

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Waldor, Cathy L.	2. Court or Organization US District Court, New Jersey	3. Date of Report 08/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address US District Court 50 Walnut Street MLK Building Newark, NJ 07102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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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. 2016

Rex Vinegar Company - self employed business executive

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. (H) Brokerage Account #1 (44)									
2. Clearbridge Tactical Dividend Income Fund C1 C	C	Dividend	L	T	Buy (add'l)	12/13/16	J		
3. Gugenheim Small Cap Value Fund C1 C		None	K	T					
4. Mainstay Epoch Global Equity Yield C1 C	B	Dividend	L	T					
5. Principal Investors Preferred Securities Fund C1 C	B	Dividend	K	T					
6. Franklin Templeton Income Fund C1 C	C	Dividend	L	T					
7. Thornburg Income Builder C1 C	C	Dividend	L	T					
8. Vaneck Vectors High Yield Muni ETF (X)	B	Dividend	K	T	Buy (add'l)	08/23/16	K		
9. AIG Sun America Polaris Choice IV - Annuity		None	M	T					
10. MetLife Investors USA Ins. Co. Series L - Annuity		None	M	T					
11. American Funds Income Fund of America C	B	Dividend	M	T	Buy (add'l)	12/20/16	L		
12. Eaton Vance R Bernstein All Asset Strategy Fund C		None	L	T					
13. Janus Balanced Fund C	C	Dividend	L	T	Sold (part)	12/20/16	L		
14. JP Morgan Income Builder Class C (X)	A	Dividend	K	T					
15. Mainstay High Yield Muni Bond Fund C1 C	C	Dividend	M	T					
16. Principal Small Cap Dividend Income Fund C	B	Dividend	L	T					
17. SunAmerica Focused Dividend Strategy Fund C	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Unts FT US EQ C/E Port Ser 12	A	Dividend			Redeemed	05/19/16	K		
19. American Funds Capital Income Builder C	B	Dividend			Sold	12/20/16	L		
20. Cohen & Steers Preferred Sec & Inc Fund Cl C	C	Dividend	L	T					
21. Mainstay Funds Tax Free Bond Cl A	D	Dividend	N	T					
22. Nuveen Core Dividend Fund Cl C	A	Dividend	L	T					
23. Nuveen Large Cap Core Fund Cl C	A	Dividend	M	T	Buy (add'l)	06/24/16	K		
24. Principal Global Diversified Income Fund Cl C	B	Dividend	L	T					
25. Putnam Investors Fund Class C	A	Dividend	M	T					
26. Thornburg Global Opportunities Class C		None			Sold	08/23/16	M		
27. (H) Transamerica Life Insurance Co B-Share - Variable Annuity (X)									
28. - Fidelity - VIP Contrafund Portfolio		None	K	T					
29. - TA Janus Balanced		None	K	T					
30. - TA Managed Risk - Growth ETF		None	K	T					
31. - American Funds Growth Fund		None	K	T					
32. - American Funds Growth - Income Fund		None	K	T					
33. Voya Floating Rate Fund Class C	B	Dividend	L	T	Buy (add'l)	12/12/16	K		
34. Voya Intermediate Bond Fund Cl C	A	Dividend			Sold	12/12/16	K		

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

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

35. Dreyfus Active Mid Cap Fund C1 C		None	K	T	Buy	08/23/16	K		
36. Janus Enterprise Fund C1 C		None	L	T	Buy	12/20/16	L		
37. Nuveen High Income November 2021	A	Dividend	K	T	Buy	08/23/16	K		
38. Units FT US EQ C/E Ser 19	B	Dividend	K	T	Buy	05/17/16	K		
39.									
40. (H) Brokerage Account #2 (45)									
41. SPDR Nuveen Bloomberg Barclays Short Term Bond ETF (X)	A	Dividend	K	T					
42. iShares Trust Russell 2000 Index ETF	A	Dividend	K	T	Sold (part)	06/21/16	K	D	
43. iShares Trust Core S&P Mid Cap ETF	B	Dividend	L	T					
44. iShares TIPS Bond ETF	A	Dividend	K	T	Buy (add'l)	12/13/16	J		
45. Vanguard Index Funds Vanguard Growth ETF	B	Dividend	L	T					
46. Vanguard Total Stock Market ETF	B	Dividend	M	T	Sold (part)	02/01/16	K	A	
47.					Sold (part)	04/05/16	K	D	
48. Vanguard Index Fund S&P 500 ETF	B	Dividend	M	T	Sold (part)	04/05/16	K	D	
49. Vanguard Divid Appreciation ETF	B	Dividend	M	T					
50. Vanguard Mega Cap ETF	B	Dividend	L	T					
51. Vaneck Vectors AMT-Free Short Municipal Index ETF (X)	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Vaneck Vectors High Yield Municipal Index ETF (X)	C	Dividend	K	T	Buy (add'l)	01/29/16	K		
53.					Sold (part)	12/05/16	J		
54. First Trust Dorsey Wright FO ETF	A	Dividend	K	T	Sold (part)	01/29/16	K		
55. Principal Small Mid Cap Div P	B	Dividend	K	T					
56. Financial Sector SPDR Trust ETF		None			Sold	01/29/16	J		
57. First Trust Preferred Security & Inc ETF	B	Dividend	K	T					
58. Vaneck Vectors AMT-Free Inter ETF (X)	B	Dividend			Buy (add'l)	01/29/16	K		
59.					Sold	12/05/16	L		
60. Voya Floating Rate Fund CL I	B	Dividend	K	T	Buy (add'l)	12/13/16	K		
61. Wisdomtree Trust Small Cap Dividend Fund ETF	B	Dividend	L	T					
62. Alerian MLP ETF		None	K	T	Buy	12/08/16	K		
63. Blackrock Taxable Municipal Bond Trust	A	Dividend	J	T	Buy	09/23/16	K		
64.					Buy (add'l)	11/03/16	J		
65.					Buy (add'l)	11/14/16	J		
66.					Sold (part)	12/12/16	K		
67. First Trust Morningstar Div Leader Index Fund	A	Dividend	K	T	Buy	11/03/16	K		
68. First Trust Value Line Divid Index Fund	A	Dividend	K	T	Buy	02/01/16	K		

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69. Goldman Sachs Active Beta US Large Cap Equity ETF	A	Dividend	L	T	Buy	04/05/16	L		
70.					Buy (add'l)	09/13/16	J		
71. Goldman Sachs Active Beta Emerging Markets Equity ETF	A	Dividend	J	T	Buy	09/22/16	J		
72.					Buy (add'l)	09/23/16	J		
73.					Sold (part)	12/23/16	J		
74. iShares Core US Aggregate Bond ETF	A	Dividend	J	T	Buy	06/21/16	J		
75. iShares EDGE MSCI Min Vol USA ETF	A	Dividend	J	T	Buy	06/21/16	J		
76. SPDR Nuveen S&P High Yield Municipal Bond ETF		None	L	T	Buy	12/13/16	K		
77. Vanguard Financials ETF		None	J	T	Buy	12/23/16	J		
78. Vanguard Health Care ETF	A	Dividend	K	T	Buy	11/03/16	K		
79.									
80. (H) Brokerage Account #5 (51)									
81. Principal MidCap Fund Class A (X)	A	Dividend	K	T					
82. Blackrock Basic Value Fund Cl A (X)	A	Dividend	K	T					
83. Blackrock Global Allocation Fund Inc Cl A (X)	B	Dividend	L	T					
84. Franklin Mutual Global Discover Fund Cl A (X)	D	Dividend	M	T					
85. Franklin Templeton Income Cl A (X)	A	Dividend	K	T					

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

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86. American Funds American Balanced Fund Cl R4 (X)	B	Dividend	K	T					
87. First Eagle Global Fund Cl C	C	Dividend	L	T					
88. Ivy Asset Strategy fund Cl C		None			Sold	02/23/16	J		
89. Thornburg Income Builder Cl C	B	Dividend	K	T					
90. Goldman Sachs Income Builder Funds Cl IR (X)	B	Dividend	K	T					
91. Putnam Capital Spectrum Fund C		None			Sold	07/25/16	K		
92. Ivy Balanced Funds Cl C	A	Dividend	J	T	Buy	02/23/16	J		
93. iShares Edge MSCI Min Vol USA EFT	A	Dividend	K	T	Buy	07/25/16	K		
94. Putnam Equity Income Fund Cl C	A	Dividend	K	T	Buy	07/25/16	K		
95.									
96. (H) Brokerage Account #6 (52)									
97. Vanguard Total Bond Mkt ETF (X)	A	Dividend	K	T	Buy (add'l)	02/04/16	J		
98.					Buy (add'l)	09/15/16	J		
99.					Sold (part)	11/08/16	J		
100. iShares Russell MidCap ETF	A	Dividend	J	T					
101. SPDR S&P 500 ETF TR	A	Dividend	K	T	Buy (add'l)	02/04/16	J		
102.					Sold (part)	04/01/16	J	B	

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103.					Sold (part)	04/25/16	J	B	
104.					Buy (add'l)	09/15/16	J		
105. Riverpark/Wedgewood Institutional Funds	A	Dividend	K	T	Sold (part)	01/29/16	J	A	
106.					Buy (add'l)	09/15/16	J		
107. Oppenheimer Senior Floating Rate Fund Class Y	A	Dividend	J	T					
108. FMI Large Cap Fund Institutional Class (X)	B	Dividend	K	T	Buy (add'l)	02/04/16	J		
109.					Buy (add'l)	09/15/16	J		
110. Mainstay ICAP International Fund A		None			Buy (add'l)	02/04/16	J		
111.					Buy (add'l)	09/15/16	J		
112.					Sold	10/13/16	J	A	
113. John Hancock Disciplined Value Mid Cap Fund C1 A	A	Dividend	K	T	Buy (add'l)	02/04/16	J		
114.					Buy (add'l)	09/15/16	J		
115. Manning & Napier World Opportunities		None			Sold	01/21/16	J		
116. Virtus Multi-Sector Short Term Bond Fund CL I	A	Dividend	J	T					
117. Baird MidCap Fund Institutional Class		None	J	T	Buy (add'l)	09/15/16	J		
118. Chartwell Small Cap Value I Share	A	Dividend	J	T	Buy (add'l)	02/04/16	J		
119. Gabelli Small Cap Growth Fund Class I	A	Dividend	J	T	Buy (add'l)	09/15/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. iShares 7-10 Year Treasury Bond ETF	A	Dividend	J	T	Buy (add'l)	09/15/16	J		
121. iShares MSCI Japan ETF		None			Sold	04/01/16	J		
122. iShares MSCI Eurozone ETF	A	Dividend			Buy (add'l)	01/12/16	J		
123.					Sold (part)	01/21/16	J		
124.					Sold	06/28/16	J		
125. iShares MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	01/21/16	J		
126.					Buy (add'l)	04/01/16	J		
127.					Buy (add'l)	09/15/16	J		
128. iShares MSCI ACWI EX US ETF		None			Sold	01/21/16	J		
129. iShares IBOXX \$ Invt Grade Corporate Bond ETF	A	Dividend	J	T	Buy (add'l)	04/01/16	J		
130.					Buy (add'l)	09/15/16	J		
131. Pimco Income Fund CI P	A	Dividend	J	T					
132. Wisdomtree Trust Europe Hedged Equity Fd ETF		None			Sold	01/12/16	J		
133. Ashmore Emerging Markets Total Ret Fund CI I	A	Dividend	J	T	Buy	10/19/16	J		
134. iShares CORE MSCI EAFE ETF	A	Dividend	K	T	Buy	10/13/16	K		
135. iShares CORE MSCI Emerging Markets ETF	A	Dividend	J	T	Buy	08/02/16	J		
136.					Buy (add'l)	10/19/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. iShares MBS ETF	A	Dividend	J	T	Buy	01/21/16	J		
138.					Buy (add'l)	01/29/16	J		
139. SPDR Bloomberg Barclays Intl Treas Bond ETF		None	J	T	Buy	11/08/16	J		
140. Vanguard Total Stock Market ETF	A	Dividend	J	T	Buy	06/28/16	J		
141.									
142. (H) IRA #1 (42)									
143. First Eagle Global Fund Class C	C	Dividend	L	T					
144. Blackrock Equity Dividend Fund C	C	Dividend	L	T					
145. Blackrock Global Allocation Fund C	A	Dividend	K	T					
146. Franklin Templeton Mutual Global Discovery Fund Cl C	A	Dividend	J	T					
147. Franklin Templeton Income C	B	Dividend	K	T					
148. American Funds American Balanced Fund Cl C	B	Dividend	L	T					
149.									
150. (H) IRA #2 (43)									
151. American Funds American Balanced Fund Cl C	A	Dividend	J	T					
152. Blackrock Global Allocation Fund Cl C	A	Dividend	K	T					
153.									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. (H) IRA #3 (13)									
155. Ivy Asset Strategy Fd C1 C		None			Sold	02/23/16	L		
156. JP Morgan Income Builder C1 C (X)	B	Dividend	L	T	Distributed (part)	12/14/16	J		
157. Janus Balanced Fund C	B	Dividend	L	T	Buy	02/23/16	L		
158.									
159. (H) AXA Equitable Flexible Premium Variable Life Insurance #1									
160. - AXA Moderate Allocation Fund		None	L	T					
161. (H) AXA Equitable Flexible Premium Variable Life Insurance #2									
162. - AXA Moderate Allocation Fund		None	M	T					
163. (H) AXA Equitable Flexible Premium Variable Life Insurance #3 (X)									
164. - AXA Moderate Allocation Fund		None	J	T					
165. (H) AXA Equitable Flexible Premium Variable Life Insurance #4 (X)									
166. - AXA Moderate Allocation Fund		None	J	T					
167.									
168. Nationwide Life Insurance #1 (X)		None	K	T					
169. Nationwide Life Insurance #2 (X)		None	K	T					
170.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. (H) Cash Accounts #1									
172. Santander Cash Accounts	A	Int./Div.	M	T					
173. Wells Fargo Cash Accounts	A	Int./Div.	K	T					
174. UBS Cash Accounts	A	Int./Div.	K	T					
175. TD Bank Cash Account	A	Int./Div.	J	T					
176.									
177. Real Estate - Rental Property - Verona, Essex County, NJ	E	Rent	N	W					
178.									
179.									
180.									
181.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 8 - The name of this asset changed from Market Vectors High Yield Muni ETF to Vaneck Vectors High Yield Muni ETF.

Lines 14 and 151 - A partial transfer was made from IRA #3, Line 151 to Brokerage Account #1, Line 15. This was a required minimum annual distribution.

Line 27 - This variable annuity does not show or report any dividends, income, short-term or long-term capital gains on its statements. The value of each investment in the annuity will increase or decrease in any year based upon the performance of each investment. The total value of this annuity increased by \$8,348.81 during the reporting period. No distributions of any sort were made from the annuity.

Line 41 - The name of this asset changed from SPDR Nuveen Barclays Short Term Bond ETF to SPDR Nuveen Bloomberg Barclays Short Term Bond ETF.

Line 51 - The name of this asset changed from Market Vectors Short Municipal Index ETF to Vaneck Vectors AMT-Free Short Municipal Index ETF.

Line 52 - The name of this asset changed from Market Vectors High Yield Muni ETF to Vaneck Vectors High Yield Municipal Index ETF.

Line 58 - The name of this asset changed from Market Vectors Trust Inter Municipal Index ETF to Vaneck Vectors AMT-Free Inter ETF.

Line 81 - Principal MidCap Fund Class C, reported for 2015, was exchanged into Principal MidCap Fund Class A on 10/24/16.

Line 82 - Blackrock Basic Value Fund C, reported for 2015, was exchanged into Blackrock Basic Fund C1 A on 10/24/16.

Line 83 - Blackrock Global Allocation Fund Inc C, reported for 2015, was exchanged into Blackrock Global Allocation Fund Inc. C1 A on 10/24/16.

Line 84 - Franklin Templeton Mutual Global Discover Fund C1 C, reported for 2015, was exchanged into Franklin Mutual Global Fund C1 A on 10/24/16.

Line 85 - Franklin Templeton Income C, reported for 2015, was exchanged into Franklin Templeton Income C1 A on 10/24/16.

Line 86 - American Funds American Balanced Fund C1 C, reported for 2015, was exchanged into American Funds American Balanced Fund C1 R4 on 10/24/16.

Line 90 - Goldman Sachs Income Builder Funds C, reported for 2015, was exchanged into Goldman Sachs Income Builder Funds C1 IR on 10/24/16.

Line 97 - This asset was reported as Vanguard Bond Index Fund Inc. Total Bond Fund Mkt ETF in 2015. It is the same asset.

Line 108 - FMI Large Cap Fund, reported in 2015, was exchanged into FMI Large Cap Fund Institutional Class on 12/13/16.

Line 163 - This asset was inadvertently omitted from the 2015 disclosure.

Line 165 - This asset was inadvertently omitted from the 2015 disclosure.

Line 168 - This asset was inadvertently omitted from the 2015 disclosure. It is a fixed whole life insurance policy with no option to select specific funds or asset investments. All assets are held entirely within the Nationwide Life Insurance Company.

Line 169 - This asset was inadvertently omitted from the 2015 disclosure. It is a fixed whole life insurance policy with no option to select specific funds or asset investments. All assets are held entirely within the Nationwide Life Insurance Company.

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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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