

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Waldor, Cathy L.                                                                                                                     | <b>2. Court or Organization</b><br><br>US District Court, New Jersey                                                                                                                                                                                                                                | <b>3. Date of Report</b><br><br>12/12/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>US Magistrate Judge                                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>US District Court<br>50 Walnut Street<br>MLK Building<br>Newark, NJ 07102                                                                                     |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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. |  |  |

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Name of Person Reporting

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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.)*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. 2013

Rex Vinegar salary

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. \_\_\_\_\_

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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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Name of Person Reporting

Waldor, Cathy 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. (H) Brokerage Account #1 (44)                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. Clearbridge Tactical Dividend Income Fund Cl C                                                                           | C                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 04/15/13                | J                               |                                |                                                                   |
| 3. Gugenheim Small Cap Value Fund Cl C (X)                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Mainstay Epoch Global Equity Yield Cl C                                                                                  | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Mainstay High Yield Muni Bond Fund Cl C (X)                                                                              | C                                       | Interest                                      |                                                 |                                           | Sold                                            | 12/12/13                | M                               |                                |                                                                   |
| 6. NJ Higher Education Stu SR a RV (X)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/08/13                | L                               | A                              |                                                                   |
| 7. Principal Investors Preferred Securities Fund Cl C                                                                       | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. RS Floating Rate Fund Cl C                                                                                               | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Nuveen Insd Dividend Adv Muni (X)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/08/13                | L                               | A                              |                                                                   |
| 10. Franklin Templeton Income Fund Cl C (X)                                                                                 | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Thornburg Income Builder Cl C                                                                                           | C                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 05/15/13                | K                               |                                |                                                                   |
| 12. Unts FT Rich Bernstein Advisors Quality Inc Port Ser 3 (X)                                                              | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 01/25/13                | K                               | B                              |                                                                   |
| 13. Goldman Sachs Income Builder Fund Cl C                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 12/12/13                | K                               |                                |                                                                   |
| 14. Market Vectors High Yield Muni ETF                                                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 12/12/13                | K                               |                                |                                                                   |
| 15. Sun America Polaris Choice IV - Annuity                                                                                 |                                         | None                                          | M                                               | T                                         | Buy                                             | 05/13/13                | K                               |                                |                                                                   |
| 16. Sun America Polaris Choice IV - Annuity                                                                                 |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 12/12/13                | L                               |                                |                                                                   |
| 17. MetLife Investors USA Inc. Co. Series L - Annuity (X)                                                                   |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 19. (H) Brokerage Account #2 (45)                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 20. SPDR Nuveen Barclays Short Term Bond ETF                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 03/04/13                | K                               |                                |                                                                   |
| 21. SPDR Ser Trust Nuveen High Yield ETF                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 03/04/13                | K                               |                                |                                                                   |
| 22. SPDR Ser Trust Nuveen High Yield ETF                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 12/12/13                | K                               |                                |                                                                   |
| 23. iShares Trust Russell 2000 Index ETF                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 03/04/13                | J                               |                                |                                                                   |
| 24. iShares Trust Core S&P Mid Cap ETF                                                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 03/04/13                | J                               |                                |                                                                   |
| 25. iShares Mortgage Real Estate Capped ETF                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 08/07/13                | J                               |                                |                                                                   |
| 26. iShares Mortgage Real Estate Capped ETF                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 12/12/13                | J                               |                                |                                                                   |
| 27. iShares TIPS Bond ETF                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/18/13                | J                               |                                |                                                                   |
| 28. Vanguard FTSE Emerging Market ETF                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/04/13                | J                               |                                |                                                                   |
| 29. Vanguard FTSE Emerging Market ETF                                                                                       |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 09/18/13                | J                               | A                              |                                                                   |
| 30. Vanguard Index Funds Vanguard Growth ETF                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 03/04/13                | J                               |                                |                                                                   |
| 31. Vanguard Total Stock Market ETF (X)                                                                                     | B                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 03/04/13                | K                               | B                              |                                                                   |
| 32. Vanguard Index Fund S & P 500 ETF                                                                                       | B                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 03/04/13                | J                               | B                              |                                                                   |
| 33. Vanguard High Divid Yield ETF                                                                                           | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 03/04/13                | J                               | A                              |                                                                   |
| 34. Vanguard Divid Appreciation ETF                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 03/04/13                | J                               | A                              |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                              |   |          |   |   |             |          |   |   |  |
|----------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. Vanguard Mega Cap ETF                    | A | Dividend | K | T | Sold (part) | 03/04/13 | J | A |  |
| 36. Market Vectors Short Municipal Index ETF | A | Dividend | J | T | Buy         | 12/12/13 | J |   |  |
| 37. Market Vectors High Yield Muni ETF       | A | Dividend | J | T | Buy         | 12/12/13 | J |   |  |
| 38.                                          |   |          |   |   |             |          |   |   |  |
| 39. (H) Brokerage Account #3 (41)            |   |          |   |   |             |          |   |   |  |
| 40. Vanguard Index Funds Vanguard Growth ETF | A | Dividend | L | T | Buy (add'l) | 03/01/13 | J |   |  |
| 41. Vanguard FTSE Emerging Markets ETF       | A | Dividend | J | T | Buy (add'l) | 03/01/13 | J |   |  |
| 42. Vanguard FTSE Emerging Markets ETF       |   | None     |   |   | Sold (part) | 08/07/13 | J |   |  |
| 43. Vanguard FTSE Emerging Markets ETF       |   | None     |   |   | Sold (part) | 09/18/13 | J | A |  |
| 44. Vanguard High Divid Yield ETF SHS        | B | Dividend | L | T | Sold (part) | 03/01/13 | J | B |  |
| 45. Vanguard Index FDS S&P 500 ETF SHS       | B | Dividend | L | T | Sold (part) | 03/01/13 | K | C |  |
| 46. Vanguard Total Stock Mkt ETF             | B | Dividend | L | T | Sold (part) | 03/01/13 | K | C |  |
| 47. Vanguard Mega Cap ETF DE                 | B | Dividend | L | T | Sold (part) | 03/01/13 | J | A |  |
| 48. Vanguard Divid Appreciation ETF          | B | Dividend | L | T | Sold (part) | 03/01/13 | J | A |  |
| 49. SPDR Ser Trust Nuv Hghyld ETF            | B | Dividend |   |   | Buy         | 03/01/13 | K |   |  |
| 50. SPDR Ser Trust Nuv Hghyld ETF            |   | None     |   |   | Sold (part) | 08/07/13 | J |   |  |
| 51. SPDR Ser Trust Nuv Hghyld ETF            |   | None     |   |   | Sold        | 12/12/13 | K |   |  |

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

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                   |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 52. SPDR Nuveen Barclays Short Term BD ETF                        | A | Dividend | L | T | Buy         | 03/04/13 | L |   |  |
| 53. iShares Mortgage Real Estate Capped ETF                       | A | Dividend |   |   | Buy         | 08/07/13 | K |   |  |
| 54. iShares Mortgage Real Estate Capped ETF                       |   | None     |   |   | Sold        | 12/12/13 | J |   |  |
| 55. iShares Tips Bond ETF DE                                      | A | Dividend | J | T | Buy         | 09/18/13 | J |   |  |
| 56. iShares Trust Core S&P Mid-Cap ETF                            | A | Dividend | K | T | Sold (part) | 03/01/13 | J | A |  |
| 57. iShares Trust Russell 2000 Index Fund                         | A | Dividend | K | T | Sold (part) | 03/01/13 | J | A |  |
| 58. Market Vectors High Yield Muni ETF                            |   | None     | K | T | Buy         | 12/12/13 | K |   |  |
| 59. Market Vectors Trust Short Municipal Index ETF                |   | None     | K | T | Buy         | 12/12/13 | K |   |  |
| 60.                                                               |   |          |   |   |             |          |   |   |  |
| 61. (H) Brokerage Account #4 (40)                                 |   |          |   |   |             |          |   |   |  |
| 62. JPMorgan Income Builder Class C                               | C | Dividend | M | T | Buy (add'l) | 08/07/13 | K |   |  |
| 63. Principal Global Diversified Income Fund                      | B | Dividend | L | T | Buy (add'l) | 08/07/13 | K |   |  |
| 64. Clearbridge Tactical Dividend Income                          | A | Dividend | K | T | Buy         | 08/07/13 | K |   |  |
| 65. Thornburg Income Builder Class C                              | B | Dividend | L | T | Buy (add'l) | 08/07/13 | L |   |  |
| 66. Principal-Smallcap Dividend Income Funds                      | A | Dividend | K | T | Buy         | 08/07/13 | K |   |  |
| 67. Cohen & Steers Preferred Sec & Inc Fund C (X)                 | C | Dividend | K | T |             |          |   |   |  |
| 68. Nuveen NJ Div Adv 2 Muni Fund Term Preferred Due 11/01/15 (X) | B | Dividend | M | T |             |          |   |   |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Waldor, Cathy L.

Date of Report

12/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Franklin Income Fund C (X)                                                                                              | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 71. (H) (X) Brokerage Account #5 (51)                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 72. Principal MidCap Fund Class C                                                                                           | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 04/15/13                | K                               |                                |                                                                   |
| 73. Principal MidCap Fund Class C                                                                                           |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 08/07/13                | J                               |                                |                                                                   |
| 74. Blackrock Basic Value Fund C                                                                                            | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Blackrock Global Allocation Fund Inc C                                                                                  | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. Blackrock Equity Dividend Fund C                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/03/13                | K                               | D                              |                                                                   |
| 77. Franklin Templeton Mutual Global Discover<br>Fund C1 C                                                                  | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. Franklin Templeton Income C                                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. American Funds American Balanced Fund<br>C1 C                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. First Eagle Global Fund C1 C                                                                                            | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. Ivy Asset Strategy fund C1 C                                                                                            | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. JP Morgan Income Builder                                                                                                | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. Thornburg Income Builder C1 C                                                                                           | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 85. (H) Brokerage Account #6 (52)                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Waldor, Cathy L.

Date of Report

12/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                      |   |          |   |   |             |          |   |   |  |
|------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 86. Vanguard Total Stock Market ETF                  | A | Dividend |   |   | Buy         | 01/24/13 | J |   |  |
| 87. Vanguard Total Stock Market ETF                  |   | None     |   |   | Sold        | 06/13/13 | J | B |  |
| 88. Vanguard FTSE Europe ETF                         | A | Dividend | J | T | Buy         | 10/17/13 | J |   |  |
| 89. Vanguard FTSE Emerging Market ETF (X)            | A | Dividend |   |   | Sold        | 04/02/13 | J | A |  |
| 90. Vanguard Bond Index Fund Inc. Total Bond Mkt ETF | A | Dividend | K | T | Sold (part) | 06/25/13 | J |   |  |
| 91. Vanguard Bond Index Fund Inc. Total Bond Mkt ETF |   | None     |   |   | Sold (part) | 12/23/13 | J |   |  |
| 92. iShares Trust Core S & P Small-Cap ETF           | A | Dividend | J | T | Buy         | 01/28/13 | J |   |  |
| 93. iShares Trust Core S & P Small-Cap ETF           |   | None     |   |   | Sold        | 06/25/13 | J | A |  |
| 94. iShares Trust Core S & P Small-Cap ETF           |   | None     |   |   | Buy         | 12/23/13 | J |   |  |
| 95. iShares Trust Russell MidCap Index Fund ETF      | A | Dividend | J | T | Buy         | 04/02/13 | J |   |  |
| 96. iShares Russell MidCap Growth ETF                | A | Dividend | J | T | Buy         | 08/20/13 | J |   |  |
| 97. iShares 1-3 Credit Bond ETF                      | A | Dividend | J | T | Buy         | 10/17/13 | J |   |  |
| 98. iShares Gold Trust ETF (X)                       |   | None     |   |   | Sold        | 03/18/13 | J |   |  |
| 99. iShares MSCI EAFE Index Fund                     |   | None     |   |   | Sold        | 06/25/13 | J | A |  |
| 100. SPDR Barclays 1-3 Month T-Bill ETF              |   | None     |   |   | Buy (add'l) | 03/18/13 | J |   |  |
| 101. SPDR Barclays 1-3 Month T-Bill ETF              |   | None     |   |   | Buy (add'l) | 06/13/13 | J |   |  |
| 102. SPDR Barclays 1-3 Month T-Bill ETF              |   | None     |   |   | Buy (add'l) | 06/25/13 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Waldor, Cathy 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. SPDR Barclays 1-3 Month T-Bill ETF                                                                                     |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 01/24/13                | J                               |                                |                                                                   |
| 104. SPDR Barclays 1-3 Month T-Bill ETF                                                                                     |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 06/06/13                | J                               |                                |                                                                   |
| 105. SPDR Barclays 1-3 Month T-Bill ETF                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 10/11/13                | K                               |                                |                                                                   |
| 106. SPDR S&P 500 ETF TR                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 10/17/13                | J                               |                                |                                                                   |
| 107. SPDR S&P 500 ETF TR                                                                                                    |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 06/06/13                | J                               |                                |                                                                   |
| 108. Riverpark/Wedgewood Retail Funds                                                                                       | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 06/06/13                | J                               |                                |                                                                   |
| 109. Oppenheimer Senior Floating Rate Fund<br>Class A                                                                       | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 06/06/13                | J                               |                                |                                                                   |
| 110. Oppenheimer Senior Floating Rate Fund<br>Class A                                                                       |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 06/25/13                | J                               |                                |                                                                   |
| 111. FMI Large Cap Fund                                                                                                     | B                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 06/06/13                | J                               |                                |                                                                   |
| 112. Mainstay ICAP International Fund A                                                                                     | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 06/15/13                | J                               |                                |                                                                   |
| 113. Paradigm Value Fund (X)                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 01/29/13                | J                               | A                              |                                                                   |
| 114. Prudential Jennison Mid-Cap Growth Fund                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 08/20/13                | J                               | B                              |                                                                   |
| 115. John Hancock Disciplined Value Mid Cap<br>Fund CI A                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 116. Manning & Napier World Opportunities                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. Franklin Templeton Global Bond Fund FI A                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 118. JP Morgan Core Bond Fund                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 119. Virtus Multi-Sector Short Term Bond Fund<br>CL A                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Waldor, Cathy 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.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 121. (H) (X) IRA #1 (42)                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 122. First Eagle Global Fund Class C                                                                                        | B                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 08/07/13                | J                               |                                |                                                                   |
| 123. Blackrock Equity Dividend Fund C                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124. Blackrock Global Allocation Fund C                                                                                     | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. Franklin Templeton Mutual Global<br>Discovery Fund Cl C                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126. Franklin Templeton Income C                                                                                            | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. American funds American Balanced Fund<br>Cl C                                                                          | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 129. (H) IRA #2 (43)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 130. American Funds American Balanced Fund<br>Cl C                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 131. Blackrock Global Allocation Fund Cl C                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 133. AXA Equitable Flexible Premium Variable<br>Life Insurance #1 (X)                                                       |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 135. AXA Equitable Flexible Premium Variable<br>Life Insurance #2 (X)                                                       |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Waldor, Cathy 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.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Market Vectors ETF Tr Gold Miners (X)                                                                                  |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 138. Vornado Rlty Senior Unsecured Notes<br>7.875% (X)                                                                      |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

Waldor, Cathy L.

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

Line 71 - This account was inadvertently omitted from the 2012 disclosure.

Line 121 - This account was inadvertently omitted from the 2012 disclosure.

Line 133 - This insurance policy was inadvertently omitted from the 2012 disclosure.

Line 135 - This insurance policy was inadvertently omitted from the 2012 disclosure.

Line 3 - This same asset was reported in Line 26 of the 2012 disclosure as the Rydex SGI Small Cap Value Fund. The name of the asset was changed in 2012 to the Gugenheim Small Cap Value Fund Cl C. It should also have been reported in 2012 as the Gugenheim Small Cap Value Fund Cl C.

Line 5 - This same asset was reported in Line 12 of the 2012 disclosure as the Mainstay High Yield Municipal Bond Fund. Although it is the same asset, it was inadvertently identified in 2012 with a slightly different name.

Line 6 - This same asset was reported in Line 20 of the 2012 disclosure as the NJ ST Higher Ed Student LN Rev 4.25% June 01 16. Although it is the same asset, it was inadvertently identified in 2012 with a slightly different name.

Line 9 - This same asset was reported in Line 22 of the 2012 disclosure as the Nuveen Adv Muni PFD shares 2.95% Ser 2014. Although it is the same asset, it was inadvertently identified in 2012 with a slightly different name.

Line 10 - This same asset was reported in Line 9 of the 2012 disclosure as the Franklin Income Fund. Although it is the same asset, it was inadvertently identified in 2012 with a slightly different name.

Line 12 - This same asset was reported in Line 10 of the 2012 disclosure as the Richard Bernstein Advisors Quality Inc Port Ser 2. Although it is the same asset, it was inadvertently identified in 2012 with a slightly different name.

Line 17 - This annuity was inadvertently omitted from the 2012 disclosure.

Line 31 - This asset was inadvertently omitted from the 2012 disclosure.

Line 67 - This asset was inadvertently omitted from the 2012 disclosure.

Line 68 - This asset was inadvertently omitted from the 2012 disclosure.

Line 69 - This asset was inadvertently omitted from the 2012 disclosure.

Line 89 - This asset was inadvertently omitted from the 2012 disclosure.

Line 98 - This asset was inadvertently omitted from the 2012 disclosure.

Line 113 - This asset was inadvertently omitted from the 2012 disclosure.

Line 137 - This asset was reported in Line 13 of the 2012 disclosure. The sale of this asset on 07/25/12 was inadvertently omitted from the 2012 disclosure. The Value Code in Column D (3) was J. The Gain Code in Column D 4 was A.

Line 138 - This asset was reported in Line 27 of the 2012 disclosure. The sale of this asset on 07/25/12 was inadvertently omitted from the 2012 disclosure. The Value Code in Column D (3) was K. The Gain Code in Column D 4 was B.

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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 L. Waldor**

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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One Columbus Circle, N.E.  
Washington, D.C. 20544