

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) Norton, Cynthia A.	2. Court or Organization U.S. Bankruptcy Court, W.D. of Missouri	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	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 400 E. 9th St. Room 6462 Kansas City, MO 64106		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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

A. Filer's Non-Investment Income



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

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

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

(Dollar amount not required except for honoraria.)



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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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. American Bankruptcy Institute	Feb. 2-4, 2020	San Juan, Puerto Rico	Presenter at the conference	Airfare, meals, registration and hotel.
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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. Exchange National Bank of Atchison	Personal Loan	K
2. Hilton Grand Vacations Properties Ownership Interest	Time Share Loan	L
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)

1. Exchange National Bank Accounts (Cash Accounts)	A	Interest	J	T					
2. Commerce Bank Accounts (Cash Accounts)	A	Interest	J	T					
3. Navy Federal Credit Union Accounts (Cash Accounts)	A	Interest	J	T					
4. Ivy Cash Management (Formerly Waddell & Reed) Accounts	A	Dividend	J	T					
5. Beneficiary IRA, BB&T/Truist, Scott & Stringfellow (H)									
6. -- T Rowe Price Dividend Growth Advisor CL (TADGX) (X)	A	Int./Div.	J	T					
7. Rollover IRA, BB&T/Truist, Scott & Stringfellow (H)									
8. -- Altegres Futures Evolution Strategy (EVOIX)	A	Dividend							
9.					Buy (add'l)	01/16/20	J		
10.					Buy (add'l)	02/18/20	J		
11.					Buy (add'l)	03/17/20	J		
12.					Sold	03/26/20	J	A	
13. -- Baird Core Plus Bond (BCOIX)	D	Dividend							
14.					Buy (add'l)	01/28/20	J		
15.					Buy (add'l)	02/26/20	J		
16.					Sold	03/25/20	J	D	
17. -- Baird Short Term Bond (BSBIX)	D	Dividend							

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 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
18.					Buy (add'l)	01/28/20	J		
19.					Buy (add'l)	02/26/20	J		
20.					Sold	03/25/20	J	D	
21. -- Blackstone Alt Multistrategy (BXMIX)	C	Dividend			Sold	03/26/20	J	C	
22. -- Cohen & Steers Real Estate (CSDIX)	A	Dividend			Sold	03/25/20	J	A	
23. -- Consumer Discretionary Select Sector (XLY)	B	Dividend	J	T					
24.					Buy (add'l)	01/29/20	J		
25.					Sold (part)	03/17/20	J	B	
26.					Buy (add'l)	03/25/20	J		
27.					Buy (add'l)	03/26/20	J		
28.					Sold (part)	06/15/20	J	C	
29.					Buy (add'l)	06/25/20	J		
30.					Sold (part)	09/03/20	J	B	
31.					Buy (add'l)	09/24/20	J		
32.					Buy (add'l)	12/07/20	J		
33.					Buy (add'l)	12/24/20	J		
34. -- Federated Kauffmann Small Cap (FKAIX)	B	Dividend			Sold	03/25/20	J	B	

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 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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. -- Federated Treasury Obligations Fund (TOIXX)	E	Dividend	M	T					
36.					Buy (add'l)	01/06/20	J		
37.					Sold (part)	01/08/20	J	A	
38.					Buy (add'l)	01/31/20	J		
39.					Buy (add'l)	01/31/20	J		
40.					Sold (part)	01/31/20	J	A	
41.					Buy (add'l)	02/28/20	J		
42.					Buy (add'l)	02/28/20	J		
43.					Buy (add'l)	03/05/20	J		
44.					Sold (part)	03/19/20	J	A	
45.					Buy (add'l)	03/24/20	J		
46.					Sold (part)	03/25/20	J	B	
47.					Buy (add'l)	03/26/20	J		
48.					Sold (part)	03/27/20	J	E	
49.					Buy (add'l)	03/31/20	J		
50.					Buy (add'l)	04/01/20	J		
51.					Buy (add'l)	04/02/20	J		

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 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.)

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)
52.					Sold (part)	04/08/20	J	A	
53.					Buy (add'l)	04/30/20	J		
54.					Buy (add'l)	05/29/20	J		
55.					Buy (add'l)	06/17/20	J		
56.					Buy (add'l)	06/22/20	J		
57.					Buy (add'l)	06/26/20	J		
58.					Buy (add'l)	06/30/20	J		
59.					Sold (part)	07/08/20	J	A	
60.					Buy (add'l)	07/07/20	J		
61.					Buy (add'l)	08/31/20	J		
62.					Buy (add'l)	09/04/20	J		
63.					Buy (add'l)	09/25/20	J		
64.					Buy (add'l)	09/30/20	J		
65.					Buy (add'l)	09/30/20	J		
66.					Sold (part)	10/07/20	J	A	
67.					Buy (add'l)	10/30/20	J		
68.					Buy (add'l)	11/30/20	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

FINANCIAL DISCLOSURE REPORT

Page 8 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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.					Sold (part)	12/09/20	J	B	
70.					Buy (add'l)	12/21/20	J		
71.					Buy (add'l)	12/28/20	J		
72.					Buy (add'l)	12/31/20	J		
73.					Buy (add'l)	12/31/20	J		
74. -- IShares Core MSCI Europe (IEUR)	C	Dividend							
75.					Buy (add'l)	01/29/20	J		
76.					Buy (add'l)	03/20/20	J		
77.					Buy (add'l)	03/25/20	J		
78.					Sold	03/30/20	J	C	
79. -- IShares MSCI All Country Asia Ex Japan (AAXJ)	A	Dividend	J	T	Buy	03/17/20	J		
80.					Buy (add'l)	03/25/20	J		
81.					Buy (add'l)	06/19/20	J		
82.					Buy (add'l)	09/02/20	J		
83.					Buy (add'l)	12/18/20	J		
84.					Sold (part)	12/29/20	J	A	
85. -- IShares Russell 2000 ETF (IWM)	B	Dividend	J	T	Buy	03/30/20	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
86.					Sold (part)	06/15/20	J	A	
87.					Buy (add'l)	06/19/20	J		
88.					Buy (add'l)	12/18/20	J		
89.					Sold (part)	12/29/20	J	A	
90. -- JP Morgan Equity Preimium Income (JEPIX)	B	Dividend	J	T					
91.					Buy (add'l)	01/02/20	J		
92.					Buy (add'l)	02/03/20	J		
93.					Buy (add'l)	03/02/20	J		
94.					Buy (add'l)	04/01/20	J		
95.					Sold	03/25/20	J	B	
96. -- JP Morgan Govt Bond (HLGAX)	C	Dividend							
97.					Buy (add'l)	01/30/20	J		
98.					Buy (add'l)	02/27/20	J		
99.					Sold	03/25/20	J	C	
100. -- JP Morgan Hedged Equity (JHEQX)	B	Dividend			Sold	03/25/20	J	B	
101. -- Morgan Stanley Instl Global Francise (MSFAX)	C	Dividend			Sold	03/25/20	J	C	
102. -- PIMCO High Yield Instl (PHYX)	B	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	

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)
103.					Buy (add'l)	01/02/20	J		
104.					Buy (add'l)	02/03/20	J		
105.					Sold	03/25/20	J	B	
106.					Buy (add'l)	04/01/20	J		Dividend on 03/25/20 sale
107. -- PIMCO International Bond US Dollar (PFORX)	B	Dividend	J	T					
108.					Buy (add'l)	01/02/20	J		
109.					Buy (add'l)	01/02/20	J		
110.					Buy (add'l)	02/03/20	J		
111.					Buy (add'l)	03/02/20	J		
112.					Sold	03/25/20	J	B	
113.					Buy (add'l)	04/01/20	J		Dividend on 03/25/20 sale
114. -- PIMCO Investment Grade Credit Bond (PIGIX)	C	Dividend	J	T					
115.					Buy (add'l)	01/02/20	J		
116.					Buy (add'l)	02/03/20	J		
117.					Buy (add'l)	03/02/20	J		
118.					Sold	03/25/20	J	C	
119.					Buy (add'l)	04/01/20	J		Dividend on 03/25/20 sale

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. -- Sector Consumer Staples Select Sector (XLP)	D	Dividend							
121.					Buy (add'l)	01/29/20	J		
122.					Buy (add'l)	03/03/20	J		
123.					Sold (part)	03/20/20	J	C	
124.					Buy (add'l)	03/25/20	J		
125.					Buy (add'l)	03/26/20	J		
126.					Sold (part)	03/30/20	J	B	
127.					Buy (add'l)	06/15/20	J		
128.					Buy (add'l)	06/25/20	J		
129.					Sold (part)	09/02/20	J	C	
130.					Buy (add'l)	09/24/20	J		
131.					Sold	12/07/20	J	C	
132. -- Sector Energy Select Sector SPDR ETF (XLE)	A	Dividend	J	T	Buy	03/20/20	J		
133.					Sold (part)	06/15/20	J	A	
134.					Buy (add'l)	06/25/20	J		
135.					Buy (add'l)	09/02/20	J		
136.					Buy (add'l)	09/24/20	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
137.					Buy (add'l)	12/07/20	J		
138.					Buy (add'l)	12/24/20	J		
139.					Buy (add'l)	12/29/20	J		
140. -- Sector Financial Select Sector SPDR ETF (XLF)	A	Dividend	J	T	Buy	03/23/20	J		
141.					Buy (add'l)	03/25/20	J		
142.					Buy (add'l)	03/30/20	J		
143.					Buy (add'l)	06/15/20	J		
144.					Buy (add'l)	06/25/20	J		
145.					Buy (add'l)	09/24/20	J		
146.					Buy (add'l)	12/24/20	J		
147.					Sold (part)	12/29/20	J	A	
148. -- Sector Healthcare Select (XLV)	C	Dividend	J	T					
149.					Buy (add'l)	01/03/20	J		
150.					Sold (part)	01/29/20	J	A	
151.					Buy (add'l)	03/03/20	J		
152.					Buy (add'l)	03/17/20	J		
153.					Buy (add'l)	03/20/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
154.					Buy (add'l)	03/25/20	J		
155.					Buy (add'l)	03/26/20	J		
156.					Sold (part)	06/15/20	J	C	
157.					Buy (add'l)	06/25/20	J		
158.					Sold (part)	09/02/20	J	A	
159.					Buy (add'l)	09/24/20	J		
160.					Sold (part)	12/07/20	J	B	
161.					Buy (add'l)	12/24/20	J		
162. -- Sector Industrial Select Sector SPDR ETF (XLI)	A	Dividend	J	T	Buy	03/20/20	J		
163.					Buy (add'l)	03/25/20	J		
164.					Buy (add'l)	03/26/20	J		
165.					Buy (add'l)	03/30/20	J		
166.					Buy (add'l)	06/15/20	J		
167.					Buy (add'l)	06/25/20	J		
168.					Buy (add'l)	09/02/20	J		
169.					Buy (add'l)	09/24/20	J		
170.					Buy (add'l)	12/24/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
171. -- Sector Technology Select (XLK)	D	Dividend	J	T					
172.					Sold (part)	01/29/20	J	B	
173.					Buy (add'l)	03/03/20	J		
174.					Sold (part)	03/17/20	J	B	
175.					Sold (part)	03/20/20	J	A	
176.					Buy (add'l)	03/25/20	J		
177.					Buy (add'l)	03/26/20	J		
178.					Sold (part)	06/15/20	J	A	
179.					Buy (add'l)	06/25/20	J		
180.					Sold (part)	09/02/20	J	C	
181.					Buy (add'l)	09/24/20	J		
182.					Buy (add'l)	12/24/20	J		
183.					Buy (add'l)	12/29/20	J		
184. -- Select Sector Communications Services (XLC)	B	Dividend	J	T					
185.					Buy (add'l)	03/03/20	J		
186.					Buy (add'l)	03/25/20	J		
187.					Buy (add'l)	03/26/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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)
188.					Sold (part)	06/15/20	J	A	
189.					Buy (add'l)	06/25/20	J		
190.					Sold (part)	09/02/20	J	B	
191.					Buy (add'l)	09/24/20	J		
192.					Buy (add'l)	12/24/20	J		
193.					Buy (add'l)	12/29/20	J		
194. -- Select Utilities Select Sector (XLU)	D	Dividend							
195.					Buy (add'l)	03/03/20	J		
196.					Buy (add'l)	03/17/20	J		
197.					Buy (add'l)	03/20/20	J		
198.					Buy (add'l)	03/25/20	J		
199.					Buy (add'l)	03/26/20	J		
200.					Sold (part)	03/30/20	J	C	
201.					Sold	06/15/20	J	C	
202. -- T Rowe Price Dividend Growth (PDGIX)	C	Dividend			Sold	03/25/20	J	C	
203. -- TIAA CREF Bond Instl (TIBDX)	A	Dividend	J	T					
204.					Buy (add'l)	01/02/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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.					Buy (add'l)	02/03/20	J		
206.					Buy (add'l)	03/02/20	J		
207.					Sold	03/25/20	J	D	
208.					Buy (add'l)	04/01/20	J		Dividend on 03/25/20 sale
209. -- Vanguard FTSE All World (VEU)	C	Dividend	J	T					
210.					Buy (add'l)	01/29/20	J		
211.					Sold (part)	03/03/20	J	B	
212.					Buy (add'l)	03/17/20	J		
213.					Sold (part)	03/20/20	J	A	
214.					Buy (add'l)	03/25/20	J		
215.					Buy (add'l)	03/26/20	J		
216.					Buy (add'l)	06/15/20	J		
217.					Buy (add'l)	06/25/20	J		
218.					Buy (add'l)	09/02/20	J		
219.					Buy (add'l)	09/24/20	J		
220.					Buy (add'l)	12/24/20	J		
221.					Sold (part)	12/29/20	J	A	

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. - Vanguard FTSE Pacific (VPL)	A	Dividend	J	T					
223.					Buy (add'l)	01/29/20	J		
224.					Buy (add'l)	03/17/20	J		
225.					Buy (add'l)	03/25/20	J		
226.					Buy (add'l)	03/26/20	J		
227.					Buy (add'l)	06/25/20	J		
228.					Buy (add'l)	09/02/20	J		
229.					Buy (add'l)	09/24/20	J		
230.					Buy (add'l)	12/24/20	J		
231.					Sold (part)	12/29/20	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 18 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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

Part VII, Item 6 refers to filer's [REDACTED] Beneficiary IRA inherited on the death of [REDACTED]
Part VII, Items items 8 through 232 refers to filer's [REDACTED] Rollover IRA with BB&T/Truist

FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Norton, Cynthia A.

Date of Report

05/05/2021

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/ Cynthia A. Norton**

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