

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) Seibel, Cathy	2. Court or Organization U.S. District Court --S.D.N.Y.	3. Date of Report 05/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge -- active	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 Charles L. Brieant U.S. Courthouse 300 Quarropas St., Rm. 633 White Plains, NY 10601		
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. board member emeritus	Fordham Law Alumni Association
2. Adjunct Professor of Law (part-time trial practice instructor)	Columbia University School of Law
3. board member	
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. 2020	\$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2021
2.	
3.	

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

A. Filer's Non-Investment Income

☐

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	Columbia University -- payment for teaching	\$10,000.00
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	New York University -- salary as faculty member and physician
2. 3/16/20	Johns Hopkins University Press -- book royalties
3. 4/7/20	Johns Hopkins University Press -- book royalties
4. 4/13/20	Beacon Press -- book royalties
5. 4/30/20	New York Times -- payment for writing
6. 10/16//20	Beacon Press -- book royalties
7. 12/8/20	Overlook Foundation -- payment for speaking
8.	
9.	
10.	
11.	
12.	
13.	
14.	
15.	

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16.

17.

18.

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27.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

 NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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. Amreican Century Heritage Fund (formerly Vista Fund)	E	Distribution	M	T					
2. AT&T common stock	A	Dividend	J	T					
3. AT&T common stock	A	Dividend	J	T					
4. AMG Brandywine Fund	D	Distribution	M	T					
5. Comcast common stock	A	Dividend	K	T					
6. Comcast common stock	A	Dividend	K	T					
7. PGIM (formerly Prudential) Global Total Return Fund	A	Dividend	J	T					
8. BNY Mellon (formerly Dreyfus) NY Tax-Exempt Bond Fund	A	Dividend	K	T					
9. Enbridge Energy Partners LP common stock	A	Dividend	J	T					
10. Fidelity Magellan Fund (IRA)	A	Distribution	M	T					
11. Fidelity Capital Appreciation Fund (IRA)	D	Distribution	L	T					
12. Fidelity NY Muni Income Fund	A	Dividend	M	T					
13. Janus Fund	D	Distribution	N	T					
14. John Hancock Patriot Premium Div Fund I common stock	B	Dividend	K	T					
15. Fidelity Government Money Market Account	A	Interest	M	T					
16. Fidelity Money Market Premium Class Account	A	Interest	M	T					
17. Victory RS Growth Fund	E	Distribution	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	

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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. TIAA/CREF T-C Lifecycle 2025 Inst Fund (formerly Rtrmt. Fund)	A	Dividend			Sold	07/28/20	K		
19. TIAA/CREF Lifecycle Index 2025 Prem. Fund	B	Dividend	L	T					
20. T. Row Price Blue Chip Growth Fund IRA	A	Dividend	L	T					
21. T. Rowe Price Blue Chip Growth Fund IRA	A	Dividend	L	T					
22. T. Rowe Price Gov't Money Fund (formerly Prime Reserve Fund)	A	Dividend			Sold	12/17/20	N		
23. Fidelity Government Money Market Account	A	Interest	K	T					
24. Fidelity Money Market Premium Class Account	B	Interest	N	T					
25. T. Rowe Price Gov't Money Fund (formerly Prime Reserve Fund)	A	Dividend			Sold	12/17/20	N		
26. Vanguard Long Term Treasury Fund Admiral (retirement annuity)	D	Dividend	L	T					
27. Vanguard Long-Term Investment Grade Admiral (retirement annuity)	B	Dividend	L	T			L		
28. Vanguard Infl'n-Prot'd Sec Ins (formerly Sec A) (retirement annuity)	B	Dividend	M	T					
29. Vanguard US Growth Adm (retirement annuity)	C	Distribution	L	T					
30. Vanguard Inst Tg Rtm 25 Inst (formerly Target 2025 Inv (ret. ann.))	C	Dividend	M	T					
31. Vanguard Int Term Inv Gd Adm (retirement annuity)	C	Dividend	L	T					
32. Vanguard High Yield Corp Adm (retirement annuity)	B	Dividend	K	T					
33. Virtus Total Income Fund (formerly Virtus Total Dividend Fund)	A	Dividend	J	T					
34. Fidelity Freedom 2025 (IRA)	F	Dividend	P1	T					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Vangaurd Inst.Tg Rtm 2025 Inst. (retirement annuity)	A	Dividend	K	T	Buy	07/28/20	K		
36.									

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

The T Rowe Price Gov't Money Fund accounts on lines 22 and 25 were custodial accounts for now-grown [REDACTED]; proceeds went to [REDACTED]

Sale of TIAA-CREF T-C Lifecycle 2025 Inst. Fund on line 18 and purchase of Vanguard Inst Tgt Rtm 2025 Inst. on line 35 was a plan-sponsored transfer within [REDACTED] retirement plan. The Vanguard Inst Tgt Rtm 2025 Inst. account on line 30 is part of [REDACTED] Voluntary Retirement Savings Plan with [REDACTED] former employer (Columbia University), and the Vanguard Inst Tgt Rtm 2025 Inst account on line 35 is part of [REDACTED] 403(b) Retirement Plan with [REDACTED] current employer (New York University).

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Cathy Seibel**

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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