

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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>Gottschall, Joan B.                                                                                                                  | <b>2. Court or Organization</b><br><br>U.S. District Court, NDIL                                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>5/23/2016                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>District Judge--Senior 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 type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>Room 2356<br>219 South Dearborn Street<br>Chicago, IL 60604                                                                                                   |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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.)

POSITION

NAME OF ORGANIZATION/ENTITY

|           |                                                                  |
|-----------|------------------------------------------------------------------|
| 1. Member | Visiting Committee to the Divinity School, University of Chicago |
| 2.        |                                                                  |
| 3.        |                                                                  |
| 4.        |                                                                  |
| 5.        |                                                                  |

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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Name of Person Reporting

Gottschall, Joan B.

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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.)*DATESOURCE AND TYPEINCOME  
(yours, not spouse's)

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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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Name of Person Reporting

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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. Vanguard Wellington Fund                                                                                                 | D                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 01/08/15                | K                               |                                |                                                                   |
| 2. Vanguard Wellesley Fund                                                                                                  | E                                       | Dividend                                      | O                                               | T                                         | Buy<br>(add'l)                                  | 01/08/15                | K                               |                                |                                                                   |
| 3. Vanguard Index Trust                                                                                                     | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Vanguard Prime Portfolio                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Fed Empl Credit Union Acts                                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. IBM c/stock                                                                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Intel c/stock                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Waste Management c/stock                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. CVS Caremark c/stock                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Vanguard Capital Opportunity Fund                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. BlackRock Large Cap Value                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. BlackRock Value Opportunities                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Dodge & Cox Fds Intl Stk Fd                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Capital Income Bldr                                                                                                     | C                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Income Fnd Amer Inc.                                                                                                    | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Vanguard Fix. Inc. Sec. Fund                                                                                            | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 01/08/15                | L                               |                                |                                                                   |
| 17. Balanced Fund, Inc.*                                                                                                    | B                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                | *See Part VIII, No. 1                                             |

|                                                  |                                                                                        |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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 = \$250,000,001 - \$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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☐ 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) |

|                                              |   |           |   |   |          |          |   |  |                       |
|----------------------------------------------|---|-----------|---|---|----------|----------|---|--|-----------------------|
| 18. Capital World Growth Inc. Fund*          | B | Int./Div. | M | T |          |          |   |  | *See Part VIII, No. 1 |
| 19. Wintrust Financial Corp. Accounts*       | A | Interest  | M | T |          |          |   |  | *See Part VIII, No. 2 |
| 20. Mansfield TX Indpt Sch C: 564385-V5-8    | A | Interest  |   |   | Redeemed | 02/18/15 | J |  |                       |
| 21. San Diego Cnty CA Wtr C: 797415-LM-6     | A | Interest  |   |   | Redeemed | 05/01/15 | J |  |                       |
| 22. Des Peres MO C: 250199-DW-3              | A | Interest  |   |   | Redeemed | 02/02/15 | J |  |                       |
| 23. Marlboro Twp NJ Mun Util C: 570858-FP-0  | A | Interest  |   |   | Redeemed | 12/01/15 | J |  |                       |
| 24. New York, NY Prerefunded C: 64966K-KF-9  | A | Interest  |   |   | Redeemed | 03/02/15 | J |  |                       |
| 25. Western Carolina Regl Swr C: 957886-EF-7 | A | Interest  |   |   | Redeemed | 03/02/15 | J |  |                       |
| 26. East Brunswick Twp NJ C: 271299-JC-4     | A | Interest  |   |   | Redeemed | 11/02/15 | J |  |                       |
| 27. Philadelphia PA Wtr C: 717893-PL-9       | A | Interest  |   |   | Redeemed | 07/01/15 | J |  |                       |
| 28. California St Dept Wtr C: 13066E-SX-2    | A | Interest  |   |   | Redeemed | 06/01/15 | J |  |                       |
| 29. Lamar TX Cons Indpt Sch C: 513174-SQ-6   | A | Interest  |   |   | Redeemed | 02/17/15 | J |  |                       |
| 30. Peabody MA Mun Purp Ln C: 704573-G9-9    | A | Interest  |   |   | Redeemed | 02/02/15 | J |  |                       |
| 31. NYE County NV S/D C: 670692-MZ-2         | A | Interest  |   |   | Redeemed | 05/01/15 | J |  |                       |
| 32. Nevada St Open Space-PKS C: 641460-D4-9  | A | Interest  |   |   | Redeemed | 06/02/15 | J |  |                       |
| 33. University ME Sys Rev C: 914399-LV-0     | A | Interest  |   |   | Redeemed | 03/02/15 | J |  |                       |
| 34. Jefferson Parish LA Sch C: 474750-RY-4   | A | Interest  |   |   | Redeemed | 02/02/15 | 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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|                                                |   |          |  |  |          |          |   |  |  |
|------------------------------------------------|---|----------|--|--|----------|----------|---|--|--|
| 35. McAllen TX Indpt Sch Dist C: 579100-QQ-4   | A | Interest |  |  | Redeemed | 02/17/15 | J |  |  |
| 36. Portsmouth VA Unrefunded C: 73723R-LK-7    | A | Interest |  |  | Redeemed | 04/01/15 | J |  |  |
| 37. University MD Sys Auxiliary C: 914402-VE-9 | A | Interest |  |  | Redeemed | 04/01/15 | J |  |  |
| 38. New York St Dorm Auth C: 64990H-VD-9       | A | Interest |  |  | Redeemed | 02/17/15 | J |  |  |
| 39. New York St Twy Auth Hwy C: 650013-6U-4    | A | Interest |  |  | Redeemed | 10/01/15 | J |  |  |
| 40. Pearland Tx Indpt S/D Ref C: 704879-M3-6   | A | Interest |  |  | Redeemed | 02/17/15 | J |  |  |
| 41. Chippewa Valley Mi Schs C: 170016-UK-3     | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 42. Louisiana St Gas & Fuels C: 546475-DY-7    | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 43. Oregon St Dpt Admin Svcs C: 68607H-YA-8    | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 44. Rockville MD C: 774217-U6-8                | A | Interest |  |  | Redeemed | 06/01/15 | J |  |  |
| 45. Central Puget Sound Wash C: 15504R-AX-7    | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 46. Darien CT G/O Unltd C: 237217-WC-4         | A | Interest |  |  | Redeemed | 01/15/15 | J |  |  |
| 47. Springville AL Wts G/O Ltd C: 851868-CS-6  | A | Interest |  |  | Redeemed | 04/01/15 | J |  |  |
| 48. Delaware St Ser-A C: 246380-Q2-8           | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 49. New Jersey Economic Dev C: 645918-CY-7     | A | Interest |  |  | Redeemed | 09/01/15 | J |  |  |
| 50. Berkeley County SC Water C: 084219-EC-4    | A | Interest |  |  | Redeemed | 06/01/15 | J |  |  |
| 51. Georgetown TX Preref CTF C: 373028-W5-4    | A | Interest |  |  | Redeemed | 08/17/15 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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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|                                                    |   |          |  |  |          |          |   |  |  |
|----------------------------------------------------|---|----------|--|--|----------|----------|---|--|--|
| 52. Henderson County NC C: 424888-CA-1             | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 53. Louisiana St Gas & Fuels C: 546475-DX-9        | A | Interest |  |  | Redeemed | 05/01/15 | J |  |  |
| 54. Madison Parish LA Sch Dist C: 55817N-AM-8      | A | Interest |  |  | Redeemed | 03/16/15 | J |  |  |
| 55. Los Angeles CA Wastewater C: 53945C-CA-6       | A | Interest |  |  | Redeemed | 06/01/15 | J |  |  |
| 56. Middletown Twp NJ Brd Ed C: 597324-JV-5        | A | Interest |  |  | Redeemed | 08/03/15 | J |  |  |
| 57. Westerly RI G/O Unltd C: 957569-TY-2           | A | Interest |  |  | Redeemed | 08/17/15 | J |  |  |
| 58. Greenville SC Wtrwks C: 396586-TV-1            | A | Interest |  |  | Redeemed | 02/02/15 | J |  |  |
| 59. New York St Dorm Auth St C: 649902-EB-5        | A | Interest |  |  | Redeemed | 03/16/15 | J |  |  |
| 60. Washington St Ser E G/O C: 93974A-6Z-2         | A | Interest |  |  | Redeemed | 01/02/15 | J |  |  |
| 61. Adair Cnty KY Sch Dist C: 005379-FG-2          | A | Interest |  |  | Redeemed | 08/03/15 | J |  |  |
| 62. Greenville SC Wtrwks C: 396586-UC-1            | A | Interest |  |  | Redeemed | 02/02/15 | J |  |  |
| 63. Lower CO Riv Auth Tx Rev C: 54811A-Q3-0        | A | Interest |  |  | Redeemed | 05/15/15 | J |  |  |
| 64. Broward County FL Wtr & Swr C: 115117-LB-7     | A | Interest |  |  | Redeemed | 10/01/15 | J |  |  |
| 65. Larimer Weld & Boulder Cntys CO C: 517210-VL-1 | A | Interest |  |  | Redeemed | 12/15/15 | J |  |  |
| 66. Lower CO Riv Tx Auth Rev C: 54811G-EK-2        | A | Interest |  |  | Redeemed | 05/15/15 | J |  |  |
| 67. Buncombe Cnty NC CTFS C: 120518-DN-2           | A | Interest |  |  | Redeemed | 04/01/15 | J |  |  |
| 68. Highlands Cnty FL Health Facs C: 431022-QP-0   | A | Interest |  |  | Redeemed | 11/16/15 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 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 |                         |
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Date of Report

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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) |
| 69. North Carolina ST Prerefunded C: 658256-P2-2                                                                            | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 03/02/15                | J                               |                                |                                                                   |
| 70. Woodbridge Twp NJ C: 978862-E3-0                                                                                        | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 02/02/15                | J                               |                                |                                                                   |
| 71. Arizona Sch Facs Brd C: 04057P-FE-3                                                                                     | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 09/01/15                | J                               |                                |                                                                   |
| 72. Beaufort Cnty Sc C: 074347-RR-8                                                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. Bristol TN Elec Rev Sys C 110223-BN-3                                                                                   | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 09/01/15                | J                               |                                |                                                                   |
| 74. San Antonio TX Elec & Gas C: 796253-ZR-6                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Nampa Idaho C: 629870-AT-3                                                                                              | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 76. Sarasota Cnty FL Communications C: 803299-BR-6                                                                          | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 10/01/15                | J                               |                                |                                                                   |
| 77. Huntington Beach CA C: 446222-SW-2                                                                                      | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 78. Wisconsin St Transn Rev C: 977123-WZ-7                                                                                  | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 07/01/15                | J                               |                                |                                                                   |
| 79. Lowndes County AL Wts C: 548695-CH-6                                                                                    | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 02/02/15                | J                               |                                |                                                                   |
| 80. Baytown TX C: 073185-7A-2                                                                                               | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 02/02/15                | J                               |                                |                                                                   |
| 81. Montana St Dept Transn C: 61212U-AM-1                                                                                   | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | J                               |                                |                                                                   |
| 82. New York NY for Prior Issues DTD C: 64966K-WJ-8                                                                         | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 83. Sylacauga AL HC C: 871244-AC-3                                                                                          | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 84. Westmoreland Cnty PA C: 961008-QN-2                                                                                     |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. Sylacauga AL HC C: 871244-AC-3                                                                                          | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |

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

Page 9 of 15

Name of Person Reporting

Gottschall, Joan B.

Date of Report

5/23/2016

## 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. Allentown PA Swr C: 018475-GL-1            | A | Interest |   |   | Redeemed | 08/17/15 | J |  |                       |
| 87. Klein TX Indpt Sch Dist C: 498530-R5-5     | A | Interest |   |   | Redeemed | 08/03/15 | J |  |                       |
| 88. Independent Cities CA C: 453849-DX-6       | A | Interest |   |   | Redeemed | 08/17/15 | J |  |                       |
| 89. La Joya TX Indpt Sch C: 503462-QF-3        |   | None     | J | T |          |          |   |  |                       |
| 90. Pine County MN Housing C: 722537-AM-9      |   | None     | J | T |          |          |   |  |                       |
| 91. MO St Hlth & EFA Health C: 60635R-M7-9*    | A | Interest |   |   | Redeemed | 08/15/14 | K |  | *See Part VIII, No. 3 |
| 92. Plant City FL Infra C: 727274-BP-6*        | A | Interest |   |   | Redeemed | 09/02/14 | J |  | *See Part VIII, No. 3 |
| 93. Connecticut St Hlth C: 20774U-FJ-9         |   | None     | J | T |          |          |   |  |                       |
| 94. Connecticut St Hlth C: 20774U-FN-0         |   | None     | J | T |          |          |   |  |                       |
| 95. Jacksboro TX Indpt Sch Dist C: 466430-GL-3 |   | None     | K | T |          |          |   |  |                       |
| 96. La Joya TX Indpt Sch Dist C: 503462-QG-1   |   | None     | J | T |          |          |   |  |                       |
| 97. Mississippi Dev Bank C: 60534Q-QC-8        |   | None     | J | T |          |          |   |  |                       |
| 98. Nevada St Rfdg Natural C: 641461-BL-1      |   | None     | J | T |          |          |   |  |                       |
| 99. Utah Tran Auth Sales Tax C: 917565-DL-4    | A | Interest |   |   | Redeemed | 12/15/15 | J |  |                       |
| 100. Altoona PA Area Sch Dist C: 021807-JJ-2   | A | Interest |   |   | Redeemed | 12/01/15 | J |  |                       |
| 101. Oregon Ohio City Sch C: 686033-CN-9       | A | Interest |   |   | Redeemed | 06/01/15 | J |  |                       |
| 102. Indiana Health Fac Fing C: 45479Q-AU-3    | A | Interest |   |   | Redeemed | 05/01/15 | 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>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

Gottschall, Joan B.

Date of Report

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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.)

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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) |
| 103. Sandoval Cnty NM C: 800051-AS-3                                                                                        | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | J                               |                                |                                                                   |
| 104. Fairview Park OH City Sch Dist<br>UnRefunded C: 305855-HK-7                                                            | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | J                               |                                |                                                                   |
| 105. Fairview Park OH City Sch Dist<br>Prerefunded C: 305855-HJ-0                                                           | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 06/01/15                | J                               |                                |                                                                   |
| 106. Stafford Cnty & Staunton VA C: 852412-<br>VN-2                                                                         | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 08/03/15                | J                               |                                |                                                                   |
| 107. Alaska Mun Bd C: 001179P-PQ-4                                                                                          | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 01/30/15                | K                               |                                |                                                                   |
| 108. Auburn CA Un Sd Ctf C: 050286-D-2                                                                                      | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/18/15                | K                               |                                |                                                                   |
| 109. Birmingham AL Wtrwks & Swr C: 091089-<br>LL-4                                                                          | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | K                               |                                |                                                                   |
| 110. Burke Cnty NC CTFS C: 121352-CB-2                                                                                      | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 10/01/15                | K                               |                                |                                                                   |
| 111. Chesapeake VA Pub Impt Ser C: 16532L-<br>CC-8                                                                          | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/17/15                | J                               |                                |                                                                   |
| 112. Chester PA Wtr Auth Wtr Rev C: 166178-<br>MV-2                                                                         | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 10/01/15                | K                               |                                |                                                                   |
| 113. Dickinson TX Indept Sch Dist C: 253363-<br>RH-0                                                                        | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 02/25/15                | J                               |                                |                                                                   |
| 114. Energy Nrthwst WA Elec Rev C: 29270C-<br>B8-7                                                                          | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/12/15                | K                               |                                |                                                                   |
| 115. Erie PA Wtr Auth Wtr Rev C 295542-KA-1                                                                                 | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/13/15                | K                               |                                |                                                                   |
| 116. Grand Vly MI St Univ Rev C: 386545-HR-1                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/02/15                | J                               |                                |                                                                   |
| 117. Henderson County NC CTFS C: 42388-<br>DL-6                                                                             | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/24/15                | J                               |                                |                                                                   |
| 118. Henderson County NC CTFS C: 42388-<br>DL-8                                                                             | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/02/15                | J                               |                                |                                                                   |
| 119. Houston TX Cmnty Cllg C: 442368-MG-8                                                                                   | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 09/03/15                | 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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Name of Person Reporting

Gottschall, Joan B.

Date of Report

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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) |
| 120. Katy TX Indpt Sch Dist C: 486063-EG-1                                                                                  | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 09/18/15                | K                               |                                |                                                                   |
| 121. Kirtland OH Loc S/D C: 497692-DU-4                                                                                     | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 09/24/15                | K                               |                                |                                                                   |
| 122. Lakewood OH City Sch Dist C: 512624-KV-8                                                                               | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/19/15                | K                               |                                |                                                                   |
| 123. Lehigh Cnty PA Gen Purp C: 52480R-CR-9                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 02/03/15                | J                               |                                |                                                                   |
| 124. Louisiana Pub Facs Auth C: 546398-KS-6                                                                                 | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 10/02/15                | K                               |                                |                                                                   |
| 125. Louisiana ST Gas & Fuels C: 546475-RB-2                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/15/15                | J                               |                                |                                                                   |
| 126. Louisiana ST Gas & Fuels C: 546475-RA-4                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/15/15                | J                               |                                |                                                                   |
| 127. Lower Colo Riv Auth Tex C: 548100-2M-7                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | J                               |                                |                                                                   |
| 128. Marion & Clackamas Cntys C: 568571-BK-8                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/17/15                | J                               |                                |                                                                   |
| 129. Merrimack Cnty NH C: 590281-JW-2                                                                                       | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/23/15                | J                               |                                |                                                                   |
| 130. Montgomery AL Tax Ncrmnt C: 613035-YG-3                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 04/06/15                | J                               |                                |                                                                   |
| 131. Montgomery Cnty PA C: 613579-M6-5                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/02/15                | J                               |                                |                                                                   |
| 132. Montgomery Cnty PA C: 613579-M9-9                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/02/15                | J                               |                                |                                                                   |
| 133. Neshaminy PA Sch Dist C: 64084F-LB-5                                                                                   | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/15/15                | J                               |                                |                                                                   |
| 134. New Jersey Infra Tr Prerefunded C: 645791-JP-0                                                                         | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 03/12/15                | J                               |                                |                                                                   |
| 135. New Jersey St EFA REv Rfdg C: 64605L-N8-7                                                                              | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/18/15                | K                               |                                |                                                                   |
| 136. Odessa TX Cfts Oblig C676006-LK-3                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/11/15                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 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 |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gottschall, Joan B.

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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.)

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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. Onslow Cnty NC Sch C: 682845-NH-1                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/02/15                | J                               |                                |                                                                   |
| 138. Pharr San Juan Alamo TX C: 717146-ST-2                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 02/25/15                | J                               |                                |                                                                   |
| 139. Port Neches Groves TX C: 73474M-HX-6                                                                                   | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/26/15                | J                               |                                |                                                                   |
| 140. Portland OR Swr Sys C: 736742-NE-3                                                                                     | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/24/15                | J                               |                                |                                                                   |
| 141. Raleigh NC Comb Enterprise C: 751100-ER-5                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/26/15                | J                               |                                |                                                                   |
| 142. Ravenna Ohio City S/D Sch C: 754348-BX-7                                                                               | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/12/15                | K                               |                                |                                                                   |
| 143. Regional Transn Dist Co Sales Tax C: 759136-LL-6                                                                       | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 03/05/15                | J                               |                                |                                                                   |
| 144. RNR Sch Fing Auth CA C: 769697-EQ-2                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | J                               |                                |                                                                   |
| 145. Sacramento Regl Cnty C: 786134-UT-1                                                                                    | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 04/02/15                | K                               |                                |                                                                   |
| 146. San Francisco CA CCD Election C: 797683-DM-8                                                                           | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/29/15                | J                               |                                |                                                                   |
| 147. Sandy Vly OH Loc Sch Dist C: 800409-CB-8                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | J                               |                                |                                                                   |
| 148. South Broward Hsp C: 836753-KQ-5                                                                                       | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/15/15                | J                               |                                |                                                                   |
| 149. St Tammany Parish LA Sales C: 79356N-BH-5                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 03/05/15                | J                               |                                |                                                                   |
| 150. Texas St Prerefunded C: 882723-JT-7                                                                                    | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 06/05/15                | K                               |                                |                                                                   |
| 151. Triborough Bldg & Tunl C: 89602N-Q2-3                                                                                  | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | J                               |                                |                                                                   |
| 152. University Co Hosp Auth C: 914174-BL-0                                                                                 | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 06/10/15                | K                               |                                |                                                                   |
| 153. University Kansas Hosp C: 914367-CL-9                                                                                  | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/19/15                | J                               |                                |                                                                   |

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

Gottschall, Joan B.

Date of Report

5/23/2016

## 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. University TX Univ Revs C: 915137-ZW-6                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/23/15                | J                               |                                |                                                                   |
| 155. University TX Univ Revs Fing Sys C:<br>915137-ZX-4                                                                     | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 04/06/15                | J                               |                                |                                                                   |
| 156. Utica MI Cmnty Schs Ref C: 917661-ZX-1                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/11/15                | J                               |                                |                                                                   |
| 157. Washington Subn San Dist C: 940157-KR-0                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/01/15                | J                               |                                |                                                                   |
| 158. Westmoreland Cnty PA C: 961008-QM-4                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/09/15                | J                               |                                |                                                                   |
| 159. Westmoreland Cnty PA C: 961008-QM-4                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/10/15                | J                               |                                |                                                                   |
| 160. Whitehall Coplay PA Sch Dist C: 965000-<br>NQ-1                                                                        | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/26/15                | J                               |                                |                                                                   |
| 161. Tampa-Hillsborough Cnty C: 875301-<br>DK-6*                                                                            |                                         | None                                          | K                                               | T                                         | Buy                                             | 07/09/14                | K                               |                                | * See Part VIII, No. 4                                            |
| 162. Tampa-Hillsborough Cnty C: 875301-DK-6                                                                                 | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 07/01/15                | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gottschall, Joan B.

Date of Report

5/23/2016

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

1. VII, Lines 17 & 18 -- My 2014 FDR indicated that I had sold these funds when in fact, I sold only part. The 2015 report reflects my current holdings.
2. VII, Line 19 -- This is a "sweep" account in both my brokerage and IRA accounts in which money is held pending investment; money is constantly being put into and taken out of the account.
3. VII, Line 91 & 92 -- These redemptions were inadvertently omitted from my 2014 FDR.
4. VII, Line 161 -- This asset was purchased on 07/09/2014 for \$20,900 and was inadvertently omitted from my 2014 FDR.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gottschall, Joan B.

Date of Report

5/23/2016

## 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/ Joan B. Gottschall**

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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