

**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) Abrams, Ronnie	2. Court or Organization Southern District of New York	3. Date of Report 07/23/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 40 Foley Square New York, NY 10007-1312		
IMPORTANT NOTES: <i>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>		

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

Page 2 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	Davis Polk & Wardwell LLP - K1
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
Abrams, Ronnie	07/23/2021

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Andres Family Partnership	C	Int./Div.	M	U					
2. Rosbur Corporation	D	Dividend	M	T					
3. Citibank Cash Accounts	A	Interest	P1	T					
4. Brokerage Accounts (H)									
5. Morgan Stanley - MMA - Cash	A	Interest	J	T					
6. Delaware Diversified Income Fund	A	Dividend	J	T					
7. Cullen International High Dividend Fund - Institutional Class	C	Dividend	M	T					
8. Lord Abbett Intermediate Tax Free Fund - Class F	C	Dividend			Sold (part)	02/07/20	J	A	
9.					Sold (part)	03/27/20	M	A	
10.					Sold	03/30/20	M	A	
11. Lord Abbett Growth Leaders Fund	D	Dividend	M	T					
12. Lord Abbett Affiliated Fund	C	Dividend	M	T					
13. Pimco Income P	C	Dividend	M	T	Sold (part)	03/30/20	M	A	
14.					Buy (add'l)	07/14/20	L		
15.					Buy (add'l)	11/18/20	K		
16. Guggenheim Macro Opport I	C	Dividend	M	T	Sold (part)	03/30/20	M	A	
17.					Buy (add'l)	07/14/20	L		

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	

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)
18. Delaware Value Instl	C	Dividend	M	T					
19. Doubleline Total Return	B	Dividend			Sold	03/30/20	M	A	
20. Angel Oak Multi Strat	B	Dividend			Sold	03/27/20	L	A	
21. Putnam Diversified Inc TR	A	Dividend			Sold	03/24/20	K	A	
22. Cullen Emerging Mkts High Div	A	Dividend	J	T					
23. PGIM Jennison Growth Fund	D	Dividend	M	T					
24. MSIF Ultra-Short Income Fund	C	Dividend	O	T	Buy (add'l)	01/22/20	P1		
25.					Buy (add'l)	01/30/20	O		
26.					Sold (part)	02/24/20	L	A	
27.					Sold (part)	02/25/20	J	A	
28.					Sold (part)	03/23/20	P1	A	
29.					Buy (add'l)	10/07/20	N		
30.					Sold (part)	11/16/20	M	A	
31.					Buy (add'l)	12/02/20	O		
32.					Sold (part)	12/04/20	L	A	
33.					Sold (part)	12/08/20	J	A	
34.					Sold (part)	12/23/20	J	A	

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

Page 6 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

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35. Goldman Sachs Dynmc Muni	B	Dividend			Sold	03/24/20	M	A	
36. Harding Loevner Intl Equity Inst	C	Dividend	N	T	Buy	01/23/20	L		
37.					Buy (add'l)	07/14/20	M		
38.					Buy (add'l)	11/18/20	K		
39. Lord Abbett Hi Yld Muni Bond Fund	A	Dividend	M	T	Buy	11/18/20	L		
40. MSIF Growth Fund	D	Dividend	M	T	Buy	07/14/20	L		
41. MSILF Government PTF	A	Dividend	J	T	Buy	03/26/20	P1		
42.					Buy (add'l)	03/30/20	O		
43.					Buy (add'l)	03/30/20	M		
44.					Sold (part)	04/22/20	M	A	
45.					Sold (part)	07/02/20	M	A	
46.					Sold (part)	07/10/20	P1	A	
47.					Sold (part)	07/22/20	N	A	
48.					Sold (part)	10/27/20	J	A	
49.					Sold (part)	11/13/20	N	A	
50.					Sold (part)	11/13/20	L	A	
51. Metropolitan Wst Uncnstrd Bd I	B	Dividend	M	T	Buy	07/14/20	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

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Abrams, Ronnie

Date of Report

07/23/2021

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52. Performance Trust Strat Bd I	C	Dividend	M	T	Buy	07/14/20	L		
53.					Buy (add'l)	11/18/20	K		
54. Principal Small Midcap Div Inc I	B	Dividend	M	T	Buy	07/14/20	L		
55.					Buy (add'l)	07/14/20	L		
56. Principal SPC Prf & Cp Sec Inc I	C	Dividend	N	T	Buy	11/18/20	M		
57. Virtus Kar Small-Cap Value I	B	Dividend	M	T	Buy	07/14/20	L		
58.					Buy (add'l)	11/18/20	K		
59. JP Morgan Equity Income I	B	Dividend	N	T	Buy	07/14/20	L		
60.					Buy (add'l)	11/17/20	L		
61.					Buy (add'l)	11/18/20	L		
62. VSS II Onshore Feeder CPV LP	D	Int./Div.	K	U	Buy	02/28/20	J		
63.					Buy (add'l)	03/23/20	J		
64.					Buy (add'l)	03/30/20	J		
65.					Buy (add'l)	10/30/20	J		
66.					Buy (add'l)	11/24/20	J		
67.					Buy (add'l)	12/10/20	J		
68.					Buy (add'l)	12/29/20	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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Abrams, Ronnie

Date of Report

07/23/2021

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69. Ashbridge Secondaries II LP	A	Int./Div.	J	U	Buy	12/14/20	J		
70. HedgePremier/Balyasny Fund II LP	F	Int./Div.	N	U	Buy	04/28/20	M		
71. IRA # 1 (H)									
72. Morgan Stanley - MMA - Cash	A	Interest	J	T					
73. Cullen International High Dividend Fund - Institutional Class	B	Dividend	L	T	Sold (part)	03/23/20	K	A	
74. Wells Fargo Advantage Emerging Markets Equity Fund - Class I	A	Dividend	K	T	Sold (part)	03/23/20	J	A	
75. Pimco Total Return Fund - Class P	C	Dividend	K	T	Sold (part)	09/11/20	J	A	
76.					Sold (part)	09/29/20	K	A	
77.					Sold (part)	12/07/20	J	A	
78. Angel Oak Multi Strategy Income	B	Dividend	J	T	Sold (part)	02/07/20	J	A	
79.					Sold (part)	03/25/20	J	A	
80.					Sold (part)	09/11/20	J	A	
81.					Sold (part)	10/30/20	K	A	
82. EV Income Fund of Boston I	A	Dividend	J	T					
83. Harbor Cap Appreciation	E	Dividend	N	T	Sold (part)	03/23/20	J	A	
84. Delaware Value Instl	D	Dividend	M	T					
85. Doubleline Total Return I	B	Dividend	K	T	Sold (part)	07/16/20	J	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

Abrams, Ronnie

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86.					Sold (part)	09/11/20	J	A	
87.					Sold (part)	12/07/20	J	A	
88.					Sold (part)	12/18/20	J	A	
89. Harding Loevner Intl Eqty	A	Dividend	L	T	Sold (part)	12/10/20	J	A	
90. Principal SM MDCP Div Inc I	B	Dividend	M	T	Sold (part)	02/07/20	J	A	
91.					Sold (part)	06/11/20	J	A	
92.					Sold (part)	08/12/20	J		
93. Principal SPC PRF&CP Sec	A	Dividend			Sold	03/25/20	L		
94. Cyberark Software Ltd		None	K	T	Buy	03/31/20	J		
95. Zoom Video Communications		None	K	T	Buy	03/31/20	J		
96. Activision Blizzard Inc	A	Dividend	K	T	Buy	03/31/20	J		
97. Walt Disney Co Hldg		None			Buy	03/31/20	J		
98.					Sold	04/01/20	J	A	
99. SPDR S&P 500 ETF Trust	A	Dividend	L	T	Buy	04/13/20	L		
100. MSLIF Government PTF Inst	A	Int./Div.			Buy	03/26/20	L		
101.					Sold (part)	04/20/20	L	A	
102.					Sold	07/14/20	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103. NB Select Opportunities Fund III LP	A	Dividend	M	U	Buy	04/23/20	L		
104.					Buy (add'l)	07/16/20	K		
105.					Buy (add'l)	09/17/20	K		
106.					Buy (add'l)	09/30/20	K		
107.					Buy (add'l)	10/30/20	K		
108.					Buy (add'l)	12/07/20	K		
109.					Buy (add'l)	12/28/20	J		
110. Inherited IRA (H)									
111. Morgan Stanley - MMA - Cash	A	Interest	J	T					
112. Cullen International High Dividend Fund - Institutional Class	A	Dividend	J	T					
113. EV Income Fund of Boston I	A	Dividend			Sold	03/25/20	J	A	
114. Harbor Cap Appreciation Inst	E	Dividend	M	T					
115. Principal SPC PRF&CP Sec	A	Dividend			Sold	03/25/20	K	A	
116. Proctor & Gamble	A	Dividend	J	T	Buy	03/31/20	J		
117. SPDR S&P 500 ETF Trust	A	Dividend	K	T	Buy	04/13/20	K		
118. AT & T Corp		None			Buy	03/31/20	J		
119.					Sold	04/01/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. NYS 529 College Savings Plans - Managed by Vanguard (H)									
121. Vanguard Developed Market Index	A	Int./Div.	K	T					
122. Vanguard Growth Stock Index Portfolio	A	Int./Div.	K	T					
123. Vanguard Value Stock Index Portfolio	A	Int./Div.	K	T					
124. Vanguard Small Cap Stock Index	A	Int./Div.	J	T					
125. Trusts (H) - Beneficiaries									
126. IShares MSCI Eafe	B	Int./Div.	L	T	Buy (add'l)	12/15/20	K		
127. Ishares MSCI Emerging Mkts	A	Int./Div.	K	T	Buy (add'l)	12/15/20	J		
128. SPDR S&P 500 ETF	B	Int./Div.	M	T	Buy (add'l)	12/15/20	L		
129. Davis Polk Wardell 401K Plan(H)									
130. FID Diversified Intl	A	Int./Div.	M	T					
131. MSIF CP FX Inc	A	Int./Div.	J	T					
132. Vang Tot Intl Stk	A	Int./Div.	L	T					
133. Davis Polk Wardell HR10 Plan(H)									
134. FID Diversified Intl	A	Int./Div.	L	T					
135. FID Freedom	A	Int./Div.	L	T					
136. FID 500 Index	A	Int./Div.	N	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (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 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)
137. Vang Tot Intl Stk	A	Int./Div.	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Abrams, Ronnie

Date of Report

07/23/2021

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/ Ronnie Abrams**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544