

# 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>Netburn, Sarah                                                                                                                       | <b>2. Court or Organization</b><br><br>U.S. District Court, Southern District of New York                                                                                                                                              | <b>3. Date of Report</b><br><br>09/11/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States Magistrate Judge                                                | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>40 Foley Square<br>Room 430<br>New York, New York 10007                                                                                                       |                                                                                                                                                                                                                                        |                                                                  |
| <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.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |       |       |
|----|-------|-------|
| 1. | _____ | _____ |
| 2. | _____ | _____ |
| 3. | _____ | _____ |
| 4. | _____ | _____ |
| 5. | _____ | _____ |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions )

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |       |       |
|----|-------|-------|
| 1. | _____ | _____ |
| 2. | _____ | _____ |
| 3. | _____ | _____ |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 2.          |                        |                                        |
| 3.          |                        |                                        |
| 4.          |                        |                                        |

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

*(Dollar amount not required except for honoraria.)*



NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>     |
|-------------|----------------------------|
| 1. 2019     | Cuti Hecker Wang -- 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 |
| Netburn, Sarah           | 09/11/2020     |

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

☒ NONE (No reportable gifts.)

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 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.)

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-----------------|--------------------|-------------------|
| 1. |                 |                    |                   |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

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. Columbia Aggressive Growth NY 529 Portfolio Class A                                                                     | D                                      | Int./Div.                              | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2.                                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 3. IRA #1 Rollover; XXX67 (H)                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 4. - iShares S&P 500 Growth ETF                                                                                            | A                                      | Dividend                               | J                                              | T                                  | Sold (part)                               | 02/06/19         | J                        |                         |                                                            |
| 5.                                                                                                                         |                                        |                                        |                                                |                                    | Sold (part)                               | 02/25/19         | J                        |                         |                                                            |
| 6.                                                                                                                         |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/19/19         | J                        |                         |                                                            |
| 7.                                                                                                                         |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/02/19         | J                        |                         |                                                            |
| 8. - iShares S&P 500 Value ETF                                                                                             | B                                      | Dividend                               | J                                              | T                                  | Sold (part)                               | 02/06/19         | J                        |                         |                                                            |
| 9.                                                                                                                         |                                        |                                        |                                                |                                    | Sold (part)                               | 02/25/19         | J                        |                         |                                                            |
| 10.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/19/19         | J                        |                         |                                                            |
| 11.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/02/19         | J                        |                         |                                                            |
| 12. - Vanguard FTSE All World Ex-US ETF                                                                                    | B                                      | Dividend                               | J                                              | T                                  | Buy (add'l)                               | 02/06/19         | J                        |                         |                                                            |
| 13.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 02/25/19         | J                        |                         |                                                            |
| 14.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 08/09/19         | J                        |                         |                                                            |
| 15.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 08/13/19         | J                        |                         |                                                            |
| 16.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/19/19         | J                        |                         |                                                            |
| 17.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/02/19         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

☐

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

| A<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) |
| 18. - Vanguard FTSE Emerging Markets ETF                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 20.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/22/19         | J                        |                         |                                                            |
| 21.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/09/19         | J                        |                         |                                                            |
| 22.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/19         | J                        |                         |                                                            |
| 23.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 24.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 25. - Vanguard Index Funds Vanguard Mid Cap<br>ETF                                                                         | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 26.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 27.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 28.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 29. - Vanguard Index Funds Vanguard Small<br>Cap ETF                                                                       | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 30.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 31.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 32.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 33. - iShares U.S. Financials ETF                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 34.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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) |
| 35. - Vanguard Energy ETF                                                                                                  | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 02/06/19                | J                               |                                |                                                                   |
| 36.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 02/25/19                | J                               |                                |                                                                   |
| 37. - Comm Services Select Sector SPDR ETF                                                                                 | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 06/04/19                | J                               |                                |                                                                   |
| 38.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/19/19                | J                               |                                |                                                                   |
| 39. - SPDR Gold Shares ETF                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 04/04/19                | K                               |                                |                                                                   |
| 40.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/04/19                | J                               |                                |                                                                   |
| 41.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/06/19                | J                               |                                |                                                                   |
| 42.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/22/19                | J                               |                                |                                                                   |
| 43.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/19/19                | J                               |                                |                                                                   |
| 44.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/02/19                | J                               |                                |                                                                   |
| 45. - Biotech Index FD ETF                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 04/25/19                | J                               |                                |                                                                   |
| 46.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/13/19                | J                               |                                |                                                                   |
| 47.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/19/19                | J                               |                                |                                                                   |
| 48.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/02/19                | J                               |                                |                                                                   |
| 49. - Cybersecurity ETF                                                                                                    | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 08/09/19                | J                               |                                |                                                                   |
| 50.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/19/19                | J                               |                                |                                                                   |
| 51.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | 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) |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 53. Account XXX68 (H)                                                                                                      |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 54. UBS Bank USA Deposit Account                                                                                           | A                                      | Interest                               | P1                                             | T                                  |                                           |                  |                          |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 56. ROTH IRA # 2; XXX57 (H)                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 57. - UBS Bank USA Deposit Account                                                                                         | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. - Eaton Vance Richard Bernstein Equity                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 59.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 60. IRA #3 ETF4; XXX56 (H)                                                                                                 |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 61. - iShares Floating Rate Bond ETF                                                                                       | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/09/19         | K                        |                         |                                                            |
| 62. - iShares IBOXX High Yield Corporate Bond ETF                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/09/19         | J                        |                         |                                                            |
| 63. - iShares S&P 500 Growth ETF                                                                                           | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 64.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 65.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 66.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 67. - iShares S&P 500 Value ETF                                                                                            | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |

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

2 Value Codes  
(See Columns C1 and D3)

3 Value Method Codes  
(See Column C2)

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

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

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

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

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

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

☐

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

| A<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) |
| 69.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 71. - iShares U.S. Treas Bond ETF                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 72.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 75. - iShares 1-3 Treas Bond                                                                                               | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 77.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/23/19         | J                        |                         |                                                            |
| 78.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 80. - Vanguard FTSE Emerging Markets ETF                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 82.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/22/19         | J                        |                         |                                                            |
| 83.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/09/19         | J                        |                         |                                                            |
| 84.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/19         | J                        |                         |                                                            |
| 85.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 87. - Vanguard Index Funds Vanguard Mid Cap<br>ETF DE                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 89.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 90.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 91. - Vanguard Index Funds Vanguard Small<br>Cap ETF DE Sol                                                                | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 92.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 93.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 94.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 95. - Vanguard FTSE All World Ex-US ETF                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 96.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/25/19         | J                        |                         |                                                            |
| 97.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/09/19         | J                        |                         |                                                            |
| 98.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/13/19         | J                        |                         |                                                            |
| 99.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 100.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 101. - Vanguard Short Term Corporate BD ETF<br>DE                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 102.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/09/19         | J                        |                         |                                                            |
| 104.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 105.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 106. - iShares U.S. Financials                                                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 107.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 109. - First Trust Enhanced Short Mat Fund                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 111.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 113. - iShares iBoxx \$ Investment Grade<br>Corporate Bond ETF                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/09/19         | J                        |                         |                                                            |
| 114.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/06/19         | J                        |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 117.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 118. - Duration Mortgage Opportunities                                                                                     | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/09/19         | K                        |                         |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/25/19         | J                        |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 123. - Vanguard Energy ETF (VDE-4904E8)                                                                                    | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 02/06/19         | J                        |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 02/25/19         | J                        |                         |                                                            |
| 125. - SPDR Gold Shares ETF (GLD-448FQ1)                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/04/19         | J                        |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/04/19         | J                        |                         |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/06/19         | J                        |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/22/19         | J                        |                         |                                                            |
| 129.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 130.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 131. - Biotech Index FD ETF                                                                                                | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/25/19         | J                        |                         |                                                            |
| 132.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/13/19         | J                        |                         |                                                            |
| 133.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 134.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 135. - Select Sector SPDR ETF                                                                                              | A                                      | Dividend                               |                                                |                                    | Buy                                       | 06/04/19         | J                        |                         |                                                            |
| 136.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 08/19/19         | J                        |                         |                                                            |

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

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) |
| 137. - Schwab US TIPS ETF                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 07/23/19         | J                        |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/19/19         | J                        |                         |                                                            |
| 139.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/19         | J                        |                         |                                                            |
| 140. - Cybertsecurity ETF                                                                                                  | A                                      | Dividend                               |                                                |                                    | Buy                                       | 08/09/19         | J                        |                         |                                                            |
| 141.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 08/19/19         | J                        |                         |                                                            |
| 142.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 143.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 144. IRA #4 (H)                                                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 145. - JRHOX                                                                                                               | D                                      | Int./Div.                              | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 146.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 147.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 148.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 149.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 150.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

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

In Account IRA #1 Rollover; XXX67 (H), Financial Select Sector SPDR Fund ETF was fully liquidated on 12/24/2018.

# FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Netburn, Sarah

Date of Report

09/11/2020

## 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/ Sarah Netburn**

**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