

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Ryu, Donna M.	2. Court or Organization United States District Court; Northern District of California	3. Date of Report 08/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States District Court 1301 Clay Street Oakland, CA 94612		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Revocable Trust Agreement re family member's estate
2.	Lecturer	University of California, Berkeley Law School
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	July 2002	University of California Retirement Plan (pension on retirement)
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Jan-Dec	University of California, Berkeley Law School	\$4,192.63
2. Jan-Dec	University of California Retirement System (pension payments) (see Part II)	\$19,796.00
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1.									
2.									
3.									
4. TIAA- CREF 529 College Savings Plan (H)									
5. -Age Based Portfolio - 18 & Over Index	A	Int./Div.	J	T					
6.									
7. Wells Fargo Bank Accounts	A	Int./Div.	J	T					
8.									
9. Provident Credit Union Accounts	A	Int./Div.	J	T					
10.									
11. ING Direct Accounts	A	Int./Div.	K	T					
12.									
13. Brokerage--Indiv. TOD (H)									
14. -Wilshire Large Company Growth Fund (DTLGX)	A	Dividend	J	T	Buy (add'l)	12/18/17	J		
15. -Wilshire Large Cap Core Fund (WLCTX)	A	Dividend	J	T	Buy (add'l)	07/26/17	J		
16.	A	Dividend	J	T	Buy (add'l)	12/29/17	J		
17. -Guggenheim Total Return Bond Fund (GIBAX)					Sold	01/04/17	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -Wilshire Small Company Growth Fund (DTSGX)	A	Int./Div.	J	T	Buy (add'l)	12/18/17	J		
19. -Wilshire Small Company Value Fund (DTSVX)	A	Int./Div.	J	T	Buy (add'l)	12/18/17	J		
20. -Wilshire Large Company Value Fund (DTLVX)	A	Int./Div.	J	T	Sold (part)	01/18/17	J	A	
21.	A	Int./Div.	J	T	Sold (part)	04/26/17	J	A	
22.	A	Int./Div.	J	T	Buy (add'l)	12/18/17	J		
23.	A	Int./Div.	J	T	Buy (add'l)	12/29/17	J		
24. -Wilshire Income Fund (WIORX)	A	Dividend	J	T	Buy (add'l)	04/26/17	J		
25.	A	Int./Div.	J	T	Buy (add'l)	12/18/17	J		
26.	A	Int./Div.	J	T	Buy (add'l)	12/29/17	J		
27. -Fidelity Spartan 500 Index Fund (FUSVX)	A	Int./Div.	J	T	Buy (add'l)	04/10/17	J		
28.	A	Dividend	J	T	Buy (add'l)	07/10/17	J		
29.	A	Dividend	J	T	Buy (add'l)	10/10/17	J		
30.	A	Int./Div.	J	T	Buy (add'l)	12/19/17	J		
31. -Fidelity Spartan International Index Fund (FSIVX)	A	Dividend			Buy (add'l)	04/13/17	J		
32.	A	Dividend			Sold	07/25/17	J	A	
33. -Fidelity US Bond Index Fund (FSITX)	A	Dividend	J	T	Buy (add'l)	01/03/17	J		
34.	A	Dividend	J	T	Buy (add'l)	02/01/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35.	A	Dividend	J	T	Buy (add'l)	03/01/17	J		
36.	A	Dividend	J	T	Buy (add'l)	04/03/17	J		
37.	A	Dividend	J	T	Buy (add'l)	05/01/17	J		
38.	A	Dividend	J	T	Buy (add'l)	06/01/17	J		
39.	A	Dividend	J	T	Buy (add'l)	07/03/17	J		
40.	A	Dividend	J	T	Buy (add'l)	07/31/17	J		
41.	A	Dividend	J	T	Buy (add'l)	08/01/17	J		
42.	A	Dividend	J	T	Buy (add'l)	09/05/17	J		
43.	A	Dividend	J	T	Buy (add'l)	10/03/17	J		
44.	A	Dividend	J	T	Buy (add'l)	10/17/17	J		
45.	A	Dividend	J	T	Buy (add'l)	11/02/17	J		
46.	A	Dividend	J	T	Buy (add'l)	12/04/17	J		
47. -Fidelity Emerging Markets Index Fund (FPEMX)	A	Dividend			Buy	08/15/17	J		
48.	A	Dividend			Sold	09/12/17	J	A	
49. -Vanguard Emerging Markets Stock Index Fund (VEMAX)	A	Dividend	J	T	Buy	09/12/17	J		
50.	A	Dividend	J	T	Buy (add'l)	09/20/17	J		
51.	A	Dividend	J	T	Buy (add'l)	12/21/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

52.									
53. Brokerage--IRA Rollover (H)									
54. -VANGUARD MALVERN FDS STRM (VTIP)	A	Dividend	J	T	Buy (add'l)	12/28/17	J		
55. -SPDR GOLD TR GOLD SHS (GLD)			J	T	Sold (part)	02/03/17	J	A	
56. -PUTNAM ABSOLUTE RETURN 700 FUND CLASS Y (PDMYX)					Sold	07/12/17	J	A	
57. -NEUBERGER BERMAN LONG SHORT FUND INSTITUTIONAL CLASS (NLSIX)					Sold	07/12/17	J	A	
58. -MERGER FUND (MERFX)					Sold	07/12/17	J	A	
59. -LORD ABBETT FLOATING RATE FUND CLASS F (LFRFX)	A	Dividend			Buy (add'l)	01/03/17	J		
60.	A	Dividend			Buy (add'l)	02/01/17	J		
61.	A	Dividend			Buy (add'l)	03/01/17	J		
62.	A	Dividend			Buy (add'l)	04/03/17	J		
63.	A	Dividend			Buy (add'l)	05/01/17	J		
64.	A	Dividend			Buy (add'l)	06/01/17	J		
65.	A	Dividend			Buy (add'l)	07/03/17	J		
66.	A	Dividend			Sold	07/12/17	J	A	
67. -ISHARES TR MSCI USA VALUE FACTOR ETF (VLUE)	A	Dividend	K	T	Buy (add'l)	03/30/17	J		
68.	A	Dividend	K	T	Buy (add'l)	06/30/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.	A	Dividend	K	T	Buy (add'l)	09/29/17	J		
70.	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
71. -ISHARES TR MSCI USA QUALITY FACTOR ETF (QUAL)	A	Dividend	K	T	Buy (add'l)	03/30/17	J		
72.	A	Dividend	K	T	Buy (add'l)	06/30/17	J		
73.	A	Dividend	K	T	Buy (add'l)	09/29/17	J		
74.	A	Dividend	K	T	Buy (add'l)	12/28/17	J		
75. -INDEX IQ ETF TR IQ MERGER ARBITRAGE ETF (MNA)	A	Dividend	J	T	Buy (add'l)	01/04/17	J		
76. -CAUSEWAY CAP MGMT TR GBL ABSRT INST (CGAIX)	A	Dividend			Buy (add'l)	01/03/17	J		
77.	A	Dividend			Buy (add'l)	07/13/17	J		
78.	A	Dividend			Sold	12/22/17	J	A	
79. -CLS GLOBAL GROWTH FUND CLASS N (CLBLX)	A	Dividend			Buy (add'l)	03/03/17	K		
80.	A	Dividend			Sold	03/22/17	K	A	
81. -CLS FLEXIBLE INCOME FUND CLASS N (CLFLX)	A	Dividend	K	T	Buy (add'l)	02/28/17	J		
82.	A	Dividend	K	T	Buy (add'l)	03/22/17	J		
83.	A	Dividend	K	T	Buy (add'l)	03/31/17	J		
84.	A	Dividend	K	T	Buy (add'l)	04/28/17	J		
85.	A	Dividend	K	T	Buy (add'l)	05/31/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.	A	Dividend	K	T	Buy (add'l)	06/30/17	J		
87.	A	Dividend	K	T	Buy (add'l)	07/31/17	J		
88.	A	Dividend	K	T	Buy (add'l)	08/31/17	J		
89.	A	Dividend	K	T	Buy (add'l)	09/29/17	J		
90.	A	Dividend	K	T	Buy (add'l)	10/31/17	J		
91.	A	Dividend	K	T	Buy (add'l)	11/30/17	J		
92.	A	Dividend	K	T	Buy (add'l)	12/27/17	J		
93. -CLS GROWTH AND INCOME FUND CLASS N (CLERX)	A	Dividend	L	T	Buy (add'l)	03/22/17	J		
94.	A	Dividend	L	T	Buy (add'l)	12/27/17	J		
95. -CLS GLOBAL DIVERSIFIED EQUITY FUND CLASS N (CLSAX)	A	Dividend	M	T	Sold (part)	10/13/17	J	A	
96.	A	Dividend	M	T	Buy (add'l)	12/27/17	J		
97. -ISHARES TR MSCI EAFE ETF (IEFA)	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
98.	A	Dividend	K	T	Buy (add'l)	12/26/17	J		
99. -COLUMBIA ADAPTIVE ALTS FUND (CLFUX)	A	Dividend	J	T	Buy (add'l)	07/12/17	J		
100.	A	Dividend	J	T	Buy (add'l)	12/21/17	J		
101. -CLS GLOBAL AGGRESSIVE EQUITY (CLACX)	A	Dividend	J	T	Buy (add'l)	03/22/17	J		
102.	A	Dividend	K	T	Buy (add'l)	12/27/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. -DBX ETF TR XTRAK MSCI EAFE (DBEF)					Buy (add'l)	03/21/17	J		
104.					Buy (add'l)	04/17/17	J		
105.					Sold	05/17/17	J	B	
106. -GLOBAL LONG/SHORT CREDIT - CLASS A (BGCAX)	A	Dividend	J	T	Buy (add'l)	12/22/17	J		
107.	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
108. -ISHARES INC CORE MSCI MMKT (IEMG)	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
109.	A	Dividend	K	T	Buy (add'l)	12/26/17	J		
110. -ISHARES TR MSCI ACWIETF (ACWI)	A	Dividend	J	T	Buy (add'l)	03/21/17	J		
111.	A	Dividend	J	T	Buy (add'l)	04/17/17	J		
112.	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
113.	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
114. -ISHARES TR TIPS BD ETF (TIP)	A	Dividend			Buy (add'l)	04/07/17	J		
115.	A	Dividend			Buy (add'l)	05/05/17	J		
116.	A	Dividend			Buy (add'l)	06/07/17	J		
117.	A	Dividend			Buy (add'l)	07/10/17	J		
118.	A	Dividend			Sold	07/12/17	J	A	
119. -MAINGATE MLP FUND INSTITUTIONAL CLASS (IMLPX)	A	Dividend			Buy (add'l)	01/26/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.	A	Dividend			Buy (add'l)	04/27/17	J		
121.	A	Dividend			Sold	07/12/17	J	A	
122. -RYDEX ETF TR GUGGENHEIM S&P 500 (RSP)	A	Dividend	K	T	Buy (add'l)	03/31/17	K		
123.	A	Dividend	K	T	Buy (add'l)	05/17/17	K		
124.	A	Dividend	K	T	Buy (add'l)	06/30/17	K		
125.	A	Dividend	K	T	Buy (add'l)	09/29/17	K		
126.	A	Dividend	K	T	Buy (add'l)	12/29/17	K		
127. -RYDEX ETF TR GUGGENHEIM S&P 500 PURE VALUE ETF (RPV)	A	Dividend	K	T	Buy (add'l)	03/31/17	K		
128.	A	Dividend	K	T	Sold (part)	04/17/17	K	A	
129.	A	Dividend	K	T	Buy (add'l)	06/30/17	K		
130.	A	Dividend	K	T	Buy (add'l)	09/29/17	K		
131.	A	Dividend	K	T	Buy (add'l)	12/29/17	K		
132. -WISDOMTREE TR MANAGED FUTURES STRATEGY FD (WDTI)					Buy (add'l)	07/12/17	J		
133.					Sold	09/20/17	J	A	
134. -JOHN HANCOCK ABSOLUTE RETURN CURRENCY FUND CLASS A (JCUAX)					Sold (part)	07/12/17	J	A	
135. -AQR MANAGED FUTURES STRATEGY FUND I (AQMIX)			J	T	Buy	09/20/17	J		
136.			J	T	Buy (add'l)	10/16/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -BLACKSTONE ALTERNATIVE MULTI-STRATEGY INST CLASS (BXMIX)			J	T	Buy	07/12/17	J		
138.	A	Dividend	J	T	Buy (add'l)	12/19/17	J		
139. -CLS INTERNATIONAL EQUITY FUND CLASS N (CLHAX)	A	Dividend	J	T	Buy	03/22/17	J		
140.	A	Dividend	J	T	Buy (add'l)	12/27/17	J		
141. -SPDR SERIES TRUST BLMBRG BRC CNVRT (CWB)	A	Dividend	J	T	Buy	07/12/17	J		
142.	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
143.	A	Dividend	J	T	Buy (add'l)	09/12/17	J		
144.	A	Dividend	J	T	Buy (add'l)	10/10/17	J		
145.	A	Dividend	J	T	Buy (add'l)	11/09/17	J		
146.	A	Dividend	J	T	Buy (add'l)	12/11/17	J		
147.	A	Dividend	J	T	Buy (add'l)	12/28/17	J		
148. -BARCLAYS BK PLX DJUBS CMDT ETN36 (DJP)			J	T	Buy	07/12/17	J		
149. -ISHARES TR MSCI EAFEVALUE ETF (EFV)	A	Dividend	J	T	Buy	05/17/17	J		
150.	A	Dividend	J	T	Buy (add'l)	06/26/17	J		
151.	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
152. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN ADV FUND CL I (EGRIX)					Buy	02/06/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
153.					Sold	07/12/17	J	A	
154. -JP MORGAN RESEARCH MARKET NEUTRAL FUND CLASS A (JMNAX)	A	Dividend	J	T	Buy	07/12/17	J		
155.	A	Dividend	J	T	Buy (add'l)	12/14/17	J		
156. -POWERSHARES GLOBAL EXCHANGE TRADED FD TR S&P 500 (PBP)	A	Dividend			Buy	07/12/17	J		
157.	A	Dividend			Buy (add'l)	09/29/17	J		
158.	A	Dividend			Sold	12/28/17	J	A	
159. -HORIZONS ETF TR I HORIZONS NASDAQ 100 COVERED CALL ETF (QYLD)		None	J	T	Buy	12/28/17	J		
160. -POWERSHARES EXCHANGE-TRADED FD TR II S&P 500 LOW VOLATILITY (SPLV)	A	Dividend			Buy	04/17/17	J		
161.					Sold	05/17/17	J	A	
162. -PERSHING PRIME RESERVES					Sold	01/02/17	J	A	
163. -FEDERATED TREASURY OBLIGATIONS			J	T	Buy	01/02/17	J		
164.			J	T	Buy (add'l)	01/05/17	J		
165.			J	T	Buy (add'l)	01/13/17	J		
166.			J	T	Sold (part)	01/17/17	J	A	
167.			J	T	Buy (add'l)	01/26/17	J		
168.			J	T	Buy (add'l)	01/27/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
169.			J	T	Sold (part)	02/06/17	J	A	
170.			J	T	Buy (add'l)	02/09/17	J		
171.			J	T	Buy (add'l)	02/17/17	J		
172.			J	T	Buy (add'l)	02/21/17	J		
173.			J	T	Buy (add'l)	02/23/17	J		
174.			J	T	Buy (add'l)	02/24/17	J		
175.			J	T	Buy (add'l)	03/14/17	J		
176.			J	T	Buy (add'l)	03/15/17	J		
177.			J	T	Sold (part)	03/22/17	J	A	
178.			J	T	Buy (add'l)	03/23/17	J		
179.			J	T	Sold (part)	03/24/17	J	A	
180.			J	T	Buy (add'l)	03/29/17	J		
181.			J	T	Buy (add'l)	03/30/17	J		
182.			J	T	Buy (add'l)	03/31/17	J		
183.			J	T	Buy (add'l)	04/03/17	J		
184.			J	T	Buy (add'l)	04/10/17	J		
185.			J	T	Sold (part)	04/17/17	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
186.			J	T	Buy (add'l)	04/18/17	J		
187.			J	T	Sold (part)	04/20/17	J	A	
188.			J	T	Buy (add'l)	04/27/17	J		
189.			J	T	Buy (add'l)	04/28/17	J		
190.			J	T	Buy (add'l)	05/08/17	J		
191.			J	T	Buy (add'l)	05/19/17	J		
192.			J	T	Buy (add'l)	05/22/17	J		
193.			J	T	Buy (add'l)	05/23/17	J		
194.			J	T	Buy (add'l)	05/30/17	J		
195.			J	T	Buy (add'l)	05/31/17	J		
196.			J	T	Buy (add'l)	06/01/17	J		
197.			J	T	Buy (add'l)	06/08/17	J		
198.			J	T	Buy (add'l)	06/19/17	J		
199.			J	T	Buy (add'l)	06/20/17	J		
200.			J	T	Buy (add'l)	06/27/17	J		
201.			J	T	Buy (add'l)	06/28/17	J		
202.			J	T	Buy (add'l)	07/03/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
203.			J	T	Buy (add'l)	07/11/17	J		
204.			J	T	Buy (add'l)	07/14/17	J		
205.			J	T	Sold (part)	07/17/17	J	A	
206.			J	T	Buy (add'l)	07/28/17	J		
207.			J	T	Buy (add'l)	07/31/17	J		
208.			J	T	Buy (add'l)	08/10/17	J		
209.			J	T	Buy (add'l)	08/15/17	J		
210.			J	T	Buy (add'l)	08/16/17	J		
211.			J	T	Buy (add'l)	08/18/17	J		
212.			J	T	Buy (add'l)	08/21/17	J		
213.			J	T	Buy (add'l)	08/25/17	J		
214.			J	T	Buy (add'l)	08/28/17	J		
215.			J	T	Buy (add'l)	09/13/17	J		
216.			J	T	Buy (add'l)	09/14/17	J		
217.			J	T	Buy (add'l)	09/15/17	J		
218.			J	T	Buy (add'l)	09/18/17	J		
219.			J	T	Sold (part)	09/21/17	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
220.			J	T	Buy (add'l)	09/25/17	J		
221.			J	T	Buy (add'l)	09/26/17	J		
222.			J	T	Buy (add'l)	09/27/17	J		
223.			J	T	Buy (add'l)	10/02/17	J		
224.			J	T	Buy (add'l)	10/11/17	J		
225.			J	T	Buy (add'l)	10/13/17	J		
226.			J	T	Sold (part)	10/16/17	J	A	
227.			J	T	Sold (part)	10/17/17	J	A	
228.			J	T	Buy (add'l)	10/23/17	J		
229.			J	T	Sold (part)	10/24/17	J	A	
230.			J	T	Buy (add'l)	10/26/17	J		
231.			J	T	Buy (add'l)	10/27/17	J		
232.			J	T	Buy (add'l)	10/31/17	J		
233.			J	T	Buy (add'l)	11/10/17	J		
234.			J	T	Buy (add'l)	11/17/17	J		
235.			J	T	Buy (add'l)	11/20/17	J		
236.			J	T	Buy (add'l)	11/22/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

237.			J	T	Buy (add'l)	11/24/17	J		
238.			J	T	Buy (add'l)	12/12/17	J		
239.			J	T	Buy (add'l)	12/14/17	J		
240.			J	T	Buy (add'l)	12/15/17	J		
241.			J	T	Buy (add'l)	12/18/17	J		
242.			J	T	Sold (part)	12/22/17	J	A	
243.			J	T	Buy (add'l)	12/26/17	J		
244.			J	T	Buy (add'l)	12/27/17	J		
245.			J	T	Buy (add'l)	12/29/17	J		
246.									
247. Brokerage--Roth IRA (H)									
248. -Vanguard Total International Stock Index Fund ETF (VXUS)	A	Dividend	J	T	Buy (add'l)	03/30/17	J		
249.	A	Dividend	J	T	Buy (add'l)	06/27/17	J		
250.	A	Dividend	J	T	Buy (add'l)	09/25/17	J		
251.	A	Dividend	J	T	Buy (add'l)	12/27/17	J		
252. -Vanguard Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy (add'l)	03/30/17	J		
253.	A	Dividend	J	T	Buy (add'l)	06/27/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

254.	A	Dividend	J	T	Buy (add'l)	09/25/17	J		
255.	A	Dividend	J	T	Buy (add'l)	12/27/17	J		
256. -Vanguard Total Bond Market ETF (BND)	A	Dividend	J	T	Buy (add'l)	02/07/17	J		
257.	A	Dividend	J	T	Buy (add'l)	03/07/17	J		
258.	A	Dividend	J	T	Buy (add'l)	04/07/17	J		
259.	A	Dividend	J	T	Buy (add'l)	05/05/17	J		
260.	A	Dividend	J	T	Buy (add'l)	06/07/17	J		
261.	A	Dividend	J	T	Buy (add'l)	07/10/17	J		
262.	A	Dividend	J	T	Buy (add'l)	08/07/17	J		
263.	A	Dividend	J	T	Buy (add'l)	09/08/17	J		
264.	A	Dividend	J	T	Buy (add'l)	10/05/17	J		
265.	A	Dividend	J	T	Buy (add'l)	11/06/17	J		
266.	A	Dividend	J	T	Buy (add'l)	12/06/17	J		
267.	A	Dividend	J	T	Buy (add'l)	12/29/17	J		
268.	A	Int./Div.	J	T	Buy (add'l)	12/29/17	J		
269. -Vanguard Total International Bond Index ETF (BNDX)	A	Dividend	J	T	Buy (add'l)	02/07/17	J		
270.	A	Dividend	J	T	Buy (add'l)	03/07/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

271.	A	Dividend	J	T	Buy (add'l)	04/07/17	J		
272.	A	Dividend	J	T	Buy (add'l)	05/05/17	J		
273.	A	Dividend	J	T	Buy (add'l)	06/07/17	J		
274.	A	Dividend	J	T	Buy (add'l)	07/10/17	J		
275.	A	Dividend	J	T	Buy (add'l)	08/05/17	J		
276.	A	Dividend	J	T	Buy (add'l)	09/11/17	J		
277.	A	Dividend	J	T	Buy (add'l)	10/05/17	J		
278.	A	Dividend	J	T	Buy (add'l)	11/06/17	J		
279.	A	Dividend	J	T	Buy (add'l)	12/06/17	J		
280.	A	Dividend	J	T	Buy (add'l)	12/29/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

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

Part I, and Part VII.

Part I:

Line 1: Trust for the benefit of family member.

-I am not the owner or grantor of the trust, I am solely the co-trustee of a revocable trust created for the benefit of a family member.

-I am a co-trustee for the convenience of my family member, and I have not received any income through the trust or trust assets. In an abundance of caution, I had previously listed the trust property (my mother's house) in Section VII, but that have since been instructed not to list the house in Section VII, since it is not an investment, and I do not receive any income of any kind from the house or the trust.

PartVII: The audit software generated a note that says: " On one or more lines in Part VII, you indicated that the corresponding asset generated no income during the reporting period. Please note that 'reportable income' can differ from 'taxable income.' For purposes of this report, please note that all interest, dividends, and other income generated by or attributable to an asset during the reporting period must be listed, regardless of whether that income is taxable, tax deferred, or tax exempt. Further, while dividend reinvestment is not reportable as a transaction, the amount of the reinvested dividends should be listed as income in Column B. Please review your entries."

My financial advisor checked all entries and has verified that where a corresponding asset generated no income, there was no reportable or taxable income.

FINANCIAL DISCLOSURE REPORT

Page 22 of 22

Name of Person Reporting

Ryu, Donna M.

Date of Report

08/08/2018

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Donna M. Ryu**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544