

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) Liman, Lewis J.	2. Court or Organization U. S. District Court, Southern District of New York	3. Date of Report 05/29/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	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 United States Courthouse 500 Pearl Street New York, NY 10007		
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	Liman Foundation
2. Trustee	Supreme Court Historical Society
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. 2003-2019	Cleary Gottlieb Steen & Hamilton LLP - payments from former law firm for work performed prior to 2020 and return of capital
2. 2003-2019	Cleary Gottlieb Steen & Hamilton LLP - retirement plan with former law firm; firm-managed asset selection
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	Cleary Gottlieb Steen & Hamilton LLP law firm income	\$4,166,298.00
2. 2020	Columbia University teaching income	\$3,000.00
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) 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. Retirement Account 1 Fidelity Investments (H)									
2. - Fidelity Investments, Investment Contracts Fund	C	Dividend	M	T					
3. - Vanguard Target 2025		None	P1	T					
4. Investment Account 1 Charles Schwab managed by KF Advisors (H)									
5. - John Hancock Global Absolute Return Fund JHAIX (Y)									
6. - Loomis Sayles Bond Fund LSBDX		None			Sold	01/17/20	N		
7. - Templeton Global Bond Fund TGBAX		None			Sold	01/17/20	M		
8. - Vanguard Total Bond Market Fund VBTIX		None			Sold	01/17/20	M	B	
9. - Ishares Russell 2000 IWM	C	Dividend	N	T	Buy (add'l)	01/17/20	M		
10.					Sold (part)	03/24/20	M		
11.					Sold (part)	03/25/20	M		
12. - JH Intl Growth Fund GOGIX	B	Dividend	O	T	Buy (add'l)	01/17/20	N		
13.					Sold (part)	03/24/20	L		
14.					Sold (part)	03/25/20	L		
15. - Schwab Value Advantage Money Fund SWVXX (Y)									
16. - Edgewood Growth Fund EGFIX	E	Dividend	O	T	Buy (add'l)	01/17/20	O		
17.					Sold (part)	03/25/20	N		

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 =\$250,000,001 - \$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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18. - Touchstone Sands Emerging Markets Growth TSEGX		None	O	T	Buy (add'l)	01/17/20	M		
19.					Sold (part)	03/24/20	L		
20.					Sold (part)	03/25/20	L		
21. - Aristotle Value Equity Fund ARSQX	D	Dividend	P1	T	Buy (add'l)	01/17/20	O		
22. - Artisan Intl Value Fund ADV APDKX		None			Buy (add'l)	01/17/20	N		
23.					Sold (part)	03/24/20	L		
24.					Sold (part)	03/25/20	L		
25.					Sold	08/24/20	O		
26. - Ishares Core S&P 500 Index ETF IVV (X)	D	Dividend	O	T	Buy (add'l)	01/17/20	O		
27.					Sold (part)	03/24/20	N		
28.					Sold (part)	03/25/20	N		
29. - GQG Partners Global Quality Eqty Inst GQRIX	B	Dividend	O	T	Buy	08/24/20	P1		
30. - Grandeur Peak Intl GISYX	B	Dividend	O	T	Buy	01/17/20	O		
31.					Sold (part)	03/24/20	L		
32.					Sold (part)	03/25/20	L		
33. - PIMCO Short Term PTSHX (X)	E	Dividend	P1	T	Buy (add'l)	01/17/20	M		
34. - River Canyon Total Return Bond Inst RCTIX	F	Dividend	O	T	Buy	01/17/20	O		

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35.					Sold (part)	03/24/20	K		
36.					Sold (part)	03/25/20	K		
37. - Vanguard Short Term Bond Fund VFSUX	E	Dividend	P1	T	Buy	01/17/20	P1		
38. - Schwab Value Advantage Money Fd SNAXX (X)		None			Sold	03/24/20	P1		
39. - Schwab Government Money Fund SNVXX	A	Dividend	P1	T	Buy	03/24/20	P1		
40. - Atara Biotherapeutic ATRA		None			Buy	06/08/20	J		
41.					Sold	06/09/20	J	A	
42.					Buy	10/29/20	J		
43.					Sold	10/30/20	J		
44. Investment Account 2 Pershing Brave Warrior Advisors (H)									
45. - Airbus Group SE common stock EADSF (Y)									
46. - Alliance Data Systems Corp. common stock ADS (Y)									
47. - Alphabet Inc. Cap. Stock Cl A common stock GOOGL (Y)									
48. - Antero Resources Corp. common stock AR (Y)									
49. - Brookfield Asset Mgmt Inc. Cl A common stock BAM (Y)									
50. - HCA Holdings Inc. common stock HCA (Y)									
51. - JP Morgan Chase & Co. common stock JPM (Y)									

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52. - Liberty Global PLC Cl A common stock LBTYA (Y)									
53. - Liberty Global PLC Cl C common stock LBTYK (Y)									
54. - Metro Bank PLC common stock MBNKF (Y)									
55. - Primerica Inc. common stock PRI (Y)									
56. - Charles Schwab Corp. common stock SCHW (Y)									
57. - Nielsen Holdings PLC common stock NLSN (Y)									
58. Investment Account 3 Pershing Chieftain Capital Management (H)									
59. - CBS Corp Cl B common stock CBS (Y)									
60. - CommScope Holding Co Inc common stock COMM (Y)									
61. - Discovery Communications common stock DISCK (Y)									
62. - Express Scripts Holding Co common stock ESRX (Y)									
63. - GCI Liberty Inc common stock GLIBA (Y)									
64. - Hanesbrand Inc common stock HBI (Y)									
65. - HCA Holdings Inc common stock HCA (Y)									
66. - Liberty Media Corp Delaware A Siriusxm common stock LSXMA (Y)									
67. - Liberty Media Corp Delaware C Siriusxm common stock LSXMK (Y)									
68. Investment Account 4 Schwab Charitable managed by KF Advisors (H)									

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69. - Schwab Donor Advised - Janus Balanced Pool JABAX		None	K	T					
70. - Schwab Donor Advised - Manning & Napier Conservative Pool EXDAX		None	K	T					
71. Armistice LP	D	Dividend	O	U					
72. DAG Ventures V-QP, L.P.	E	Dividend	N	U					
73. Hawk Ridge Partners II LP	D	Dividend	P1	U					
74. LionHedge Platform Fund, L.P. (Y)									
75. Sculptor (OZ) Domestic Partners II LP	E	Dividend	K	U					
76. PIMCO BRAVO Fund III Onshore Feeder, L.P.	D	Dividend	N	U					
77. Riverstone RCP Apex II, L.P.	D	Dividend	M	U					
78. Riverstone Credit Partners, L.P.	G	Dividend	M	U					
79. Solaris Ara Fund LP	E	Dividend	P1	U					
80. Solaris Constellation Fund LP (Y)									
81. Summit Strategies COI Fund I, L.P.	G	Dividend	O	U					
82. Dreyfus Treasury Prime Admin Pershing - Chieftain DTPAX (Y)									
83. CGSH Partners Investments, LLC		None	N	U					
84. - CGSH Partners Investments LLC Series D (H)									
85. -- Apollo VII (Y)									

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86. -- Carlyle V (Y)									
87. -- TPG VI (Y)									
88. -- TPG Asia V (Y)									
89. -- CGSH Partners Investors LLC Series D cash (Y)									
90. - CGSH Partners Investments LLC Series E (H)									
91. -- Apollo EPF II (Y)									
92. -- Carlyle VI (Y)									
93. -- Apollo VIII (Y)									
94. -- Carlyle Asia IV (Y)									
95. -- CGSH Partners Investments LLC Series E cash (Y)									
96. Dreyfus Treasury & Agency Inst Pershing - Brave Warrior DTRXX (Y)									
97. Retirement Account 2 Cash Balance Plan (H)									
98. - Fidelity Government Cash Reserves FDRXX		None	K	T					
99. - Vanguard Bd Index Fund BND (Y)									
100. - Schwab Strategic US Small Cap ETF SCHA (Y)									
101. - Vanguard Star Fund ETF ShS VXUS (Y)									
102. - Vanguard Whitehall FDS High Dividend ETF VYM (Y)									

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103. - AQR Managed Futures Fund Class I AQMIX (Y)									
104. - Blackrock High Yield Bon Institutional BHYIX (Y)									
105. - CS Floating Rate High Income Institutional Shares CSHIX (Y)									
106. - Glenmede Secured Options Portfolio (Y)									
107. - Loomis Sayles Strategic Alpha LASYX (Y)									
108. - Primecap Odyssey Growth Fund POGRX (Y)									
109. - PIMCO Short Term Institutional PTSHX (Y)									
110. - AQR Long Short Equity Fund Class I QLEIX (Y)									
111. - TCW Emerging Markets Income Class I TGEIX (Y)									
112. - Vanguard Bd Index Fund Short Term Bond ETF BSV (Y)									
113. - PIMCO Total Return Instl PTTRX		None	L	T					
114. - Vanguard Market Neutral Fund Inv SHS VMNFX (Y)									
115. - Vanguard International Value Port Inv Cl VTRIX		None	J	T					
116. - Vanguard International Growth Admiral VWILX		None	J	T					
117. - Vanguard Hi Yield Corporate Admiral VWEAX		None	K	T					
118. - Fidelity Extended Market Index FSMAX (X)		None	J	T					
119. - Fidelity 500 Index FXAIX (X)		None	K	T					

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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)
120. - Fidelity Growth Company FDGRX (X)		None	K	T					
121. - Fidelity Total Intl Index FTIHX (X)		None	J	T					
122. - DFA Global Real Estate DFGEX (X)		None	J	T					
123. - JPMorgan Small Cap Growth JGSVX (X)		None	J	T					
124. - Vanguard Equity Income Admiral VEIRX (X)		None	K	T					
125. - Victory Sycamore Sm Co VSOIX (X)		None	J	T					
126. - Fidelity U.S. Bond Index FXNAX (X)		None	L	T					
127. - Fidelity Inflat-Prot Bd FIPDX (X)		None	J	T					
128. - Fidelity Int'l Bond Index FBIIX (X)		None	K	T					
129. - Fidelity Short Term Bond Index FNSOX (X)		None	L	T					
130. JPMorgan Chase cash accounts		None	O	T					
131. Pacific Life whole life insurance policy (Y)									
132. Investment Account 5 Charles Schwab managed by KF Advisors (H)									
133. - Ark Innovation ETF ARKK	B	Dividend	L	T	Sold (part)	12/28/20	K	D	
134. - Blackrock Strategy Income BSIIX	B	Dividend	L	T					
135. - PIMCO Flexible Credit PFLEX	C	Dividend	L	T					
136. - Aberdeen Emerging Fund ABEMX (Y)									

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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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.)

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137. - Artisan International Value Fund APDKX	A	Dividend	L	T					
138. - Edgewood Growth Institutional EGFIX	C	Dividend	L	T					
139. - J Hancock Disciplined Value Cl 1 JVLIX	A	Dividend	L	T					
140. - Oppenheimer International Growth OIGIX (Y)									
141. - Touchstone Sands Capital TSEGX		None	L	T					
142. - Vanguard 500 Index Fund VFIAX	B	Dividend	L	T					
143. - Vulcan Value Partners VVPSX	A	Dividend	L	T	Buy (add'l)	12/30/20	K		
144. - Nielsen Holdings PLC common stock NSLN (Y)									
145. - J Hancock Intl Growth Fund GOGIX (X)	A	Dividend	L	T					
146. - Vanguard Short Term Bond Fund VFSUX (X)	B	Dividend	L	T					
147. - Charles Schwab cash account		None	J	T					
148. Investment Account 6 Charles Schwab managed by KF Advisors (H)									
149. - Ark Innovation ETF ARKK	B	Dividend	L	T	Sold (part)	12/28/20	K	D	
150. - Blackrock Strat Incm BSIIX	B	Dividend	L	T					
151. - PIMCO Flexible Credit PFLEX	C	Dividend	L	T					
152. - Aberdeen Emerging ABEMX (Y)									
153. - Artisan Intl Value Fund APDKX	A	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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154. - Edgewood Growth Instl EGFIX	C	Dividend	L	T					
155. - J Hancock Disciplined JVLIX	A	Dividend	K	T					
156. - Oppenheimer Intl Growth OIGIX (Y)									
157. - Touchstone Sands Capital TSEGX		None	L	T					
158. - Vanguard 500 Index Fd VFIAX	B	Dividend	L	T					
159. - Vulcan Value Partners VVPSX	A	Dividend	L	T	Buy (add'l)	12/30/20	K		
160. - J Hancock Intl Growth Fund GOGIX	A	Dividend	L	T					
161. - Vanguard Short Term Bond Fund VFSUX (X)	B	Dividend	L	T					
162. - Charles Schwab cash account		None	J	T					
163. Investment Account 7 Neuberger Berman (H)									
164. - Dreyfus Treasury Sec Cash Mgmt Admin DARXX	A	Dividend	L	T					
165. - Air Products & Chem APD	A	Dividend	K	T	Sold (part)	03/06/20	J	C	
166. - Alphabet Inc Cap Stk Cl A GOOGL		None	K	T					
167. - Amazon.com Inc AMZN		None	L	T					
168. - Analog Devices Inc Com ADI (Y)									
169. - Ansys Inc ANSS		None	K	T	Sold (part)	11/11/20	J	B	
170. - Apple Inc AAPL	A	Dividend	L	T					

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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)
171. - At Home Group Inc. Com. HOME (Y)									
172. - BHP Billiton PLC Spons ADR Each Rep 2 BBL (Y)									
173. - Borgwarner Inc BWA (Y)									
174. - Bristol Mhyers Squibb BMY	A	Dividend			Sold	09/21/20	K	A	
175. - Cabot Oil & Gas CP COM COG (Y)									
176. - Celgene Corp CELG (Y)									
177. - Coca Cola Co KO	A	Dividend	K	T					
178. - Comcast Corp New Cl A CMCSA	A	Dividend	K	T					
179. - Deere & Company DE (Y)									
180. - Eaton Corp OLC Com ETN	A	Dividend	K	T	Sold (part)	03/05/20	J	A	
181. - EOG Resources EOG	A	Dividend			Sold	03/05/20	J		
182. - Facebook Inc Com USD0.000006 Cl A FB		None	K	T	Sold (part)	02/13/20	J	C	
183. - Goldman Sachs Group Inc GS		None			Sold	01/27/20	K	B	
184. - Home Depot Inc Com HD		None	K	T					
185. - IHS Markit Ltd Com INFO	A	Dividend	K	T	Sold (part)	03/06/20	J	B	
186.					Buy (add'l)	06/16/20	J		
187. - Johnson & Johnson JNJ	A	Dividend	K	T					

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188. - JPMorgan Chase & Co JPM	A	Dividend			Sold	01/27/20	K	E	
189. - Lions Gate Entertainment Corp CL B Non LGFB (Y)									
190. - Lions Gate Entertainment Corp. Voting Cl A LGFA		None			Sold	02/28/20	J		
191. - Microsoft Corp MSFT	A	Dividend	L	T					
192. - Motorola Solutions Inc. Com. New MSI	A	Dividend			Sold (part)	05/11/20	J	B	
193.					Sold	05/12/20	J	B	
194. - Mueller Inds Inc MLI	A	Dividend			Buy (add'l)	02/10/20	K		
195.					Sold (part)	03/12/20	J		
196.					Sold (part)	03/13/20	J		
197.					Sold (part)	03/17/20	J		
198.					Sold (part)	03/26/20	J		
199.					Sold (part)	03/27/20	J		
200.					Sold (part)	03/30/20	J		
201.					Sold	03/31/20	J		
202. - Pfizer Inc PFE	A	Dividend	J	T					
203. - Regeneron Pharmaceuticals REGN		None	K	T	Buy (add'l)	02/12/20	J		
204. - Union Pacific Corp. UNP	A	Dividend	K	T	Buy (add'l)	06/19/20	J		

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205. - Universal Display Corp OLED	A	Dividend	J	T					
206. - Visa Inc Com Cl A V	A	Dividend	K	T					
207. - Zoetis Inc Com UDS0.01 Cl A ZTS	A	Dividend	K	T					
208. - Adaptive Biotechnologies Corp ADPT		None	K	T	Buy	05/11/20	J		
209.					Buy (add'l)	05/12/20	J		
210. - Blackrock Inc BLK (X)		None			Sold	01/27/20	J	B	
211. - Blackstone Group BX (X)		None			Sold	01/27/20	K	C	
212. - Booz Allen Hamilton BAH		None			Buy	09/09/20	J		
213.					Buy (add'l)	09/10/20	J		
214.					Sold	10/29/20	K	A	
215. - Cintas Corp STAS		None	K	T	Buy	11/20/20	K		
216. - COSTCO Wholesale COST (X)	A	Dividend	K	T					
217. - Draftkings DKNG		None	K	T	Buy	08/31/20	K		
218. - Nike Inc NKE (X)	A	Dividend	K	T					
219. - Peloton Interactive PTON		None			Buy	08/17/20	K		
220.					Sold	10/22/20	K	E	
221. - Qualcomm QCOM	A	Dividend	K	T	Buy	10/05/20	K		

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222. - T-Mobile TMUS (X)		None	K	T	Buy (add'l)	02/06/20	J		
223.					Buy (add'l)	02/12/20	J		
224. - Tesla TSLA		None	J	T	Buy	11/27/20	J		
225. - Vertex Pharmaceuticals VRTX		None	J	T	Buy	04/13/20	J		
226. - YETI Hldgs YETI		None	K	T	Buy	06/04/20	K		
227. Investment Account 8 UBS (H)									
228. - Salient MLP & Energy Infrastructure Fund Class C SMFPX (Y)									
229. Investments Account 9 UBS (H)									
230. - Salient MLP & Energy Infrastructure Fund Class C SMFPX (Y)									
231. Retirement Account 3 TIAA (H)									
232. - Annuity Contracts (Y)									
233. - TIAA Traditional		None	L	T					
234. - CREF Stock R2		None	M	T					
235. - TIAA Real Estate		None	K	T					
236. - CREF Inf-Linked Bond R2		None	J	T					
237. Retirement Account 4 Charles Schwab IRA (H)									
238. - Alphabet Inc GOOGL		None	J						

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239. - Bank of America Corp. common stock BAC	A	Dividend	J						
240. - Ishares MSCI ACWI ETC ACWI	A	Dividend	J						
241. - Ishares S&P 500 Growth ETF IVW	A	Dividend			Sold	08/14/20	K	E	
242. - Schwab Emerging Markets Equity ETF SCHE (Y)									
243. - SPDR Dow Jones Industrial Avrg ETF DIA	A	Dividend	K						
244. - Wisdomtree International Egy ETF DWM (Y)									
245. - Invesco Equity and Income Fund ACEKX (Y)									
246. - Charles Schwab cash account (X)	A	Interest	K						
247. Investment Account 10 Morgan Stanley (H)									
248. - Legg Mason SCH Bal 50/50 0 SCBYX		None	N	T	Sold (part)	12/24/20	K	D	
249. Investment Account 11 Morgan Stanley (H)									
250. - Legg Mason SCH Bal 50/50 0 SCBYX		None	M	T	Sold (part)	02/06/20	K	E	
251.					Sold (part)	09/04/20	K	E	
252. Retirement Account 5 John Hancock managed by Wilmer Hale (H)									
253. - Target Retirement 2025 Fund (X)		None			Sold	12/31/20	M		
254. - Vanguard Target Ret 2025 Inst	C	Dividend	M	T	Buy	12/31/20	M		
255. Retirement Account 6 Richemont North America (H)									

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☐ 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)
256. - Prudential Principal Preservation Fund		None	K	T					
257. Investment Account 12 Charles Schwab managed by KF Advisors (H)									
258. - PIMCO Inflation Response Multi Asset Fund PIRMX	C	Dividend	N	T	Sold (part)	03/24/20	K		
259.					Sold (part)	03/25/20	K		
260. - Schwab Value Advantage Money Fund SWVXX		None			Sold	03/24/20	N		
261. - Schwab Government Money Fund SNVXX	A	Dividend	N	T	Buy	03/24/20	N		
262.					Sold (part)	06/10/20	J		
263. - Charles Schwab cash account		None	K	T					
264. Fortress TSX Broadway		None	M	U					
265. Davidson Kempner Distressed Opportunities, LP	D	Dividend	P1	U					
266. Hudson Bay Fund LP	A	Dividend	O	U					
267. Oak Hill Capital Partners V (Onshore Feeder), L.P. (X)	D	Dividend	K	U					
268. TCW Talf Opportunities Fund LP		None			Buy	05/28/20	K		
269.					Sold	12/31/20	K		
270. Rental Property, Rye, NY (X)	E	Rent	P1	W					
271. Retirement Account 7 Merrill (Bank of America Co) (H)									
272. - Merrill cash account		None	J	T					

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

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

Investment Account 1 Charles Schwab managed by KF Advisors: Line 5 and 15 Investment sold in 2019 after Nomination Filing
Investment Account 1 Charles Schwab managed by KF Advisors: Line 26 Investment purchased in 2018; Inadvertently excluded from Nomination Filing
Investment Account 1 Charles Schwab managed by KF Advisors: Line 33 and 38 Purchased in 2019 after Nomination Filing
Investment Account 2 Pershing Brave Warrior Advisors: Line 45-57 Investments sold in 2019 after Nomination Filing
Investment Account 3 Pershing Chieftain Capital Management: Line 59-67 Investments sold in 2019 after Nomination Filing
LionHedge Platform Fund: Line 74 Investment sold in 2019 after Nomination Filing
Solaris Constellation Fund LP: Line 80 Investment sold in 2018; Inadvertently reported on Nomination Filing
Dreyfus Treasury Prime Admin Pershing - Chieftain DTPAX: Line 82 Investment sold in 2019 after Nomination Filing
CGSH Partners Investments, LLC: Line 84-95 Filer does not own these underlying assets nor has control of the selection of assets; therefore, no reporting requirement
Dreyfus Treasury & Agency Inst Pershing - Brave Warrior DTRXX: Line 96 Investment sold in 2019 after Nomination Filing
Retirement Account 2 Cash Balance Plan: Line 98-129 Retirement plan did not provide income information nor purchase/sales information
Pacific Life whole life insurance policy: Line 131 Policy has no cash value; therefore, no reporting requirement
Investment Account 5 Charles Schwab managed by KF Advisors: Line 136, 140 and 144 Investment sold in 2019 after Nomination Filing
Investment Account 5 Charles Schwab managed by KF Advisors: Line 145 and 146 Investment purchased in 2019 after Nomination Filing
Investment Account 6 Charles Schwab managed by KF Advisors: Line 152 and 156 Investment sold in 2019 after Nomination Filing
Investment Account 6 Charles Schwab managed by KF Advisors: Line 161 Investment purchased in 2019 after Nomination Filing
Investment Account 7 Neuberger Berman: Line 168, 171-173, 175-176, 179 and 189 Investment sold in 2019 after Nomination Filing
Investment Account 7 Neuberger Berman: Line 210-211, 216, 2018 and 222 Investment purchased in 2019 after Nomination Filing
Investment Account 8 UBS: Line 228 Investment sold in 2019 after Nomination Filing
Investment Account 9 UBS: Line 230 Investment sold in 2019 after Nomination Filing
Retirement Account 3 TIAA: Line 232 Duplicate entry of Line 233-236
Retirement Account 4 Charles Schwab IRA: Line 242 and 244-245 Investment sold in 2019 after Nomination Filing
Retirement Account 4 Charles Schwab IRA: Line 246 Investment purchased prior to 2019; Inadvertently excluded from Nomination Filing
Retirement Account 5 John Hancock managed by Wilmer Hale: Line 253 Investment purchased prior to 2019; Inadvertently excluded from Nomination Filing
Oak Hill Capital Partners V (Onshore Feeder), L.P.: Line 267 Investment purchased in 2019; Inadvertently excluded from Nomination Filing
Rental Property, Rye, NY: Line 270 Investment purchased prior to 2019; Inadvertently excluded from Nomination Filing
Retirement Account 7 Merrill (Bank of America Co): Line 272 Investment purchased prior to 2019; Inadvertently excluded from Nomination Filing

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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/ **Lewis J. Liman**

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
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