

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) Cook, Deborah L.	2. Court or Organization U.S. Court of Appeals, 6th Cir	3. Date of Report 05/21/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 433 U.S. Courthouse 2 South Main Street Akron, OH 44308		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1
2. Board Member, term ended August 31, 2020	Conservancy for Cuyahoga Valley National Park
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income

☐

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	State of Ohio Retirement Benefits	\$34,223.16
2.		
3.		
4.		

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

(Dollar amount not required except for honoraria.)

☒

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

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

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

NONE *(No reportable reimbursements.)*

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

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. PNC (formerly Nat'l City) Cash Account	A	Interest	K	T					
2. Trust #1 (H)									
3. - Morgan Stanley Cash Account	A	Interest	K	T					
4. -American Muni Pwr Inc OH Comb Hydroelectric Proj Ref Muni Bond	B	Interest			Sold	02/18/20	K	A	
5. - Ohio St Hosp Fac Rev Muni Bond HU9	B	Interest	K	T					
6. - Ohio St Turnpike & Infrastructure Ure Comm Junior Muni Bond	C	Interest	L	T					
7. - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4B5	B	Interest	L	T					
8. - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4D1	C	Interest	M	T					
9. - Ohio St Hosp Edl Rev (former Cleveland Clinic) VC7	B	Interest	L	T					
10. - Cincinnati Ohio Impt Genl Oblig Ser A Muni Bond	C	Interest	M	T					
11. - American Mun Pwr Inc OH Hydroelectric Muni Bond MH4	B	Interest	L	T					
12. - Cleveland Heights & Univ Heights Sch Dist Muni Bond GQ0	B	Interest	L	T					
13. - General Motors Fin Co Inc Bond CA2	B	Interest			Sold	09/09/20	K	A	
14. - Federated Govt Oblig Money Market Fund	A	Int./Div.			Sold	02/12/20	K	A	
15. - Upper Arlington Ohio City Sch Dist Bond	B	Interest	L	T					
16. - Keycorp 5.65 Ser F Pfd	C	Dividend	L	T					
17. - First Trust Sr Float Rt 2022 T	A	Dividend	K	T	Buy	08/07/20	K		

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

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. IRA 1 (H)									
19. - Morgan Stanley Cash Accounts	A	Interest	M	T					
20. - Ally Financial Note AV2 Corp Bond	D	Interest	M	T					
21. - Verisign Inc Corp Bond	C	Interest	M	T					
22. - Verizon Communications Common	C	Dividend	M	T					
23. - American Airlines Group Regs Corp Bond AB8	B	Interest			Redeemed	03/02/20	L	A	
24. - Vodafone Group PLC Common	A	Dividend			Sold	02/12/20	K	A	
25. - Goldman Sachs Cap III Bond (prior V)	A	Interest	J	T					
26. - Keycorp 5% Fixed to Float Bond	C	Interest	M	T					
27. - Third PT Offshore Fund LTD Hedge Fund		None	M	T					
28. - FirstTrust Sr Float Rt 2022 Target Term Fund	C	Dividend	M	T	Buy (add'l)	07/30/20	K		
29. - Citigroup Inc New Common	C	Dividend	L	T					
30. - Intl Business Machine Corp Common	D	Dividend	M	T					
31. - Morgan Stanley 5.85%-K Pfd	D	Dividend	M	T					
32. - Nustar Energy LP 7.625%-B Pfd	C	Dividend			Sold	07/30/20	K	A	
33. - The Financial Sel SPDR FD	B	Dividend	L	T					
34. - Illinois St Genl Oblig Bond	D	Interest	M	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. - Hanesbrands Inc Bond	C	Interest	M	T					
36. - Wachovia Capital Trust II Bond	B	Interest			Sold	12/18/20	M	C	
37. - Viacom Inc 6.25% Fxd Flts Bond	D	Int./Div.	M	T					
38. - Goodyear Tire & Rubber bond 5.00%	B	Interest	L	T					
39. - Crown Castle Intl Corp Ser A 6.875% Pfd	C	Dividend	L	T	Buy (add'l)	10/22/20	K		
40. - Putnam Diversified Inc Tr C	C	Dividend	M	T					
41. - Federated Hermes Govt Oblig Money Market Fund	C	Int./Div.	N	T	Buy (add'l)	02/12/20	L		
42.					Sold (part)	03/06/20	K	A	
43.					Sold (part)	06/01/20	M	A	
44.					Sold (part)	06/04/20	K	A	
45.					Sold (part)	06/24/20	L	A	
46.					Sold (part)	07/30/20	M	A	
47.					Sold (part)	08/10/20	L	A	
48.					Sold (part)	08/14/20	L	A	
49.					Sold (part)	10/21/20	K	A	
50.					Sold (part)	12/10/20	K	A	
51. - JPMorgan Chase & co 6.0% Pfd	D	Dividend	M	T					

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52. -Athene Holding Ltd 6.35% Ser A Pfd	C	Dividend	L	T					
53. -Sempra Energy 5.75% Convertible	C	Interest	L	T					
54. -Lord Abbett Sht Duration Inc C	B	Dividend	M	T					
55. -Bank of America Co 5.0% Pfd	C	Dividend	M	T					
56. -Digital Rlty Tst Inc 5.2% Pfd	C	Dividend	L	T					
57. -Citizens Finl Grp Inc 5.0% Pfd	B	Dividend	K	T					
58. -Compass Diversified 7.875% C Pfd	D	Interest	L	T	Buy (add'l)	02/21/20	K		
59. -QVC Inc 6.25% Callable	C	Interest	L	T					
60. -Ford Motor Co 6.0% Callable	C	Interest	L	T					
61. -Davis Select Financial ETF	A	Dividend	K	T					
62. -AT&T Inc Common	C	Dividend	L	T	Buy	03/06/20	L		
63. -iShares Core Dividend Growth ETF	C	Dividend	M	T	Buy	03/06/20	L		
64. -BOA ML Call Fix to Float 6.104% Bond	B	Interest			Buy	06/01/20	M		
65.					Redeemed	08/31/20	L		
66. -Ally Financial Inc Common	A	Dividend	L	T	Buy	06/01/20	K		
67. -Athene Holding Ltd 6.375% C Pfd	B	Dividend	L	T	Buy	06/04/20	K		
68. -Delta Air Lines Inc 3.4% Bond	B	Interest	M	T	Buy	06/24/20	L		

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. -FS KKR Capital Corp 4.750% Bond	C	Interest	M	T	Buy	07/30/20	M		
70. -United States Cellular 6.25% Pfd	B	Dividend	M	T	Buy	08/10/20	L		
71. -Synovus Financial Corp 5.9% Bond		None	M	T	Buy	08/14/20	M		
72. - Unit First Trust Captial Strength Buy Write 53 UIT	A	Dividend	L	T	Buy	09/22/20	K		
73. -Broadstone Net Lease Inc Cl A Common		None	K	T	Buy	10/15/20	K		
74. -Wells Fargo Co Dep sh Pfd Cl A Pfd	A	Dividend	L	T	Buy	10/21/20	K		
75. -Signature Bank NY 5.00% Ser A Pfd		None	L	T	Buy	10/22/20	K		
76. First Trust Global Tactical Stg F ETF		None	K	T	Buy	12/10/20	K		
77. Installment note holding industrial as collateral	E	Interest	M	T					

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

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

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

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

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

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IX. CERTIFICATION.

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

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

Signature: s/ **Deborah L. Cook**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544