AO 10
Rev. 1/2022

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Cook, Deborah L. | U.S. Court of Appeals, 6th Cir | 05/13/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. Circuit Judge - Senior Inactive | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| 433 U.S. Courthouse<br>2 South Main Street<br>Akron, OH 44308 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements )*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

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

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | 2021 | State of Ohio Retirement Benefits | $34,475.16 |
| 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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Cook, Deborah L.** | 05/13/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

| A<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | PNC (formerly Nat'l City) Cash Account | A | Interest | K | T | | | | | |
| 2. | Trust #1 (H) | | | | | | | | | |
| 3. | - Morgan Stanley Cash Account | A | Interest | K | T | | | | | |
| 4. | - Ohio St Hosp Fac Rev Muni Bond HU9 | B | Interest | | | Sold | 01/04/21 | K | A | |
| 5. | - Ohio St Turnpike & Infrastructure Ure Comm Junior Muni Bond | C | Interest | L | T | | | | | |
| 6. | - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4B5 | C | Interest | | | Sold | 10/06/21 | L | A | |
| 7. | - Ohio St Hosp Rev Cleveland Clinic Hlth Muni Bond 4D1 | C | Interest | L | T | | | | | |
| 8. | - Ohio St Hosp Edl Rev (former Cleveland Clinic) VC7 | B | Interest | | | Sold | 08/26/21 | L | A | |
| 9. | - Cincinnati Ohio Impt Genl Oblig Ser A Muni Bond | C | Interest | M | T | | | | | |
| 10. | - American Mun Pwr Inc OH Hydroelectric Muni Bond MH4 | B | Interest | L | T | | | | | |
| 11. | - Cleveland Heights & Univ Heights Sch Dist Muni Bond GQ0 | B | Interest | L | T | | | | | |
| 12. | - Upper Arlington Ohio City Sch Dist Bond | B | Interest | L | T | | | | | |
| 13. | - Keycorp 5.65 Ser F Pfd | A | Dividend | | | Sold (part) | 01/07/21 | K | B | |
| 14. | | | | | | Sold (part) | 08/26/21 | J | A | |
| 15. | | | | | | Sold | 10/06/21 | J | A | |
| 16. | - First Trust Sr Float Rt 2022 T | A | Dividend | | | Sold (part) | 06/21/21 | J | A | |
| 17. | | | | | | Sold (part) | 08/02/21 | J | A | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 | | |
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|---|---|---|---|---|---|---|---|---|---|
| 18. | | | | | Sold | 08/26/21 | J | A | |
| 19. IRA 1 (H) | | | | | | | | | |
| 20. - Morgan Stanley Cash Accounts | A | Interest | N | T | | | | | |
| 21. - Ally Financial Note AV2 Corp Bond | D | Interest | M | T | | | | | |
| 22. - Verisign Inc Corp Bond | C | Interest | | | Redeemed | 06/23/21 | L | A | |
| 23. - Verizon Communications Common | D | Dividend | M | T | | | | | |
| 24. - Goldman Sachs Cap III Bond (prior V) | A | Interest | J | T | | | | | |
| 25. - Keycorp 5% Fixed to Float Bond | C | Interest | M | T | | | | | |
| 26. - Third PT Offshore Fund LTD Hedge Fund | | None | O | T | | | | | |
| 27. - FirstTrust Sr Float Rt 2022 Target Term Fund | B | Dividend | | | Sold | 12/15/21 | M | B | |
| 28. - Citigroup Inc New Common | C | Dividend | L | T | | | | | |
| 29. - Intl Business Machine Corp Common | C | Dividend | L | T | Sold (part) | 07/19/21 | L | A | |
| 30. - Morgan Stanley 5.85%-K Pfd | D | Dividend | M | T | | | | | |
| 31. - The Financial Sel SPDR FD | B | Dividend | L | T | | | | | |
| 32. - Illinois St Genl Oblig Bond | D | Interest | M | T | | | | | |
| 33. - Hanesbrands Inc Bond | C | Interest | M | T | | | | | |
| 34. - ViacomCBS Inc 6.25% Fxd Flts Bond | D | Interest | M | T | | | | | |

| | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. - Goodyear Tire & Rubber bond 5.00% | B | Interest | L | T | | | | | |
| 36. - Crown Castle Intl Corp Ser A 6.875% Pfd | C | Dividend | M | T | | | | | |
| 37. - Putnam Diversified Inc Tr C | C | Dividend | M | T | | | | | |
| 38. - Federated Hermes Govt Oblig Money Market Fund | A | Dividend | K | T | Sold (part) | 01/20/21 | K | A | |
| 39. | | | | | Sold (part) | 02/24/21 | L | A | |
| 40. | | | | | Sold (part) | 03/22/21 | K | A | |
| 41. | | | | | Sold (part) | 04/15/21 | K | A | |
| 42. | | | | | Sold (part) | 05/10/21 | L | A | |
| 43. | | | | | Sold (part) | 06/03/21 | L | A | |
| 44. - JPMorgan Chase & Co 6.0% Pfd | D | Dividend | M | T | | | | | |
| 45. -Athene Holding Ltd 6.35% Ser A Pfd | C | Dividend | L | T | | | | | |
| 46. -Sempra Energy 5.75% Convertible | C | Interest | L | T | | | | | |
| 47. -Lord Abbett Sht Duration Inc C | B | Dividend | M | T | | | | | |
| 48. -Bank of America Co 5.0% Pfd | C | Dividend | M | T | | | | | |
| 49. -Digital Rlty Tst Inc 5.2% Pfd | C | Dividend | L | T | | | | | |
| 50. -Citizens Finl Grp Inc 5.0% Pfd | B | Dividend | K | T | | | | | |
| 51. -Compass Diversified 7.875% C Pfd | D | Interest | M | T | Buy (add'l) | 08/17/21 | K | | |

| | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 52. -QVC Inc 6.25% Callable | C | Interest | L | T | | | | | |
| 53. -Ford Motor Co 6.0% Callable | C | Interest | L | T | | | | | |
| 54. -Davis Select Financial ETF | B | Dividend | K | T | | | | | |
| 55. -AT&T Inc Common | C | Dividend | | | Sold (part) | 03/09/21 | K | A | |
| 56. | | | | | Sold (part) | 07/19/21 | K | A | |
| 57. | | | | | Sold | 11/10/21 | K | A | |
| 58. -IShares Core Dividend Growth ETF | B | Dividend | M | T | Sold (part) | 07/19/21 | K | C | |
| 59. -Ally Financial Inc Common | B | Dividend | L | T | Sold (part) | 07/19/21 | K | D | |
| 60. -Athene Holding Ltd 6.375% C Pfd | C | Dividend | L | T | | | | | |
| 61. -Delta Air Lines Inc 3.4% Bond | B | Interest | | | Redeemed | 04/19/21 | L | B | |
| 62. -FS KKR Capital Corp 4.750% Bond | D | Interest | M | T | | | | | |
| 63. -United States Cellular 6.25% Pfd | D | Dividend | M | T | | | | | |
| 64. -Synovus Financial Corp 5.9% Bond | D | Interest | M | T | | | | | |
| 65. - Unit First Trust Captial Strength Buy Write 53 UIT | A | Dividend | L | T | | | | | |
| 66. -Broadstone Net Lease Inc Cl A Common | C | Dividend | L | T | Buy (add'l) | 01/22/21 | K | | |
| 67. -Wells Fargo Co Dep sh Pfd Cl A Pfd | B | Dividend | | | Sold | 09/10/21 | L | B | |
| 68. -Signature Bank NY 5.00% Ser A Pfd | C | Dividend | L | T | | | | | |

| | | | | | |
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| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 69. -First Trust Global Tactical Stg F ETF | C | Dividend | K | T | | | | | |
| 70. -Unit First Trust Target High Quality Div UIT | B | Dividend | L | T | Buy | 01/15/21 | K | | |
| 71. -Viatris Common | A | Dividend | K | T | Buy | 01/22/21 | K | | |
| 72. -Telephone Data System 6.625% Pfd | D | Dividend | M | T | Buy | 03/02/21 | L | | |
| 73. -Telephone and Data Systems Common | A | Dividend | | | Buy | 03/11/21 | K | | |
| 74. | | | | | Sold | 10/28/21 | K | A | |
| 75. -Gilead Science Common | B | Dividend | L | T | Buy | 03/24/21 | L | | |
| 76. | | | | | Buy (add'l) | 07/22/21 | K | | |
| 77. -Allovir Common | | None | K | T | Buy | 03/29/21 | K | | |
| 78. -Atlantica Sustainable Infr Plc Common | A | Dividend | L | T | Buy | 04/06/21 | K | | |
| 79. | | | | | Buy (add'l) | 11/15/21 | K | | |
| 80. -Coinbase Global Cl A common | | None | | | Buy | 04/19/21 | K | | |
| 81. | | | | | Sold | 10/06/21 | K | A | |
| 82. -Arconic Corp Regs 6.125% Bond | C | Interest | M | T | Buy | 05/07/21 | M | | |
| 83. -Glaxosmithkline PLC ADR Common | A | Dividend | K | T | Buy | 05/17/21 | K | | |
| 84. -United States Cellular Corp 5.5% Bond | B | Interest | L | T | Buy | 05/17/21 | K | | |
| 85. -Lord Abbett Flt Rt C Mutual Fund | B | Dividend | M | T | Buy | 06/07/21 | L | | |

| | | | | | |
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| 86. -FirstEnergy Common | B | Dividend | L | T | Buy | 07/21/21 | K | | |
| 87. | | | | | Buy (add'l) | 12/07/21 | K | | |
| 88. -Pennymac Mtg In Tr 6.75% Pfd | B | Dividend | L | T | Buy | 08/24/21 | K | | |
| 89. -Cleveland-Cliffs 5.875% Bond | C | Interest | M | T | Buy | 10/26/21 | M | | |
| 90. -Bank OZK 4.625% Per Pfd A | | None | L | T | Buy | 11/04/21 | K | | |
| 91. -Kyndryl Holdings Common | | None | | | Spinoff (from line 29) | 11/04/21 | J | | |
| 92. | | | | | Sold | 12/03/21 | J | A | |
| 93. -Unit First Trust S&P Dividend Aristocrats Buy-Write UIT | | None | L | T | Buy | 12/17/21 | K | | |
| 94. Installment note holding industrial as collateral | D | Interest | M | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Cook, Deborah L.** | 05/13/2022 |

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

Part VII - Line ___ - In 2007 an industrial building in Akron Ohio was sold via an installment sale. Interest and principal payments are received on this asset and the note is secured by the building. The debtor is Aster Property Management, LLC.

| Name of Person Reporting | Date of Report |
|---|---|
| **Cook, Deborah L.** | 05/13/2022 |

## 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/ Deborah L. Cook**

**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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