

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) Cave, Sarah L.	2. Court or Organization U.S. District Court - Southern District of New York	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 Daniel Patrick Moynihan US Courthouse 500 Pearl St. 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. Diversity Officer	IBA Insolvency Section
2.	
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. 2007	Hughes Hubbard & Reed LLP Pension (no control)
2.	
3.	

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Name of Person Reporting

Cave, Sarah L.

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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.		
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	Burke Neurological Institute (salary)
2. 2020	Invitro Cell Research (salary)
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
Cave, Sarah L.	08/12/2021

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.		

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Name of Person Reporting

Cave, Sarah L.

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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. Individual Assets (H)									
2. Edward Jones (cash)	B	Int./Div.	O	T					
3. Citibank (cash)	A	Interest	J	T					
4. Citizens Bank (cash) (X)		None	K	T					
5. Hartford Single Life Variable Rate Universal Life Insurance		None	N	T					
6. Jackson National Life Insurance Variable Rate Fixed Annuity #1		None	K	T					
7. Jackson National Life Insurance Variable Rate Fixed Annuity #2		None	K	T					
8. Account #1 (H)									
9. Edward Jones Retirement Money Market (cash)	B	Dividend	K	T	Buy	01/24/20	P1		
10. Global X Funds (MLPX)	C	Dividend	K	T	Buy	03/05/20	K		
11.					Buy (add'l)	03/27/20	J		
12.					Sold (part)	07/08/20	J		
13. Alps Alerian Mlp ETF (AMLp)	A	Dividend			Sold	03/05/20	J		
14. Invesco Actively Managed Active U.S. Real Estate Fd (PSR)	B	Dividend	L	T	Buy (add'l)	03/05/20	L		
15.					Buy (add'l)	03/27/20	J		
16.					Buy (add'l)	12/31/20	J		
17. Invesco Exchange-Traded Fd Tr II Preferred (PGX)	B	Dividend	L	T	Buy	03/05/20	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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	(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.					Buy (add'l)	03/27/20	J		
19.					Buy (add'l)	07/08/20	J		
20.					Buy (add'l)	12/31/20	J		
21. Wisdomtree Emerging Markets High Dividend Fd ETF (DEM)	C	Dividend	K	T	Buy (add'l)	03/05/20	L		
22.					Buy (add'l)	03/27/20	J		
23.					Sold (part)	12/31/20	J		
24. Wisdomtree Tr Global Ex-US Real Estate Fund (DRW)	B	Dividend	L	T	Buy (add'l)	03/05/20	L		
25.					Buy (add'l)	03/27/20	J		
26.					Buy (add'l)	07/08/20	J		
27.					Buy (add'l)	12/31/20	J		
28. Wisdomtree Trust Emerging Markets Small Cap (DGS)		None			Sold	03/05/20	J		
29. Blackrock Global Dividend Cl K (BKBDX)	C	Dividend	L	T	Buy (add'l)	03/05/20	L		
30.					Sold (part)	12/31/20	J		
31. Calvert Emerging Markets Equity Cl I (CVMIX)	A	Dividend	L	T	Buy	03/05/20	L		
32.					Sold (part)	07/08/20	J		
33.					Sold (part)	12/31/20	J		
34. Champlain Mid Cap Cl I (CIPIX)	C	Dividend	L	T	Buy (add'l)	03/05/20	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)
35.					Buy (add'l)	03/27/20	J		
36.					Sold (part)	07/08/20	J		
37.					Sold (part)	12/31/20	J		
38. Columbia Balanced Cl I3 (CBDYX)	C	Dividend	L	T	Buy (add'l)	03/05/20	L		
39.					Sold (part)	03/27/20	J		
40.					Buy (add'l)	07/07/20	J		
41. Columbia Strategic Income Cl I3 (CPHUX)	A	Dividend			Buy (add'l)	03/05/20	K		
42.					Sold (part)	03/27/20	J		
43.					Sold (part)	07/07/20	J		
44.					Sold	07/08/20	K		
45. Edgewood Growth Cl I (EGFIX)	C	Dividend	L	T	Buy (add'l)	03/05/20	L		
46.					Sold (part)	03/27/20	J		
47.					Sold (part)	07/08/20	J		
48.					Sold (part)	12/31/20	J		
49. Invesco Oppenheimer International Small-Mid Company Cl R6 (OSCIX)	D	Dividend	L	T	Buy (add'l)	03/05/20	L		
50.					Sold (part)	07/08/20	J		
51.					Sold (part)	12/31/20	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.)

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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)
52. Invesco Oppenheimer Senior Floating Rate CI R6 (OOSIX)	A	Dividend			Buy (add'l)	03/05/20	K		
53.					Sold	03/27/20	K		
54. John Hancock Bond CI R6 (JHBSX)	C	Dividend	M	T	Buy (add'l)	03/04/20	J		
55.					Buy (add'l)	03/05/20	L		
56.					Sold (part)	03/26/20	J		
57.					Sold (part)	03/27/20	J		
58.					Buy (add'l)	07/08/20	J		
59. John Hancock Disciplined Value CI R6 (JDVWX)	B	Dividend	L	T	Buy	03/05/20	L		
60.					Buy (add'l)	03/26/20	J		
61. John Hancock Strategic Income Opportunities CI R6 (JIPRX)	A	Dividend			Sold	03/04/20	J		
62. JPMorgan Mid Cap Value R6 (JMVYX)	D	Dividend	L	T	Buy (add'l)	03/05/20	L		
63.					Buy (add'l)	03/27/20	K		
64.					Sold (part)	07/08/20	J		
65.					Buy (add'l)	12/31/20	J		
66. MFS Emerging Markets Debt Local CI R6 (EMLNX)	B	Dividend	L	T	Buy	03/05/20	L		
67.					Buy (add'l)	07/07/20	J		
68.					Buy (add'l)	07/08/20	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

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69. MFS International Growth Cl R6 (MGRDX)	A	Dividend	L	T	Buy (add'l)	03/05/20	L		
70.					Sold (part)	07/07/20	J		
71.					Sold (part)	12/31/20	J		
72. Neuberger Berman Genesis Cl I (NBGIX)	C	Dividend	L	T	Buy (add'l)	03/05/20	K		
73.					Buy (add'l)	03/27/20	J		
74.					Sold (part)	07/08/20	J		
75.					Sold (part)	12/31/20	J		
76. PGIM Short Duration High Yield Income Cl R6 (HYSQX)	A	Dividend	L	T	Buy	07/08/20	L		
77.					Buy (add'l)	12/31/20	J		
78. PGIM Total Return Bond Cl R6 (PTRQX)	B	Dividend	L	T	Buy (add'l)	03/05/20	L		
79.					Sold (part)	03/27/20	K		
80.					Buy (add'l)	07/08/20	K		
81.					Buy (add'l)	12/31/20	J		
82. T Rowe Price Dividend Growth Cl I (PDGIX)	A	Dividend	L	T	Buy (add'l)	03/05/20	L		
83.					Sold (part)	07/08/20	J		
84.					Sold (part)	12/31/20	J		
85. Victory Sycamore Small Company Opportunity Cl R6 (VSORX)	A	Dividend	L	T	Buy (add'l)	03/05/20	K		

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86.					Buy (add'l)	03/27/20	J		
87.					Sold (part)	07/08/20	J		
88. Account #2 (H)									
89. IShares Core S&P U.S. Value ETF (IUSV)	A	Dividend	J	T					
90. IShares Tr MSCI EAFE Growth Fd (EFG) (Y)									
91. American New Perspective Cl F3 (FNPFX)	A	Dividend	J	T					
92. Hartford Midcap Cl F (HMDFX)	A	Dividend	J	T	Buy	03/05/20	J		
93. JPMorgan Emerging Markets Equity Cl R6 (JEMWX)	A	Dividend	J	T	Buy	03/05/20	J		
94. JPMorgan Small Cap Blend Cl R6 (JSCHX) (X)	A	Dividend	J	T					
95. Invesco Corporate Bond Cl R6 (ICBFX)	A	Dividend			Sold	03/05/20	J		
96. Invesco Dividend Income Cl R6 (IFUTX)	A	Dividend			Sold	03/05/20	J		
97. Lord Abbett High Yield Cl F3 (LHYOX)	A	Dividend	J	T					
98. MFS Corporate Bond Cl R6 (MFBKX)	A	Dividend	J	T					
99. MFS Income Cl R6 (MFIWX)	A	Dividend	J	T	Buy	03/05/20	J		
100. MFS International Diversification Cl R6 (MDIZX)	A	Dividend	J	T					
101. MFS Value Cl R6 (MEIKX)	A	Dividend	J	T	Buy	03/05/20	J		
102. T Rowe Price Dividend & Growth Cl I (PDGIX)	A	Dividend	J	T	Buy	03/05/20	J		

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103. Account #3 (H)									
104. First Trust Preferred Securities & Income ETF (FPE)	A	Dividend	J	T					
105. Global X Funds (MLPA)	A	Dividend	J	T	Buy (add'l)	12/31/20	J		
106. Invesco ETF S&P Small Cap Low Volatility (XSLV)	A	Dividend			Sold	03/27/20	J		
107. SPDR Index Shs Funds DJ Wilshire Global (RWO)	A	Dividend	J	T					
108. SPDR Ser Tr S&P Dividend ETF (SDY)	A	Dividend	J	T	Buy	03/27/20	J		
109. SPDR Ser Tr Reit ETF (RWR)	A	Dividend	J	T					
110. American New Perspective Cl F3 (FNPFXX)	A	Dividend	J	T					
111. Blackrock Advantage Small Cap Growth Cl K (PSGKX)	A	Dividend	J	T	Buy	03/27/20	J		
112. Calvert Emerging Markets Equity Cl I (CVMIX)	A	Dividend	J	T					
113. Hartford Balanced Income Cl F (HBLFX)	A	Dividend	J	T					
114. Eaton Vance Atlanta Capital SMID Cap Cl I (EISMXX)		None			Sold	03/27/20	J		
115. Franklin Convertible Securities Cl R6 (FCSKX)	A	Dividend			Sold	03/27/20	J		
116. Invesco Oppenheimer Global Opportunities Cl I (OGIIX)	A	Dividend	J	T					
117. Jensen Quality Growth Cl Y (JENYX)	A	Dividend	J	T					
118. John Hancock Disciplined Value Cl R6 (JDVWX)	A	Dividend	J	T					
119. John Hancock Income Cl R6 (JSNWX)	A	Dividend	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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Cave, Sarah L.

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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)
120. JPMorgan Market Expansion Enhanced Index R6 (OMYGX)		None			Sold	03/25/20	J		
121. JPMorgan Mid Cap Value Cl R6 (JMVYX)	A	Dividend	J	T	Buy	03/25/20	J		
122. Lord Abbett High Yield Cl F3 (LHYOX)	A	Dividend	J	T	Buy	07/06/20	J		
123. MFS Emerging Markets Debt Local Cl R6 (EMLNX)	A	Dividend	J	T					
124. MFS International Diversification Cl R6 (MDIZX)	A	Dividend	J	T					
125. MFS Mid Cap Growth Cl R6 (OTCKX)	A	Dividend	J	T	Buy	03/27/20	J		
126. PGIM Global Total Return Cl R6 (PGTQX)	A	Dividend	J	T	Sold (part)	03/27/20	J		
127.					Buy (add'l)	07/06/20	J		
128. PGIM Total Return Bond Cl R6 (PTRQX)	A	Dividend	J	T	Buy (add'l)	07/06/20	J		
129. Victory Sycamore Small Company Opportunity Cl R6 (VSORX)	A	Dividend	J	T					
130. Account #4 (H)									
131. American New Perspective Cl F3 (FNPFX) (X)	A	Dividend	J	T					
132. iShares Core S&P U.S. Value ETF (IUSV) (Y)									
133. Hartford Core Equity Cl F (HGIFX)	A	Dividend	J	T					
134. Invesco Dividend Income Cl R6 (IFUTX) (X)	A	Dividend	J	T					
135. JPMorgan Emerging Markets Equity Cl R6 (JEMWX) (X)	A	Dividend	J	T					
136. JPMorgan Mid Cap Equity Cl R6 (JPPEX) (X)	A	Dividend	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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Name of Person Reporting

Cave, Sarah L.

Date of Report

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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)
137. MFS International Diversification Cl R6 (MDIZX) (X)	A	Dividend	J	T					
138. T Rowe Price Blue Chip Growth Cl I (TBCIX) (X)	A	Dividend	J	T					
139. Account #5 (H)									
140. Wells Fargo Dodge & Cox Intermediate Bd CIT F		None			Sold	01/23/20	M		
141. American Century in Retirement I		None			Sold	01/23/20	N		
142. American Century Retirement Date 2025 I		None			Sold	01/23/20	M		
143. JPMorgan Mid Cap Growth R6		None			Sold	01/23/20	L		
144. JPMorgan Mid Cap Value L		None			Sold	01/23/20	M		
145. T Rowe Price Small-Cap Stock I		None			Sold	01/23/20	L		
146. Wells Fargo MFS Value CIT F		None			Sold	01/23/20	M		
147. American Funds Europacific Growth R6		None			Sold	01/23/20	M		
148. Account #6 (H)									
149. TIAA Traditional	B	Dividend	L	T					
150. CREF Stock R1		None	L	T					
151. TIAA Real Estate		None	J	T					
152. T-C Lifecycle Index 2035-Inst (X)	A	Dividend	J	T					
153. Account #7 (H)									

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)
154. Edward Jones Money Market (cash)	A	Dividend	J	T	Buy	03/05/20	J		
155. Invesco Actively Managed Active US Real Estate Fund (PSR)	A	Dividend	K	T	Buy	03/05/20	K		
156.					Buy (add'l)	03/27/20	J		
157. Invesco ETF S&P Midcap Low Volatility (XMLV)	A	Dividend			Sold	03/27/20	J		
158. Invesco ETF Kbw Prem Yield Equity Reit (KBWY)	A	Dividend			Sold	03/05/20	K		
159. IShares Core MSCI Emerging Markets ETF (IEMG)	A	Dividend	J	T	Buy	03/27/20	J		
160. IShares Global Reit ETF (REET)	A	Dividend	J	T	Buy (add'l)	03/05/20	J		
161.					Buy (add'l)	03/27/20	J		
162. IShares Edge MSCI USA Momentum Factor ETF (MTUM)	A	Dividend	K	T	Buy	03/27/20	J		
163. IShares Tr Edge MSCI Minimum Volatility EAFE ETF (EFAV)		None			Sold (part)	03/05/20	J		
164.					Sold	03/27/20	J		
165. Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend			Sold (part)	03/05/20	J		
166.					Sold	03/27/20	J		
167. Wisdomtree US Small Cap Quality Dividend Growth Fund (DGRS)	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
168. Wisdomtree US Midcap Dividend ETF (DON)	A	Dividend	J	T	Buy (add'l)	03/05/20	J		
169.					Buy (add'l)	03/27/20	J		
170. American New Perspective CI F3 (FNPFEX)	B	Dividend	K	T	Sold (part)	03/05/20	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

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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)
171.					Sold (part)	07/08/20	J		
172. Blackrock High Yield Municipal Cl K (MKYHX)	A	Dividend			Sold	03/27/20	K		
173. Blackrock Multi Asset Income Cl K (BKMIX)	A	Dividend	K	T	Sold (part)	03/04/20	J		
174. Blackrock NY Municipal Opportunities Cl K (MKNKX)	A	Dividend	K	T	Buy (add'l)	03/04/20	J		
175.					Buy (add'l)	03/05/20	J		
176.					Sold (part)	03/27/20	J		
177.					Buy (add'l)	07/08/20	J		
178. Calvert Emerging Markets Eq Cl I (CVMIX)	A	Dividend	J	T	Buy (add'l)	03/05/20	J		
179. Columbia Contrarian Core Cl I3 (COFYX)	B	Dividend	K	T	Sold (part)	03/05/20	J		
180.					Sold (part)	07/08/20	J		
181. Columbia Strategic Municipal Income Cl I3 (CATYX)	A	Dividend	K	T	Buy (add'l)	03/27/20	J		
182.					Sold (part)	07/08/20	J		
183. Invesco Limited Term Municipal Income Cl R6 (ATFSX)	A	Dividend			Sold	03/26/20	J		
184. Invesco High Yield Municipal Cl R6 (ACTSX)	A	Dividend	K	T	Buy	03/26/20	J		
185.					Buy (add'l)	03/27/20	J		
186.					Buy (add'l)	07/07/20	J		
187. Invesco Oppenheimer Discovery Mid Cap Growth Cl R6 (OEGIX)	A	Dividend	J	T	Buy	03/27/20	J		

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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Cave, Sarah L.

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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)
188.					Sold (part)	07/07/20	J		
189. Lord Abbett National Tax Free Cl F3 (LONSX)	A	Dividend	K	T	Sold (part)	03/05/20	J		
190.					Buy (add'l)	07/07/20	J		
191.					Buy (add'l)	07/08/20	J		
192. Lord Abbett NY Tax Free Cl F3 (LONYX)	A	Dividend	K	T	Sold (part)	03/27/20	J		
193.					Sold (part)	07/07/20	J		
194. T Rowe Price Dividend Growth Cl I (PDGIX)	A	Dividend	K	T					
195. T Rowe Price International Discovery Cl I (TIDDX)	A	Dividend	K	T	Sold (part)	07/07/20	J		
196.					Sold (part)	07/08/20	J		
197. T Rowe Price Summit Municipal Income Cl I (PRIMX)	A	Dividend	K	T	Sold (part)	03/05/20	J		
198.					Buy (add'l)	07/07/20	J		
199. Account #8 (H)									
200. JP Morgan 529 Age-Based 15-16 Portfolio		None	M	T	Buy	02/05/20	M		
201.					Sold (part)	12/31/20	K		
202.					Buy (add'l)	12/31/20	K		
203. JP Morgan 529 Age-Based 14 Portfolio A		None			Sold	02/05/20	M		
204. JP Morgan 529 Equity Income Portfolio A		None	K	T	Buy (add'l)	12/31/20	K		

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	

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Name of Person Reporting

Cave, Sarah L.

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08/12/2021

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)
205.					Sold (part)	12/31/20	K		
206. JP Morgan 529 Mid Cap Value Portfolio A		None	K	T	Sold (part)	12/31/20	J		
207.					Buy (add'l)	12/31/20	J		
208. JP Morgan 529 Growth Advantage Portfolio A		None	K	T	Buy (add'l)	12/31/20	K		
209.					Sold (part)	12/31/20	K		
210. JP Morgan 529 Small Cap Equity Portfolio A		None	J	T	Buy (add'l)	12/31/20	J		
211.					Sold (part)	12/31/20	J		
212. JP Morgan 529 Realty Income Portfolio A		None	J	T	Buy (add'l)	12/31/20	J		
213.					Sold (part)	12/31/20	J		
214. SSgA 529 MSCI ACWI (ex-US) ETF Portfolio A		None	K	T	Buy (add'l)	12/31/20	K		
215.					Sold (part)	12/31/20	K		
216. JP Morgan 529 Inflation Managed Bond Portfolio A		None	K	T	Sold (part)	12/31/20	K		
217.					Buy (add'l)	12/31/20	K		
218. Account #9 (H)									
219. JP Morgan 529 Age-Based 11-12 Portfolio A		None	M	T	Buy (add'l)	12/31/20	K		
220.					Sold (part)	12/31/20	K		
221. JP Morgan 529 Equity Income Portfolio A		None	K	T	Buy (add'l)	12/31/20	K		

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		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)
222.					Sold (part)	12/31/20	K		
223. JP Morgan 529 Mid Cap Value Portfolio A		None	K	T	Buy (add'l)	12/31/20	K		
224.					Sold (part)	12/31/20	K		
225. JP Morgan 529 Growth Advantage Portfolio A		None	K	T	Buy (add'l)	12/31/20	J		
226.					Sold (part)	12/31/20	K		
227. JP Morgan 529 Small Cap Equity Portfolio A		None	K	T	Buy (add'l)	12/31/20	J		
228.					Sold (part)	12/31/20	J		
229. JP Morgan 529 Realty Income Portfolio A		None	K	T	Buy (add'l)	12/31/20	J		
230.					Sold (part)	12/31/20	J		
231. SSgA 529 MSCI ACWI (ex-US) ETF Portfolio A		None	J	T	Buy (add'l)	12/31/20	J		
232.					Sold (part)	12/31/20	K		
233. JP Morgan 529 Inflation Managed Bond Portfolio A		None	J	T	Buy (add'l)	12/31/20	J		
234.					Sold (part)	12/31/20	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

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

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cave, Sarah L.

Date of Report

08/12/2021

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/ Sarah L. Cave

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