AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 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. | 05/12/2023 |
| **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** |
| District Judge -- active | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| Charles L. Brieant U.S. Courthouse<br>300 Quarropas St., Rm. 633<br>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. | Trustee | Trust #1 |
| 4. | Trustee | Trust #2 |
| 5. | Trustee | Trust #3 |
| 6. | Trustee | Trust #4 |

## 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. | 2022 | $10,000 compensation for instructing Trial Practice course at Columbia University School of Law January - April 2023 |
| 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. | 2022 | 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. | 2022 | New York University -- salary as faculty member and physician |
| 2. | 3/5/22 | Johns Hopkins University Press -- book royalties |
| 3. | 3/25/22 | University of Colorado -- payment for speaking |
| 4. | 4/13/22 | Beacon Press -- book royalties |
| 5. | 6/23/22 | University of Chicago -- payment for speaking |
| 6. | 10/19/22 | 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.

| Name of Person Reporting | Date of Report |
|---|---|
| **Seibel, Cathy** | 05/12/2023 |

## 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 ($567) 6/17/22 and 2 Mets tickets + parking ($500) 7/22/22 | $1,067.00 |
| 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. | | | |

| Name of Person Reporting | Date of Report |
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## 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 | 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) | |
| 1. | AT&T common stock | A | Dividend | J | T | | | | | |
| 2. | AT&T common stock | A | Dividend | J | T | | | | | |
| 3. | Warner Bros. Discovery common stock | | None | J | T | Spinoff (from line 1) | 04/08/22 | J | | |
| 4. | Warner Bros. Discovery common stock | | None | J | T | Spinoff (from line 2) | 04/08/22 | J | | |
| 5. | Comcast common stock | A | Dividend | K | T | | | | | |
| 6. | Comcast common stock | A | Dividend | K | T | | | | | |
| 7. | Investment Account #1 (H) | | | | | | | | | |
| 8. | - American Century Heritage Fund | B | Distribution | | | | | | | |
| 9. | - AMG Boston Common Global Impact Fund | A | Distribution | | | | | | | |
| 10. | - PGIM Global Total Return Fund | A | Dividend | | | | | | | |
| 11. | - BNY Mellon NY Tex-Exempt Bond Fund | B | Dividend | | | | | | | |
| 12. | - Enbridge Energy Partners LP common stock | A | Dividend | | | | | | | |
| 13. | - Fidelity NY Muni Income Fund | B | Dividend | | | | | | | |
| 14. | - Janus Fund | | None | | | | | | | |
| 15. | - John Hancock Patriot Premium Div Fund I common stock | B | Dividend | | | | | | | |
| 16. | - Fidelity Governemnt Money Market Account | B | Interest | | | | | | | |
| 17. | - Fidelity Money Market Premium Class Account | C | Interest | | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 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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| **Seibel, Cathy** | 05/12/2023 |

## 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 | 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. - Victory RS Growth Fund | C | Distribution | | | | | | | |
| 19. - Virtus Total Income Fund | A | Dividend | | | | | | | |
| 20. Trust #1 (H) | | | | | | | | | |
| 21. - American Century Heritage Fund | | None | L | T | | | | | |
| 22. - AMG Boston Common Global Impact Fund | | None | K | T | | | | | |
| 23. - PGIM Global Total Return Fund | | None | J | T | | | | | |
| 24. - BNY Mellon NY Tax-Exempt Bond Fund | | None | K | T | | | | | |
| 25. - Enbridge Energy Partners LP common stock | | None | J | T | | | | | |
| 26. - Fidelity NY Muni Income Fund | A | Dividend | K | T | | | | | |
| 27. - Janus Fund | A | Distribution | M | T | | | | | |
| 28. - John Hancock Patriot Premium Div Fund I common stock | | None | J | T | | | | | |
| 29. - Fidelity Government Money Market Account | A | Interest | M | T | | | | | |
| 30. - Fidelity Money Market Premium Class Account | A | Interest | N | T | | | | | |
| 31. - Victory RS Growth Fund | | None | L | T | | | | | |
| 32. - Virtus Total Income Fund | | None | J | T | | | | | |
| 33. Trust #2 (H) | | | | | | | | | |
| 34. - American Century Heritage Fund | | 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 | |
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☐ 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 35. - AMG Boston Common Global Impact Fund | | None | K | T | | | | | |
| 36. - PGIM Global Total Return Fund | | None | J | T | | | | | |
| 37. - BNY Mellon NY Tex-Exempt Bond Fund | | None | K | T | | | | | |
| 38. - Enbridge Energy Partnes LP common stock | | None | J | T | | | | | |
| 39. - Fidelity NY Muni Income Fund | A | Dividend | K | T | | | | | |
| 40. - Janus Fund | A | Distribution | M | T | | | | | |
| 41. - John Hancock Patriot Premium Div Fund I common stock | | None | J | T | | | | | |
| 42. - Fidelity Government Money Market Account | A | Interest | L | T | | | | | |
| 43. - Fidelity Money Market Premium Class Account | A | Interest | L | T | | | | | |
| 44. Victory RS Growth Fund | | None | L | T | | | | | |
| 45. Virtus Total Income Fund | | None | J | T | | | | | |
| 46. Investment Account #2 (IRA) (H) | | | | | | | | | |
| 47. - Fidelity Magellan Fund | C | Distribution | M | T | | | | | |
| 48. - Fidelity Capital Appreciation Fund | D | Distribution | L | T | | | | | |
| 49. - Fidelity Freedom 2025 | G | Dividend | P1 | T | | | | | |
| 50. - T. Row Price Blue Chip Growth Fund | C | Dividend | L | T | | | | | |
| 51. Investment Account #3 (retirement annuity) (H) | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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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) | |
| 52. - Vanguard Infl'n-Prot'd Sec Ins (403(b)) | D | Dividend | M | T | | | | | |
| 53. - Vanguard Total Bond Mkt Idx Ins Plus (403(b)) | C | Dividend | M | T | | | | | |
| 54. - Vanguard Inst.Tg Rtm 2025 Inst. (403(b)) | C | Dividend | | | Sold | 02/11/22 | N | | |
| 55. - Vanguard Tgt Ret 2025 Fund Investor | D | Dividend | N | T | Buy | 02/11/22 | N | | |
| 56. - Vanguard US Growth Adm (457(b)) | A | Distribution | L | T | | | | | |
| 57. - Vanguard Total Bond Mkt Idx Ins Plus (457(b)) | B | Dividend | L | T | | | | | |
| 58. - Vanguard High Yield Corp Adm (457(b)) | C | Dividend | L | T | | | | | |
| 59. - Vanguard Inst Tg Rtm 25 Inst (Vol. Ret. Savings Plan) | A | Dividend | | | Sold | 02/11/22 | K | | |
| 60. - Vanguard Tgt Retire 2025 Fund Investor | B | Dividend | K | T | Buy | 02/11/22 | K | | |
| 61. - TIAA/CREF Lifecycle Index 2025 Prem. Fund(retiree med. acct. plan) | B | Dividend | L | T | | | | | |
| 62. Investment Account #4 (H) | | | | | | | | | |
| 63. - Fidelity Government Money Market Account | A | Interest | | | | | | | |
| 64. - Fidelity Money Market Premium Class Account | C | Interest | | | | | | | |
| 65. Investment Account #5 (IRA) (H) | | | | | | | | | |
| 66. - T. Rowe Price Blue Chip Growth Fund IRA | A | Dividend | L | T | | | | | |
| 67. JP Morgan Chase cash account | | None | K | T | | | | | |

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

Section 1, Lines 5 and 6: Trust #3 and Trust #4 did not have assets exceeding $1000 during 2022.

Section VII, Lines 7-19: Assets previously listed under Investment Account #1 (co-owned by [redacted] and me) have been transferred in kind (re-titled) 50-50 into Trust #1 and Trust #2. [redacted] and I are both Trustees of both Trusts. (I was advised that this was not a reportable transaction as nothing was bought or sold.) The transfers took place on 12/19/22. Income accruing before the transfers is reported under Investment Account #1. Income accruing during the couple of weeks when the assets were in the trusts is reported under Trust #1 and Trust #2.

Section VII, Lines 62-64: Assets previously listed under Investment Account #4 (owned by me) have been transferred in kind (re-titled) into Trust #1 (of which [redacted] and I are Trustees). The transfers took place on 12/19/22. Income accruing before the transfers is reported under Investment Account #4. Income accruing during the couple of weeks when the assets were in Trust #1 is reported under Trust #1.

Section VII, Line 54-55 and 59-60: The 2/11/22 sales of Vanguard Inst Tgt Ret 2025 Inst and purchases of Vanguard Tgt Ret 2205 Fund Investor were plan-sponsored transfers within [redacted] 403(b) Retirement Plan and his Voluntary Retirement Savings Plan.

| Name of Person Reporting | Date of Report |
|---|---|
| **Seibel, Cathy** | 05/12/2023 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544