

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) Cook, Deborah L.	2. Court or Organization U.S. Court of Appeals, 6th Cir	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	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 433 U.S. Courthouse 2 South Main Street Akron, OH 44308		
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. Board Member	Conservancy for Cuyahoga Valley National Park
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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	State of Ohio Retirement Benefits	\$33,627.91
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Cook, Deborah L.	05/12/2020

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 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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. PNC (formerly Nat'l City) Cash Account	A	Interest	K	T					
2. Trust #1 (H)									
3. - Morgan Stanley Cash Account	A	Interest	K	T					
4. -American Muni Pwr Inc OH Comb Hydroelectric Proj Ref Muni Bond	B	Interest	L	T					
5. - Ohio St Hosp Fac Rev Muni Bond HU9	B	Interest	L	T					
6. - Ohio St Turnpike & Infrastructure Ure Comm Junior Muni Bond	C	Interest	L	T					
7. - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4B5	B	Interest	L	T					
8. - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4D1	C	Interest	M	T					
9. - Ohio St Hosp Edl Rev (former Cleveland Clinic) VC7	B	Interest	L	T					
10. - Cincinnati Ohio Impt Genl Oblig Ser A Muni Bond	C	Interest	M	T					
11. - American Mun Pwr Inc OH Hydroelectric Muni Bond MH4	B	Interest	L	T					
12. - Cleveland Heights & Univ Heights Sch Dist Muni Bond GQ0	B	Interest	L	T					
13. - General Motors Fin Co Inc Bond CA2	C	Interest	L	T					
14. - Federated Govt Oblig Money Market Fund	C	Int./Div.	K	T	Sold (part)	01/25/19	K	A	
15.					Sold (part)	02/05/19	K	A	
16.					Sold (part)	02/26/19	K	A	
17.					Sold (part)	06/05/19	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	
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 5 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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)
18.					Sold (part)	06/14/19	K	A	
19.					Sold (part)	11/06/19	L	A	
20.					Sold (part)	12/30/19	J	A	
21. - Upper Arlington Ohio City Sch Dist Bond	B	Interest	L	T					
22. - Keycorp 5.65 Ser F Pfd	C	Dividend	L	T					
23. IRA 1 (H)									
24. - Morgan Stanley Cash Accounts	A	Interest	M	T					
25. - Ally Financial Note AW0 Corp Bond	C	Interest			Redeemed	11/18/19	L	A	
26. - Ally Financial Note AV2 Corp Bond	D	Interest	M	T					
27. - Verisign Inc Corp Bond	C	Interest	M	T					
28. - Verizon Communications Common	C	Dividend	M	T					
29. - American Airlines Group Regs Corp Bond AB8	C	Interest	M	T					
30. - Vodafone Group PLC Common	B	Dividend	K	T					
31. - Goldman Sachs Cap V Bond	A	Interest	J	T					
32. - Keycorp 5% Fixed to Float Bond	C	Interest	M	T					
33. - Third PT Offshore Fund LTD Hedge Fund		None	N	T					
34. - Bank of American Corp PFD Stock	C	Dividend			Redeemed	09/09/19	L	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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)
35. - FirstTrust Sr Float Rt 2022 Target Term Fund	C	Dividend	M	T					
36. - Citigroup Inc New Common	C	Dividend	M	T					
37. - Intl Business Machine Corp Common	D	Dividend	M	T					
38. - Uniti Group Inc Common	B	Dividend			Sold	02/26/19	K	A	
39. - Morgan Stanley 5.85%-K Pfd	D	Dividend	M	T					
40. - Nustar Energy LP 7.625%-B Pfd	C	Dividend	K	T					
41. - IShares MSCI Euro Financial	B	Dividend			Sold	12/30/19	K	A	
42. - The Financial Sel SPDR FD	B	Dividend	L	T					
43. - Illinois St Genl Oblig Bond	D	Interest	M	T					
44. - Hanesbrands Inc Bond	C	Interest	M	T					
45. - Wachovia Capital Trust II Bond	C	Interest	L	T					
46. - Viacom Inc 6.25% Fxd Flts Bond	D	Interest	M	T					
47. - Energy Transfer Partners LP	C	Distribution			Sold	12/31/19	K	A	
48. - Goodyear Tire & Rubber Bond 5.00%	B	Interest	L	T					
49. - Crown Castle Intl Corp Ser A 6.875% Pfd	C	Dividend	L	T					
50. - Putnam Diversified Inc Tr C	C	Dividend	M	T					
51. - Lord Abbett Flt Rt C	C	Dividend			Sold	07/11/19	M	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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)
52. - American Airlines Group Regs Corp Bond AAO	D	Interest			Redeemed	10/01/19	M		
53. - Federated Govt Oblig Money Market Fund	E	Int./Div.	P1	T	Sold (part)	01/25/19	L	A	
54.					Sold (part)	06/27/19	J	A	
55. - JPMorgan Chase & Co 6.0% Pfd	D	Dividend	M	T	Buy	01/16/19	L		
56. - Athene Holding Ltd 6.35% Ser A Pfd	B	Dividend	L	T	Buy	06/06/19	L		
57. - Sempra Energy 5.75% Convertible	A	Interest	L	T	Buy	06/13/19	K		
58. - Lord Abbett Sht Duration Inc C	B	Dividend	M	T	Buy	07/11/19	M		
59. - Bank of America Co 5.0% Pfd	B	Dividend	M	T	Buy	09/10/19	L		
60. - Digital Rlty Tst inc 5.2% Pfd	A	Dividend	K	T	Buy	10/01/19	M		
61. - Citizens Finl Grp Inc 5.0% Pfd		None	K	T	Buy	10/21/19	K		
62. - Compass Diversified 7.875% C Pfd		None	L	T	Buy	11/13/19	K		
63. - QVC Inc 6.25% Callable	A	Interest	L	T	Buy	11/19/19	K		
64. - Ford Motor Co 6.0% Callable		None	L	T	Buy	12/04/19	K		
65. - Davis Select Financial ETF		None	K	T	Buy	12/30/19	K		
66. Installment note holding industrial as collateral	E	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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

Part VII - Line 66 - In 2007 an industrial building in Akron, Ohio was sold via an installment sale. Interest and principal payments are received on this asset and the note is secured by the building. The debtor is Aster Property Management, LLC.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Cook, Deborah L.

Date of Report

05/12/2020

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/ Deborah L. Cook**

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