

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Pappert, Gerald J.                                                                                                                   | <b>2. Court or Organization</b><br><br>U.S. Court, Eastern District of Pennsylvania                                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>12/12/2018                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Active Status                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse<br>601 Market Street, Room 5614<br>Philadelphia, PA 19106                                                                                     |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

|    | <u>POSITION</u> | <u>NAME OF ORGANIZATION/ENTITY</u> |
|----|-----------------|------------------------------------|
| 1. | General Partner | Marza, L.P.                        |
| 2. | Trustee         | Trust No 1                         |
| 3. |                 |                                    |
| 4. |                 |                                    |
| 5. |                 |                                    |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

|    | <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                     |
|----|-------------|------------------------------------------------------------------------------|
| 1. | 2001        | Pennsylvania State Employee's Retirement System Defined Benefit Pension Plan |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                 | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|----------------------------------------|----------------------------------------|
| 1. 2017     | Pennsylvania State Retirement Benefits | \$8,451.72                             |
| 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> |
|-------------|------------------------|
| 1.          |                        |
| 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.)*

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|---------------|--------------|-----------------|----------------|-------------------------------|
| 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. WAUWATOSA WIS GO PROM NTS SER                                                                                            | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. APPLE INC NOTE CALL MAKE WHOLE                                                                                           |                                         |                                               | K                                               | T                                         | Buy                                             | 02/28/17                | K                               |                                |                                                                   |
| 3.                                                                                                                          | A                                       | Interest                                      | J                                               |                                           |                                                 |                         |                                 |                                |                                                                   |
| 4. BOONE CNTY KY SCH DIST FIN CORP SCH                                                                                      | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. BUFFALO N Y REF BDS SER                                                                                                  | A                                       | Interest                                      | K                                               | T                                         | Redeemed                                        | 11/15/17                | K                               |                                |                                                                   |
| 6. CENTRAL GREENE PA SCH DIST GO BDS                                                                                        | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. DISCOVER BK GREENWOOD DEL                                                                                                | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. GLAXOSMITHKLINE CAP PLC                                                                                                  | A                                       | Interest                                      | K                                               | T                                         | Redeemed                                        | 05/08/17                | K                               |                                |                                                                   |
| 9. GOLDMAN SACHS BK USA NY CD                                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. GREATER JOHNSTOWN PA SCH DIST GI NTS                                                                                    | B                                       | Interest                                      | M                                               | T                                         | Redeemed                                        | 08/01/17                | M                               |                                |                                                                   |
| 11. GREENFIELD MASS GO MUNI PURP LN SER                                                                                     | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. INTERNATIONAL BUSINESS MACHS NOTE                                                                                       | A                                       | Interest                                      | J                                               | T                                         | Redeemed                                        | 02/06/17                | K                               |                                |                                                                   |
| 13. JACKSON CNTY MO REORG SCH DIST NO 01                                                                                    | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. MERCK & CO INC                                                                                                          | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. MORRIS PLAINS N J SCH DIST                                                                                              | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. MORRIS TWP N J GO BDS                                                                                                   | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. MOUNT LEBANON PA GO BDS SER                                                                                             | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                               |   |          |   |   |             |          |   |  |  |
|-----------------------------------------------|---|----------|---|---|-------------|----------|---|--|--|
| 18. ORACLE CORP BOND CALL MAKE WHOLE          |   |          | K | T | Buy         | 05/17/17 | K |  |  |
| 19.                                           | A | Interest | J |   |             |          |   |  |  |
| 20. PARK CITY KANS GO REF BDS SER             | B | Interest | M | T |             |          |   |  |  |
| 21. PFIZER INC NOTE CALL MAKE WHOLE           | A | Interest | K | T |             |          |   |  |  |
| 22. PHELPS-CLIFTON SPRINGS N Y CENT SCH       | C | Interest | M | T |             |          |   |  |  |
| 23. PIKE CNTY KY SCH DIST FIN CORP SCH        | C | Interest | M | T |             |          |   |  |  |
| 24. RINGWOOD N J BRD ED SCH BDS SER           | B | Interest | J | T | Redeemed    | 09/01/17 | L |  |  |
| 25. ROMEO MICH CMNTY SCH DIST GO ULTD TAC SCH | B | Interest | M | T |             |          |   |  |  |
| 26. SWATARA TWP PA GO BDS SER                 | B | Interest | M | T |             |          |   |  |  |
| 27. TOYOTA FINL SVGS BK HEND NV               | A | Interest | K | T |             |          |   |  |  |
| 28. UNIVERSITY NORTHN IOWA UNIV REVS DORM     | A | Interest | K | T |             |          |   |  |  |
| 29. WENTZVILLE R-IV DIST MO LEASE             | C | Interest | M | T | Buy         | 03/22/17 | M |  |  |
| 30. AMERICAN EUROPACIFIC GROWTH CLASS F1      | A | Dividend | J | T | Buy (add'l) | 09/25/17 | J |  |  |
| 31.                                           |   |          |   |   | Buy (add'l) | 06/20/17 | J |  |  |
| 32.                                           |   |          |   |   | Buy         | 05/03/17 | J |  |  |
| 33. AMERICAN EUROPACIFIC GROWTH CLASS F2      | E | Dividend | N | T |             |          |   |  |  |
| 34. ISHARES CORE U.S. AGGREGATE BOND EFT      | A | Dividend | J | T | Buy (add'l) | 04/06/17 | K |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                           |   |          |   |   |                |          |   |   |  |
|-------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 35.                                       |   |          |   |   | Sold<br>(part) | 04/13/17 | J | A |  |
| 36.                                       |   |          |   |   | Sold<br>(part) | 04/06/17 | J | A |  |
| 37.                                       |   |          |   |   | Sold<br>(part) | 02/28/17 | J | A |  |
| 38.                                       |   |          |   |   | Sold<br>(part) | 01/12/17 | J | A |  |
| 39. CALAMOS MARKET NEUTRAL<br>INCOME CL I | D | Dividend | N | T | Buy<br>(add'l) | 11/15/17 | J |   |  |
| 40.                                       |   |          |   |   | Buy<br>(add'l) | 03/06/17 | J |   |  |
| 41.                                       |   |          |   |   | Buy<br>(add'l) | 01/10/17 | J |   |  |
| 42.                                       |   |          |   |   | Buy<br>(add'l) | 01/06/17 | J |   |  |
| 43. CALAMOS MARKET NEUTRAL<br>INCOME CL A | A | Dividend | K | T | Buy<br>(add'l) | 06/20/17 | J |   |  |
| 44.                                       |   |          |   |   | Buy<br>(add'l) | 01/11/17 | J |   |  |
| 45.                                       |   |          |   |   | Buy<br>(add'l) | 01/06/17 | J |   |  |
| 46.                                       |   |          |   |   | Buy<br>(add'l) | 10/24/17 | J |   |  |
| 47.                                       |   |          |   |   | Buy<br>(add'l) | 10/12/17 | J |   |  |
| 48.                                       |   |          |   |   | Buy<br>(add'l) | 06/30/17 | J |   |  |
| 49.                                       |   |          |   |   | Buy<br>(add'l) | 04/04/17 | J |   |  |
| 50.                                       |   |          |   |   | Buy<br>(add'l) | 01/11/17 | J |   |  |
| 51.                                       |   |          |   |   | Buy<br>(add'l) | 01/06/17 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. ISHARES EDGE MSCI MIN VOL<br>EMERGING MARKETS EFT                                                                       |                                         | None                                          | N                                               | T                                         | Sold<br>(part)                                  | 01/12/17                | J                               | E                              |                                                                   |
| 53. WELLS FARGO PREMIER LARGE CO<br>GRWTH INSTL                                                                             |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 01/10/17                | K                               | E                              |                                                                   |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/04/17                | J                               | D                              |                                                                   |
| 55. ISHARES TR JP MOR EM MK EFT                                                                                             | D                                       | Dividend                                      | N                                               | T                                         | Sold<br>(part)                                  | 10/13/17                | J                               | A                              |                                                                   |
| 56.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/21/17                | J                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/13/17                | J                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/27/17                | J                               |                                |                                                                   |
| 59.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/06/17                | J                               |                                |                                                                   |
| 60.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/07/17                | L                               |                                |                                                                   |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/31/17                | K                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/04/17                | L                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/13/17                | L                               |                                |                                                                   |
| 64.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/10/17                | J                               |                                |                                                                   |
| 65. FIDLEITY GOVERNMENT CASH<br>RESERVES                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. FIDELITY TOTAL BOND                                                                                                     | A                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 09/22/17                | J                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/10/17                | J                               |                                |                                                                   |
| 68.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/02/17                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/11/17                | J                               |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/17/17                | K                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/22/17                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/01/17                | K                               |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/02/17                | K                               |                                |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/10/17                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/06/17                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/29/17                | L                               |                                |                                                                   |
| 77. FIDELITY 500 INDEX PREMIUM CLASS                                                                                        | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. FIDELITY TREASURY MONEY<br>MARKET FUND                                                                                  | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. GATEWAY FUND CLASS A                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 06/19/17                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/05/17                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/26/17                | J                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/05/17                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/06/17                | J                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/17/17                | J                               |                                |                                                                   |
| 85. GATEWAY FUND CLASS Y                                                                                                    | A                                       | Dividend                                      | M                                               | T                                         | Buy<br>(add'l)                                  | 03/06/17                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/10/17                | J                               |                                |                                                                   |
| 87.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/06/17                | K                               |                                |                                                                   |
| 88.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/16/17                | J                               |                                |                                                                   |
| 89.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/31/17                | J                               |                                |                                                                   |
| 90.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/07/17                | J                               |                                |                                                                   |
| 91.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/18/17                | K                               |                                |                                                                   |
| 92.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/12/17                | J                               |                                |                                                                   |
| 93.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/08/17                | J                               |                                |                                                                   |
| 94.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/18/17                | K                               |                                |                                                                   |
| 95.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/12/17                | M                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/09/17                | J                               |                                |                                                                   |
| 97.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/06/17                | K                               |                                |                                                                   |
| 98.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/17                | K                               |                                |                                                                   |
| 99.                                                                                                                         | D                                       | Dividend                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 100. ISHARE INC CORE MSCI EMERGING MKTS ETF                                                                                 |                                         |                                               | O                                               | T                                         | Buy<br>(add'l)                                  | 05/05/17                | J                               |                                |                                                                   |
| 101.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/18/17                | J                               |                                |                                                                   |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/05/17                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/08/17                | K                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/09/17                | J                               |                                |                                                                   |
| 105.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/06/17                | K                               |                                |                                                                   |
| 106.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/17                | L                               |                                |                                                                   |
| 107.                                                                                                                        | D                                       | Dividend                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 108.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/26/17                | J                               | A                              |                                                                   |
| 109. ISHARES CORE S&P MID-CAP EFT                                                                                           | D                                       | Dividend                                      | O                                               | T                                         |                                                 | 09/29/17                |                                 |                                |                                                                   |
| 110.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/14/17                | J                               | D                              |                                                                   |
| 111. ISHARES CORE S&P SMALL-CAP ETF                                                                                         | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 112.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/20/17                | J                               | A                              |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/21/17                | J                               | A                              |                                                                   |
| 114. ISHARES S&P SMALLCAP 600 VALUE<br>ETF                                                                                  | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/12/17                | J                               | A                              |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/13/17                | J                               | A                              |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/12/17                | M                               | E                              |                                                                   |
| 118.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/12/17                | J                               | A                              |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/22/17                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/17/17                | J                               | A                              |                                                                   |
| 121. ISHARES CORE S&P 500 ETF                                                                                               | E                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/26/17                | J                               | B                              |                                                                   |
| 123.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/22/17                | J                               | A                              |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/27/17                | J                               | A                              |                                                                   |
| 125.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/20/17                | J                               | A                              |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/18/17                | K                               | D                              |                                                                   |
| 127.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/17                | J                               | B                              |                                                                   |
| 128. ISHARES RUSSELL 2000 ETF                                                                                               | C                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. ISHARES TR CORE MSCI TOTAL                                                                                             | C                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. ISHARES US TECHNOLOGY ETF                                                                                              | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 131. MERGER FUND                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 06/20/17                | J                               |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/13/17                | J                               |                                |                                                                   |
| 133.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/15/17                | J                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/13/17                | J                               |                                |                                                                   |
| 135.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/10/17                | K                               |                                |                                                                   |
| 136.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/06/17                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/23/17                | K                               | A                              |                                                                   |
| 138. THE MERGER FUND CL I                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/06/17                | K                               |                                |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/23/17                | M                               | B                              |                                                                   |
| 140. INDEXIQ ETF IQ ARB MERGER<br>ARBITRAGE ETF                                                                             |                                         | None                                          | N                                               | T                                         | Buy<br>(add'l)                                  | 05/26/17                | K                               |                                |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/26/17                | J                               |                                |                                                                   |
| 142.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/12/17                | J                               |                                |                                                                   |
| 143.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/10/17                | J                               |                                |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/26/17                | M                               |                                |                                                                   |
| 145. PIMCO COMMODITY REAL RETURNS<br>INST                                                                                   | D                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 01/10/17                | K                               |                                |                                                                   |
| 146.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/06/17                | K                               |                                |                                                                   |
| 147.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/09/17                | J                               | A                              |                                                                   |
| 148.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/21/17                | K                               | A                              |                                                                   |
| 149.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/01/17                | K                               | A                              |                                                                   |
| 150. PIMCO COMMODITY REAL RET<br>STRAT ADMIN CL                                                                             | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 151.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/10/17                | J                               | A                              |                                                                   |
| 152.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/02/17                | J                               | A                              |                                                                   |
| 153.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/10/17                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/02/17                | J                               | A                              |                                                                   |
| 155. ISHARES TIPS BOND ETF                                                                                                  | C                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 04/06/17                | J                               |                                |                                                                   |
| 156.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/17                | J                               |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/13/17                | J                               | A                              |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/13/17                | L                               | A                              |                                                                   |
| 159. TORTOISE MLP & PIPELINE FD INSTL                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/14/17                | J                               | A                              |                                                                   |
| 161.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/26/17                | J                               | C                              |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/22/17                | J                               | A                              |                                                                   |
| 163.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/02/17                | J                               | A                              |                                                                   |
| 164. TORTOISE MLP & PIPELINE FD<br>INVESTOR                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 06/20/17                | J                               | A                              |                                                                   |
| 165.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/02/17                | J                               | C                              |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/10/17                | J                               | C                              |                                                                   |
| 167.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/26/17                | J                               | A                              |                                                                   |
| 168.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/02/17                | J                               | A                              |                                                                   |
| 169.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/08/17                | J                               | A                              |                                                                   |
| 170. ISHARES EDGE MSCI MIN VOL USA<br>ETF                                                                                   |                                         | None                                          | M                                               | T                                         | Sold<br>(part)                                  | 03/08/17                | L                               | B                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/09/17                | K                               | C                              |                                                                   |
| 172.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/06/17                | K                               | A                              |                                                                   |
| 173. VANGUARD INDEX FDS VANGUARD<br>TOTAL STK MKT ETF                                                                       | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. DOW JONES WILSHIRE 5000 INDEX<br>PORT INVT                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 09/25/17                | J                               |                                |                                                                   |
| 175. WELLS FARGO PREMIER LARGE CO<br>GRWTH ADMIN                                                                            | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. AMERICAN WASHINGTON MUTUAL<br>INVESTORS F2                                                                             | E                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/22/17                | K                               | D                              |                                                                   |
| 178.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/16/17                | K                               | E                              |                                                                   |
| 179.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/05/17                | J                               | C                              |                                                                   |
| 180. EXXON MOBIL CORP (X)                                                                                                   | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181. FLBEACH, OC, LLC                                                                                                       | C                                       | Interest                                      | K                                               | U                                         | Open                                            |                         |                                 |                                |                                                                   |
| 182. ALTOONA NPRLP                                                                                                          | C                                       | Distribution                                  | L                                               | U                                         | Open                                            |                         |                                 |                                |                                                                   |
| 183. PACIFIC LIFE INDEXED<br>ACCUMULATION                                                                                   | E                                       | Interest                                      | M                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 184. - FIXED ACCOUNT                                                                                                        | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 185. -1 YEAR INDEX FUND S&P500                                                                                              | D                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 186. -1 YEAR INTERNATIONAL INDEX<br>FUND EURO STOCK500                                                                      | C                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 187. URBAN STORAGE FUND,LP                                                                                                  | A                                       | None                                          | L                                               | U                                         | Open                                            |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. VILLAGE OF CANTERBURY,LP                                                                                               |                                         | None                                          | J                                               | U                                         | Open                                            |                         |                                 |                                |                                                                   |
| 189. HONEY FARMS MANAGEMENT, LLC                                                                                            |                                         | None                                          | J                                               | U                                         | Open                                            |                         |                                 |                                |                                                                   |
| 190. PACIRA PHARMACEUTICALS INC                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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                  |                                 |                         |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

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

Trust No.1, listed in section 1 of this report, is an unfunded Trust

Line 181 FLBeach, OC, LLC was purchased on 08/01/2014 \$50,000

Line 182 Altoona NPRI, LP was purchased 10/28/2015 \$100,000

Line 187 Urban Storage Fund, LP was purchased 07/30/2013 \$100,000

Additional Urban Storage Fund, LP was purchased on 04/04/2014 \$100,000

Line 188 Village of Canterbury, LP was purchased 04/12/2012 \$150,000

Line 189 Honey Farms Management, LLC was purchased on 11/04/2016 \$100,000

The asset listed on line 77, Fidelity 500 Index Premium Class, was listed as Spartan US Equity Index Fund on line 194 of the 2016 Amended Report.

The asset listed on line 150, Pimco Commodity Real Ret Strat Admin CL, was listed as Pimco Commodity Real Return on line 185 of the 2016 Amended Report.

Fidelity Municipal Money Market, listed on line 17 of the 2016 Amended Report, is now called Fidelity Treasury Money Market Fund and is listed on line 78.

The ISHARES EDGE EMERGING MARKETS asset, listed on line 61 of the 2016 Amended Report, is now called ISHARES EDGE MSCI MIN VOL EMERGING MARKETS EFT and is listed on line 52.

The ISHARES INFLATION PROTECTED asset, listed on line 129 of the 2016 Amended Report, is now called ISHARES TIPS BOND ETF and is listed on line 155.

The SPARTAN US EQUITY INDEX FUND, listed on line 194 of the 2016 Amended Report, is now called the Fidelity 500 Index Premium Class Fund and is listed on line 77.

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

12/12/2018

**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/ **Gerald J. Pappert**

**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