

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 06/28/2018
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 01/01/2017 to 12/31/2017
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. 2017

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.)*

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

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
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 C I C	C	Dividend	L	T					
3. Gugenheim Small Cap Value Fund C I C	C	Dividend	K	T					
4. Mainstay Epoch Global Equity Yield C I C	B	Dividend	L	T					
5. Principal Investors Preferred Securities Fund C I C	B	Dividend	L	T					
6. Franklin Templeton Income Fund C I C	C	Dividend	L	T					
7. Thornburg Income Builder C I C	C	Dividend	L	T					
8. Vaneck Vectors High Yield Muni ETF (X)	B	Dividend	K	T					
9. (H) AIG Sun America Polaris Choice IV Variable Annuity (X)									
10. - SA VCP Dynamic Allocation Portfolio		None	L	T					
11. - SA VCP Dynamic Strategy Portfolio		None	L	T					
12. - Secure Value Account		None	K	T					
13. (H) Brighthouse Life Ins Co Series L Variable Annuity (X)									
14. - American Funds Growth Portfolio		None	K	T					
15. - Bailie Gifford International Stock Portfolio		None	K	T					
16. - BH Small Cap Value Portfolio		None	J	T					
17. - Invesco Small Cap Growth Portfolio		None	J	T					

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

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18. - JP Morgan Core Bond Portfolio		None	K	T					
19. - MetLife Stock Index Portfolio		None	L	T					
20. - MFS Value Portfolio B		None	J	T					
21. - PIMCO Total Return Portfolio B		None	K	T					
22. - T Rowe Price Mid Cap Growth Portfolio B		None	J	T					
23. - VanEck Global Natural Resources B		None	J	T					
24. American Funds Income Fund of America C	D	Dividend	M	T					
25. Eaton Vance R Bernstein All Asset Strategy Fund C	A	Dividend	L	T					
26. Janus Henderson Balanced Fund C (X)	C	Dividend	L	T					
27. JP Morgan Income Builder Class C (X)	B	Dividend	K	T					
28. Mainstay High Yield Muni Bond Fund Cl C	C	Dividend	M	T					
29. Principal Small Cap Dividend Income Fund C	C	Dividend	L	T					
30. AIG Focused Dividend Strategy Fund C (X)	C	Dividend	K	T					
31. Cohen & Steers Preferred Sec & Inc Fund Cl C	C	Dividend	L	T					
32. Mainstay Funds Tax Free Bond Cl A	D	Dividend	N	T					
33. Nuveen Core Dividend Fund Cl C (X)	C	Dividend			Merged (with line 34)	11/07/17	L		
34. Nuveen Large Cap Value Fund Cl C (X)		None	L	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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. Nuveen Large Cap Core Fund C1 C	D	Dividend	M	T					
36. Principal Global Diversified Income Fund C1 C	B	Dividend	L	T					
37. Putnam Investors Fund Class C	A	Dividend	M	T					
38. (H) Transamerica Life Insurance Co B-Share - Variable Annuity (X)									
39. - Fidelity - VIP Contrafund Portfolio		None	K	T					
40. - TA Janus Balanced		None	K	T					
41. - TA Managed Risk - Growth ETF		None	L	T					
42. - American Funds Growth Fund		None	K	T					
43. - American Funds Growth - Income Fund		None	K	T					
44. Voya Floating Rate Fund Class C	B	Dividend	L	T					
45. Dreyfus Active Mid Cap Fund C1 C	D	Dividend	K	T					
46. Janus Enterprise Fund C1 C	B	Distribution	L	T					
47. Nuveen High Income November 2021	B	Dividend	K	T					
48. Units FT US EQ C/E Ser 19	B	Dividend	K	T	Distributed (part)	12/26/17	J		
49.									
50. (H) Brokerage Account #2 (45)									
51. SPDR Nuveen Bloomberg Barclays Short Term Bond ETF (X)	A	Dividend			Sold	12/07/17	K		

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52. iShares Trust Russell 2000 Index ETF	A	Dividend	K	T					
53. iShares Trust Core S&P Mid Cap ETF	A	Dividend	L	T					
54. iShares TIPS Bond ETF	A	Dividend	K	T					
55. Vanguard Index Funds Vanguard Growth ETF	B	Dividend	M	T					
56. Vanguard Total Stock Market ETF	B	Dividend	L	T	Sold (part)	01/12/17	K	C	
57.					Sold (part)	03/15/17	K	D	
58. Vanguard Index Fund S&P 500 ETF	B	Dividend	M	T	Sold (part)	08/17/17	K	D	
59. Vanguard Divid Appreciation ETF	B	Dividend	M	T					
60. Vanguard Mega Cap ETF	B	Dividend	M	T					
61. Vaneck Vectors AMT-Free Short Municipal Index ETF	A	Dividend	K	T	Sold (part)	12/07/17	J		
62. Vaneck Vectors High Yield Municipal Index ETF	B	Dividend	L	T					
63. First Trust Dorsey Wright FO ETF	A	Dividend	K	T					
64. Principal Small Mid Cap Div Inst (X)	C	Dividend	L	T					
65. First Trust Preferred Security & Inc ETF	B	Dividend	K	T					
66. Vaneck Vectors AMT-Free Inter ETF	A	Dividend	K	T	Buy	06/09/17	K		
67. Voya Floating Rate Fund CL I	B	Dividend	K	T					
68. Wisdomtree Trust Small Cap Dividend Fund ETF	C	Dividend	M	T	Buy (add'l)	06/01/17	K		

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69. Alerian MLP ETF	B	Dividend			Buy (add'l)	06/01/17	J		
70.					Sold	11/22/17	K		
71. Blackrock Taxable Municipal Bond Trust	A	Dividend			Sold	03/15/17	J		
72. First Trust Morningstar Div Leader Index Fund	A	Dividend	K	T					
73. First Trust Value Line Divid Index Fund	A	Dividend	K	T					
74. Goldman Sachs Active Beta US Large Cap Equity ETF	A	Dividend	L	T					
75. Goldman Sachs Active Beta Emerging Markets Equity ETF	A	Dividend	K	T	Buy (add'l)	06/01/17	J		
76.					Buy (add'l)	07/20/17	J		
77.					Buy (add'l)	08/17/17	K		
78. iShares Core US Aggregate Bond ETF	A	Dividend	J	T					
79. iShares EDGE MSCI Min Vol USA ETF	A	Dividend	J	T					
80. SPDR Nuveen S&P High Yield Municipal Bond ETF	B	Dividend	L	T					
81. Vanguard Financials ETF	A	Dividend	M	T	Buy (add'l)	06/01/17	K		
82.					Buy (add'l)	12/13/17	K		
83. Vanguard Health Care ETF	A	Dividend	K	T					
84. Vanguard Value ETF	A	Dividend	K	T	Buy	06/01/17	K		
85. First Trust Dow Jones Internet Index Fund ETF		None	K	T	Buy	01/18/17	K		

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86.					Buy (add'l)	06/15/17	K		
87. First Trust STOxx European Select Divd Index Fund ETF	B	Dividend	K	T	Buy	06/01/17	J		
88.					Buy (add'l)	06/01/17	J		
89.					Buy (add'l)	06/05/17	J		
90.					Buy (add'l)	06/09/17	K		
91. Blackrock Muniholdings NJ Quality Fund Inc.	A	Dividend	K	T	Buy	06/02/17	K		
92. Wisdomtree Intl High Divid Fund ETF	B	Dividend	K	T	Buy	03/15/17	K		
93.					Buy (add'l)	07/05/17	J		
94. First Trust North American Energy Infrastructure Fund	A	Dividend	K	T	Buy	11/22/17	K		
95. Legg Mason Lo Vol Hi Div ETF	A	Dividend	J	T	Buy	11/22/17	J		
96. First Trust Managed Municipal ETF	A	Dividend	K	T	Buy	12/07/17	K		
97.									
98. (H) Brokerage Account #5 (51)									
99. Principal MidCap Fund Class A	B	Dividend	K	T					
100. Blackrock Basic Value Fund Cl A	B	Dividend	K	T					
101. Blackrock Global Allocation Fund Inc Cl A	C	Dividend	L	T					
102. Franklin Mutual Global Discover Fund Cl A	D	Dividend	M	T					

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103. Franklin Templeton Income Cl A	A	Dividend	K	T					
104. American Funds American Balanced Fund Cl R4	B	Dividend	K	T					
105. First Eagle Global Fund Cl C	C	Dividend	L	T					
106. Thornburg Income Builder Cl C	B	Dividend	K	T					
107. Goldman Sachs Income Builder Funds Cl IR	B	Dividend	K	T					
108. Ivy Balanced Funds Cl C	A	Dividend	J	T					
109. iShares Edge MSCI Min Vol USA EFT	A	Dividend	K	T					
110. Putnam Equity Income Fund Cl C	B	Dividend	K	T					
111.									
112. (H) Brokerage Account #6 (52)									
113. Vanguard Total Bond Mkt ETF	A	Dividend			Buy (add'l)	04/12/17	J		
114.					Sold	06/26/17	K		
115. iShares Russell MidCap ETF	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
116. SPDR S&P 500 ETF TR	A	Dividend	K	T	Buy (add'l)	06/26/17	K		
117.					Buy (add'l)	10/05/17	J		
118.					Buy (add'l)	11/02/17	J		
119. Riverpark/Wedgewood Institutional Funds		None			Sold	04/26/17	K	C	

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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)
120. Oppenheimer Senior Floating Rate Fund Class Y	A	Dividend			Sold (part)	03/27/17	J		
121.					Sold	06/26/17	J		
122. FMI Large Cap Fund Institutional Class	B	Dividend	K	T	Sold (part)	06/26/17	K	C	
123.					Buy (add'l)	11/02/17	J		
124. John Hancock Disciplined Value Mid Cap Fund CI A	A	Dividend	J	T	Sold (part)	06/26/17	J	D	
125. Virtus Multi-Sector Short Term Bond Fund CL I	A	Dividend			Sold	06/26/17	J		
126. Baird MidCap Fund Institutional Class	A	Dividend	J	T	Sold (part)	06/26/17	J	B	
127. Chartwell Small Cap Value I Share	A	Dividend	J	T	Sold (part)	06/26/17	J	A	
128. Gabelli Small Cap Growth Fund Class I	A	Dividend	J	T	Sold (part)	06/26/17	J	A	
129. iShares 7-10 Year Treasury Bond ETF	A	Dividend			Sold (part)	04/21/17	J	A	
130.					Sold	06/26/17	J	A	
131. iShares MSCI EAFE ETF	A	Dividend			Sold	06/26/17	K	C	
132. iShares IBOXX \$ Invnt Grade Corporate Bond ETF	A	Dividend	J	T	Sold (part)	06/26/17	J	A	
133. Pimco Income Fund CI P	A	Dividend			Sold	06/26/17	J	A	
134. Ashmore Emerging Markets Total Ret Fund CI I	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
135. iShares CORE MSCI EAFE ETF	A	Dividend	K	T	Sold (part)	06/26/17	J	A	
136. iShares CORE MSCI Emerging Markets ETF	A	Dividend	K	T	Buy (add'l)	06/26/17	K		

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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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. 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.					Buy (add'l)	12/27/17	J		
138. iShares MBS ETF	A	Dividend			Buy (add'l)	04/12/17	J		
139.					Sold	06/26/17	J		
140. SPDR Bloomberg Barclays Intl Treas Bond ETF		None			Sold	06/26/17	J		
141. Vanguard Total Stock Market ETF	A	Dividend			Buy (add'l)	04/12/17	J		
142.					Sold	06/16/17	J	B	
143. iShares Core S&P US Growth ETF	A	Dividend	K	T	Buy	04/27/17	K		
144.					Sold (part)	06/26/17	J	A	
145. Vanguard Total World Stock ETF	A	Dividend	J	T	Buy	03/27/17	J		
146.					Buy (add'l)	06/26/17	J		
147.					Sold (part)	09/22/17	J	A	
148. Oppenheimer International Growth Fund Y	A	Dividend	K	T	Buy	06/26/17	K		
149. Pear Tree Polaris Foreign Value Fund Instl	A	Dividend	K	T	Buy	06/26/17	K		
150. iShares Treasury Bond ETF	A	Dividend	J	T	Buy	03/20/17	J		
151.					Buy (add'l)	06/26/17	J		
152.					Buy (add'l)	07/21/17	J		
153.					Buy (add'l)	09/22/17	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)
154.					Sold (part)	12/15/17	J	A	
155. SPDR Bloomberg Barclays High Yield Bond ETF	A	Dividend	K	T	Buy	06/26/17	K		
156.					Sold (part)	07/21/17	J	A	
157. Vaneck Vectors JP Morgan EM Local Currency Bond ETF		None	J	T	Buy	12/15/17	J		
158. Pimco Investment Grade Corporate Bond Fund P	A	Dividend	K	T	Buy	06/26/17	K		
159.									
160. (H) IRA #1 (42)									
161. First Eagle Global Fund Class C	C	Dividend	L	T					
162. Blackrock Equity Dividend Fund C	D	Dividend	L	T					
163. Blackrock Global Allocation Fund C	B	Dividend	K	T					
164. Franklin Templeton Mutual Global Discovery Fund Cl C	A	Dividend	J	T					
165. Franklin Templeton Income C	B	Dividend	K	T					
166. American Funds American Balanced Fund Cl C	C	Dividend	L	T					
167.									
168. (H) IRA #2 (43)									
169. American Funds American Balanced Fund Cl C	A	Dividend	J	T					
170. Blackrock Global Allocation Fund Cl C	B	Dividend	K	T					

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

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Name of Person Reporting

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☐ 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				
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171.									
172. (H) IRA #3 (13)									
173. JP Morgan Income Builder Cl C (X)	B	Dividend	L	T	Distributed (part)	12/13/17	J		
174. Janus Balanced Fund C	C	Dividend	L	T					
175.									
176. (H) AXA Equitable Flexible Premium Variable Life Insurance #1									
177. - AXA Moderate Allocation Fund		None			Closed	05/19/17	L		
178. (H) AXA Equitable Flexible Premium Variable Life Insurance #2									
179. - AXA Moderate Allocation Fund		None			Closed	05/19/17	M	C	
180. (H) AXA Equitable Flexible Premium Variable Life Insurance #3 (X)									
181. - AXA Moderate Allocation Fund		None			Closed	04/17/17	J		
182. (H) AXA Equitable Flexible Premium Variable Life Insurance #4 (X)									
183. - AXA Moderate Allocation Fund		None	J	T					
184.									
185. Nationwide Life Insurance #1		None			Closed	05/07/17	K	D	
186. Nationwide Life Insurance #2		None	K	T					
187.									

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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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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. (H) Cash Accounts #1									
189. Santander Cash Accounts	A	Int./Div.	M	T					
190. Wells Fargo Cash Accounts	A	Int./Div.	J	T					
191. UBS Cash Accounts	A	Int./Div.	L	T					
192. TD Bank Cash Account	A	Int./Div.	J	T					
193.									
194. Real Estate - Rental Property - Verona, Essex County, NJ	E	Rent	O	W					
195.									
196.									
197.									
198.									

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

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

Line 9 - This variable annuity does not show or report any dividends, income, or 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. No distributions were made from the annuity.

Line 13 - The name of this asset changed from Metlife Investors USA Ins Co Series L Annuity to Brighthouse Life Ins Co Series L Variable Annuity. This variable annuity does not show or report any dividends, income, or 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. No distributions were made from the annuity.

Line 26 - The name of this asset changed from Janus Balanced Fund C to Janus Henderson Balanced Fund C.

Lines 27 and 173 - A partial transfer was made from IRA #3, Line 173 to Brokerage Account #1, Line 27. This was a required minimum annual distribution.

Line 30 - The name of this asset changed from SunAmerica Focused Dividend Strategy Fund C to AIG Focused Dividend Strategy Fund C.

Line 33 - This asset was an exchange to the Nuveen Large Cap Value Fund CI C on Line 34 on 11/07/17.

Line 34 - This asset was an exchange from the Nuveen Core Dividend Fund on Line 33 on 11/07/17.

Line 38 - This variable annuity does not show or report any dividends, income, or 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. No distributions were made from the annuity.

Line 64 - This asset was previously in the Principal Small Mid-Cap Div P. The share class was exchanged into the Principal Small Mid-Cap Div Inst on 06/23/17.

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Name of Person Reporting

Waldor, Cathy L.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544