

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) Engelmayer, Paul A.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 09/17/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	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 Thurgood Marshall United States Courthouse 40 Centre Street New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1
2. Trustee	Trust #2
3. Trustee	Trust #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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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Harvard Law School	01/13/19-01/19/19	Cambridge, MA	Instructor, Trial Advocacy Workshop	Transportation and Meals
2.	Harvard Law School	03/07/2019	Cambridge, MA	Instructor, White-Collar Crime Course	Transportation and Meals
3.	Harvard Law Review	05/07/2019	Cambridge, MA	Attendee at trustees meeting	Transportation and Meals
4.	Second Circuit Judicial Conference	06/06/2019-06/07/2019	New Paltz, New York	Attendee at the Second Circuit Judicial Conference	Transportation and Lodging
5.	Judicial Conference of the United States	06/11/2019-06/24/2019	Chicago, Illinois	Attendee at JCUS bankruptcy committee meeting	Transportation and Meals

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6.	Judicial Conference of the United States	12/09/2019-12/11/2019	Washington, DC	Attendee at JCUS bankruptcy committee meeting	Transportation and Meals
7.	Harvard Law Review	12/13/2019	Cambridge, MA	Attendee at trustees meeting	Transportation and Meals

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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. Brokerage #1 (H)									
2. Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
3. Coho Relative Value Equity Advisor	A	Int./Div.	J	T	Sold (part)	07/02/19	N		
4.					Sold (part)	09/30/19	O		
5. First Eagle Global Inst CL I	D	Int./Div.	M	T					
6. FPA Crescent	D	Int./Div.	M	T	Sold (part)	01/18/19	L	A	
7.					Sold (part)	06/18/19	M	A	
8. iShares MSCI Emerging Market Index Fund	B	Int./Div.	L	T					
9. Parametric Emerging Markets Fund I	D	Int./Div.	N	T					
10. Salient MLP & Energy Infrastructure I	E	Int./Div.	N	T					
11. Syntax Stratified Largecap ETF	D	Int./Div.	O	T	Buy	07/03/19	N		
12.					Buy (add'l)	10/01/19	O		
13. Brokerage #4 (H)									
14. Berkshire Hathaway Inc Del A		None	P2	T					
15. Berkshire Hathaway Inc Del B		None	M	T	Sold (part)	11/07/19	J	D	
16. Coho Relative Value Equity Advisor		None			Sold	07/02/19	J	D	
17. First Eagle Global Inst CL I	F	Int./Div.	P1	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	

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. FPA Crescent	D	Int./Div.	M	T					
19. JPMorgan Strategic Income Opportunities Fund I Class	D	Int./Div.	N	T					
20. Parnassus Core Equity Institutional		None	P1	T					
21. Salient MLP & Energy Infrastructure I	D	Int./Div.	N	T	Buy	05/14/19	M		
22. Syntax Stratified Largecap ETF	C	Int./Div.	N	T	Buy	07/03/19	N		
23. WCM Focused International Growth Instl	B	Int./Div.	O	T					
24. WisdomTree US LargeCap Dividend ETF	E	Int./Div.	P1	T					
25. Brokerage #5 (H)									
26. NY St Dorm Auth Per 5% 02/15/2034 (64990E3G0)	A	Int./Div.	L	T	Buy	01/31/19	L		
27. Triborough Brdg & Tunl Auth N Y Revs 05		None	N	T					
28. IRA #1 Roth1 (H)									
29. Aberdeen Emerging Markets Instl	A	Int./Div.	K	T	Buy (add'l)	05/15/19	K		
30.					Buy	12/20/19	J		
31. BBH Core Select N		None			Sold	05/14/19	K	A	
32. Carillon Reams Unconstrained Bond I		None			Sold	05/14/19	K	A	
33.					Buy (add'l)	02/01/19	J		
34.					Buy (add'l)	03/01/19	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	

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)
35.					Buy (add'l)	04/01/19	J		
36.					Buy (add'l)	05/01/19	J		
37. First Eagle Global Inst CL I	A	Int./Div.	K	T	Buy (add'l)	12/18/19	J		
38. Salient MLP & Energy Infrastructure I	A	Int./Div.	J	T	Sold (part)	05/16/19	J		
39.					Sold (part)	08/19/19	J		
40.					Sold (part)	05/16/19	J		
41.					Sold (part)	11/18/19	J		
42. Vanguard Total Stock Market ETF	A	Int./Div.	K	T	Buy (add'l)	05/15/19	K		
43.			J	T	Buy (add'l)	11/15/19	J		
44.									
45. IRA#1 Roth2 (H)									
46. Aberdeen Emerging Markets Instl	A	Int./Div.	K	T	Buy (add'l)	12/20/19	J		
47. BBH Core Select N		None			Sold	05/14/19	K	A	
48. Salient MLP & Energy Infrastructure I	B	Int./Div.	K	T	Buy (add'l)	05/16/19	J		
49.					Buy (add'l)	02/19/19	J		
50.					Buy (add'l)	11/18/19	J		
51.					Buy (add'l)	05/16/19	J		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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52. Vanguard Total Stock Market ETF	A	Int./Div.	K	T	Buy (add'l)	05/15/19	K		
53.					Buy (add'l)	11/15/19	J		
54. WCM Focused International Growth Instl	A	Int./Div.	K	T	Buy (add'l)	12/06/19	J		
55. IRA #3 (H)									
56. Aberdeen Emerging Markets Instl	A	Int./Div.	K	T					
57. BBH Core Select N		None			Sold	05/14/19	K	A	
58. Carillon Reams Unconstrained Bond I	A	Int./Div.	K	T					
59. First Eagle Global Inst CL I	A	Int./Div.	K	T					
60. Salient MLP & Energy Infrastructure I	A	Int./Div.	J	T					
61. Vanguard Total Stock Market ETF	A	Int./Div.	K	T	Buy	05/15/19	K		
62.					Buy	11/15/19	J		
63. IRA #4 (H)									
64. Carillon Reams Unconstrained Bond I	C	Int./Div.	M	T	Sold (part)	05/31/19	J	A	
65.					Sold (part)	07/16/19	J	A	
66.					Sold (part)	10/11/19	J	A	
67. Salient MLP & Energy Infrastructure I	B	Int./Div.	L	T					
68. IRA #5 (H)									

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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69. Aberdeen Emerging Markets Instl	A	Int./Div.	L	T					
70. Carillon Reams Unconstrained Bond I	B	Int./Div.	K	T	Sold (part)	05/31/19	J	A	
71.					Sold (part)	10/11/19	J	A	
72.					Sold (part)	07/16/19	J	A	
73. IRA #6 (H)									
74. CapitalSpring Investment Partners V Parallel III, LP	A	Distribution	N	T					
75. FPA Crescent	D	Int./Div.	M	T	Sold (part)	02/01/19	L	A	
76.					Sold (part)	02/27/19	K	A	
77.					Buy (add'l)	11/15/19	K		
78.					Sold (part)	12/12/19	J	A	
79.					Sold (part)	12/18/19	J		
80. JPMorgan Strategic Income Opportunities Fund I Class	D	Int./Div.	M	T	Sold (part)	04/02/19	J	A	
81.					Buy (add'l)	03/27/19	J		
82.					Sold (part)	11/20/19	J	A	
83.					Buy (add'l)	11/26/19	J		
84.					Buy (add'l)	12/27/19	J		
85. Vanguard Total Stock Market ETF	A	Int./Div.	L	T	Buy (add'l)	05/14/19	K		

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86.					Buy (add'l)	11/15/19	K		
87.					Buy (add'l)	12/31/19	J		
88. Trust #1 (H)									
89. BBH Core Select N		None			Sold	07/26/19	K	A	
90. Berkshire Hathaway Inc Del B		None	L	T					
91. BlackRock Strategic Income Opps Instl		None			Sold	07/26/19	L	A	
92. Coho Relative Value Equity Advisor	B	Int./Div.	K	T					
93. Credit Suisse Floating Rate Hi Inc A		None			Sold	07/26/19	J	A	
94. First Eagle Global Inst CL I	B	Int./Div.	K	T	Sold (part)	07/26/19	J	B	
95. FPA Crescent	B	Int./Div.	K	T	Buy (add'l)	07/31/19	J		
96. iShares MSCI Emerging Market Index Fund	A	Int./Div.	K	T					
97. iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
98. Plattsburgh NY (GO)	A	Int./Div.	J	T	Buy (add'l)	07/29/19	J		
99. Salient MLP & Energy Infrastructure I	A	Int./Div.	K	T	Buy (add'l)	07/30/19	K		
100. Templeton Global Bond Fund Advisor Class		None			Sold	07/26/19	J	A	
101. Vanguard S&P 500 ETF	A	Int./Div.	L	T	Buy (add'l)	07/30/19	L		
102. Vanguard Small Cap ETF	A	Int./Div.	J	T	Buy (add'l)	07/30/19	J		

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103. WCM Focused International Growth Instl	A	Int./Div.	K	T	Buy (add'l)	07/30/19	J		
104. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T					
105. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T					
106. Trust #2 (H)									
107. BBH Core Select N		None			Sold	07/26/19	J	A	
108. Berkshire Hathaway Inc Del B		None	L	T					
109. BlackRock Strategic Income Opps Instl		None			Sold	07/26/19	L	A	
110. Coho Relative Value Equity Advisor	B	Int./Div.	K	T					
111. Credit Suisse Floating Rate Hi Inc A		None			Sold	07/26/19	J	A	
112. First Eagle Global Inst CL I	A	Int./Div.	J	T	Sold (part)	07/26/19	J	B	
113. FPA Crescent	A	Int./Div.	J	T					
114. iShares MSCI Emerging Market Index Fund	A	Int./Div.	J	T					
115. iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
116. Salient MLP & Energy Infrastructure I	A	Int./Div.	K	T	Buy (add'l)	07/30/19	K		
117. Templeton Global Bond Fund Advisor Class		None			Sold	07/26/19	J	A	
118. Vanguard S&P 500 ETF	A	Int./Div.	L	T	Buy (add'l)	07/30/19	L		
119. Vanguard Small Cap ETF	A	Int./Div.	J	T	Buy (add'l)	07/30/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. WCM Focused International Growth Instl	A	Int./Div.	K	T					
121. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T					
122. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T					
123. UTMA #3 (H)									
124. Aberdeen Emerging Markets Instl	A	Int./Div.	J	T	Buy (add'l)	12/20/19	J		
125. First Eagle Global Inst CL I	A	Int./Div.	J	T	Buy (add'l)	12/18/19	J		
126. Templeton Global Bond Fund Advisor Class		None			Sold	05/14/19	K	A	
127. Vanguard Emerging Market	A	Int./Div.	K	T	Buy (add'l)	05/15/19	K		
128. WCM Focused International Growth Instl	A	Int./Div.	K	T	Buy (add'l)	05/15/19	J		
129.					Buy (add'l)	12/06/19	J		
130. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T	Buy (add'l)	02/25/19	J		
131. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T	Buy (add'l)	02/25/19	J		
132. UTMA #4 (H)									
133. Aberdeen Emerging Markets Instl	A	Int./Div.	J	T	Buy (add'l)	12/20/19	J		
134. Berkshire Hathaway Inc Del B		None	M	T					
135. First Eagle Global Inst CL I	B	Int./Div.	K	T	Buy (add'l)	12/18/19	J		
136. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T	Buy (add'l)	02/25/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. 529 #1 (H)									
138. Growth Stock Index Portfolio		None	K	T					
139. Value Stock Index Portfolio		None	K	T					
140. Inflation-Protected Securities Portfolio		None	L	T					
141. Interest Accumulation Portfolio		None	L	T	Sold (part)	02/01/19	J		
142.					Sold (part)	02/01/19	J		
143.					Sold (part)	02/19/19	J		
144.					Sold (part)	02/19/19	J		
145.					Sold (part)	03/11/19	J		
146.					Sold (part)	09/09/19	J		
147.					Sold (part)	09/09/19	J		
148. 529 #2 (H)									
149. Aggressive Growth Portfolio		None	L	T	Sold (part)	07/08/19	J		
150.					Sold (part)	12/23/19	J		
151. Developed Markets Index Portfolio		None	J	T	Sold (part)	07/08/19	J		
152.					Sold (part)	12/23/19	J		
153. Mid-Cap Stock Index Portfolio		None	K	T	Sold (part)	07/08/19	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Sold (part)	12/23/19	J		
155. Interest Accumulation Portfolio		None	K	T	Sold (part)	07/08/19	J		
156.					Sold (part)	07/08/19	J		
157.					Sold (part)	07/12/19	J		
158.					Sold (part)	12/23/19	J		
159. 529 #3 (H)									
160. Aggressive Growth Portfolio		None	J	T	Sold (part)	07/12/19	J		
161.					Sold (part)	07/12/19	K		
162. Developed Markets Index Portfolio		None	J	T	Sold (part)	07/12/19	J		
163.					Sold (part)	07/12/19	K		
164. Mid-Cap Stock Index Portfolio		None	J	T	Sold (part)	07/12/19	J		
165.					Sold (part)	07/12/19	K		
166. Interest Accumulation Portfolio		None	K	T	Sold (part)	07/12/19	J		
167.					Sold (part)	07/12/19	K		
168.					Sold (part)	08/01/19	J		
169.					Sold (part)	09/04/19	J		
170.					Sold (part)	09/04/19	J		

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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)
171.					Sold (part)	09/06/19	J		
172.					Sold (part)	09/16/19	J		
173.					Sold (part)	09/16/19	J		
174.					Sold (part)	09/16/19	J		
175.					Sold (part)	09/23/19	J		
176.					Sold (part)	10/01/19	J		
177.					Sold (part)	10/21/19	J		
178.					Sold (part)	11/05/19	J		
179. 529 #4 (H)									
180. Growth Stock Index Portfolio		None	L	T	Sold (part)	07/12/19	J		
181.					Sold (part)	07/12/19	J		
182.					Sold (part)	12/23/19	J		
183. Value Stock Index Portfolio		None	L	T	Sold (part)	07/12/19	J		
184.					Sold (part)	07/12/19	J		
185.					Sold (part)	12/23/19	J		
186. Inflation-Protected Securities Portfolio		None	K	T	Sold (part)	07/12/19	J		
187.					Sold (part)	07/12/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

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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)
188.					Sold (part)	12/23/19	J		
189.					Sold (part)	12/23/19	J		
190. Interest Accumulation Portfolio		None	K	T	Sold (part)	07/12/19	J		
191.					Sold (part)	12/23/19	J		
192. Teachers Retirement System of NY 403(b) (H)									
193. Diversified Equity		None	M	T					
194. Stable Value		None	M	T					
195. International Equity		None	L	T					
196. Citibank Checking Account (H)		None	K	T					
197. Chase Checking Account (H)		None	J	T					
198. Brokerage #7 (H)									
199. CapitalSpring Direct Lending Partners, LP	G	Distribution	N	T					
200. Brokerage #8 (H)									
201. Baron Growth	B	Int./Div.	K	T					
202. Berkshire Hathaway Inc Del B		None			Sold (part)	10/31/19	K	E	
203.					Sold	11/04/19	K	D	
204. Fidelity Contrafund	C	Int./Div.	L	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	

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Name of Person Reporting

Engelmayer, Paul A.

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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.)

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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)
205. Fidelity Low-Priced Stock Fund	C	Int./Div.	K	T					
206. Royce Total Return Fund	C	Int./Div.	K	T					
207. Salient MLP & Energy Infrastructure I	D	Int./Div.	M	T	Buy (add'l)	11/15/19	L		
208. SPDR S&P 500 ETF	B	Int./Div.	L	T					
209. SPDR S&P MidCap 400 ETF	A	Int./Div.	K	T					
210. Tweedy Browne Global Value Fund	A	Int./Div.	L	T					
211. IRA #7 (H)									
212. BBH Core Select N		None			Sold	05/14/19	L	A	
213. Carillon Reams Unconstrained Bond I	D	Int./Div.	M	T	Sold (part)	10/11/19	K	A	
214. First Eagle Global Inst CL I	E	Int./Div.	N	T	Sold (part)	05/31/19	J	A	
215.					Sold (part)	07/16/19	J	A	
216. Salient MLP & Energy Infrastructure I	C	Int./Div.	L	T					
217. Vanguard Total Stock Market ETF	A	Int./Div.	L	T	Buy (add'l)	05/15/19	L		
218. Trust #3 (H)									
219. Blackrock Statregic Muni Opportunities	A	Int./Div.	K	T					
220. Fidelity Treaury Money Market Fund	A	Int./Div.	J	T					
221. Fidelity Total Market Index Fund	A	Int./Div.	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	

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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 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)
222. Fidelity 500 Index Fund	A	Int./Div.	J	T					
223. Fidelity Contrafund	A	Int./Div.	K	T					
224. Fidelity Tax Exempt Money Market Fund	A	Int./Div.	J	T					
225. Glenmede Large Cap Core	A	Int./Div.	J	T					
226. SPDR S&P Mid Cap 400 ETF TR	A	Int./Div.	J	T					
227. SPDR S&P 500 ETF Trust Unit Depository Receipt	A	Int./Div.	J	T					
228. SPDR Series Trust SPDR Bloomberg	A	Int./Div.	J	T					
229. Vanguard Intermediate Tax Exempt Admiral	A	Int./Div.	J	T					
230. Trust #4 (H)									
231. Chase Checking Account		None	J	T					
232. UTMA #6 (H)									
233. First Trust Dow Jones Internet Index		None	J	T					
234. JPMorgan Strategic Income Opportunities Fund I Class	A	Int./Div.	J	T	Buy (add'l)	02/26/19	J		
235.					Buy (add'l)	03/27/19	J		
236.					Buy (add'l)	04/26/19	J		
237. Schwab Government Money Fund	A	Int./Div.	J	T					
238. SPDR Bloomberg Barclays 1-3 Month T Bill ETF	A	Int./Div.	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	

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	J	T					
240. Trust #5 (H)									
241. Aberdeen Emerging Markets Instl		None			Sold	07/26/19	J	A	
242. Ardsley NY (GO)	A	Int./Div.	K	T	Buy	07/29/19	K		
243. BBH Core Select N		None			Sold	07/26/19	K	A	
244. Berkshire Hathaway Inc Del B		None	K	T					
245. BlackRock Strategic Income Opps Instl	A	Int./Div.			Sold	07/26/19	K	A	
246. Carillon Reams Unconstrained Bond I		None			Sold	07/26/19	K	A	
247. Coho Relative Value Equity Advisor	B	Int./Div.	K	T					
248. Credit Suisse Floating Rate Hi Inc A	A	Int./Div.			Sold	07/26/19	K	A	
249. Endwell NY Fire Dist (GO)	A	Int./Div.	L	T	Buy	07/29/19	L		
250. First Eagle Global Inst CL I		None			Sold	07/26/19	J	B	
251. FPA Crescent	A	Int./Div.	K	T					
252. iShares MSCI Emerging Market Index Fund	A	Int./Div.	J	T					
253. iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
254. JPMorgan Strategic Income Opportunities Fund I Class	A	Int./Div.			Sold	07/26/19	K		
255. Onondaga Cnty Ny Go Bds Ser 2009A 4% 03/01/2019	A	Int./Div.			Sold	03/01/19	J	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	
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	

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



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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. Plattsburgh NY (GO)	A	Int./Div.	K	T	Buy	07/29/19	K		
257. Salient MLP & Energy Infrastructure I	B	Int./Div.	K	T	Buy	07/31/19	J		
258. Templeton Global Bond Fund Advisor Class	A	Int./Div.			Sold	07/26/19	J	A	
259. Troy NY (GO)		None	L	T	Buy	07/29/19	L		
260. Vanguard Total Stock Market ETF	A	Int./Div.	K	T	Buy (add'l)	01/10/19	K		
261. WCM Focused International Growth Instl	A	Int./Div.	L	T					
262. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T					
263. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T					
264. Trust #6 (H)									
265. Aberdeen Emerging Markets Instl		None			Sold	07/26/19	J	A	
266. Ardsley NY (GO)	A	Int./Div.	K	T	Buy	07/29/19	K		
267. BBH Core Select N		None			Sold	07/26/19	L	A	
268. Berkshire Hathaway Inc Del B		None	K	T					
269. BlackRock Strategic Income Opps Instl	A	Int./Div.			Sold	07/26/19	K	A	
270. Carillon Reams Unconstrained Bond I	A	Int./Div.			Sold	07/26/19	K	A	
271. Coho Relative Value Equity Advisor	B	Int./Div.	K	T					
272. Credit Suisse Floating Rate Hi Inc A	A	Int./Div.			Sold	07/26/19	K	A	

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

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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)
273. Endwell NY Fire Dist (GO)	A	Int./Div.	L	T	Buy	07/29/19	L		
274. First Eagle Global Inst CL I	B	Int./Div.	K	T	Sold (part)	07/26/19	J	B	
275. FPA Crescent	C	Int./Div.	L	T	Buy (add'l)	07/31/19	J		
276. iShares MSCI Emerging Market Index Fund	A	Int./Div.	J	T					
277. iShares Tr S&P 400 BARRA Midcap Growth	A	Int./Div.	J	T					
278. JPMorgan Strategic Income Opportunities Fund I Class	A	Int./Div.			Sold	07/26/19	K	A	
279. Onondaga Cnty Ny Go Bds Ser 2009A 4% 03/01/2019	A	Int./Div.			Sold	03/01/19	J	A	
280. Plattsburgh NY (GO)	A	Int./Div.	L	T	Buy	07/29/19	L		
281. Salient MLP & Energy Infrastructure I	B	Int./Div.	K	T	Sold (part)	07/26/19	J	A	
282.					Buy	07/30/19	J		
283.					Buy	07/31/19	J		
284. Templeton Global Bond Fund Advisor Class	A	Int./Div.			Sold	07/26/19	J	A	
285. Troy NY (GO)		None	L	T	Buy	07/29/19	L		
286. Vanguard Total Stock Market ETF	A	Int./Div.	K	T	Buy (add'l)	01/10/19	K		
287. WCM Focused International Growth Instl	A	Int./Div.	L	T	Buy	07/30/19	J		
288. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T					
289. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Brokerage #9 (H)									
291. JPMorgan Strategic Income Opportunities Fund I Class	A	Int./Div.	J	T					
292. Schwab Government Money Fund	A	Int./Div.	J	T					
293. SPDR Bloomberg Barclays 1-3 Month T Bill ETF	A	Int./Div.	J	T					
294. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	J	T					
295. Brokerage #10 (H)									
296. Aberdeen Emerging Markets Instl	A	Int./Div.	J	T	Buy	12/20/19	J		
297. First Eagle Global Inst CL I	A	Int./Div.	J	T	Sold (part)	12/18/19	J		
298. Templeton Global Bond Fund Advisor Class	A	Int./Div.			Sold	05/14/19	K	A	
299. Vanguard Emerging Market	A	Int./Div.	K	T	Buy (add'l)	05/15/19	K		
300. WCM Focused International Growth Instl	A	Int./Div.	K	T	Buy (add'l)	05/15/19	J		
301.					Buy (add'l)	12/06/19	J		
302. WisdomTree U.S. MidCap Dividend	A	Int./Div.	J	T	Buy (add'l)	06/03/19	J		
303.					Buy (add'l)	07/01/19	J		
304.					Buy (add'l)	07/29/19	J		
305.					Buy (add'l)	09/03/19	J		
306. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T	Buy (add'l)	01/25/19	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 =\$250,000,001 - \$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	

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)
307.					Buy (add'l)	02/25/19	J		
308.					Buy (add'l)	04/01/19	J		
309.					Buy (add'l)	04/29/19	J		
310.					Buy (add'l)	06/03/19	J		
311.					Buy (add'l)	07/01/19	J		
312.					Buy (add'l)	07/29/19	J		
313.					Buy (add'l)	09/03/19	J		
314.					Buy (add'l)	10/28/19	J		
315.					Buy (add'l)	12/02/19	J		
316.					Buy (add'l)	12/30/19	J		
317. Brokerage #11 (H)									
318. Aberdeen Emerging Markets Instl	A	Int./Div.	J	T					
319. Berkshire Hathaway Inc Del B		None	M	T					
320. First Eagle Global Inst CL I	B	Int./Div.	K	T					
321. WisdomTree US LargeCap Dividend ETF	A	Int./Div.	K	T	Buy (add'l)	01/25/19	J		
322. Brokerage #12 (H)									
323. Dyal Capital Partners IV LP	D	Distribution	K	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

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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.)

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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) 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)
324. Brokerage #13 (H)									
325. Brookhaven NY Go Ser Bds Ser 2017 4% 04/15/2026	B	Int./Div.	M	T					
326. Erie Cnty Ny Indl Dev Agy Sch Fac 5% 05/01/2026		None			Sold	08/06/19	L	A	
327. Hudson Yds Infrastructure Corp 5% 02/15/2029(44420RAQ3)	A	Int./Div.	M	T					
328. Long Island Pwr Authn Y Elec Sys Rev(5426902H4)	A	Int./Div.	M	T					
329. Met Transprt Auth NY Revenue 5% 11/15/2026		None			Matured	08/06/19	L	B	
330. Metropolitan Trans Auth NY Rev 5% 11/15/2017(59261AJM0)	C	Int./Div.	M	T					
331. Metropolitan Transn Auth N Y Dedicated(59259NR54)	C	Int./Div.	M	T					
332. Metropolitan Transn Auth N Y Rev 5% 11/15/2028(59261ANL7)	B	Int./Div.	M	T	Sold (part)	08/06/19	K	B	
333. Metropolitan Transn Auth Ny Rev 5% 11/15/2029(59261APZ4)	B	Int./Div.	M	T					
334. New York City Transitional Fin 5% 08/01/2029(64971WR36)	A	Int./Div.	L	T					
335. New York City Transitional(64971QXQ1)	B	Int./Div.	M	T					
336. New York N Y Go Bds Ser. H(64966JJ80)	A	Int./Div.	L	T					
337. New York NY 5% 08/01/2027(64966JMY9)	A	Int./Div.	M	T	Buy (add'l)	07/11/19	M		
338. New York Ny City Mun Wtr Fin Auth 5% 06/15/2029(64972GQT4)	A	Int./Div.	M	T	Buy (add'l)	07/13/19	M		
339. New York NY City Transitional Fin Auth Rev Future Tax Secured Subord(6)	B	Int./Div.	L	T					
340. New York St 5% 02/15/2030(649791DS6)	A	Int./Div.	M	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	

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☐ 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)
341. New York St Dorm Auth Revs St(64990HMQ0)	B	Int./Div.	M	T					
342. New York St Dorm Auth Sales Tax Rev(64990AAL9)	B	Int./Div.	M	T					
343. New York St Dorm Auth St Pers Income Rev Bds 5% 02/15/2028(64990E4V6)	A	Int./Div.	L	T					
344. New York St Dorm Auth St Pers Income(64990ECG0)	B	Int./Div.	M	T					
345. New York St Dorm Auth St Pers Income(64990EDF1)	C	Int./Div.	K	T					
346. New York St Dorm Auth St Pers Income(64990EX85)	A	Int./Div.	M	T					
347. New York St Twy Authgen Rev Gen Rev Bds(650009YC1)	A	Int./Div.	K	T					
348. New York St. Dorm Auth Sales Tax 5% 03/15/2031(64990AFB6)	A	Int./Div.	M	T					
349. New York St. Dorm Auth St. Pers Income 5% 02/15/2027(64990E4U8)	A	Int./Div.	M	T					
350. New York St. Urban Dev 5% 03/15/2029(6500353S5)	B	Int./Div.	L	T					
351. NY St Dorm Auth Per 5% 02/15/2034(64990E3G0)	A	Int./Div.	L	T					
352. Sales Tax Asset Receivable Corp NY 5% 10/15/2028(794665FQ7)	B	Int./Div.	L	T					
353. Texas St Rev Utx(882724PY7)		None	M	T	Buy	08/28/19	M		
354. Triborough Brdg & Tunl Auth N Y Revs 05(89602NZE7)	B	Int./Div.	L	T					
355. Triborough Brdg & Tunl Auth NY 5% 11/15/2027(89602NH64)	B	Int./Div.	L	T					
356. IRA #11 (H)									
357. Brevet Direct Lending - Short Duration Fund Ltd.	A	Int./Div.	N	T	Buy	02/08/19	N		

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	

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

Re. Part II, Agreements - "2009 WilmerHale partnership agreement re. interest earned on retained capital of former partners (y)".

This agreement was dissolved in mid-December, 2014. It is no longer in force, and will not be listed on future Financial Disclosure Reports.

This report is being submitted within the deadline, extended 90 days due to COVID-19.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Paul A. Engelmayer**

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