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
Seibel, Cathy	U.S. District Court --S.D.N.Y.	4/19/2022
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**
District Judge -- active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Charles L. Brieant U.S. Courthouse 300 Quarropas St., Rm. 633 White Plains, NY 10601		

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.	board member emeritus	Fordham Law Alumni Association
2.	Adjunct Professor of Law (part-time trial practice instructor)	Columbia University School of Law
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.	2021	$10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2022
2.		
3.		

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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	Columbia University -- payment for teaching	$10,000.00
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. 2021	New York University -- salary as faculty member and physician
2. 2/17/21	Westchester Medical Center -- payment for speaking
3. 3/25/21	Johns Hopkins University Press -- book royalties
4. 10/19/21	Beacon Press -- book royalties

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.				

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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.	Federico E. Virella, Jr.	3 Mets tickets + parking ($685) 7/9/21 and 2 Mets tickets + parking ($345) 9/17/21	$1,030.00
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.			

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Seibel, Cathy	4/19/2022

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure		B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
1.	AT&T common stock	A	Dividend	J	T					
2.	AT&T common stock	A	Dividend	J	T					
3.	Comcast common stock	A	Dividend	K	T					
4.	Comcast common stock	A	Dividend	K	T					
5.	Investment Account #1 (H)									
6.	- American Century Heritage Fund	E	Distribution	M	T					
7.	- AMG Boston Common Global Impact Fund (formerly AMG Brandywine)	E	Distribution	M	T					
8.	- PGIM Global Total Return Fund	A	Dividend	J	T					
9.	- BNY Mellon NY Tax-Exempt Bond Fund	A	Dividend	K	T					
10.	- Enbridge Energy Partners LP common stock	A	Dividend	J	T					
11.	- Fidelity NY Muni Income Fund	A	Dividend	M	T					
12.	- Janus Fund	F	Distribution	O	T					
13.	- John Hancock Patriot Premium Div Fund I common stock	B	Dividend	K	T					
14.	- Fidelity Government Money Market Account	A	Interest	M	T					
15.	- Fidelity Money Market Premium Class Account	A	Interest	M	T					
16.	- Victory RS Growth Fund	E	Distribution	N	T					
17.	-Virtus Total Income Fund	A	Dividend	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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☐ 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)	
18. Investment Account #2 (IRA) (H)									
19. - Fidelity Magellan Fund	A	Distribution	M	T					
20. - Fidelity Capital Appreciation Fund	D	Distribution	L	T					
21. - Fidelity Freedom 2025	G	Dividend	P1	T					
22. - T. Row Price Blue Chip Growth Fund	D	Dividend	L	T					
23. Investment Account #3 (retirement annuity) (H)									
24. -Vanguard Infl'n-Prot'd Sec Ins (403(b))	D	Dividend	M	T					
25. - Vanguard Long Term Treasury Admiral (403(b))	B	Dividend			Sold	03/31/21	L		
26. - Vanguard Long-Term Investment Grade Admiral (403(b))	A	Dividend			Sold	03/31/21	L		
27. - Vanguard Total Bond Mkt Idx Ins (403(b))	B	Dividend			Buy	03/31/21	M		
28.					Sold	11/04/21	M		
29. - Vanguard Total Bond Mkt Idx Ins Plus (403(b))	A	Dividend	M	T	Buy	11/04/21	M		
30. - Vanguard Inst.Tg Rtm 2025 Inst. (403(b))	D	Dividend	N	T					
31. - Vanguard US Growth Adm (457(b))	D	Distribution	M	T					
32. - Vanguard Int Term Inv Gd Adm (457(b))	B	Dividend			Sold	03/31/21	L		
33. - Vanguard Total Bond Mkt Idx Ins (457(b))	B	Dividend			Buy	03/31/21	L		
34.					Sold	11/04/21	L		

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	
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☐ 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)	
35. - Vanguard Total Bond Mkt Idx Ins Plus (457(b))	A	Dividend	L	T	Buy	11/04/21	L		
36. - Vanguard High Yield Corp Adm (457(b))	B	Dividend	L	T					
37. - Vanguard Inst Tg Rtm 25 Inst (Vol. Ret. Savings Plan)	B	Dividend	K	T					
38. - TIAA/CREF Lifecycle Index 2025 Prem. Fund(retiree med. acct. plan)	B	Dividend	L	T					
39. Investment Account #4 (H)									
40. - Fidelity Government Money Market Account	A	Interest	K	T					
41. - Fidelity Money Market Premium Class Account	A	Interest	N	T					
42. Investment Account #5 (IRA) (H)									
43. - T. Rowe Price Blue Chip Growth Fund IRA	D	Dividend	L	T					
44. JP Morgan Chase cash account (X)		None	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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Last year I stated that the Vanguard Inst Tgt Rtm 2025 account on line 30 of the 2020 report was part of [redacted] Voluntary Retirement Savings Plan with [redacted] former employer (Columbia University) and the Vanguard Inst Tgt Rtm 2025 account on line 35 was part of [redacted] 403(b) retirement plan with [redacted] current employer (New York University). I actually had that backwards: line 30 was [redacted] NYU account and line 35 was [redacted] Columbia account. This year the NYU account is on line 30 and the Columbia account is on line 37.

The following, appearing on lines 25-29, were all plan-sponsored transfers withn [redacted] 403(b) retirement plan:
3/31/21 sale of Vanguard L-T Inv Grade Adm
3/31/21 sale of Vanguard L-T Treas Fund Adm
3/31/21purchase of Vanguard Total Bd Mkt Idx Ins
11/4/21 sale of Vanguard Total Bd Mkt Idx Ins
11/4/21 purchase of Vanguard Total Bd Mkt Ids Ins Plus

The following, appearing on lines 32-35, were all plan-sponsored transfers within [redacted] 457(b) retirement plan;
3/31/21 sale of Vanguard L-T Inv Gd Adm
3/31/21 purshase of Vanguard Total Bd Mkt Idx Ins
11/4/21 sale of Vanguard Total Bd Mkt Idx Ins
11/4/21 purshcase of Vanguard Total Bd Mkt Ids Ins Plus

The JP Morgan Chase checking account on line 44 was omitted from previous reports in error, as I overlooked that checking accounts had to be disclosed if over $5000.

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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 Seibel

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
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