spouse's) |
|-------------|------------------------------------|----------------------------------------|
| 1. 2019     | Fordham Law School teaching salary | \$5,000.00                             |
| 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.)*

| <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. | Practising Law Institute | 2/8/2019     | New York, NY    | CLE Panel                   | Train Fare                    |
| 2. | Cornell University       | 10/7/2019    | Ithaca, NY      | Guest teacher at law school | Travel (mileage and parking)  |
| 3. |                          |              |                 |                             |                               |
| 4. |                          |              |                 |                             |                               |
| 5. |                          |              |                 |                             |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Briccetti, Vincent L.    | 05/04/2020     |

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.       |             |            |

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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental property #1, South Salem, NY (1993, \$62,458)                                                                    | D                                      | Rent                                   | L                                              | R                                  |                                           |                  |                          |                         |                                                            |
| 2. Chase Bank, various accounts                                                                                            | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. TrustCo Bank (X)                                                                                                        | A                                      | Interest                               |                                                |                                    | Closed                                    | 10/08/19         | J                        |                         |                                                            |
| 4. Fidelity New York Municipal Income Fund (FTFMX)                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Fidelity Treasury Fund (FZFXX)                                                                                          | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. NMIS General NY MM Fund Class B                                                                                         | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. Vanguard High Yield Tax Exempt Admiral (VWALX)                                                                          | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. Vanguard NY LT Tax-Exempt Fund Investor                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. IRA #5 (Fidelity) (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 10. - Bank of America Corp Bond                                                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. DFA International Small Cap Value (DISVX)                                                                              | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. DFA Targeted Credit Portfolio (DTCPX)                                                                                  | B                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 10/04/19         | K                        |                         |                                                            |
| 13.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 11/27/19         | L                        |                         |                                                            |
| 14. - Fidelity Cash Reserves (FDRXX)                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. Fidelity Emerging Markets Index (FPADX)                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. Fidelity Inflation Protected Bond Index (FIPDX)                                                                        | B                                      | Dividend                               | M                                              | T                                  | Buy                                       | 06/26/19         | K                        |                         |                                                            |
| 17. Fidelity Short Term Treasury Bond Index (FUMBX)                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Fidelity Intermediate Treasure Bond Index (FUAMX)                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 01/03/19                | K                               |                                |                                                                   |
| 19. - Goldman Sachs Group Inc Medium Term Note                                                                             | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. iShares MBS ETF (MBB)                                                                                                  | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 10/04/19                | K                               |                                |                                                                   |
| 21. iShares Micro-Cap (IWC)                                                                                                | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. - iShares S&P 500 Index (IVV)                                                                                          | C                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 01/03/19                | K                               |                                |                                                                   |
| 23.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/20/19                | L                               |                                |                                                                   |
| 24. - Nuveen Build America (NBB) (Formerly NBD)                                                                            | B                                      | Dividend                                      |                                                |                                           | Redeemed<br>(part)                              | 02/08/19                | K                               |                                |                                                                   |
| 25.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/26/19                | K                               |                                |                                                                   |
| 26. - PIMCO Income Instl (PIMIX)                                                                                           | C                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 11/27/19                | L                               |                                |                                                                   |
| 27. Stone Ridge Reinsurance Risk Premium (SRRIX)                                                                           | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. - Vanguard Emerging Markets (VWO)                                                                                      | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. IRA #6 (Fidelity) (H)                                                                                                  |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 30. - Fidelity Cash Reserves (FDRXX)                                                                                       | C                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. Fidelity Floating Rate High Income (FIQSX)                                                                             | C                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 03/28/19                | L                               |                                |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/12/19                | K                               |                                |                                                                   |
| 33. Fidelity Intermediate Treasury Bond Index (FUAMX)                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/28/19                | L                               |                                |                                                                   |
| 34. Fidelity Total Market Index (FSKAX)                                                                                    | B                                      | Dividend                                      | L                                              | T                                         | Buy<br>(add'l)                                  | 03/20/19                | K                               |                                |                                                                   |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |

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Name of Person Reporting

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Invesco Variable Rate Investment Grade (VRIG)                                                                          | B                                      | Dividend                               | M                                              | T                                  | Buy                                       | 05/02/19         | K                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/19         | L                        |                         |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/19         | K                        |                         |                                                            |
| 38. iShares 0-5 Year Investment Grade Corporate Bond (SLQD)                                                                | B                                      | Dividend                               | M                                              | T                                  | Buy                                       | 03/28/19         | L                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/02/19         | K                        |                         |                                                            |
| 40. iShares Core MSCI EAFE ETF (IEFA)                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 06/26/19         | J                        |                         |                                                            |
| 41. iShares Core MSCI Emerging Markets (IEMG)                                                                              | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. iShares Core S&P 500 (IVV)                                                                                             | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/28/19         | K                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/19         | J                        |                         |                                                            |
| 44.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/12/19         | K                        |                         |                                                            |
| 45. iShares Core S&P US Value (IUSV)                                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/02/19         | K                        |                         |                                                            |
| 46. iShares Core S&P Small-Cap (IJR)                                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 06/26/19         | K                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/12/19         | J                        |                         |                                                            |
| 48. iShares S&P Small Cap 600 Citigroup Value Index (IJS)                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/28/19         | J                        |                         |                                                            |
| 49. JPMorgan Ultra-Short Income ETF (JPST)                                                                                 | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 08/12/19         | L                        |                         |                                                            |
| 50. Nuveen Credit Strategies Income Fund (JQC)                                                                             | B                                      | Dividend                               |                                                |                                    | Sold                                      | 02/22/19         | K                        |                         |                                                            |
| 51. Vanguard GNMA Admiral (VFIJX)                                                                                          | B                                      | Dividend                               | M                                              | T                                  | Buy                                       | 06/26/19         | M                        |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. 401(K) #2 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 53. -Vanguard 500 Index (VFINX)                                                                                            |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/22/19         | K                        |                         |                                                            |
| 54.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/15/19         | J                        |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 03/19/19         | N                        |                         |                                                            |
| 56. - Vanguard Small Capitalization Stock<br>(NAESX)                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/15/19         | J                        |                         |                                                            |
| 57.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 03/19/19         | L                        |                         |                                                            |
| 58. - Vanguard Total Bond Market Index Inv<br>(VBMFX)                                                                      | B                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 02/22/19         | K                        |                         |                                                            |
| 59.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/15/19         | J                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 03/19/19         | N                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 07/18/19         | J                        |                         |                                                            |
| 62. Northwestern Mutual Whole Life Policy                                                                                  | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 63. Northwestern Paid Up Life Insurance Policy<br>#1                                                                       | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 64. Northwestern Paid Up Life Insurance Policy<br>#2                                                                       | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 65.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 66. IRA #7 (Fidelity) (H)                                                                                                  |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 67. Fidelity Intermediate Treasury Bond Index<br>(FUAMX)                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/28/19         | K                        |                         |                                                            |
| 68. Fidelity Treasury Fund (FZFXX)                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. iShares Trust Core MSCI EAFE (IEFA)                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 70. iShares Core MSCI Emerging Markets (IEMG)                                                                              | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 71. iShares 0-5 Year Invstment Grade Corporate (SLQD)                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/02/19         | K                        |                         |                                                            |
| 72. iShares Core S&P US Value ETF (IUSV)                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 12/06/19         | K                        |                         |                                                            |
| 73. iShares S&P 500 Value (IVE)                                                                                            | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 03/28/19         | K                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 05/02/19         | K                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 12/06/19         | K                        |                         |                                                            |
| 76. NY 529 #1 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 77. Aggressive Growth Portfolio                                                                                            |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/12/19         | J                        |                         |                                                            |
| 78. Bond Market Index Portfolio                                                                                            |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/12/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Briccetti, Vincent L.

Date of Report

05/04/2020

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

On line 24, shares of NBB were tendered as part of an offer by the fund company.

On lines 60 and 61, the 401k was rolled over on 3/19 so the VBMFX was all sold. However, there was a dividend that came in after the rollover, which was subsequently sold on 7/18.

# FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Briccetti, Vincent L.

Date of Report

05/04/2020

## 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/ Vincent L. Briccetti**

**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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