

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) Waldor, Cathy L.	2. Court or Organization US District Court, New Jersey	3. Date of Report 07/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address US District Court 50 Walnut Street MLK Building Newark, NJ 07102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
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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Waldor, Cathy L.

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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. 2019	Rex Vinegar Company - self employed business executive
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. (H) Brokerage Account #1 (44)									
2. Clearbridge Tactical Dividend Income Fund Cl C	C	Dividend	L	T					
3. Gugenheim Small Cap Value Fund Cl C	A	Dividend	J	T	Sold (part)	02/06/19	J		
4.					Sold (part)	07/03/19	J		
5.					Sold (part)	10/22/19	J		
6. Mainstay Epoch Global Equity Yield Cl C	B	Dividend	L	T					
7. Franklin Templeton Income Fund Cl C	C	Dividend	L	T	Sold (part)	07/30/19	J		
8. Thornburg Income Builder Cl C	C	Dividend	L	T					
9. Vaneck Vectors High Yield Muni ETF	B	Dividend	L	T					
10. (H) AIG Sun America Polaris Choice IV Variable Annuity (X)									
11. - SA VCP Dynamic Allocation Portfolio		None	L	T					
12. - SA VCP Dynamic Strategy Portfolio		None	L	T					
13. - Secure Value Account		None	K	T					
14. (H) Brighthouse Life Ins Co Series L Variable Annuity (X)									
15. - American Funds Growth Portfolio		None	K	T					
16. - Baillie Gifford International Stock Portfolio		None	K	T					
17. - BH Small Cap Value Portfolio		None	J	T					

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

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18. - Invesco Small Cap Growth Portfolio		None	J	T					
19. - JP Morgan Core Bond Portfolio		None	K	T					
20. - MetLife Stock Index Portfolio		None	L	T					
21. - MFS Value Portfolio B		None	J	T					
22. - PIMCO Total Return Portfolio B		None	K	T					
23. - T Rowe Price Mid Cap Growth Portfolio B		None	J	T					
24. - VanEck Global Natural Resources B		None	J	T					
25. Bernstein All Asset Strategy Fund C (X)	A	Dividend	L	T					
26. Janus Henderson Balanced Fund C	B	Dividend	L	T					
27. JP Morgan Income Builder Class C (X)	B	Dividend	K	T					
28. Mainstay High Yield Muni Bond Fund Cl C	C	Dividend	M	T					
29. Principal Small Cap Dividend Income Fund C	A	Dividend	L	T					
30. AIG Focused Dividend Strategy Fund C	B	Dividend	K	T	Sold (part)	02/06/19	J		
31. Cohen & Steers Preferred Sec & Inc Fund Cl C	B	Dividend	K	T					
32. Mainstay Funds Tax Free Bond Cl A	D	Dividend	N	T					
33. Nuveen Large Cap Core Fund Cl C	A	Dividend	N	T	Sold (part)	07/30/19	J		
34. Principal Global Diversified Income Fund Cl C	B	Dividend	L	T	Sold (part)	02/06/19	J		

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35. Putman Multi-Cap Core Fd Cl C	D	Dividend	M	T					
36. (H) Transamerica Life Insurance Co B-Share - Variable Annuity (X)									
37. - Fidelity - VIP Contrafund Portfolio		None	K	T					
38. - TA Janus Balanced		None	L	T					
39. - TA Managed Risk - Growth ETF		None	L	T					
40. - American Funds Growth Fund		None	K	T					
41. - American Funds Growth - Income Fund		None	K	T					
42. Voya Floating Rate Fund Class C	B	Dividend			Sold (part)	02/06/19	J		
43.					Sold (part)	07/30/19	K		
44.					Sold	10/22/19	K		
45. Janus Henderson Enterprise Fund Cl C (X)	D	Dividend	M	T					
46. Units FT US EQ C/E Ser 26	B	Dividend	K	T	Sold (part)	07/30/19	J		
47. UBS Bank UT US 3.5% Mat 10/30/20 Fixed Rate CD	B	Interest	L	T					
48. Goldman Sachs Access Treas 0-1 Year ETF	B	Dividend	L	T					
49. Principal Blue Chip Fund Cl C	C	Dividend	L	T					
50. American Funds American Balanced Fd Cl C	D	Dividend	M	T					
51. BNY Mellon Equity Income FD Cl C (X)	A	Dividend	L	T					

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52. Allianz Artificial Intelligence & Technology		None	K	T	Buy	10/29/19	K		
53.									
54. (H) Brokerage Account #2 (45)									
55. iShares Trust Russell 2000 Index ETF	A	Dividend	K	T					
56. iShares Trust Core S&P Mid Cap ETF	B	Dividend	L	T					
57. iShares TIPS Bond ETF	A	Dividend	K	T					
58. Vanguard Index Funds Vanguard Growth ETF	B	Dividend	M	T					
59. Vanguard Total Stock Market ETF	B	Dividend	M	T					
60. Vanguard Index Fund S&P 500 ETF	B	Dividend	M	T					
61. Vanguard Divid Appreciation ETF	B	Dividend	M	T					
62. Vanguard Mega Cap ETF	B	Dividend	M	T					
63. Vaneck Vectors AMT-Free Short Municipal Index ETF	A	Dividend	K	T					
64. Vaneck Vectors High Yield Municipal Index ETF	B	Dividend	L	T					
65. First Trust Dorsey Wright FO ETF	A	Dividend	K	T					
66. Principal Small Mid Cap Div Inst	B	Dividend	L	T					
67. First Trust Preferred Security & Inc ETF	B	Dividend	K	T	Sold (part)	02/06/19	J		
68. Vaneck Vectors AMT-Free Inter ETF	A	Dividend	K	T					

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69. Voya Floating Rate Fund CL I	A	Dividend			Sold	04/17/19	K		
70. Wisdomtree Trust Small Cap Dividend Fund ETF	C	Dividend	M	T					
71. First Trust Morningstar Div Leader Index Fund	A	Dividend	K	T					
72. First Trust Value Line Divid Index Fund	A	Dividend	L	T	Buy (add'l)	08/14/19	K		
73. Goldman Sachs Active Beta US Large Cap Equity ETF	B	Dividend	M	T					
74. iShares EDGE MSCI Min Vol USA ETF	A	Dividend	J	T					
75. SPDR Nuveen S&P High Yield Municipal Bond ETF	B	Dividend	L	T					
76. Vanguard Financials ETF	B	Dividend	L	T					
77. Vanguard Health Care ETF	A	Dividend	K	T					
78. Vanguard Value ETF	B	Dividend	L	T					
79. First Trust Dow Jones Internet Index Fund ETF		None	L	T					
80. First Trust STOxx European Select Divd Index Fund ETF	A	Dividend	J	T	Sold (part)	03/19/19	J		
81.					Sold (part)	04/26/19	J		
82. Wisdomtree Intl High Divid Fund ETF	A	Dividend	J	T	Sold (part)	02/06/19	J		
83.					Sold (part)	07/30/19	J		
84.					Sold (part)	08/14/19	J		
85. Schwab US Mid-Cap ETF	A	Dividend	K	T	Buy (add'l)	04/17/19	J		

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86. SPDR S&P Aerospace & Defense ETF	A	Dividend	L	T					
87. Vanguard High Divid Yield ETF	A	Dividend	J	T					
88. Franklin Short Duration US Govt ETF	A	Dividend	K	T	Buy (add'l)	04/17/19	K		
89. Thornburg Limited Term Municipal Fund Cl I	B	Dividend	L	T					
90. iShares Core S&P Small-Cap ETF	A	Dividend	K	T					
91. iShares Core MSCI Emerging Markets ETF	A	Dividend	J	T	Buy	03/19/19	J		
92. Goldman Sachs Access TREAS 0-1 Year ETF	A	Dividend	K	T	Buy	01/09/19	K		
93.									
94. (H) Brokerage Account #5 (51)									
95. Principal MidCap Fund Class A	B	Dividend	L	T					
96. Blackrock Basic Value Fund Cl A		None			Sold	10/22/19	K		
97. Blackrock Global Allocation Fund Inc Cl A	B	Dividend			Sold	10/22/19	L	B	
98. Franklin Mutual Global Discover Fund Cl A	D	Dividend	M	T					
99. Franklin Templeton Income Cl A	B	Dividend	K	T					
100. American Funds American Balanced Fund Cl R4	B	Dividend	K	T					
101. First Eagle Global Fund Cl A (X)	C	Dividend	L	T					
102. Thornburg Income Builder Cl C	B	Dividend	K	T					

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(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	
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103. Goldman Sachs Income Builder Funds CI IR	B	Dividend	L	T					
104. Ivy Balanced Funds CI C	A	Dividend			Sold (part)	10/22/19	J		
105.					Sold	10/22/19	J		
106. iShares Edge MSCI Min Vol USA EFT	A	Dividend	K	T					
107. Putnam Equity Income Fund CI C	B	Dividend	K	T					
108. UNTS FT HI DIV EQ PORT SER 42	A	Dividend	L	T	Buy	10/22/19	L		
109. First Trust Enhanced Short Mat Fund ETF	A	Dividend	K	T	Buy	10/23/19	L		
110.									
111. (H) Brokerage Account #6 (52)									
112. iShares Russell MidCap ETF	A	Dividend	K	T					
113. SPDR S&P 500 ETF TR	A	Dividend	K	T	Buy (add'l)	04/11/19	J		
114.					Buy (add'l)	04/18/19	J		
115. John Hancock Disciplined Value Mid Cap Fund CI A	A	Dividend	J	T					
116. Baird MidCap Fund Institutional Class	A	Dividend	J	T	Buy (add'l)	04/11/19	J		
117. Chartwell Small Cap Value I Share	A	Dividend	J	T	Sold (part)	05/21/19	J	A	
118. Gabelli Small Cap Growth Fund Class I		None			Sold	05/21/19	J	A	
119. iShares IBOXX \$ Invt Grade Corporate Bond ETF	A	Dividend	J	T	Sold (part)	08/27/19	J	A	

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	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		

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Name of Person Reporting

Waldor, Cathy L.

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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)
120. Ashmore Emerging Markets Total Ret Fund CI I	A	Dividend	J	T					
121. iShares CORE MSCI EAFE ETF	B	Dividend	K	T	Buy (add'l)	03/22/19	J		
122.					Buy (add'l)	04/11/19	K		
123.					Sold (part)	06/06/19	J	A	
124.					Buy (add'l)	08/27/19	J		
125.					Buy (add'l)	09/04/19	J		
126. iShares CORE MSCI Emerging Markets ETF	B	Dividend	L	T	Sold (part)	03/22/19	J	A	
127.					Buy (add'l)	04/11/19	J		
128.					Buy (add'l)	04/18/19	J		
129.					Buy (add'l)	06/24/19	J		
130.					Sold (part)	08/27/19	J	A	
131.					Buy (add'l)	11/15/19	J		
132.					Buy (add'l)	12/17/19	J		
133. iShares Core S&P US Growth ETF	A	Dividend	K	T	Buy (add'l)	02/22/19	J		
134.					Buy (add'l)	04/11/19	J		
135. Vanguard Total World Stock ETF		None			Sold	02/22/19	J	A	
136. Oppenheimer International Growth Fund Y		None			Sold	04/11/19	K		

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

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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. Pear Tree Polaris Foreign Value Fund Instl	A	Dividend	K	T	Sold (part)	04/11/19	J	A	
138.					Buy (add'l)	09/04/19	J		
139. iShares Treasury Bond ETF	A	Dividend			Buy (add'l)	01/25/19	J		
140.					Buy (add'l)	02/22/19	J		
141.					Buy (add'l)	03/22/19	J		
142.					Sold (part)	04/18/19	J	A	
143.					Buy (add'l)	05/10/19	J		
144.					Sold (part)	06/06/19	K	A	
145.					Buy (add'l)	08/23/19	J		
146.					Sold (part)	11/15/19	J	A	
147.					Sold	12/17/19	J		
148. Pimco Investment Grade Corporate Bond Fund P	B	Dividend	K	T	Buy (add'l)	04/18/19	J		
149.					Buy (add'l)	11/15/19	J		
150. SPDR Portfolio S&P 500 Value ETF		None			Sold	02/22/19	J		
151. AQR US Defensive Equity Fund Cl I	A	Dividend	K	T	Buy (add'l)	04/11/19	J		
152. LSV Value Equity Fund CL NL	B	Dividend	K	T	Buy (add'l)	04/18/19	J		
153. iShares 20+ Year Treasury Bond ETF	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		

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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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. iShares JP Morgan USD Emerging Market Bond ETF	A	Dividend	J	T	Sold (part)	01/25/19	J		
155.					Sold (part)	05/10/19	J	A	
156.					Buy (add'l)	08/27/19	J		
157. PIMCO Enhanced Short Mat Active Ex-Traded FD		None	J	T	Buy (add'l)	08/23/19	J		
158.					Buy (add'l)	11/15/19	J		
159.					Sold (part)	12/17/19	J		
160. Lord Abbett High Yield Fund Cl F	B	Dividend	K	T	Buy (add'l)	04/11/19	J		
161.					Buy (add'l)	12/17/19	J		
162. iShares Core S&P Small-Cap ETF	A	Dividend	J	T	Buy	05/21/19	J		
163. Harding Loevner International Equity Fund	A	Dividend	K	T	Buy	04/11/19	K		
164.					Buy (add'l)	09/04/19	J		
165. Schwab US TIPS ETF	A	Dividend	J	T	Buy	07/15/19	J		
166. Schwab US Broad Market ETF	A	Dividend			Buy	02/22/19	J		
167.					Sold	04/18/19	J	A	
168.					Buy	06/06/19	J		
169.					Sold	08/27/19	J	A	
170. iShares MSCI Japan ETF	A	Dividend			Buy	04/18/19	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	

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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)
171.					Sold	08/23/19	J		
172. SPDR SER TR SPDR Bloomberg Barclays 1-3 Month T-Bill ETF	A	Dividend			Buy	06/06/19	K		
173.					Sold	08/23/19	K	A	
174.									
175. (H) IRA #1 (42)									
176. First Eagle Global Fund Class C (X)	B	Dividend	K	T					
177. First Eagle Global Fund Class A (X)	C	Dividend	L	T					
178. Blackrock Equity Dividend Fund C	D	Dividend	L	T					
179. Blackrock Global Allocation Fund C	A	Dividend			Sold	10/22/19	K		
180. Blackrock Global Allocation Fund A	A	Dividend			Sold	10/22/19	J		
181. Franklin Templeton Mutual Global Discovery Fund Cl C (X)		None							
182. Franklin Templeton Mutual Global Discovery Fund Cl A (X)	A	Dividend	J	T					
183. Franklin Templeton Income C	A	Dividend	J	T					
184. Franklin Templeton Income Fund Class A	B	Dividend	K	T					
185. American Funds American Balanced Fund Cl C	B	Dividend	K	T					
186. American Funds American Balanced F-1	B	Dividend	K	T					
187. UNTSFT HI DIV EQ PORT SER 42 REIN 10/21/21	A	Dividend	K	T	Buy	10/22/19	K		

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)
188. Goldman Sachs Access Invt Grade Corp Bond ETF	A	Dividend	J	T	Buy	10/23/19	J		
189.									
190. (H) IRA #2 (43)									
191. American Funds American Balanced F-1	A	Dividend	J	T					
192. Blackrock Global Allocation Fund Inc A	A	Dividend			Sold	10/22/19	K	A	
193. UNITS FT HI DIV EQ PORT SER 42	A	Dividend	K	T	Buy	10/22/19	K		
194. First Trust Enhanced Short Mat Fund ETF	A	Dividend	J	T	Buy	10/23/19	J		
195.									
196. (H) IRA #3 (13)									
197. JP Morgan Income Builder Cl C (X)	B	Dividend	L	T	Distributed (part)	12/13/19	J		
198. Janus Balanced Fund C	B	Dividend	L	T					
199.									
200. (H) AXA Equitable Flexible Premium Variable Life Insurance #4									
201. - AXA Moderate Allocation Fund		None	K	T					
202.									
203. Nationwide Life Insurance #2		None	K	T					
204.									

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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Name of Person Reporting

Waldor, Cathy L.

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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)
205. (H) Cash Accounts #1									
206. Santander Cash Accounts	A	Int./Div.	L	T					
207. Wells Fargo Cash Accounts	A	Int./Div.	J	T					
208. UBS Cash Accounts	A	Int./Div.	K	T					
209. TD Bank Cash Account	A	Int./Div.	J	T					
210.									
211. Real Estate - Rental Property - Verona, Essex County, NJ	F	Rent	O	W					
212.									
213.									
214.									
215.									

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

Line 10 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Line 14 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Line 25 - The name of this asset changed from Eaton Vance R Bernstein All Asset Strategy Fund C to Bernstein All Asset Strategy Fund C

Lines 27 and 196 - A partial transfer was made from IRA #3, Line 196 to Brokerage Account #1, Line 27. This was a required minimum annual distribution.

Line 36 - This variable annuity does not show or report any dividends, income, or short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. No distributions were made from the annuity.

Line 51 - The name of this asset changed from Dreryfus Premier American Balanced Fd Cl C to BNY Mellon Equity Income FD Cl C.

Line 101 - On 03/26/19 all Class C shares were exchanged for Class A shares.

Lines 176-177 - On 03/26/19, 970.82 shares of Class C (Line 176) were exchanged to 934.69 shares of Class A (177).

Lines 181-182 - On 07/15/19, 235.30 shares of Class C (Line 181) were exchanged to 233.77 shares of Class A (Line 182).

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Waldor, Cathy L.

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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/ Cathy L. Waldor**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544