

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) McAuliffe, Steven J.	2. Court or Organization U.S. District Court - New Hampshire	3. Date of Report 05/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 Warren B. Rudman U.S. Courthouse 55 Pleasant Street, Room 416 Concord, N.H. 03301		
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. Fellow	New Hampshire Bar Foundation
2. Director	Challenger Center for Space Science Education
3. Trustee	Trust #1
4. Partner	Piglet (Neighborhood Investment Club)
5. Member	Shumac, LLC
6. Member	Pleasant Lake Cottages, LLC

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. UBS	Account Secured Premier Credit Line	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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. Accts Merrimack County Savings Bank	A	Interest	J	T					
2. IRA iShares Core S&P	A	Dividend	K	T					
3. IRA iShares Russell 1000	B	Dividend	L	T	Buy (add'l)	11/02/20	J		
4. IRA iShares MSCI EAFE	C	Dividend	M	T					
5. IRA iBoxx \$ Invt	A	Dividend	K	T	Buy (add'l)	11/02/20	J		
6. IRA iShares Core US AGG Bond	A	Dividend	J	T					
7. IRA iShares Tips Bond	A	Dividend			Sold	11/02/20	J	A	
8. IRA iShares Short Term Corp Bond	A	Dividend			Sold	11/02/20	J	D	
9. IRA SPDR Bloomberg Barclay High Yield Bond	A	Dividend			Sold	11/02/20	J	D	
10. IRA Vanguard Value	B	Dividend	L	T	Buy (add'l)	11/02/20	J		
11. IRA Vanguard Mid-Cap	A	Dividend	K	T					
12. IRA Vanguard FTSE Emerg Mkts	A	Dividend	K	T					
13. ExxonMobil Corp	A	Dividend	J	T					
14. UBS Retirement Money Fund (UBS Bank USA Dep Acct)	A	Interest	J	T					
15. Piglet Investment Club Partnership Shares (See Part VIII)	A	Interest	K	T					
16. -UBS RMA Cash Account	A	Interest	J	T					
17. -Apple Inc	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
18. -Exact Sciences Corp		None	J	T					
19. -Hasbro Inc	A	Dividend			Sold	10/09/20	J	A	
20. -Microsoft Corp	A	Dividend	J	T					
21. -Nike Inc	A	Dividend			Sold	10/09/20	J	A	
22. -Proofpoint Inc		None			Sold	10/09/20	J	A	
23. -Upwork Inc		None			Sold	01/08/20	J	A	
24. -Alibaba Group Ltd		None			Sold	10/09/20	J	A	
25. -Lyft, Inc		None			Sold	09/04/20	J	A	
26. -Splunk, Inc		None			Sold	10/09/20	J	A	
27. -Target Corp	A	Dividend			Sold	10/09/20	J	A	
28. UBS Bank USA Dep Acct	A	Dividend	K	T					
29. Merrimack County Savings Bank NOW Acct (2)	A	Interest	J	T					
30. Enterprise Products Partners LP	B	Dividend			Sold	12/14/20	K	C	
31. iShares TR Russell 2000 Index Fund	B	Dividend	L	T					
32. iShares Trust Russell Midcap Growth Index Fund	A	Dividend	L	T					
33. Apple Inc	B	Dividend	K	T					
34. Simon Property Group Inc	B	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
35. iShares iBoxx Invt Grade DE Corp Bond Fund	B	Dividend	K	T					
36. Danaher Corp	A	Dividend	J	T					
37. Alphabet Inc. CL A		None	L	T					
38. JP Morgan Chase & Company	A	Dividend	J	T					
39. Starbucks Corp	A	Dividend	J	T					
40. VISA Inc	B	Dividend	K	T					
41. Alphabet Inc CL C		None	L	T					
42. Home Depot Inc	A	Dividend	L	T					
43. Janus Henderson Global Equity (Name Change)	B	Dividend			Sold	07/01/20	M	D	
44. iShares Trust Russell 1000	A	Dividend	K	T					
45. Chubb Ltd	A	Dividend			Sold	12/14/20	K	D	
46. Washington Prime Group Inc Com	A	Dividend			Sold	07/01/20	J	A	
47. Biogen Inc	A	Dividend			Sold	07/01/20	K	C	
48. British American Tobacco PLC	A	Dividend			Sold	07/01/20	K	B	
49. HCA Healthcare Inc	B	Dividend	L	T					
50. Veritiv Corp Com		None			Sold	07/01/20	J	A	
51. SPDR S&P MidCap 400 ETF TR	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
52. Technology Sector SPDR Trust SHS	B	Dividend	M	T					
53. Johnson County Kansas Water District #1 Bond	A	Interest	K	T					
54. Brentwood Tennessee G.O. Bond	A	Interest	K	T					
55. Minn St Colleges & SR A Revenue Bond	A	Interest	K	T					
56. Vermont Municipal Bond Bank SRL Revenue Bond	A	Interest	K	T					
57. Pimco Real Return Fund Class A	B	Dividend	K	T					
58. Calamos Market Neutral Income Fund Class A	B	Dividend	K	T					
59. First Eagle Global Fund Class A	B	Dividend	K	T					
60. Shumac LLC 50% Int (Holds Lake Property in Merrimack County, NH)		None	O	W					
61. Pleasant Lake Cottages, LLC (Real Estate)		None	O	W					
62. R.P. Jobin, Personal Loan		None	K	T					
63. Verizon Communications Inc	A	Dividend			Sold	12/14/20	J	A	
64. PNC Financial Services Group	A	Dividend			Sold	12/14/20	J	A	
65. PepsiCo Inc	A	Dividend			Sold	07/01/20	J	A	
66. Salesforce.com Inc		None	J	T					
67. Thermo Fisher Scientific Inc	A	Dividend	J	T					
68. UnitedHealth Group	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
69. Gilead Sciences Inc	A	Dividend	J	T					
70. Microsoft Corp	A	Dividend	K	T					
71. Berkshire Hathaway Inc		None			Sold	07/01/20	J	A	
72. Costco Wholesale Corp	A	Dividend	J	T					
73. Dominion Energy Inc (Name Change)	A	Dividend			Sold	12/14/20	J	A	
74. SPDR S&P Midcap 600	A	Dividend	K	T	Buy (add'l)	06/30/20	J		
75. Ecolab, Inc	A	Dividend	J	T					
76. Medtronic Holding Ltd	A	Dividend			Sold	07/01/20	J	A	
77. Vanguard REIT ETF	A	Dividend			Sold	07/01/20	K	C	
78. Facebook Inc	A	Dividend	J	T					
79. Broadcom Ltd	A	Dividend	K	T					
80. Hess Corp	A	Dividend			Sold	07/01/20	J	A	
81. Northrop Grumman Corp	A	Dividend			Sold	07/01/20	J	A	
82. Raytheon Co	A	Dividend	J	T					
83. Vanguard Midcap ETF	B	Dividend	L	T	Buy (add'l)	07/02/20	J		
84. TE Connectivity Ltd	A	Dividend			Sold	12/14/20	J	A	
85. KeyCorp New	A	Dividend			Sold	07/01/20	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
86. Digital Realty Trust	A	Dividend			Sold	07/01/20	J	A	
87. Merck & Co New	A	Dividend			Sold	12/14/20	J	A	
88. Fortive Corp	A	Dividend			Sold	12/14/20	J	A	
89. Affiliated Mgrs Grp	A	Dividend			Sold	07/01/20	J	A	
90. Ameriprise Fin Inc	A	Dividend	J	T					
91. Union Pacific Corp	A	Dividend	J	T					
92. Amazon Inc		None	K	T					
93. American Tower Corp	A	Dividend	J	T					
94. Allergan PLC	A	Dividend			Sold	05/11/20	J	A	
95. Eaton Corp PLC	A	Dividend			Sold	07/01/20	J	A	
96. Booking Holdings Inc	A	Dividend			Sold	07/01/20	J	A	
97. Caterpillar Inc	A	Dividend			Sold	12/14/20	J	C	
98. Conoco Phillips	A	Dividend			Sold	07/01/20	J	A	
99. Halliburton Co	A	Dividend			Sold	07/01/20	J	A	
100. Oppenheimer Dev Mkts	A	Dividend			Sold	12/10/20	K	D	
101. AT&T Inc	A	Dividend	J	T					
102. Ford Motor Co	A	Dividend			Sold	07/01/20	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
103. McDonald's Corp	A	Dividend			Sold	07/01/20	J	A	
104. Netflix Inc		None	J	T					
105. Proctor & Gamble Co	A	Dividend	J	T					
106. United Tech Corp	A	Dividend			Sold	07/01/20	J	A	
107. Wal-Mart Inc	A	Dividend	J	T					
108. Adobe Inc	A	Dividend	J	T					
109. Walt Disney Co	A	Dividend			Sold	07/01/20	J	A	
110. iShares MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	06/30/20	J		
111. Amer Funds Euro Pacific	A	Dividend	K	T					
112. New Hampshire St Bus Sr A RV	B	Interest	K	T					
113. Apple Inc [C]	B	Dividend	L	T					
114. Danaher Corp [C]	B	Dividend	K	T					
115. JP Morgan Chase & Company [C]	A	Dividend	K	T					
116. UnitedHealth Group [C]	A	Dividend	K	T					
117. UBS Pace Money Market Investments Fund Class P [K]	A	Dividend	J	T					
118. F. Templeton Global Bond A [K]	A	Dividend	J	T					
119. Arbitrage Fund [K]	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
120. BlackRock Equity Dividend Fund [K]	A	Dividend	J	T					
121. Calamos Market Neutral Income Fund [K]	A	Dividend	J	T					
122. Calamos International Growth Fund [K]	A	Dividend	J	T					
123. BNY Mellow Opp SmCapFd [K]	A	Dividend	J	T					
124. Natixis Loomis Sayles Core Plus Bond Fund [K]	A	Dividend	J	T					
125. Royce Premier Fund [K]	A	Dividend	J	T					
126. Laudus Growth Inv US Large Cap Fund [K]	A	Dividend	J	T					
127. UBS Pimco College Fund 529(1) [K]	A	Interest	J	T					
128. UBS Pimco College Fund 529(2) [K]	A	Interest	K	T					
129. Fidelity Advisor Materials Fund Class A [K]	A	Dividend	J	T					
130. Invesco Developing Markets Fund Class A [K]	A	Dividend	J	T					
131. Oakmark International Fund [K]	A	Dividend	J	T					
132. Delaware Corporate Bond Fund A [K]	A	Dividend	J	T					
133. Ivy High Income Fund [K]	A	Dividend	J	T					
134. Metropolitan West Total Return Bond Fund [K]	A	Dividend	J	T					
135. Pimco Real Return Fund [K]	A	Dividend	J	T					
136. Virtus Seix High Grade Municipal Bd Fd (firmly "Ridgeworth") [K]	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
137. T. Rowe Price Tax Free Short Intermediate Fund [K]	A	Dividend	J	T					
138. TCW Emerging Markets Income Fund [K]	A	Dividend	J	T					
139. MainStay Marketfield Fund [K]	A	Dividend	J	T					
140. First Eagle Global Fund [K]	A	Dividend	J	T					
141. Berkshire Hathaway Inc [C]		None	J	T					
142. Chubb Ltd [C]		None			Sold	01/29/20	J	A	
143. Costco Wholesale Corp [C]	A	Dividend	J	T					
144. Dominion Energy (Name Change) [C]	A	Dividend	J	T					
145. PNC Financial Services Group [C]	A	Dividend	J	T					
146. PepsiCo Inc [C]	A	Dividend	J	T					
147. Verizon Communications Inc [C]	A	Dividend	J	T					
148. Ameriprise Fin Inc [C]	A	Dividend	J	T					
149. Broadcom Ltd [C]	A	Dividend	J	T					
150. Ecolab Inc [C]	A	Dividend	J	T					
151. Facebook Inc [C]		None	J	T					
152. Vanguard Mid Cap FD [C]	B	Dividend	M	T					
153. Vanguard REIT ETF [C]	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
154. Affiliated Mgrs Group [C]		None			Sold	01/29/20	J	A	
155. Digital Realty Trust Inc [C]		None	J	T					
156. KeyCorp New [C]	A	Dividend	J	T					
157. Northrop Grumman Corp [C]	A	Dividend	J	T					
158. Raytheon Co [C]	A	Dividend	J	T					
159. Home Depot Inc [C]	A	Dividend	J	T					
160. Union Pacific Corp [C]	A	Dividend	J	T					
161. SPDR S&P 600 Small Cap [C]	A	Dividend	K	T					
162. (Name Change: Invesco) Oppenheimier Dev Mkts [C]	A	Dividend	K	T					
163. Starbucks Corp [C]	A	Dividend	J	T					
164. Visa Inc [C]	A	Dividend	K	T					
165. Fortive Corp [C]	A	Dividend	J	T					
166. Conoco Phillips [C]	A	Dividend	J	T					
167. Amazon Inc [C]	A	Dividend	K	T					
168. Caterpillar Inc [C]	A	Dividend	J	T					
169. Eaton Corp PLC [C]	A	Dividend	J	T					
170. Booking Holdings Inc [C]	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
171. American Tower Corp [C]	A	Dividend	J	T					
172. AT&T Inc [C]	A	Dividend	J	T					
173. Ford Motor Co [C]		None			Sold	01/29/20	J	A	
174. McDonald's Corp [C]	A	Dividend	J	T					
175. Netflix Inc [C]		None	J	T					
176. Proctor & Gamble Co [C]	A	Dividend	J	T					
177. United Tech Corp [C]		None			Sold	01/29/20	J	A	
178. Wal-Mart Inc [C]	A	Dividend	J	T					
179. Vanguard FTSE Dev Mkt [C]	B	Dividend	M	T					
180. iShares Core S&P Small Cap [C]	A	Dividend	J	T					
181. iShares Russell 1000 Growth [C]	A	Dividend	K	T					
182. iShares MSCI EAFE [C]	A	Dividend	K	T					
183. Vanguard Value ETF [C]	A	Dividend	K	T					
184. Vanguard Mid-Cap ETF [C]	A	Dividend	K	T					
185. Vanguard FTSE Emerging Mkts [C]	A	Dividend	K	T					
186. iShares iBoxx & Invt Grade Corp Bond [C]	A	Dividend	J	T					
187. iShares Core US Agg Bond [C]	A	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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)
188. iShares Tips Bond [C]	A	Dividend	K	T					
189. iShares Natl Muni Bond [C]	A	Dividend	K	T					
190. iShares Short Term Natl Muni Bond [C]	A	Dividend	K	T					
191. SPDR Bloomberg Barclay High Yield Bond [C]	A	Dividend	J	T					
192. Vanguard Total Intl Bond [C]	A	Dividend	M	T	Buy (add'l)	03/05/20	L		
193. Adobe Inc [C]	A	Dividend	J	T					
194. ExxonMobil Corp [C]	A	Dividend	J	T					
195. Halliburton Co [C]	A	Dividend	J	T					
196. Walt Disney Co [C]	A	Dividend	J	T					
197. Alphabet Inc CL A [C]	A	Dividend	K	T					
198. iShares 1-5 Yr Invt Grade Corp Bond [C]	A	Dividend	J	T	Buy	10/29/20	J		
199. iShares Core 1-5 Yr USD Bond GTF [C]	A	Dividend	K	T	Buy	10/29/20	K		
200. Microsoft Corp [C]	A	Dividend	J	T	Buy	01/29/20	J		
201.									
202.									
203.									

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	

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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

PART VII. INVESTMENTS AND TRUSTS.

Trust #1 assets are listed in Part VII, identified by the designation "[C]."

PART VII. INVESTMENTS AND TRUSTS.

Line 17. Piglet Investment Club Partnership - Aggregated (specific holdings are listed below main entry and designated by "-").

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/13/2021

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/ Steven J. McAuliffe

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