

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Kiel, Edward S.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. District Court for the District of New Jersey                                                                                                                                                                                                | <b>3. Date of Report</b><br><br>08/12/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. Magistrate Judge (FT)                                                    | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
| <b>7. Chambers or Office Address</b><br><br>Mitchell H. Cohen Building & U.S. Courthouse<br>4th & Cooper Streets<br>Camden, NJ, 08101                                                                     |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

| <u>POSITION</u>      | <u>NAME OF ORGANIZATION/ENTITY</u> |
|----------------------|------------------------------------|
| 1. Shareholder       | Cole Schotz PC                     |
| 2. Board of Trustees | Johnsonburg Camp & Retreat Center  |
| 3. Board of Trustees | Bergen County Bar Association      |
| 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. 2019     | Cole Schotz PC (deferred compensation plan) |
| 2.          |                                             |
| 3.          |                                             |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kiel, Edward S.

Date of Report

08/12/2020

## 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><br><small>(yours, not spouse's)</small> |
|-------------|-------------------------|-------------------------------------------------------|
| 1. 2019     | Cole Schotz PC (salary) | \$325,000.00                                          |
| 2.          |                         |                                                       |
| 3.          |                         |                                                       |
| 4.          |                         |                                                       |

### B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)

☐

NONE (No reportable non-investment income.)

| <u>DATE</u> | <u>SOURCE AND TYPE</u>            |
|-------------|-----------------------------------|
| 1. 2019     | Advanced Eye Care Center (salary) |
| 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 |
| Kiel, Edward S.          | 08/12/2020     |

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

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Name of Person Reporting

Kiel, Edward S.

Date of Report

08/12/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. INDIVIDUAL ASSETS (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. CHASE BANK (cash)                                                                                                       | A                                      | Interest                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. BANK OF AMERICA (cash)                                                                                                  | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. METLIFE PERMANENT (WHOLE) LIFE INSURANCE POLICY                                                                         | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. NORTHWESTERN MJTUAL (WHOLE) LIFE INSURANCE POLICY                                                                       | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. NEW YORK LIFE CUSTOM WHOLE LIFE INSURANCE POLICY                                                                        | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. IRA #1 (H)                                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 8. JPMORGAN DEPOSIT ACCOUNT (cash)                                                                                         | A                                      | Interest                               | K                                              | T                                  | Open                                      | 08/14/19         | J                        |                         |                                                            |
| 9. FIDELITY SALEM STR TR FIDELITY 500 (FXAIX)                                                                              | C                                      | Dividend                               | N                                              | T                                  | Buy                                       | 08/14/19         | N                        |                         |                                                            |
| 10.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/27/19         | J                        |                         |                                                            |
| 11.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/22/19         | K                        | B                       |                                                            |
| 12. FIDELITY SALEM STR TR INTL INDEX (FSPSX)                                                                               | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 08/14/19         | L                        |                         |                                                            |
| 13.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/22/19         | J                        | A                       |                                                            |
| 14. ISHARES MSCI JAPAN ETF EST (EWJ)                                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/14/19         | K                        |                         |                                                            |
| 15.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/22/19         | J                        | A                       |                                                            |
| 16. ISHARES MSCI CANADA ETF (EWC)                                                                                          | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 08/14/19         | K                        |                         |                                                            |
| 17. ISHARES MSCI PACIFIC EX (EPP)                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/14/19         | J                        |                         |                                                            |

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

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. VANGUARD INTL EQUITY (VGK)                                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 19.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/27/19                | J                               | A                              |                                                                   |
| 20.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 11/22/19                | J                               | A                              |                                                                   |
| 21. ISHARES 20 PLUS YEAR (TLT)                                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 09/23/19                | J                               |                                |                                                                   |
| 22. ISHARES 7-10 YEAR TREASURY (IEF)                                                                                       | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 23.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/22/19                | J                               |                                |                                                                   |
| 24. ISHARES MBS ETF EST YIELD (MBB)                                                                                        | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 25. PGIM TOTAL RETURN BOND (PTRQX)                                                                                         | B                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 26.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/22/19                | J                               |                                |                                                                   |
| 27. PIMCO REAL RETURN BOND (PRRIX)                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 08/14/19                | J                               |                                |                                                                   |
| 28. PIMCO SHORT TERM FUND (PTSHX)                                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 29. PIMCO TOTAL RETURN FUND (PTRRX)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 08/14/19                | J                               |                                |                                                                   |
| 30. ROWE T PRICE NEW INCOME (PRXEX)                                                                                        | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 09/23/19                | J                               |                                |                                                                   |
| 31.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/23/19                | K                               |                                |                                                                   |
| 32. VANGUARD BOND INDEX FD (VBTLX)                                                                                         | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |
| 33.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/22/19                | J                               |                                |                                                                   |
| 34. VANGUARD FIXED INCOME (VFIDX)                                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/14/19                | K                               |                                |                                                                   |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. VANGUARD SHORT TERM BOND (BSV)                                                                                         | A                                      | Dividend                               |                                                |                                    | Buy                                       | 08/14/19         | K                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/23/19         | K                        |                         |                                                            |
| 37. VANGUARD TOTAL INTL BOND (BNDX)                                                                                        | D                                      | Dividend                               | M                                              | T                                  | Buy                                       | 08/14/19         | M                        |                         |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 09/23/19         | K                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/22/19         | J                        |                         |                                                            |
| 40. IRA #2 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 41. American Funds Balanced Fd (ABALX)                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. Schwab S&P 500 Index Fd (SWPPX)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. IRA #3 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 44. AMERICAN NEW WORLD FUND CL F2 (NFFFX)                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy (add'l)                               | 11/13/19         | J                        |                         |                                                            |
| 45. HARTFORD MID CAP FD CLASS I (HFMIX)                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 11/12/19         | J                        |                         |                                                            |
| 46. MORGAN STANLEY GROWTH PORTFOLIO I (MSEQX)                                                                              | A                                      | Dividend                               | J                                              | T                                  | Sold (part)                               | 11/12/19         | J                        |                         |                                                            |
| 47. WCM FOCUSED INTL GROWTH FUND INSTL (WCMIX)                                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/12/19         | J                        |                         |                                                            |
| 48. DODGE & COX INCOME (DODIX)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 49. PIMCO SHORT TERM INSTITUTIONAL (PTSHX)                                                                                 | A                                      | Dividend                               |                                                |                                    | Sold                                      | 11/12/19         | J                        |                         |                                                            |
| 50. VANGUARD TOTAL INTL STOCK INDEX (VGSTX)                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 11/12/19         | J                        |                         |                                                            |
| 51. INVESCO EXCHANGE TRADED FD TR INTL DIVI (PID)                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/13/19         | 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)

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kiel, Edward S.

Date of Report

08/12/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. ISHARES CORE S&P MID-CAP ETF (IJH)                                                                                     | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 11/13/19                | J                               | A                              |                                                                   |
| 53. ISHARES CORE S&P SMALL-CAP E (IJR)                                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. ISHARES CORE S&P 500 ETF (IVV)                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. ISHARES SELECT DIVIDEND ETF (DVY)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. ISHARES TR NASDAQ BIOTECH (IBB)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. ISHARES TR S&P SMALL CAP 600 GROWTH ETF (IJT)                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. VANGUARD INDEX FDS MID-CAP VALUE INDEX (VOE)                                                                           |                                        | None                                          | J                                              | T                                         | Buy                                             | 11/13/19                | J                               |                                |                                                                   |
| 59. VANGUARD WHITEHALL FDS HIGH DIVIDEND (VYM)                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 11/13/19                | J                               | A                              |                                                                   |
| 60. SPDR PORTFOLIO SHORT TERM CORPORATE BOND (SPSB)                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. VANGUARD CHARLOTTE TOTAL INTL BD INDEX (BNDX)                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 11/13/19                | J                               |                                |                                                                   |
| 62. IRA #4 (H)                                                                                                             |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 63. Schwab S&P 500 Index Fd (SWPPX)                                                                                        |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. BROKERAGE ACCOUNT #1 (H)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 65. Federal Natl MTG Assn GT (FNMA)                                                                                        |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Wesdome Gold Mine (WDOFF)                                                                                              |                                        | None                                          | J                                              | T                                         | Sold (part)                                     | 10/02/19                | J                               | B                              |                                                                   |
| 67. GABELLI SMALL CAP GROWTH (GABSX)                                                                                       |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. SCHWAB S&P 500 INDEX FD (SWPPX)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kiel, Edward S.

Date of Report

08/12/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. BROKERAGE ACCOUNT #2 (H)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 70. DFA International Small Company Port (DFISX)                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. DFA Tax Managed Intl Value (DTMIX)                                                                                     | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. DFA Tax Managed US Equity Portfolio (DTMEX)                                                                            | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. DFA Tax Managed Marketwide Value (DTMMX)                                                                               | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. DFA Tax Managed US Small Cap Port (DFTSX)                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Dimensional Emerging Mkts Val (DFEVX)                                                                                  | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. DFA Intermediate Term Muni Bd Instl (DFTIX)                                                                            | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. DFA Short-Term Muni Bond Port (DFSMX)                                                                                  |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. BROKERAGE ACCOUNT #3 (H)                                                                                               |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 79. VIRTUS SEIX FLOATING RATE HIGH INCOME I (SAMBX)                                                                        | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 11/08/19                | J                               |                                |                                                                   |
| 80. DODGE & COX INCOME (DODIX)                                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 11/08/19                | J                               |                                |                                                                   |
| 81. First TR Exchange Traded Fd Dow Jones (FDN)                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. Invesco Exchng Traded Fd TR II Chine (CQQQ)                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. Invesco QQQ TR Unit Ser 1 (QQQ)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. Ishares Core S&P Mid Cap ETF (IJH)                                                                                     | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. Ishares Core S&P Small Cap (IJR)                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kiel, Edward S.

Date of Report

08/12/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. Ishares TR Nasdaq Biotech (IBB)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 87. Ishares TR US Aer Def ETF (ITA)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 88. SELECT SECTOR SPDR TR ENERGY (XLE)                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 89. SPDR S&P500 ETF TRUST TRUST UNIT (SPY)                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 90. VANGUARD SECTOR INDEX FDS VANGUARD (VHT)                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 91. VANGUARD WHITEHALL FDS HIGH DIVIDEND (VYM)                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. ISHARES NATIONAL MUNI BOND ETF (MUB)                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/12/19         | J                        |                         |                                                            |
| 93. PENSION ACCOUNT #1 (H)                                                                                                 |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 94. CHARLES SCHWAB BANK (cash)                                                                                             | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 95. VANGUARD S/T FEDERAL FD (VSGBX)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 96. VANGUARD EQUITY INCOME (VEIPX)                                                                                         | D                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 97. VANGUARD GROWTH INDEX FD (VIGAX)                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 98. VANGUARD TARGET (VTTVX)                                                                                                | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 99. 529 ACCOUNT #1 (H)                                                                                                     |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 100. Franklin Income Allocation 529 Portfolio                                                                              |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 101. Franklin Growth Allocation Age 15-16 Years 529 Portfolio - Direct Cl                                                  |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 102. 529 ACCOUNT #2 (H)                                                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Franklin Income Allocation 529 Portfolio                                                                              |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 104. Franklin Growth Allocation Age 15-16<br>Years 529 Portfolio                                                           |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 105. 529 ACCOUNT #3 (H)                                                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 106. Franklin Income Allocation 529 Portfolio                                                                              |                                        | None                                   | L                                              | T                                  | Sold<br>(part)                            | 07/19/19         | K                        |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/30/19         | K                        |                         |                                                            |
| 108. NJ Treasury-Managed Trust E                                                                                           |                                        | None                                   | L                                              | 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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Kiel, Edward S.

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

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

NJ Treasury-Managed Trust E is the name of the holding. It does not have sub-holdings.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kiel, Edward S.

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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/ Edward S. Kiel

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