

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) SIRAGUSA, CHARLES J.	2. Court or Organization U.S. DISTRICT COURT, WDNY	3. Date of Report 07/23/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.DISTRICT JUDGE (SENIOR)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 1360 UNITED STATES COURTHOUSE 100 STATE STREET ROCHESTER, NEW YORK 14614		
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. 2005	NEW YORK STATE RETIREMENT SYSTEM (DEFINED BENEFIT PENSION PLAN)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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> (yours, not spouse's)
1. 2019	NEW YORK STATE RETIREMENT SYSTEM	\$33,339.24
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. 2019	ATTORNEY (SELF-EMPLOYED)
2. 2019	BROWN, GRUTTADARO, GAUJEAN & PRATO, PLLC (SALARY)
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
SIRAGUSA, CHARLES J.	07/23/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)

1. INDIVIDUAL ASSETS (H)									
2. M & T BANK	A	Interest	M	T					
3. ACCOUNT # 1 (H)									
4. MORGAN STANLEY PRIVATE BANK NA (CASH)	A	Interest	J	T					
5. ADIDAS AG (ADDYY)	A	Dividend	J	T					
6. ADOBE SYSTEMS (ADBE)		None	J	T					
7. ADVANCE AUTO PARTS (AAP) (X)	A	Dividend	J	T					
8. ADYEN N V UNSPONSORED ADR (ADYFY) (X)		None	J	T					
9. AFLAC INCORPORATED (AFL) (Y)									
10. AIA GROUP LTD (AAGIY)	A	Dividend	J	T	Buy	01/22/19	J		
11. AIRBUS SE UNSPONSORED ADR (EADSY) (X)	A	Dividend	J	T					
12. AKAMAI TECHNOLOGIES (AKAM)		None	J	T					
13. ALEXION PHARM INC (ALXN)		None	J	T	Buy	01/22/19	J		
14. ALIBABA GROUP HLDG LTD (BABA)		None	J	T					
15. ALLERGAN PLC SHS (AGN)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
16. ALPHABET INC CL A (GOOGL)		None	J	T					
17. ALPHABET INC CL C (GOOG)		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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 40

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18. AMADEUS IT GROUP S.A ADR (AMADY)	A	Dividend	J	T					
19. AMAZON COM INC (AMZN)		None	J	T					
20. AMDOCS LIMITED ORD (DOX) (X)	A	Dividend	J	T					
21. AMERICAN EXPRESS CO (AXP)	A	Dividend	J	T					
22. ANADARKO PETROLEUM CORP. (APC)	A	Dividend			Buy (add'l)	01/22/19	J		
23.					Redeemed	08/09/19	J	B	
24. ANHEUSER-BUSCH INBEV SPONS (BUD) (X)	A	Dividend	J	T					
25. APPLE INC (AAPL)	A	Dividend	J	T					
26. ASML HLDG NV NEW YORK REG (ASML)	A	Dividend	J	T					
27. AUTODESK INC (ADSK)		None	J	T					
28. BIOGEN INC COM (BIIB)		None	J	T					
29. BIOMARIN PHARMAC SE (BMRN) (X)		None	J	T					
30. BLACKROCK INC. (BLK)	A	Dividend	J	T					
31. BROADCOM CORP (AVGO)	A	Dividend	J	T	Buy (add'l)	06/14/19	J		
32. BURBERRY GROUP PLC SPONS ADR (BURBY)	A	Dividend	J	T	Buy	01/22/19	J		
33. CDN PACIFIC RY LTD NEW (CP)	A	Dividend			Sold	09/11/19	J	A	
34. CELGENE CORP (CELG) (Y)									

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FINANCIAL DISCLOSURE REPORT

Page 6 of 40

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35. CHARLES SCHWAB CORP (SCHW)	A	Dividend	J	T					
36. CHECK POINT SOFTWARE TECH LTD (CHKP) (Y)									
37. CHIPOTLE MEXICAN GRILL (CMG)		None			Sold	10/04/19	J	A	
38. CITRIX SYSTEMS INC (CTXS)	A	Dividend	J	T					
39. COCA COLA CO. (KO) (Y)									
40. COMCAST CORP CL A-SPL (CMCSA)	A	Dividend	J	T					
41. COSTCO WHOLESALE CORP NEW (COST)	A	Dividend	J	T					
42. CREDIT AGRICOLE SA UNSP (CRARY) (X)		None	J	T					
43. CREE RESEARCH INC (CREE)		None	J	T					
44. DIAGEO PLC -SPONSORED ADR NEW (DEO)	A	Dividend	J	T					
45. DISCOVERY COMM SER A (DISCA)		None	J	T					
46. DOLBY LABORATORIES INC CLASS A (DLB)	A	Dividend	J	T					
47. ECOLAB INC (ECL)	A	Dividend	J	T					
48. EPIROC AKTIEBOLAG ADR (EPOKY) (X)	A	Dividend	J	T					
49. EQUINIX INC (EQIX)	A	Dividend	J	T	Buy	01/22/19	J		
50. ERSTE GROUP BANK AG SPONS ADR (EBKDY)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
51. FACEBOOK INC CL-A (FB)		None	J	T	Buy (add'l)	01/22/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 40

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52. FANUC CORPORATION UNSP ADR (FANUY)	A	Dividend	J	T	Buy	01/22/19	J		
53. FIDELIY NATYL INFORMATION (FIS) (X)	A	Dividend	J	T					
54. FIREEYE INC (FEYE) (X)		None	J	T					
55. FLUOR CORP NEW (FLR)	A	Dividend	J	T	Buy	01/22/19	J		
56. FREEPORT-MCMORAN INC (FCX)	A	Dividend	J	T					
57. GIVAUDAN SA ADR (GVDNY)	A	Dividend	J	T					
58. HDFC BANK LTD (HDB)	A	Dividend	J	T					
59. HOME DEPOT (HD)	A	Dividend	J	T					
60. HONEYWELL INTERNATIONAL INC (HON)	A	Dividend	J	T					
61. HONG KONG EXCHANGES & CLEARING (HKXCY) (Y)									
62. HOYA CORP SPONS ADR (HOCPY)	A	Dividend	J	T					
63. ICON PLC SP ADR (ICLR)		None	J	T					
64. IHS MARKIT LTD (INFO)		None	J	T					
65. INDUSTRIA DE DISENO TEXTIL IND (IDEXY) (X)	A	Dividend	J	T					
66. IONIS PHARMACEUTICALS (IONS)		None	J	T					
67. JOHNSON & JOHNSON (JNJ)	A	Dividend	J	T					
68. JOHNSON CTLS INTL PLC (JCI)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 40

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SIRAGUSA, CHARLES J.

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69. KAO CORP SPONS ADR (KCRPY)	A	Dividend	J	T					
70. KBC GROUP NV UNSPONS ADR (KBCSY)	A	Dividend	J	T					
71. L'OREAL CO ADR (LRLCY)	A	Dividend	J	T					
72. L 3 TECHNOLOGIES INC. (LLL)	A	Dividend			Merged (with line 73)	07/01/19	J		
73. L3 HARRIS TECHNOLOGIES INC (LHX)	A	Dividend	J	T					
74. LEGRAND SA (LGRDY)	A	Dividend	J	T	Buy	01/22/19	J		
75. LINDE PLC (LIN)	A	Dividend	J	T	Buy	01/22/19	J		
76. LONDON STK EXCHANGE GROUP ADR (LNSTY)	A	Dividend	J	T					
77. LVMH MOET HENNESSY (LVMUY)	A	Dividend	J	T	Buy	01/22/19	J		
78. MC CORMICK AND CO NON VOTING (MKC)	A	Dividend	J	T					
79. MEDTRONIC PLC SHS (MDT)	A	Dividend	J	T					
80. METTLER TOLEDO INTERNATIONAL INC. COMMON STOCK (MTD) (Y)									
81. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
82. NATIONAL OILWELL VARCO (NOV)	A	Dividend	J	T	Buy	01/22/19	J		
83. NESTLE SA SPONSORED ADR REPSTG REG SH (NSRGY)	A	Dividend	J	T					
84. NIDEC CORP (NJDCY)	A	Dividend	J	T	Buy	01/22/19	J		
85. NINTENDO CO LTD ADR (NTDOY)	A	Dividend	J	T	Buy	01/22/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 40

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86. NOVARTIS ADR (NVS) (X)	A	Dividend	J	T					
87. NOVO NORDISK A S ADR (NVO)	A	Dividend	J	T					
88. NUCOR CORP (NUE)	A	Dividend	J	T					
89. NUTANIX INC CL A (NTNX)		None	J	T					
90. NVIDIA CORP (NVDA) (X)	A	Dividend	J	T					
91. ORACLE CORP (ORCL)	A	Dividend	J	T	Buy	01/22/19	J		
92. ORIX CORP SPONS ADR (IX) (Y)									
93. PALO ALTO NETWORKS INC (PANW)		None	J	T					
94. PAYPAL HLDGS INC COM (PYPL) (Y)									
95. PING AN INSURANCE (PNGAY)	A	Dividend	J	T	Buy	01/22/19	J		
96. PIONEER NATURAL RESOURCES (PXD) (X)	A	Dividend	J	T					
97. QUALCOMM INC (QCOM)	A	Dividend	J	T					
98. QURATE RETAIL (QRTEA) (Y)									
99. RED HAT INC (RHT) (Y)									
100. REGENERON PHARM (REGN) (Y)									
101. RENTOKIL GROUP PLC SP ADR (RTOKY)	A	Dividend	J	T					
102. ROCHE HOLDINGS ADR (RHHBY) (X)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 40

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103. ROGERS COMM INC (RCI) (X)	A	Dividend	J	T					
104. SALESFORCE.COM, INC. (CRM) (X)		None	J	T					
105. SAP AG (SAP)	A	Dividend	J	T					
106. SEAGATE TECHNOLOGY (STX)	A	Dividend	J	T					
107. SHISEIDO LTD SPON ADR (SSDOY)	A	Dividend	J	T					
108. SHOPIFY INC (SHOP) (X)		None	J	T					
109. SPLUNK INC (SPLK)		None	J	T					
110. SPOTIFY TECH (SPOT) (X)		None	J	T					
111. SUNCOR ENERGY INC NEW COM (SU) (Y)									
112. STONECO LTD CL (STNE) (X)		None	J	T					
113. TAIWAN SMCNDCTR (TSM) (X)	A	Dividend	J	T					
114. TE CONNECTIVITY LTD NEW (TEL)	A	Dividend	J	T					
115. TECHNOPRO HLDGS (TCCPY) (X)	A	Dividend	J	T					
116. TELEPERFORMANCE SA (TLPFY)	A	Dividend	J	T	Buy	01/22/19	J		
117. TEMENOS GROUP AG SPON ADR (TMSNY)	A	Dividend	J	T					
118. TEXAS INSTRUMENTS (TXN)	A	Dividend	J	T					
119. THERMO FISHER SCIENTIFIC (TMO)	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	
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FINANCIAL DISCLOSURE REPORT

Page 11 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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120. THOMSON REUTERS CORP (TRI) (X)	A	Dividend	J	T					
121. TWITTER INC (TWTR)		None	J	T					
122. UBER TECH (UBER) (X)		None	J	T					
123. UMICORE SA ADR (UMICY) (X)	A	Dividend	J	T					
124. UNITED PARCEL SERVICE CL B (UPS)	A	Dividend	J	T					
125. UNITEDHEALTH GROUP INC. (UNH)	A	Dividend	J	T					
126. VERTEX PHARMACEUTICALS (VRTX)		None	J	T					
127. VISA INC (V)	A	Dividend	J	T					
128. VMWARE INC CLASS A (VMW)		None	J	T					
129. WW GRAINGER (GWW)	A	Dividend	J	T					
130. WALT DISNEY CO (DIS)	A	Dividend	J	T					
131. WESTERN DIGITAL CORP (WDC)	A	Dividend	J	T	Buy	01/22/19	J		
132. YUM CHINA HOLDINGS (YUMC) (Y)									
133. ZOETIS INC CLASS-A (ZTS)	A	Dividend	J	T					
134. ISHARES CORE RUSSELL US GR ETF (IUSG)		None			Sold	01/22/19	J	A	
135. ISHARES MSCI EAFE ETF (EFA)		None			Sold	01/22/19	K	A	
136. ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend			Sold	01/22/19	K	A	

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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FINANCIAL DISCLOSURE REPORT

Page 12 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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	(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)
137. ACCOUNT # 2 (H)									
138. BLACKROCK ADV US TOTAL MARKET I (MASPX)	A	Dividend	J	T					
139. BLACKROCK TECHNOLOGY OPPORTUNITY INST (BGSIX)	A	Dividend	J	T					
140. ACCOUNT # 3 (H)									
141. MORGAN STANLEY BANK, N.A.	A	Interest	J	T					
142. IRA #1 (H)									
143. CERES TACTICAL SYSTEMATIC LP		None			Redeemed	05/14/19	K		
144. IRA #2 (H)									
145. GOLDMAN SACHS SM CAP VAL A (GSSMX)	A	Dividend	J	T					
146. IRA #3 (H)									
147. BLACKROCK VALUE OPPORTUNITIES FUND INC CL INSTL (MASPX)	A	Dividend	J	T					
148. IRA #4 (H)									
149. BLACKROCK VALUE OPPORTUNITIES FUND INC CL INSTL (MASPX)	A	Dividend	J	T					
150. NY's COLLEGE SAVINGS PROGRAM #1 (H)									
151. VALUE STOCK INDEX PORTFOLIO		None	M	T	Sold (part)	03/25/19	J	A	
152.					Buy (add'l)	04/15/19	K		
153.					Sold (part)	08/09/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 13 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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	(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)
154.					Sold (part)	12/04/19	J	A	
155. CONSERVATIVE GROWTH PORTFOLIO		None	M	T	Sold (part)	03/25/19	J	A	
156.					Buy (add'l)	04/15/19	K		
157.					Sold (part)	08/09/19	J	A	
158.					Sold (part)	12/04/19	J	A	
159. NY'S COLLEGE SAVINGS PROGRAM #2 (H)									
160. VALUE STOCK INDEX PORTFOLIO		None	M	T	Sold (part)	01/07/19	J	A	
161.					Buy (add'l)	04/15/19	K		
162.					Sold (part)	09/17/19	J	A	
163.					Sold (part)	11/20/19	J	A	
164. CONSERVATIVE GROWTH PORTFOLIO		None	M	T	Sold (part)	01/07/19	J	A	
165.					Buy (add'l)	04/15/19	K		
166.					Sold (part)	09/17/19	J	A	
167.					Sold (part)	11/20/19	J	A	
168. DEFERRED COMPENSATION (H)									
169. FIDELITY LARGE CAP STOCK FUND		None	J	T					
170. VT FIDELITY CONTRAFUND		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 14 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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	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)
171. LAZARD INTERNATIONAL STRATEGIC EQUITY (Y)									
172. OAKMARK INTERNATIONAL INSTITUTIONAL		None	J	T					
173. IRA #5 (H)									
174. COHEN & STEERS INTL REALTY FUND A (IRFAX)	B	Dividend	K	T	Buy (add'l)	08/08/19	J		
175. COHEN & STEERS INTL REALTY FD C (IRFCX)	B	Dividend	J	T	Sold (part)	08/08/19	J		
176. ACCOUNT # 4 (H)									
177. MORGAN STANLEY BANK, N.A.	A	Interest	K	T					
178. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
179. ADOBE SYSTEMS (ADBE)		None	J	T					
180. ADVANCE AUTO PARTS (AAP) (X)	A	Dividend	J	T					
181. AES CORP (AES)	A	Dividend	J	T					
182. AKAMAI TECHNOLOGIES (AKAM)		None	J	T					
183. ALASKA AIR GROUP INC (ALK) (X)	A	Dividend	J	T					
184. ALEXION PHARM INC (ALXN)		None	J	T	Buy	01/22/19	J		
185. ALIBABA GROUP (BABA) (X)		None	J	T					
186. ALLERGAN PLC SHS (AGN)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
187.					Sold (part)	09/24/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 15 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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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				
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188. ALLISON TRANSMN HLDGS INC (ALSN)	A	Dividend	J	T					
189. ALPHABET INC CL A (GOOGL)		None	J	T					
190. ALPHABET INC CL C (GOOG)		None	J	T					
191. AMAZON (AMZN)		None	J	T					
192. AMERICAN INTL GROUP (AIG)	A	Dividend	J	T	Buy	01/22/19	J		
193. AMERICAN EXPRESS CO (AXP)	A	Dividend	J	T					
194. AMERICAN HOMES 4 RENT (AMH)	A	Dividend	J	T					
195. ANADARKO PETROLEUM CORP (APC)	A	Dividend			Buy (add'l)	01/22/19	J		
196.					Redeemed	08/09/19	J	A	
197. ANHEUSER-BUSCH (BUD)	A	Dividend	J	T	Buy	03/28/19	J		
198. AP MOLLAR-MAERSK A/S ADR (AMKBY)	A	Dividend	J	T	Buy	01/22/19	J		
199. APPLE INC (AAPL)	A	Dividend	J	T					
200. ARISTA NETWORKS INC (ANET) (X)		None	J	T					
201. ATOS ORIGIN SA ADR (AEXAY) (X)	A	Dividend	J	T					
202. AUTODESK INC. (ADSK)		None	J	T					
203. AUTOZONE INC (AZO)		None	J	T					
204. AXA ADS (AXAHY)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 16 of 40

Name of Person Reporting

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Date of Report

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205. BAIDU INC ADS (BIDU) (X)		None	J	T					
206. BANCO SANTANDER S.A. (SAN)	A	Dividend	J	T	Buy	01/22/19	J		
207. BANK OZK (OZK)	A	Dividend	J	T	Buy	01/22/19	J		
208. BARCLAYS PLC ADR (BCS) (X)	A	Dividend	J	T					
209. BASF SE SP ADR (BASFY)	A	Dividend	J	T	Buy	01/22/19	J		
210. BAYER AG SPONSORED ADR (BAYRY)	A	Dividend	J	T	Buy	01/22/19	J		
211. BAYERISCHE MOTOREN WERKE ADR (BMWYY)	A	Dividend	J	T	Buy	01/22/19	J		
212. BIOGEN INC COM (BIIB)		None	J	T	Sold (part)	02/19/19	J	A	
213. BIOMARIN PHARMAC (BMRM) (X)		None	J	T					
214. BLACKROCK INC. (BLK)	A	Dividend	J	T					
215. BNP PARIBAS SP ADR REPSTG (BNPQY)	A	Dividend	J	T	Buy	01/22/19	J		
216. BOEING CO. (BA)	A	Dividend	J	T					
217. BP PLC ADS (BP)	A	Dividend	J	T					
218. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend	J	T	Buy	01/22/19	J		
219. BROADCOM CORP CL A (AVGO)	A	Dividend	J	T					
220. CAPRI HOLDINGS LIMITED (CPRI) (X)		None	J	T					
221. CELGENE CORP (CELG) (Y)									

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FINANCIAL DISCLOSURE REPORT

Page 17 of 40

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222. CEMEX SAB DE CV (CX)	A	Dividend	J	T	Buy	01/22/19	J		
223. CHARLES SCHWAB CORP (SCHW)	A	Dividend	J	T					
224. CHINA CONSTRUCTION BANK CORP (CICHY) (X)	A	Dividend	J	T					
225. CHIPOTLE MEXICAN GRILL (CMG)		None			Sold	10/07/19	J	B	
226. CHOW TAI FOOK JEWELLERY (CJEWY) (X)	A	Dividend	J	T					
227. CISCO SYS INC (CSCO)	A	Dividend			Sold (part)	05/30/19	J	A	
228.					Sold	11/14/19	J	B	
229. CITIGROUP INC NEW (C)	A	Dividend	J	T					
230. CITRIX SYSTEMS INC (CTXS)	A	Dividend	J	T					
231. CNH INDL N V SHS (CNHI) (X)	A	Dividend	J	T					
232. COCA-COLA CO. (KO) (Y)									
233. COMCAST CORP CL A (CMCSA)	A	Dividend	J	T					
234. CONAGRA BRANDS INC (CAG) (X)	A	Dividend	J	T					
235. CONTL AG SPONS ADR (CTTAY) (X)	A	Dividend	J	T					
236. CORTEVA INC (CTCVA)	A	Dividend	J	T	Spinoff (from line 249)	06/05/19	J		
237. COSTCO WHOLESALE CORP NEW (COST)	A	Dividend	J	T					
238. COVETRUS INC (CVET) (X)		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 18 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

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07/23/2020

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239. CREDIT SUISSE GROUP (CS)		None			Buy	01/22/19	J		
240.					Sold	02/20/19	J		
241. CREE RESEARCH INC (CREE)		None	J	T					
242. CVS HEALTH CORP COM (CVS) (X)	A	Dividend	J	T					
243. DISCOVERY COMMUNICATIONS SER A (DISCA) (X)		None	J	T					
244. DANONE SPONSORED ADR (DANOY) (X)	A	Dividend			Sold	10/22/19	J	A	
245. DIAGEO PLC SPON ADR NEW (DEO) (X)		None			Sold	02/20/19	J	A	
246. DISCOVER FINCL SVCS (DFS) (Y)									
247. DOLBY LABORATORIES INC CLASS A (DLB)	A	Dividend	J	T					
248. DOW (DOW) (X) (Y)									
249. DOWDUPONT INC (DWDP) (Y)									
250. DUPONT DE NEMOURS INC (DD) (X)	A	Dividend	J	T					
251. DXC TECHNOLOGY COMPANY (DXC) (X)	A	Dividend	J	T					
252. E TRADE FINANCIAL CORP (ETFC) (X)	A	Dividend	J	T					
253. ECOLAB INC (ECL)	A	Dividend	J	T					
254. ENCANA CORP (ECA)	A	Dividend	J	T	Buy	01/22/19	J		
255. EQUINIX INC (EQIX)	A	Dividend	J	T	Buy	01/22/19	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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FINANCIAL DISCLOSURE REPORT

Page 19 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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.)

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	(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)
256. EURONET WORLDWIDE INC (EEFT)		None	J	T	Buy	09/24/19	J		
257. EXELON CORP (EXC)	A	Dividend	J	T					
258. FACEBOOK INC (FB)		None	J	T					
259. FAIRFAX FIN HLDG SUB VTG (FRFHF) (X)	A	Dividend	J	T					
260. FIDELITY NATL INFORMATION SE (FIS) (X)	A	Dividend	J	T					
261. FIREEYE INC (FEYE) (X)		None	J	T					
262. FIRST AMERICAN FINL CORP (FAF) (X)	A	Dividend	J	T					
263. FLUOR CORP NEW (FLR)	A	Dividend	J	T	Buy	01/22/19	J		
264. FOOT LOCKER (FL) (X)	A	Dividend	J	T					
265. FREEPORT-MCMORAN INC (FCX)	A	Dividend	J	T					
266. G4S PLC UNSPONS ADR (GFSZY)	A	Dividend	J	T	Buy	01/22/19	J		
267. GATX CORP (GATX)	A	Dividend	J	T					
268. GENTEX CORP (GNTX) (Y)									
269. GLENCORE PLC ADR (GLNCY) (X)	A	Dividend	J	T					
270. GRAY TELEVISION CL B COM (GTN) (X)		None	J	T					
271. GREEK ORGANISATION OF FOOTBALL (GOFPY) (X)	A	Dividend	J	T					
272. HALLIBURTON CO HOLDINGS CO (HAL)		None			Buy	01/22/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 20 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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.)

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273.					Sold	09/27/19	J		
274. HITACHI 10 COM NEW ADR (HTHIY)	A	Dividend	J	T	Buy	01/22/19	J		
275.					Sold (part)	06/07/19	J		
276. HOME DEPOT INC. (HD)	A	Dividend	J	T					
277. HONDA MOTOR COMPANY LTD ADR (HMC)	A	Dividend	J	T	Buy	01/22/19	J		
278. HONEYWELL INTL INC (HON)	A	Dividend	J	T					
279. HOYA CORP (HOCPY)	A	Dividend	J	T					
280. HYPERA SA ADR (HYPMY) (X)	A	Dividend	J	T					
281. IHS MARKIT LTD (INFO)		None	J	T					
282. IMPERIAL BRANDS PLC SPD ADR (IMBBY) (X)	A	Dividend	J	T					
283. INCITEC PIVOT LIMITED ADR (INCZY)		None			Buy	01/22/19	J		
284.					Sold	02/13/19	J		
285. INFINEON TECH AG (IFNNY) (X)		None	J	T					
286. INFOSYS LIMITED (INFY)	A	Dividend	J	T					
287. INTESA SANPAOLO ADR (ISNPY)	A	Dividend	J	T	Buy	01/22/19	J		
288. IONIS PHARMACEUTICALS (IONS)		None	J	T					
289. ITAU UNIBANCO MULTIPLE ADR (ITUB)	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
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FINANCIAL DISCLOSURE REPORT

Page 21 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)
290. JOHNSON & JOHNSON (JNJ)	A	Dividend	J	T					
291. JOHNSON CTLS INTL PLC (JCI)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
292. KEYCORP - NEW (KEY)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
293. KINDER MORGAN INCORP (KMI)	A	Dividend	J	T	Buy	01/22/19	J		
294.					Buy (add'l)	08/01/19	J		
295. L3 HARRIS TECHNOLOGIES (LHX)	A	Dividend	J	T	Sold (part)	05/01/19	J	B	
296. LIBERTY MEDIA C SER C SIRIUSXM (LSXMK)		None	J	T					
297. LINDE PLC (LIN)	A	Dividend	J	T	Buy	01/22/19	J		
298. MC CORMICK AND CO NON VOTING (MKC)	A	Dividend	J	T					
299. MEDTRONIC PLC SHS (MDT)	A	Dividend	J	T					
300. MERCK & CO INC. (MRK)	A	Dividend	J	T	Sold (part)	10/04/19	J	A	
301. MGIC INVT CORP (MTG)	A	Dividend	J	T					
302. MICROSOFT (MFST)	A	Dividend	J	T					
303. MURPHY USA INC COM (MUSA)	A	Dividend	J	T					
304. MYLAN N V (MYL)		None			Buy	01/22/19	J		
305.					Sold	10/01/19	J		
306. NATIONAL OILWELL VARCO INC (NOV)	A	Dividend	J	T	Buy	01/22/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 22 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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	(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)
307. NETAPP INC COM (NTAP)	A	Dividend	J	T	Buy	01/22/19	J		
308. NOVARTIS AG ADR (NVS)	A	Dividend	J	T					
309. NUANCE COMMUNICATIONS INC (NUAN) (X)		None	J	T					
310. NUCOR CORP (NUE)	A	Dividend	J	T					
311. NUTANIX INC CL A (NTNX)		None	J	T					
312. NUTRIEN LTD (NTR)	A	Dividend	J	T	Buy	01/22/19	J		
313. NVIDIA CORPORATION (NVDA) (X)	A	Dividend	J	T					
314. ONEMAIN HLDGS INC (OMF)	A	Dividend	J	T					
315. ORACLE CORP (ORCL)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
316.					Buy (add'l)	01/31/19	J		
317. OWENS CORNING (OC)	A	Dividend	J	T					
318. PALO ALTO NETWORKS INC (PANW)		None	J	T					
319. PAYPAL HLDGS INC COM (PYPL) (Y)									
320. PEBBLEBROOK HOTEL TRUST (PEB)	A	Dividend	J	T					
321. PIONEER NATURAL RESOURCES (PXD)	A	Dividend	J	T	Buy	01/22/19	J		
322. PJSC GAZPROM (OGZPY) (X)	A	Dividend	J	T					
323. POSCO ADS (PKX) (X)	A	Dividend	J	T					

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(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		
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 23 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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324. QUALCOMM INC (QCOM)	A	Dividend	J	T					
325. QURATE RETAIL (QRTEA) (Y)									
326. RED HAT INC (RHT) (Y)									
327. REGENERON PHARM (REGN) (Y)									
328. RIO TINTO PLC SPON ADR (RIO)		None			Sold	02/13/19	J	A	
329. ROCHE HOLDINGS (RHHBY)	A	Dividend	J	T					
330. ROYAL BK SCOTLAND GROUP SP ADR (RBS)	A	Dividend	J	T	Buy	01/22/19	J		
331. ROYAL DUTCH SHELL PLC (RDS'A)	A	Dividend			Sold	04/17/19	J	A	
332. SALESFORCE.COM, INC (CRM) (X)		None	J	T					
333. SANDERSON FARMS (SAFM)	A	Dividend	J	T					
334. SANOFI ADR (SNY)		None	J	T	Buy	11/27/19	J		
335. SCHLUMBERGER LTD (SLB) (X)		None	J	T					
336. SCHNEIDER ELEC SA UNSP ADR (SBGSY) (X)	A	Dividend	J	T					
337. SEAGATE TECHNOLOGY (STX)	A	Dividend	J	T					
338. SENSATA TECHNOLOGIES (ST)		None	J	T					
339. SERVICE CORP INTL (SCI)	A	Dividend	J	T					
340. SIGNET JEWELERS LIMITED (SIG) (Y)									

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FINANCIAL DISCLOSURE REPORT

Page 24 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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341. SPLUNK INC (SPLK)		None	J	T					
342. SPROUTS FARMERS MARKET INC (SFM)		None	J	T	Buy	01/22/19	J		
343. STANDARD CHARTERED PLC ADR (SCBFY)		None	J	T	Buy	11/13/19	J		
344. STANLEY BLACK & DECKER INC (SWK)	A	Dividend	J	T					
345. SUMITOMO MITSUI FINL GROUP INC (SMFG)	A	Dividend			Buy	01/24/19	J		
346.					Sold	06/03/19	J		
347. SUNCOR ENERGY INC (SU)	A	Dividend	J	T					
348. SYNCHRONY FINANCIAL (SYF)	A	Dividend	J	T	Buy (add'l)	01/24/19	J		
349. TE CONNECTIVITY LTD-CHF (TEL)	A	Dividend	J	T					
350. TEXAS INSTRUMENTS INC. (TXN)	A	Dividend	J	T					
351. THERMO FISHER SCIENTIFIC (TMO)	A	Dividend	J	T					
352. TOTAL S A SPON ADR (TOT)	A	Dividend	J	T					
353. TWITTER INC (TWTR)		None	J	T	Sold (part)	07/29/19	J	A	
354. US BANCORP (USB)	A	Dividend	J	T	Buy	01/24/19	J		
355. UBER TECH (UBER) (X)		None	J	T					
356. UBS GROUP AG SHS (UBS) (X)	A	Dividend	J	T					
357. UNILEVER PLC (NEW) ADS (UL)	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
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FINANCIAL DISCLOSURE REPORT

Page 25 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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358. UNITED PARCEL SERVICE (UPS)	A	Dividend	J	T					
359. UNITEDHEALTH GROUP INC. (UNH)	A	Dividend	J	T					
360. VERIZON COMM (VZ)	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
361.					Buy (add'l)	08/15/19	J		
362. VERTEX PHARMACEUTICALS (VRTX)		None	J	T	Sold (part)	11/08/19	J	A	
363. VIACOMCBS INC CL B (VIAC)	A	Dividend	J	T	Buy	01/22/19	J		
364. VISA INC COM (V)	A	Dividend	J	T					
365. VISTRA ENERGY CORP (VST) (X)	A	Dividend	J	T					
366. VMWARE INC CLASS A (VMW) (X)		None	J	T					
367. VODAFONE GROUP (VOD)	A	Dividend	J	T					
368. VOYA FINL INC (VOYA)	A	Dividend	J	T					
369. W W GRAINGER INC (GWW)	A	Dividend	J	T					
370. WALT DISNEY CO. (DIS)	A	Dividend	J	T					
371. WELLS FARGO & CO NEW (WFC)	A	Dividend	J	T	Buy (add'l)	01/22/19	J		
372. WESTERN DIGITAL CORPORATION (WDC)	A	Dividend	J	T	Buy	01/22/19	J		
373. WEYERHAEUSER CO. COMMON STOCK (WY) (X)	A	Dividend	J	T					
374. WIENERBERGER AG SPON ADR (WBRBY) (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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 26 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)
375. YUM CHINA HLDNGS (YUMC) (Y)									
376. ZOETIS INC CLASS A (ZTS)	A	Dividend	J	T					
377. VOLKSWAGEN AG RP ADR (VWAPY)	A	Dividend	J	T	Buy	02/12/19	J		
378. ISHARES CORE RUSSELL US GROWTH (IUSG)		None			Buy (add'l)	01/07/19	J		
379.					Sold	01/22/19	J	A	
380. ISHARES CORE RUSSELL US VALUE ETF (IUSV)		None			Buy (add'l)	01/07/19	J		
381.					Sold	01/22/19	L	A	
382. ISHARES RUSSELL 1000 ETF (IWF)		None			Sold	01/22/19	J	A	
383. VANGUARD FTSE DEVELOPED MKTS E		None			Buy (add'l)	01/07/19	J		
384.					Sold	01/22/19	K	A	
385. NEW YORK ST TWY AUTH GEN REV (650009Q89)	A	Interest	J	T	Buy	08/19/19	J		
386. NYS URB DEV CORP SER CONTR REV REF EMP ST (650035UM8)	A	Interest			Redeemed	01/02/19	J		
387. NEW YORK ST URBAN DEV CORP INCOME TAX REV-B-1 (6500355H7)	A	Interest			Redeemed	03/15/19	J		
388. NEW YORK ST DORM AUTH 3RD GENL (64990HMG2)	A	Interest			Redeemed	05/15/19	J		
389. ERIE CNTY NY FISCAL STABILITY AUTH (29508RGJ9)	A	Interest			Redeemed	08/15/19	J		
390. ONONDAGA CNTY N Y TR CULTURAL RES REV (68276FAK6)	A	Interest			Redeemed	12/02/19	J		
391. METROPOLITAN TRANSPORTATION AUTHORITY REV-E (59259YN54)	A	Interest	K	T					

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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)
392. SYRACUSE N Y PUB IMPT GENL OBLIG REF-A (871702U53)	A	Interest	K	T					
393. SUFFOLK CNTY NY GENL OBLIG REF SER-B (86476PPN2)	A	Interest	J	T					
394. LONG ISLAND PWR AUTH N Y ELEC SYS REV-B (5426907W6)	A	Interest	J	T					
395. TRIBOROUGH BRIDGE TUNNEL NY AU MTA BRDG TUNNEL GEN (89602NZE7)	A	Interest	K	T					
396. ROCKLAND CNTY NY SOLID WASTE MGMT AUGH GENL OB REF-A (773562EN9)	A	Interest	J	T					
397. BUFFALO NY GENL OBLIG REF-A (119677MP4)	A	Interest	J	T					
398. ROCKLAND CNTY NY GENL OBLIG REF (77355PVK6)	A	Interest	J	T					
399. NEW YORK CITY MUN WTR FIN (64972GUP7)	A	Interest	K	T	Buy	12/05/19	K		
400. UTIL DEBT NY SEC AUTH (91802RCS6)	A	Interest	J	T	Buy	04/05/19	J		
401. NEW YORK ST DORM AUTH REVS NON ST SUPPOR REV-A (64990CUX7)	A	Interest	J	T					
402. NASSAU CNTY N Y FOR ISSUES DTD PRIOR TO (63165TWF8)	A	Interest	J	T					
403. NEW YORK NY CITY MUN WTR FIN AUTH WTR (64972GRP1)	A	Interest	J	T					
404. ST OF NEW YORK AUTH UNIV REV-A (64990CEG2)	A	Int./Div.	J	T					
405. LONG ISLAND PWR AUTH N Y ELEC SYS (5426907Y2)	A	Interest	J	T	Buy	06/28/19	J		
406. WESTCHESTER CNTY N Y GENL OBLIG SER-B (95736UR89)	A	Interest	J	T					
407. HUDSON YDS INFRASTRUCTURE CORP N Y SECOND INDENTURE REV-A (44420RAK6)	A	Interest	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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408. ONEIDA CNTY NY PUB IMPT (682455DU1)	A	Interest	J	T	Buy	05/22/19	J		
409. WESTERN NASSAU CNTY N Y WTR AUTH WTR SYS REV-B (958792DR1)	A	Interest	J	T					
410. NEW YORK ST ENVIRONMTL FACS CO RP CLEAN WTR (64986DDH5)	A	Interest	J	T					
411. NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT REV-A (64990BT29)	A	Interest	J	T					
412. NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT REV-B (64990BUN1)	A	Interest	K	T					
413. LONG IS PWR AUTH NY ELEC SYS REV (542691AF7)	A	Interest	J	T					
414. TRIBOROUGH BRIDGE TUNNEL AUTH GENL REV-A (89602N5D2)	A	Interest	J	T					
415. NEW YORK N Y CITY TR CULTURAL RES REV-A (649717UE3)	A	Interest	K	T					
416. YONKERS NY GENL OBLIG (986082A47)	A	Interest	J	T	Buy	11/18/19	J		
417. NEW YORK LIBERTY DEV CORP (649519CD5)	A	Interest	J	T	Buy	03/21/19	J		
418. SALES TAX ASSET RECEIVABLE CORP REV-A (794665FS3)	A	Interest	J	T	Buy	09/18/19	J		
419. ACCOUNT # 5 (H)									
420. MORGAN STANLEY BANK, N.A.	A	Interest	K	T					
421. MSILF GOVERNMENT PTF INST (MVRXX)	A	Dividend	K	T	Buy	04/11/19	K		
422. DELAWARE LIFE NY SUN UL PROTECTOR (whole life)		None	M	T					
423. IRA # 6 (H)									

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FINANCIAL DISCLOSURE REPORT

Page 29 of 40

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424. AQR EQ MARKET NEUTRAL INST (QMNIX)		None			Sold	04/15/19	M		
425. AQR MANAGED FUTURES STRATEGY 1 (AQMIX)	B	Dividend	K	T					
426. GOLDMAN SACHS SM CAP VAL I (GSSIX)	C	Dividend	L	T					
427. LORD ABBETT FLT RT F (LFRFX)	B	Dividend			Sold	04/15/19	L		
428. LORD ABBETT SHT DURATION INC F (LDLFX)	B	Dividend	M	T	Buy	04/11/19	M		
429. PUTNAM MLTI ASSET ABS RET Y (PDMYX)		None	M	T	Buy	04/24/19	M		
430. IRA #7 (H)									
431. MORGAN STANLEY BANK N.A. (CASH)	A	Interest	K	T					
432. ABB LTD (ABB) (X)	A	Dividend	J	T					
433. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
434. ACI WORLDWIDE INC (ACIW) (X)		None	J	T					
435. ADVANCED DISPOSAL SERVICES (ADSW) (Y)									
436. ALLERGAN PLC SHS (AGN)	A	Dividend	J	T	Buy (add'l)	06/05/19	J		
437.					Sold (part)	11/18/19	J		
438. ALPHABET INC CL C (GOOG)		None	J	T					
439. ALTRA HLDGS INC (AIMC)	A	Dividend	J	T					
440. AMER INTL GP INC NEW (AIG)	A	Dividend	J	T	Sold (part)	11/18/19	J		

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Page 30 of 40

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441. ANHEUSER BUSCH INBEV SA SPON (BUD) (Y)									
442. AON PLC SHS CL-A (AON)	A	Dividend	J	T					
443. ASSA ABLOY AB UNSP ADR (ASAZY)	A	Dividend	J	T					
444. AXALTA COATING SYSTEMS LTD. (AXTA)		None	J	T					
445. BANCORPSOUTH INC (BXS)	A	Dividend	J	T					
446. BB SEGURIDADE PARTICIPACOES (BBSEY) (X)	A	Dividend	J	T					
447. BEIERSDORF AG UNSPONS ADR (BDRFY) (X)	A	Dividend	J	T					
448. BERKLEY W R CORP (WRB)	A	Dividend	J	T	Sold (part)	06/24/19	J	B	
449. BERKSHIRE HATHAWAY CL-B NEW (BRK'B)		None	J	T					
450. BHP BILLITON LTD (BHP)	A	Dividend	J	T					
451. BLACK KNIGHT INC (BKI)		None	J	T	Sold (part)	11/18/19	J	A	
452. BMC STK HLDGS INC (BMCH) (X)		None	J	T					
453. BNP PARIBAS SP ADR REPSTG (BNPQY) (X)	A	Dividend	J	T					
454. BROOKFIELD ASSET MGNT CL A LTD (BAM)	A	Dividend	J	T	Sold (part)	11/18/19	J	A	
455. BROOKS AUTOMATION INC (BRKS)	A	Dividend	J	T					
456. BRUNSWICK CORP (BC) (X)	A	Dividend	J	T					
457. CARLSBERG AS (CABGY)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 31 of 40

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458. CASELLA WASTE SYS INC CL A (CWST) (X)		None	J	T					
459. CERNER CORP (CERN)	A	Dividend	J	T	Buy	01/24/19	J		
460.					Buy (add'l)	01/25/19	J		
461.					Sold (part)	11/18/19	J	A	
462. COMPAGNIE FIN RICHEMONTAG ADR (CFRUY)	A	Dividend	J	T					
463. COMPASS GROUP PLC SPD ADR (CMPGY)	A	Dividend	J	T					
464. CVB FINCL CP (CVBF)	A	Dividend	J	T					
465. DAIWA HOUSE IND LTD ADR (DWAHY)	A	Dividend	J	T					
466. DBS GROUP HOLDINGS LTD SP (DBSDY)	A	Dividend	J	T					
467. DELTA AIR LINES NEW (DAL)	A	Dividend	J	T	Buy	05/21/19	J		
468.					Buy (add'l)	08/08/19	J		
469. DIAGEO PLC SPON ADR NEW (DEO)	A	Dividend	J	T					
470. ENGIE SPONS ADR (ENGIY) (X)	A	Dividend	J	T					
471. ENN ENERGY HOLDINGS LTD UNSPON (XNGSY) (X)	A	Dividend	J	T					
472. EQUINOR ASA (EQNR) (Y)									
473. ESCO TECH (ESE) (X)	A	Dividend	J	T					
474. FASTENAL CO (FAST)	A	Dividend	J	T	Sold (part)	02/22/19	J	B	

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FINANCIAL DISCLOSURE REPORT

Page 32 of 40

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475.					Sold (part)	04/11/19	J	A	
476. FERGUSON PLC SPONSORED ADR (FERGY)	A	Dividend	J	T					
477. FULLER HB & CO (FUL) (X)	A	Dividend	J	T					
478. GIBRALTAR INDUSTRIES INC (ROCK) (X)		None	J	T					
479. GLACIER BANCORP (GBCI)	A	Dividend	J	T					
480. GRUPO FINANCIERO BANORTE SAB (GBOOY) (X)	A	Dividend	J	T					
481. IBERIA BK CORP (IBKC)	A	Dividend	J	T					
482. ICF INTL INC (ICFI) (X)		None	J	T					
483. ICICI BANK LTD (IBN)	A	Dividend	J	T					
484. ILL TOOL WORKS INC (ITW)	A	Dividend	J	T	Sold (part)	11/18/19	J	A	
485. INDEPENDENT BK MASS (INDB)	A	Dividend	J	T					
486. INTEGER HOLDINGS CORP (ITGR) (X)		None	J	T					
487. J&J SNACK FOODS (JJSF) (X)	A	Dividend	J	T					
488. JOHNSON & JOHNSON (JNJ)	A	Dividend			Sold	01/24/19	J		
489. KAO CORP (KAOOY) (X)	A	Dividend	J	T					
490. KOMATSU LTD SPON ADR NEW (KMTUY) (X)	A	Dividend	J	T					
491. LA Z BOY INCORPORATED (LZB)	A	Dividend	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 33 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)
492. LOWES COMPANIES INC (LOW)	A	Dividend	J	T	Sold (part)	11/18/19	J	A	
493. MAKITA CORPORATION LTD ADR NEW (MKTAY)	A	Dividend	J	T					
494. MARKEL CORP (HOLDING CO) (MKL)		None	J	T					
495. MASTERCARD INC CL A (MA)	A	Dividend	J	T	Sold (part)	04/03/19	J	B	
496.					Sold (part)	07/12/19	J	A	
497. MATADOR RES CO (MTDR) (X)		None	J	T					
498. MEDTRONIC PLC SHS (MDT)	A	Dividend	J	T					
499. MOWI ASA ADR (MHGVY) (X)	A	Dividend	J	T					
500. NINTENDO CO LTD ADR NEW (NTDOY) (X)	A	Dividend	J	T					
501. NORDEA NK SWEDEN AB (PUBL) ADR (NRBAY)	A	Dividend	J	T					
502. NOVARTIS AG ADR (NVS)	A	Dividend	J	T					
503. NXP SEMICONDUCTORS (NXPI)	A	Dividend	J	T	Sold (part)	11/18/19	J		
504. ONE GAS INC (OGS) (X)	A	Dividend	J	T					
505. ORACLE CORP (ORCL)	A	Dividend	J	T					
506. PEBBLEBROOK HOTEL TR COM (PEB)	A	Dividend	J	T					
507. PEPSICO INC NC (PEP)	A	Dividend	J	T					
508. PHYSICIANS REALTY TRUST (DOC) (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 \$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 34 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)
509. PING AN INSURANCE ADR (PNGAY)	A	Dividend	J	T					
510. PLEXUS CORP (PLXS) (X)		None	J	T					
511. PRUDENTIAL PLC ADR (PUK)	A	Dividend	J	T					
512. QTS RLTY TR INC COM CL A (QTS)	A	Dividend	J	T					
513. RED ELECTRICA CORPORACION SA (RDEIY) (Y)									
514. RELX PLC SPONSORED ADR (RELX)	A	Dividend	J	T					
515. ROGERS CORP (ROG) (Y)									
516. ROYAL DSM NV SPONSORED ADR (RDSMY) (X)	A	Dividend	J	T					
517. ROYAL DUTCH SHELL PLC (RDS'A)	A	Dividend	J	T					
518. RYANAIR HLDGS PLC ADR (RYAAY) (X)		None	J	T					
519. RYOHIN KEIKAKU CO LTD ADR (RYKKY)	A	Dividend	J	T					
520. SAFRAN SA (SAFRY)	A	Dividend	J	T					
521. SAMPO OYJ UNSPON ADR (SAXPY)	A	Dividend	J	T					
522. SANLAM LTD ADR (SLLDY) (Y)									
523. SAP AG (SAP)	A	Dividend	J	T					
524. SCHLUMBERGER LTD (SLB)	A	Dividend			Sold	12/18/19	J		
525. SELECTIVE INS GRP (SIGI)	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 35 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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)
526. SHIN ETSU CHEM CO LTD ADR (SHECY) (X)	A	Dividend	J	T					
527. SOUTH ST CORP COM (SSB) (X)	A	Dividend	J	T					
528. STARBUCKS CORP WASHINGTON (SBUX)	A	Dividend	J	T	Sold (part)	04/11/19	J	A	
529.					Sold (part)	07/09/19	J	A	
530. STRYKER CORP (SYK)	A	Dividend	J	T					
531. SUMITOMO MITSUI FINL GROUP INC (SMFG)	A	Dividend	J	T					
532. SUNCOR ENERGY INC (SU)	A	Dividend	J	T					
533. SYNEX CORP (SNX)	A	Dividend	J	T					
534. TAIWAN SMCNDCR MFG CO LTD ADR (TSM)	A	Dividend	J	T					
535. TELENOR ASA ADS (TELNY)	A	Dividend	J	T					
536. TENCENT HLDGS LTD UNSPON ADR (TCEHY)	A	Dividend	J	T	Sold (part)	06/06/19	J		
537.					Sold (part)	10/15/19	J		
538. TESCO PLC SPONSORED ADR (TSCDY) (X)	A	Dividend	J	T					
539. THERMO FISHER SCIENTIFIC (TMO)	A	Dividend	J	T	Sold (part)	04/04/19	J	A	
540. TJX COS INC NEW (TJX)	A	Dividend	J	T	Sold (part)	11/18/19	J	A	
541. UBISOFT ENTMT SA UNSPON ADR (UBSFY) (Y)									
542. UNILEVER PLC (NEW) ADS (UL)	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 36 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

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07/23/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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543. UNITED TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					
544. US ECOLOGY INC NEW (ECOL) (Y)									
545. VINCI SA ADR (VCISY)	A	Dividend	J	T					
546. VIVENDI SA UNSPON ADR (VIVHY)	A	Dividend	J	T					
547. WOLTERS KLUWER NV SPON ADR (WTKWY)	A	Dividend	J	T					
548. WOLVERINE WORLD WIDE (WWW)	A	Dividend	J	T					
549. VOLKSWAGEN AG RP (VWAPY)	A	Dividend	J	T					
550. VERIZON COMMUNICATIONS (92343VBR4)	A	Interest	J	T					
551. BANK OF AMERICA CORP (06051GFB0)	A	Interest	J	T					
552. GOLDMAN SACHS GROUP INC (38141GVM3)	A	Interest	J	T					
553. SHELL INTERNATIONAL FINANCE BV (822582BT8)	A	Interest	J	T					
554. WELLS FARGO CO F XD (95000U2A0)	A	Interest	J	T					
555. CITIGROUP INC 3.66 FXD TO 07/24/2027 FLTS THRFT (172967LP4)	A	Interest	J	T					
556. COMCAST CORP (20030NCT6)	A	Interest	J	T	Buy	03/28/19	J		
557. JPMORGAN CHASE & CO (46647PAV8)	A	Interest	J	T	Buy	01/25/19	J		
558. JP MORGAN CHASE & CO (4662HHS2)	A	Interest			Sold	01/25/19	J		
559. GENERAL ELECTRIC CAPITAL CORP (36962G3P7)	A	Interest	J	T	Sold (part)	10/01/19	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	
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 37 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

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07/23/2020

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560. MICROSOFT CORP (594918CA0)	A	Interest	J	T					
561. ENTERPRISE PRODUCTS OPER (29379VBU6)	A	Interest	J	T					
562. BP CAPITAL MARKETS PLC (05565QDB1)		None			Sold	03/28/19	J		
563. UNITED STATES TREASURY NOTE (9128284Y3)	A	Interest	J	T	Buy (add'l)	02/25/19	J		
564.					Sold (part)	05/02/19	J	A	
565. UNITED STATES TREASURY NOTE (912828F21)	A	Interest			Sold	05/02/19	J		
566. UNITED STATES TREASURY NOTE (9128283W8)	A	Interest			Sold	05/02/19	J	A	
567. UNITED STATES TREASURY BOND (912810RM2)	A	Interest	K	T	Buy (add'l)	10/01/19	J		
568. UNITED STATES TREASURY BOND (912810RQ3)	A	Interest	J	T					
569. UNITED STATES TREASURY BOND (912810SF6)	A	Interest	K	T	Buy	05/02/19	K		
570.					Buy (add'l)	05/07/19	J		
571. FED NATL MTG ASSN (31359MGK3)	A	Interest	J	T					
572. FHLMC 30 YR GOLD (3128MJZB9)	A	Interest	J	T	Buy	09/12/19	J		
573. FEDERAL NATIONAL MTG ASSN POOL MA3521 (31418C4F8)	A	Interest	K	T	Buy	05/13/19	K		
574.					Buy (add'l)	07/15/19	J		
575. FEDERAL NATIONAL MTG ASSN POOL MA3527 (31418C4M3)	A	Interest	J	T	Buy	01/14/19	J		
576.					Buy (add'l)	03/11/19	J		

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	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)
577. FHLMC 30 YR GOLD (3132ADWF1)	A	Interest	J	T	Buy	11/13/19	J		
578. FHLMC 30 YR GOLD (31335APZ5)	A	Interest			Sold	05/13/19	K		
579. FHLMC 30YR GOLD (3128MJW71) (X)	A	Interest			Sold	01/14/19	J		
580. FED NATL MTG ASSN POOL MA3803 (31418DGM8)	A	Interest	K	T	Buy	10/10/19	K		
581. FEDERAL NATIONAL MTG ASSN POOL BM1285 (3140J5NB1)	A	Interest			Sold	09/12/19	J		
582. FEDERAL NATIONAL MTG ASSN POOL MA3210 (31418CR89)	A	Interest			Sold	10/10/19	K		
583. AQR STYLE PREMIA ALTERNATIVE I (QSPIX)	C	Dividend	M	T	Buy (add'l)	06/05/19	J		
584. WESTERN ASSET SMASH SERIES C (LMLCX)	B	Dividend	K	T	Sold (part)	04/04/19	J		
585. WESTERN ASSET SMASH SERIES EC (LMECX)	D	Dividend	L	T	Sold (part)	04/04/19	J		
586.					Buy (add'l)	05/28/19	J		
587. WESTERN ASSET SMASH SERIES M (LMSMX)	D	Dividend	L	T	Sold (part)	04/04/19	J	A	
588.					Buy (add'l)	05/28/19	J		
589.					Buy (add'l)	07/01/19	J		
590.					Buy (add'l)	07/05/19	J		
591.					Buy (add'l)	12/23/19	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
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FINANCIAL DISCLOSURE REPORT

Page 39 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

VIACOMCBS INC CL B (VIAC) was CBS CORP NEW CL B SHRS (CBS).

L3 HARRIS TECHNOLOGIES (LHX) was L3 TECHNOLOGIES INC. (LLL)

FINANCIAL DISCLOSURE REPORT

Page 40 of 40

Name of Person Reporting

SIRAGUSA, CHARLES J.

Date of Report

07/23/2020

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/ CHARLES J. SIRAGUSA**

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