

# 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>Trust, Alan S.                                                                                                        | <b>2. Court or Organization</b><br><br>Bankruptcy Court                                                                                                                                                                                                                                  | <b>3. Date of Report</b><br><br>09/01/2016                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>Bankruptcy Judge                                            | <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>290 Federal Plaza, 9th floor<br>Central Islip, NY 11722                                                                                        |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><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. |  |  |
| 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. April 2008 | following dissolution of Trust.Law.Firm, P.C. on April 1, 2008, I am to receive the net profits of the firm recieved thereafter based on my sole ownership |
| 2.            |                                                                                                                                                            |
| 3.            |                                                                                                                                                            |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

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

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                       | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|----------------------------------------------|----------------------------------------|
| 1. 2015     | Teaching - St Johns University School of Law | \$7,000.00                             |
| 2.          |                                              |                                        |
| 3.          |                                              |                                        |
| 4.          |                                              |                                        |

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

| <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. New York Institute of Credit       | 2/15         | NY, NY          | speaker at seminar in New York City   | reimbursement for actual out of pocket travel                    |
| 2. NY Intellectual Property Law Ass'n | 3/15         | NY, NY          | guest at dinner                       | reimbursement for actual out of pocket travel, lodging and meals |
| 3. Texas BK Bar Ass'n                 | 5/15         | Cedar Creek, TX | speaker at seminar in Cedar Creek, Tx | reimbursement for actual out of pocket travel, lodging and meals |
| 4. Center for American & Int'l Law    | 6/15         | Plano, TX       | speaker at a seminar in Plano, TX     | reimbursement for actual out of pocket travel, lodging and meals |
| 5. American Conf Institute            | 9/15         | Dallas, TX      | speaker at a seminar in Dallas, TX    | reimbursement for actual out of pocket travel, lodging and meals |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

|    |                         |       |        |                                   |                                                                     |
|----|-------------------------|-------|--------|-----------------------------------|---------------------------------------------------------------------|
| 6. | Turnaround Mgt Ass'n    | 11/15 | NY, NY | speaker at a seminar in NY,<br>NY | reimbursement for actual out of pocket<br>travel                    |
| 7. | American Conf Institute | 11/15 | NY, NY | speaker at a seminar in NY,<br>NY | reimbursement for actual out of pocket<br>travel, lodging and meals |

**FINANCIAL DISCLOSURE REPORT**

Page 4 of 15

Name of Person Reporting

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 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.)*

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-----------------|--------------------|-------------------|
| 1. |                 |                    |                   |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 15

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

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

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

|                                                       |   |           |   |   |             |          |   |  |                |
|-------------------------------------------------------|---|-----------|---|---|-------------|----------|---|--|----------------|
| 1. Ameriprise / Columbia Cash Mgt Accounts IDSXX      | A | Interest  | J | T |             |          |   |  |                |
| 2. RVS Life Fixed (annuity)                           |   | None      | K | T |             |          |   |  | See Part VIII  |
| 3. RVS / COL / SPS VP Cash Mgt (annuity)              |   | None      |   |   | Sold        | 09/29/15 | K |  | See Part VIII  |
| 4. RVS / COL VP High Yield Bond (annuity)             |   | None      | K | T | Sold (part) | 09/29/15 | K |  | See Part VIII; |
| 5. Goldman VIT MidCap Va (annuity)                    |   | None      | J | T |             |          |   |  | see Part VIII; |
| 6. Fid VIP Midcap C12 (annuity)                       |   | None      | J | T | Sold (part) | 09/29/15 | J |  | see Part VIII; |
| 7. FT VIP Small Cap Valu (annuity)                    |   | None      | J | T | Buy (add'l) | 09/29/15 | J |  | see Part VIII  |
| 8. WF Adv VT Small Cap (annuity)                      |   | None      | J | T | Sold (part) | 09/29/15 | J |  | see Part VIII  |
| 9. THDNDL /COL VP Emerg Mkts (annuity)                |   | None      | J | T | Buy (add'l) | 09/29/15 | J |  | see Part VIII  |
| 10. Wanger Int'l Small Cap (annuity)                  |   | None      |   |   | Sold        | 09/29/15 | J |  | see Part VIII; |
| 11. FT GLB VIP Real Estate (annuity)                  |   | None      |   |   | Sold        | 09/29/15 | J |  | see Part VIII  |
| 12. Oppenheimer Strat Bond (annuity)                  |   | None      | J | T | Sold (part) | 09/29/15 | J |  | see Part VIII  |
| 13. Alliance Bernstein American Century Equity Income | C | Int./Div. | K | T |             |          |   |  |                |
| 14.                                                   |   |           |   |   |             |          |   |  |                |
| 15. Alliance Bernstein Disc Valaue                    | B | Int./Div. | K | T |             |          |   |  |                |
| 16. Mass Mutual Annuity -- MML Equity                 |   | None      | J | T |             |          |   |  |                |
| 17. MML Opp Global Strategic Income                   |   | None      | J | T |             |          |   |  |                |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$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

Page 6 of 15

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) |

|                                                      |   |           |   |   |             |          |   |  |               |
|------------------------------------------------------|---|-----------|---|---|-------------|----------|---|--|---------------|
| 18. Mass Mutual Annuity -- Opp Global Strategic      |   | None      | J | T |             |          |   |  |               |
| 19. Mass Mutual Annuity -- Opp Main Street Small Cap |   | None      | K | T |             |          |   |  |               |
| 20. Mass Mutual Annuity -- Opp Main Street           |   | None      | K | T |             |          |   |  |               |
| 21. Oppenheimer Cap App (both)                       | D | Int./Div. | L | T | Sold (part) | 1/26/15  | J |  | see Part VIII |
| 22.                                                  |   |           |   |   | Sold (part) | 02/06/15 | J |  | see Pat VIII  |
| 23.                                                  |   |           |   |   | Sold (part) | 06/26/15 | J |  |               |
| 24. Oppenheimer Global Fund (both)                   | C | Int./Div. | L | T | Sold (part) | 01/15/15 | J |  |               |
| 25.                                                  |   |           |   |   | Sold (part) | 01/22/15 | J |  |               |
| 26.                                                  |   |           |   |   | Sold (part) | 02/06/15 | J |  |               |
| 27.                                                  |   |           |   |   | Buy (add'l) | 06/30/15 | J |  |               |
| 28.                                                  |   |           |   |   | Sold (part) | 08/25/15 | J |  |               |
| 29. Oppenheimer Global Opportunities (both)          | A | Int./Div. | K | T | Buy (add'l) | 06/29/15 | J |  | see Part VIII |
| 30.                                                  |   |           |   |   | Buy (add'l) | 10/26/15 | J |  |               |
| 31.                                                  |   |           |   |   | Sold (part) | 01/23/15 | J |  |               |
| 32. Oppenheimer Global Value (both)                  | A | Int./Div. | K | T | Buy (add'l) | 06/29/15 | J |  | see Part VIII |
| 33.                                                  |   |           |   |   | Buy (add'l) | 06/30/15 | J |  |               |
| 34.                                                  |   |           |   |   | Sold (part) | 08/25/15 | 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 7 of 15

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/26/15                | J                               |                                |                                                                   |
| 36.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/28/15                | J                               |                                |                                                                   |
| 37. Oppenheimer Main Street Fund (both)                                                                                     | D                                       | Int./Div.                                     | L                                               | T                                         | Buy<br>(add'l)                                  | 08/26/15                | J                               |                                |                                                                   |
| 38. Oppenheimer Main Street MidCap fka Small<br>Mid Cap Select                                                              | D                                       | Int./Div.                                     | L                                               | T                                         | Sold<br>(part)                                  | 12/28/15                | J                               |                                |                                                                   |
| 39. Oppenheimer Global Strategic Income (fka<br>Champion Income)                                                            | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. Oppenheimer Global Allocation (Quest)                                                                                   | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                | loss see VIII                                                     |
| 41. Oppenheimer Sr. Floating                                                                                                | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 02/06/15                | J                               |                                |                                                                   |
| 42. Oppenheimer Int'l Small Mid                                                                                             | A                                       | Int./Div.                                     | K                                               | T                                         | Buy<br>(add'l)                                  | 06/29/15                | J                               |                                |                                                                   |
| 43.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/28/15                | J                               |                                |                                                                   |
| 44.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/15/15                | J                               |                                | loss see VIII                                                     |
| 45.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/22/15                | J                               |                                | loss see VIII                                                     |
| 46.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/0/15                 | J                               |                                | loss see VIII                                                     |
| 47.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/13/15                | J                               |                                | loss see VIII                                                     |
| 48.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/30/15                | J                               |                                | loss see VIII                                                     |
| 49. Belt West Funding Corp raw land in Dallas<br>County                                                                     |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. Royal McAbee universal life insurance                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. State of Israel savings bond                                                                                            | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

Page 8 of 15

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Energy East                                                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Merrill Lynch / AIG stock                                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. Amprise TWEAX Amer Century Eq Income (both)                                                                             | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. Amprise ODMAX Oppenheimer Developing Mkts (A IRA)                                                                       | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Oppenheimer Discovery                                                                                                   | A                                       | Int./Div.                                     | K                                               | T                                         | Sold (part)                                     | 01/20/15                | J                               | A                              |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 12/28/15                | J                               | A                              |                                                                   |
| 58. Ameriprise MDLOX Blackrock Golbal Allocation                                                                            | A                                       | Int./Div.                                     | K                                               | T                                         | Buy (add'l)                                     | 09/29/15                | K                               |                                |                                                                   |
| 59. Ameriprise VOYA GNAM Inc.                                                                                               | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 09/29/15                | J                               |                                |                                                                   |
| 60. IMNYX (Legg Mason) Western Asset Intermed NY Munis                                                                      | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. Fidelity VIP Contra (w/in auunity)                                                                                      |                                         | None                                          | J                                               | T                                         | Sold (part)                                     | 09/29/15                | J                               |                                | see Part VIII                                                     |
| 62. Am Century / VP Value (w/in annuity)                                                                                    |                                         | None                                          | K                                               | T                                         | Buy (add'l)                                     | 09/29/15                | J                               |                                | see Part VIII;                                                    |
| 63. CNL Lifestyles CNLIDI (w/in L IRA)                                                                                      | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Corp Prop Assoc CPA17 (w/in L IRA)                                                                                      | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. Am Insured Mkt (w/in L IRA)                                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. MITTX (w/in L IRA) Mass MFS Investors                                                                                   | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. ATHAX (w/in L IRA) Amer Century Heritage                                                                                |                                         | None                                          | J                                               | T                                         | Sold (part)                                     | 09/29/15                | J                               |                                |                                                                   |
| 68. MGIAX (w/in L IRA) MFS Int'l Value                                                                                      | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

## 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) |
| 69. Justice Federal accounts                                                                                                | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. Invesco Int'l Gr. Sr. (annuity)                                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                | see Part VIII                                                     |
| 71. MDLOX (w/in L IRA) Blackrock Global Alloc.                                                                              | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. Oppenheimer Equity Income IRA (both)                                                                                    | C                                       | Int./Div.                                     | L                                               | T                                         | Sold (part)                                     | 01/15/15                | J                               |                                |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 01/22/15                | J                               |                                |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 08/25/15                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 10/26/15                | J                               |                                |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 12/28/15                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 12/30/15                | J                               |                                |                                                                   |
| 78. Oppenheimer Main St Small Cap                                                                                           | A                                       | Int./Div.                                     | K                                               | T                                         | Buy (add'l)                                     | 8/25/15                 | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 10/26/15                | J                               |                                |                                                                   |
| 80. Scholars Edge Age Based Portfolio 10 (18+)                                                                              |                                         | None                                          | L                                               | T                                         | Sold (part)                                     | 8/31/15                 | J                               | A                              |                                                                   |
| 81. Scholars Edge Large Cap nka Dreyfus R Growth                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. Scholars Edge Sm & Mid Cap nka MidCap Portfolio                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. Scholars Edge Int'l Equity                                                                                              |                                         | None                                          |                                                 |                                           | Sold                                            | 8/14/15                 | J                               | A                              |                                                                   |
| 84. Scholars Edge Int'l Growth                                                                                              |                                         | None                                          | J                                               | T                                         | Buy                                             | 8/14/15                 | J                               |                                |                                                                   |
| 85. Scholars Edge Large Cap Value nka Value                                                                                 |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                        |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                        | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 10 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

## 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. Scholars Edge Portfolio 100 fka Aggressive                                                                              |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. Scholars Edge Portfolio 80 fka Moderately Aggressive                                                                    |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. Scholars Edge Portfolio 60 fka Moderate                                                                                 |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. Pimco VIT All Asset (annuity)                                                                                           |                                         | None                                          | K                                               | T                                         | Sold (part)                                     | 09/29/15                | K                               |                                | see Part VIII                                                     |
| 90. Oppenheimer Deveoping Mkts Fund                                                                                         | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. Oppenheimer Rochester Ltd Term NY Munis                                                                                 | A                                       | Int./Div.                                     | J                                               | T                                         | Buy (add'l)                                     | 03/03/15                | J                               |                                |                                                                   |
| 92.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 07/20/15                | J                               | A                              |                                                                   |
| 93. Oppenheimer Money Mkt (treat as bank acct)                                                                              | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. Oppenheimer Rochester AMT Free NY Munis                                                                                 | A                                       | Int./Div.                                     | J                                               | T                                         | Buy (add'l)                                     | 04/01/15                | J                               |                                |                                                                   |
| 95.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 08/19/15                | J                               |                                |                                                                   |
| 96. US treasuries                                                                                                           | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 97. AmerGen (L IRA)                                                                                                         | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. Oppenheimer Small & Mid Cap Value now MidCar Value                                                                      | A                                       | Int./Div.                                     | J                                               | T                                         | Sold (part)                                     | 08/18/15                | J                               | A                              |                                                                   |
| 99.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 08/26/15                | J                               |                                |                                                                   |
| 100. Oppenheimer Int'l Value                                                                                                | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 12/30/15                | J                               |                                | exchanged for Opp In't Sma                                        |
| 101. Oppenheimer Discovery Mid Cap Growth                                                                                   | B                                       | Int./Div.                                     | K                                               | T                                         | Buy (add'l)                                     | 10/26/15                | J                               |                                |                                                                   |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 12/30/15                | 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

Page 11 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

## 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) |
| 103. Oppenheimer Int'l Growth (L)                                                                                           | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. Blackrock Global Dividend (AmPrise) (A IRA)                                                                            | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105. CNL Growth Props (AmPrise) (A IRA)                                                                                     | B                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. Corporate Capital (AmPrise) (A IRA)                                                                                    | B                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. Fidelity Advisor Growth Opp (AmPrise)                                                                                  |                                         | None                                          | K                                               | T                                         | Buy<br>(add'l)                                  | 03/13/15                | J                               |                                |                                                                   |
| 108.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/19/15                | J                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/26/15                | J                               |                                |                                                                   |
| 110.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/09/15                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/16/15                | J                               |                                |                                                                   |
| 112. Fidelity Advisos Cons. Disc.                                                                                           | A                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 09/29/15                | J                               |                                |                                                                   |
| 113. Goldman Sachs Strategic Inc. (AmPrise)                                                                                 | B                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 09/30/15                | K                               |                                | loss                                                              |
| 114. MFS Int'l Value (AmPrise)                                                                                              | B                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115. Steelpath Opp MLP Inc (AmPrise)                                                                                        | B                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 116. Templeton Global Bond (AmPrise)                                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. Wells Fargo WFA Absolute Return<br>(AmPrise)                                                                           | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 09/29/15                | K                               |                                | loss; see Part VIII                                               |
| 118. AmPrise Lord Abbott Short Duration                                                                                     | A                                       | Int./Div.                                     | K                                               | T                                         | Buy<br>(add'l)                                  | 09/30/15                | J                               |                                |                                                                   |
| 119. Lord Abbott Bond Deb                                                                                                   | A                                       | Int./Div.                                     | K                                               | T                                         | Buy<br>(add'l)                                  | 09/30/15                | 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 \$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 12 of 15

Name of Person Reporting

Trust, Alan S.

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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) |
| 120.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/03/15                | J                               |                                |                                                                   |
| 121. INSAX Catalyst                                                                                                         | A                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 09/29/15                | J                               |                                | loss; see Part VIII                                               |
| 122. Blackrock Multi Asset                                                                                                  | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123. Deutsche Gloab Infrastructure                                                                                          | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124. Oppen Rochester Fund Muni                                                                                              | A                                       | Int./Div.                                     | J                                               | T                                         | Sold<br>(part)                                  | 01/26/15                | J                               | A                              |                                                                   |
| 125.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/01/15                | J                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/26/15                | J                               | A                              |                                                                   |
| 127. Oppen Steel Path Select 40                                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         | Sold<br>(part)                                  | 06/29/15                | J                               |                                | loss; see Part VIII                                               |
| 128.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/26/15                | J                               |                                | loss; see Part VIII                                               |
| 129. Oppen SteelPath Alpha Plus                                                                                             | A                                       | Int./Div.                                     | J                                               | T                                         | Sold<br>(part)                                  | 06/29/15                | J                               |                                | loss; see Part VIII                                               |
| 130.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/26/15                | J                               |                                | loss; see Part VIII                                               |
| 131. Oppen SteelPath Alpha                                                                                                  | A                                       | Int./Div.                                     | J                                               | T                                         | Buy<br>(add'l)                                  | 01/22/15                | J                               |                                |                                                                   |
| 132.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/26/15                | J                               |                                | loss; see Part VIII                                               |
| 133.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/29/15                | J                               |                                | loss; see Part VIII                                               |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/26/15                | J                               |                                | loss; see Part VIII                                               |
| 135. Oppen Portfolio Series Eq Inv.                                                                                         | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. Opp Ltd Term Bond Fund                                                                                                 | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 04/01/15                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

Page 13 of 15

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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) |
| 137. Opp Rochester Short Term Muni                                                                                          | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 03/03/15                | J                               |                                |                                                                   |
| 138.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/20/15                | J                               | A                              |                                                                   |
| 139. Opp Rochester High Yield Muni                                                                                          | A                                       | Int./Div.                                     |                                                 |                                           | Buy                                             | 03/13/15                | J                               |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/16/15                | J                               |                                |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/13/15                | J                               | A                              |                                                                   |
| 142.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/17/15                | J                               | A                              |                                                                   |
| 143. Opp Equity Fund                                                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 12/28/15                | L                               |                                |                                                                   |
| 144. Blackrock Gbl Allocation AmPrise<br>(annuity)                                                                          | A                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 09/29/15                | K                               |                                |                                                                   |
| 145. COL VP Bal Fund AmPrise (annuity)                                                                                      | A                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 09/29/15                | K                               |                                |                                                                   |
| 146. COL VP Growth AmPrise (annuity)                                                                                        | A                                       | Int./Div.                                     | K                                               | T                                         | Buy                                             | 09/29/15                | K                               |                                |                                                                   |
| 147. Lord Abbott Sec Growth Leaders AmPrise                                                                                 | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 09/29/15                | J                               |                                |                                                                   |
| 148. Lord Abbott Bond Deb AmPrise                                                                                           | A                                       | Int./Div.                                     | J                                               | T                                         | Buy                                             | 09/29/15                | J                               |                                |                                                                   |
| 149.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 150.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 151.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

Page 14 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

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

Lines 2 - 12, 61, 62, 70, and 89-- based on information provided by the fund manager(s), no income or reinvested dividends, taxable or otherwise, was paid or attributed to any of these investments during the reporting period.

Losses were suffered for sales in lines 40, 44-48, 113 117, 121 and 127-134; therefore no Gain code in D(4).

# FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Trust, Alan S.

Date of Report

09/01/2016

## 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/ Alan S. Trust**

**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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Washington, D.C. 20544