AO 10
Rev. 1/2021

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 |
|---|---|---|
| Cummings, Jeffrey I. | United States District Court - Northern District of Illinois | 05/15/2023 |
| **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** |
| United States Magistrate Judge (FT) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022<br>**to**<br>12/31/2022 |
| **7. Chambers or Office Address** | | |
| United States District Court<br>219 South Dearborn Street<br>Chicago, Illinois 60604 | | |

***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. | | |

## 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.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE AND TYPE |
|---|---|---|
| 1. | 2022 | Apple (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.)*

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

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 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.)*

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. Individual Assets (H) | | | | | | | | | |
| 2. Bank of America (cash) | A | Interest | L | T | | | | | |
| 3. MONY Life Ins Policy #1 (whole) | A | Dividend | J | T | | | | | |
| 4. MONY Life Ins Policy #2 (whole) | A | Dividend | K | T | | | | | |
| 5. NWM Life Ins Policy #1 (whole) | C | Dividend | M | T | | | | | |
| 6. NWM Life Ins Policy #2 (whole) | B | Dividend | K | T | | | | | |
| 7. NWM Life Ins Policy #3 (whole) | A | Dividend | K | T | | | | | |
| 8. Account #1 (H) | | | | | | | | | |
| 9. Adv Bank Dep Ally Bank (ABDXX) (cash) | A | Interest | K | T | | | | | |
| 10. Invesco Van Kampen Comstock Fd Y (ACSDX) | E | Dividend | M | T | Sold (part) | 01/11/22 | K | D | |
| 11. | | | | | Sold (part) | 04/11/22 | J | C | |
| 12. | | | | | Buy (add'l) | 07/14/22 | J | | |
| 13. | | | | | Sold (part) | 10/12/22 | J | B | |
| 14. DWS RREEF Glbl Infrastr Fd A (TOLLX) | B | Dividend | K | T | Sold (part) | 04/11/22 | J | A | |
| 15. | | | | | Buy (add'l) | 10/13/22 | J | | |
| 16. Federated Hermes Strategic Income Fd Cl R6 (STILX) | D | Dividend | M | T | Buy (add'l) | 01/13/22 | J | | |
| 17. | | | | | Sold (part) | 07/12/22 | J | | |

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

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| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | 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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| 18. | | | | | | Sold (part) | 10/12/22 | J | | |
| 19. | Federated Hermes Kaufmann Lg Cap Fd Cl R6 (KLCSX) | F | Dividend | N | T | Buy (add'l) | 01/13/22 | J | | |
| 20. | | | | | | Buy (add'l) | 04/13/22 | J | | |
| 21. | | | | | | Buy (add'l) | 07/14/22 | K | | |
| 22. | | | | | | Buy (add'l) | 10/14/22 | J | | |
| 23. | Federated Hermes Total Ret Bd Fd Cl R6 (FTRLX) | D | Dividend | M | T | Buy (add'l) | 01/13/22 | J | | |
| 24. | | | | | | Sold (part) | 07/12/22 | J | | |
| 25. | Federated Intl Leaders Cl R6 (FGRSX) | B | Dividend | K | T | Buy (add'l) | 04/13/22 | J | | |
| 26. | Account #2 (H) | | | | | | | | | |
| 27. | Xanthus Fund, LLC | | None | M | T | | | | | |
| 28. | Jackson National Life Perspective II S&P Aggressive Growth Portfolio | | None | N | T | | | | | |
| 29. | Account #3 (H) | | | | | | | | | |
| 30. | American Funds, Capital World Growth & Income Fund Class A (CWGIX) | A | Dividend | J | T | | | | | |
| 31. | American Funds, Europacific Growth Fund Class A (AEPGX) | A | Dividend | J | T | | | | | |
| 32. | American Funds, The Growth Fund Of America Class A (AGTHX) | A | Dividend | J | T | | | | | |
| 33. | American Funds, The Income Fund Of America Class A (AMECX) | A | Dividend | J | T | | | | | |
| 34. | American Funds, Intermediate Bond Fund Of America Class A (AIBAX) | A | Dividend | J | T | | | | | |

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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

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

| A | B | | C | | D | | | | |
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| 35. Account #4 (H) | | | | | | | | | |
| 36. Adv Bank Dep Ally Bank (ABDXX) (cash) | A | Interest | K | T | | | | | |
| 37. Amazon Com Inc (AMZN) | | None | K | T | | | | | |
| 38. Apple Inc (AAPL) | A | Dividend | L | T | | | | | |
| 39. McDonalds Corp (MCD) | B | Dividend | L | T | | | | | |
| 40. Federated Kaufmann Large Cap-A (KLCAX) | D | Dividend | K | T | Sold (part) | 01/28/22 | M | | |
| 41. Federated Fltg Rate Strat Inc A (FRSAX) | B | Dividend | | | Sold (part) | 07/22/22 | J | | |
| 42. | | | | | Sold | 09/14/22 | K | | |
| 43. Federated Hermes Total Return Bond Fd Cl A (TLRAX) | B | Dividend | J | T | Sold (part) | 03/30/22 | M | | |
| 44. Federates Hermes Short Interm Muni Fd CL A (FMTAX) | A | Interest | | | Buy | 03/30/22 | K | | |
| 45. | | | | | Sold | 06/14/22 | K | | |
| 46. Voya Eq Tr Midcap Opptys Fd Cl A (NMCAX) | | None | | | Sold | 01/28/22 | K | | |
| 47. First Tr Exchange Traded FD Wtr ETF (FIW) | A | Dividend | K | T | Buy | 09/16/22 | K | | |
| 48. First Trust ETF NASDAQ Cybersecurity ETF (CIBR) | A | Dividend | K | T | | | | | |
| 49. Invesco S&P Global Water Index ETF (CGW) | A | Dividend | K | T | Buy | 09/16/22 | K | | |
| 50. IShares Tr US Broker-Dealers & SE ETF (IAI) | A | Dividend | K | T | | | | | |
| 51. IShares Tr Tips Bd ETF (TIP) | A | Dividend | | | Buy | 03/30/22 | L | | |

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| 52. | | | | | | Sold | 05/20/22 | K | | |
| 53. | Proshares Tr S&P 500 Dv Arist SBI/CBI ETF (NOBL) | A | Dividend | K | T | Buy | 09/16/22 | K | | |
| 54. | Financial Select Sector SPDR (XLF) | A | Dividend | J | T | | | | | |
| 55. | Vanguard Index FDS S&P 500 ETF (VOO) | A | Dividend | K | T | | | | | |
| 56. | FT Water Utility Infra Sel #59 (30315G556) | A | Interest | | | Redeemed | 08/26/22 | L | E | |
| 57. | FT Global Dividend #65 (30317U819) | A | Interest | K | T | | | | | |
| 58. | FT Dow Target 1/10/22 (30323E635) | B | Interest | | | Buy | 01/28/22 | L | | |
| 59. | | | | | | Sold | 09/14/22 | K | | |
| 60. | FT Smid Capital Strength #53 (30323H596) | | None | | | Buy | 01/28/22 | K | | |
| 61. | | | | | | Sold | 05/20/22 | K | | |
| 62. | FT Water Utility Infra Sel #64 (30322P714) | | None | | | Sold | 02/22/22 | K | | |
| 63. | FT Water Utility Infra Sel #67 (30327Q790) | | None | | | Buy | 08/29/22 | L | | |
| 64. | | | | | | Sold | 09/14/22 | L | | |
| 65. | Inv Divid Sustain 21-1 (46148R114) | A | Interest | | | Sold | 05/20/22 | L | | |
| 66. | Inv Select 10 Industrial 21-2 (46148T235) | A | Interest | | | Redeemed | 05/10/22 | L | B | |
| 67. | Inv Divid Sustain 21-4 (46149Q156) | A | Interest | | | Buy | 01/28/22 | L | | |
| 68. | | | | | | Sold | 05/20/22 | K | | |

| | | | | | | |
|---|---|---|---|---|---|---|
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| | 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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| 69. Invesco Large Cap Core 22-1 (46149T515) | A | Interest | | | Buy | 01/28/22 | L | | |
| 70. | | | | | Sold | 05/20/22 | K | | |
| 71. Jackson National Life Perspective II S&P Aggressive Growth Portfolio | | None | P1 | T | | | | | |
| 72. Account #5 (H) | | | | | | | | | |
| 73. Adv Bank Dep Ally Bank (ABDXX) (cash) | A | Interest | J | T | | | | | |
| 74. Invesco Van Kampen Comstock Fd Y (ACSDX) | D | Dividend | L | T | Sold (part) | 01/11/22 | J | A | |
| 75. | | | | | Buy (add'l) | 02/04/22 | K | | |
| 76. | | | | | Sold (part) | 04/11/22 | J | A | |
| 77. | | | | | Sold (part) | 10/12/22 | J | A | |
| 78. Invesco Main St Mid Cap Fund (OPMYX) | B | Dividend | K | T | Buy (add'l) | 02/04/22 | K | | |
| 79. | | | | | Buy (add'l) | 07/14/22 | J | | |
| 80. | | | | | Sold (part) | 10/12/22 | J | | |
| 81. DWS RREEF Glbl Infrastr Fd S (TOLSX) | B | Dividend | K | T | Buy (add'l) | 02/04/22 | J | | |
| 82. | | | | | Sold (part) | 04/11/22 | J | A | |
| 83. | | | | | Buy (add'l) | 10/14/22 | J | | |
| 84. Federated Intl Leaders Cl R6 (FGRSX) | C | Dividend | L | T | Buy (add'l) | 01/13/22 | J | | |
| 85. | | | | | Buy (add'l) | 02/04/22 | K | | |

| | | | | | | |
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| 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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| 86. | | | | | Buy (add'l) | 04/13/22 | J | | |
| 87. | | | | | Buy (add'l) | 10/14/22 | J | | |
| 88. Account #6 (H) | | | | | | | | | |
| 89. Adv Bank Dep Ally Bank (ABDXX) (cash) | A | Interest | J | T | | | | | |
| 90. Indexiq ETF Tr IQ Mrgr ABB etf (MNA) | | None | K | T | Buy | 01/21/22 | K | | |
| 91. | | | | | Buy (add'l) | 04/28/22 | J | | |
| 92. | | | | | Buy (add'l) | 12/27/22 | J | | |
| 93. Ishares Gold Trust ETF (IAU) | | None | K | T | Buy | 01/21/22 | K | | |
| 94. | | | | | Sold (part) | 02/09/22 | J | A | |
| 95. | | | | | Sold (part) | 02/24/22 | J | A | |
| 96. | | | | | Sold | 09/15/22 | K | | |
| 97. | | | | | Buy | 10/19/22 | K | | |
| 98. Ishares Inc JP Mrg Em Crp Bd (CEMB) | A | Dividend | K | T | Buy | 01/21/22 | K | | |
| 99. | | | | | Sold | 03/30/22 | K | | |
| 100. | | | | | Buy | 05/04/22 | J | | |
| 101. | | | | | Sold | 05/23/22 | J | | |
| 102. | | | | | Buy | 06/27/22 | J | | |

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
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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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 103. | | | | | Sold | 09/15/22 | J | | |
| 104. | | | | | Buy | 10/19/22 | J | | |
| 105. | | | | | Buy (add'l) | 11/29/22 | J | | |
| 106. Ishares Tr Core US Aggbd ET (AGG) | A | Dividend | K | T | Buy | 01/21/22 | K | | |
| 107. | | | | | Sold | 03/30/22 | K | | |
| 108. | | | | | Buy | 05/04/22 | K | | |
| 109. | | | | | Sold | 09/15/22 | K | | |
| 110. | | | | | Buy | 10/19/22 | K | | |
| 111. | | | | | Buy (add'l) | 11/17/22 | J | | |
| 112. | | | | | Buy (add'l) | 12/27/22 | J | | |
| 113. Ishares Tr MSCI Emg Mkt ETF (EEM) | A | Dividend | K | T | Buy | 01/21/22 | K | | |
| 114. | | | | | Sold | 03/30/22 | K | | |
| 115. | | | | | Buy | 05/04/22 | K | | |
| 116. | | | | | Buy (add'l) | 05/25/22 | J | | |
| 117. | | | | | Sold (part) | 08/24/22 | J | | |
| 118. | | | | | Sold (part) | 09/08/22 | J | | |
| 119. | | | | | Sold | 09/15/22 | K | | |

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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. | | | | | Buy | 10/19/22 | K | | |
| 121. | | | | | Buy (add'l) | 12/27/22 | K | | |
| 122. Ishares Tr MSCI EAFE ETF (EFA) | B | Dividend | L | T | Buy | 01/21/22 | L | | |
| 123. | | | | | Buy (add'l) | 02/11/22 | J | | |
| 124. | | | | | Buy (add'l) | 02/28/22 | J | | |
| 125. | | | | | Sold | 03/30/22 | L | | |
| 126. | | | | | Buy | 05/04/22 | L | | |
| 127. | | | | | Buy (add'l) | 08/26/22 | J | | |
| 128. | | | | | Buy (add'l) | 09/12/22 | J | | |
| 129. | | | | | Sold | 09/15/22 | L | | |
| 130. | | | | | Buy | 10/19/22 | L | | |
| 131. | | | | | Sold (part) | 11/15/22 | J | A | |
| 132. | | | | | Sold (part) | 11/29/22 | J | A | |
| 133. | | | | | Sold (part) | 12/22/22 | J | A | |
| 134. Ishares Tr Rus 1000 Val ETF (IWD) | B | Dividend | L | T | Buy | 01/21/22 | L | | |
| 135. | | | | | Sold (part) | 04/28/22 | J | | |
| 136. | | | | | Sold (part) | 05/10/22 | J | | |

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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. | | | | | Sold | 05/23/22 | L | | |
| 138. | | | | | Buy | 06/27/22 | L | | |
| 139. Ishares Tr Rus 1000 Grw ETF (IWF) | A | Dividend | L | T | Buy | 01/21/22 | L | | |
| 140. | | | | | Sold | 03/30/22 | L | | |
| 141. | | | | | Buy | 05/04/22 | L | | |
| 142. | | | | | Sold | 05/23/22 | L | | |
| 143. | | | | | Buy | 06/27/22 | L | | |
| 144. | | | | | Sold (part) | 08/24/22 | J | A | |
| 145. | | | | | Sold (part) | 09/08/22 | J | A | |
| 146. | | | | | Buy (add'l) | 11/17/22 | J | | |
| 147. Ishares Tr Moder Alloc ETF (AOM) | C | Dividend | | | Buy | 03/30/22 | N | | |
| 148. | | | | | Sold | 05/02/22 | N | | |
| 149. | | | | | Buy | 05/25/22 | M | | |
| 150. | | | | | Sold | 06/23/22 | M | | |
| 151. | | | | | Buy | 09/19/22 | N | | |
| 152. | | | | | Sold | 10/17/22 | N | | |
| 153. iShares TR Russ 2000 ETF (IWM) | A | Dividend | K | T | Buy (add'l) | 01/21/22 | K | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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 | 03/30/22 | L | | |
| 155. | | | | | Buy | 05/04/22 | L | | |
| 156. | | | | | Sold | 05/23/22 | L | | |
| 157. | | | | | Buy | 06/27/22 | L | | |
| 158. | | | | | Sold (part) | 08/24/22 | J | A | |
| 159. | | | | | Sold (part) | 09/08/22 | J | A | |
| 160. Ishares MSCI EAFE Small Cap Index Fund (SCZ) | A | Dividend | K | T | Buy | 01/21/22 | K | | |
| 161. | | | | | Sold | 03/30/22 | K | | |
| 162. | | | | | Buy | 05/04/22 | K | | |
| 163. | | | | | Sold (part) | 05/23/22 | J | | |
| 164. | | | | | Buy (add'l) | 09/12/22 | J | | |
| 165. | | | | | Sold | 09/15/22 | K | | |
| 166. | | | | | Buy | 10/19/22 | K | | |
| 167. | | | | | Sold (part) | 12/22/22 | J | A | |
| 168. SPDR Blmbg Barclaysst Hy Bd ETF (SJNK) | B | Dividend | K | T | Buy | 01/21/22 | K | | |
| 169. | | | | | Sold | 03/30/22 | K | | |
| 170. | | | | | Buy | 05/04/22 | K | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. | | | | | Buy (add'l) | 05/12/22 | J | | |
| 172. | | | | | Buy (add'l) | 05/25/22 | J | | |
| 173. | | | | | Sold | 09/15/22 | K | | |
| 174. | | | | | Buy | 10/19/22 | K | | |
| 175. Vanguard Bd Index FDS Short Trm Bond (BSV) | A | Dividend | K | T | Buy | 01/21/22 | K | | |
| 176. | | | | | Sold | 03/30/22 | K | | |
| 177. | | | | | Buy | 05/04/22 | K | | |
| 178. | | | | | Sold (part) | 05/23/22 | J | A | |
| 179. | | | | | Buy (add'l) | 08/26/22 | J | | |
| 180. | | | | | Sold | 09/15/22 | K | | |
| 181. | | | | | Buy | 10/19/22 | K | | |
| 182. | | | | | Buy (add'l) | 12/27/22 | J | | |
| 183. Vanguard Index Fds Real Estate ETF (VNQ) | A | Dividend | J | T | Sold (part) | 01/19/22 | K | D | |
| 184. | | | | | Sold (part) | 05/23/22 | J | A | |
| 185. Alps ETF Tr Alerian MLP SBI/CBI ETF (AMLP) | | None | | | Sold | 01/19/22 | K | | |
| 186. Aberdeen Std Physical Palladium (PALL) | | None | | | Sold | 01/19/22 | K | | |
| 187. iPath Series B Blooomburg Coffee Subidx Total Rtn (JO) | | None | | | Sold | 01/19/22 | K | D | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. Global X Cloud Computing ETF (CLOU) | A | Dividend | | | Sold | 01/19/22 | K | A | |
| 189. Invesco Powershs Nasdaq Internet Port ETF (PNQI) | | None | | | Sold | 01/19/22 | K | D | |
| 190. iShares Tr Select Divid (DVY) | | None | | | Sold | 01/19/22 | L | E | |
| 191. iShares Tr Mortg (REM) | | None | | | Sold | 01/19/22 | K | | |
| 192. SPDR Ser Trust S&P Biotech Closed End SBI/CBI ETF (XBI) | | None | | | Sold | 01/19/22 | K | B | |
| 193. Select Sect SPDR Tr SBI Healthcare (XLV) | | None | | | Sold | 01/19/22 | K | E | |
| 194. Select Sect SPDR Tr SBI Int-Finl (XLF) | | None | | | Sold | 01/19/22 | K | E | |
| 195. Select Sect SPDR Tr Tech (XLK) | | None | | | Sold | 01/19/22 | L | E | |
| 196. Vaneck Vectors ETF Gold Miners (GDX) | | None | | | Sold | 01/19/22 | K | B | |
| 197. Account #7 (H) | | | | | | | | | |
| 198. NM FDIC Insured Deposit Program (cash) | A | Interest | K | T | | | | | |
| 199. Thornburg Value Class A (TVAFX) | A | Dividend | L | 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 |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 45 of the filing instructions.

| Name of Person Reporting | Date of Report |
|---|---|
| **Cummings, Jeffrey I.** | 05/15/2023 |

## 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/ Jeffrey I. Cummings**

**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
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Washington, D.C. 20544