

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Pratter, Gene E.	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 03/31/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 10613 United States Courthouse Sixth & Market Streets Philadelphia, PA 19106-1723		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Co-Trustee	Trust #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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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. 2016	Duane Morris LLC (Attorney)
2. 2016	Cohen, Placitella & Roth (Attorney)
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. Duke University Law School	October 6-7, 2016	San Diego, CA	Duke Law School Conference	Transportation, lodging, meals
2. American Bar Association	October 18-20, 2016	Las Vegas, NV	National Institute on Class Actions Conference	Transportation, lodging, meals
3. Northwestern School of Law	November 16-17, 2016	Chicago, IL	Complex Litigation Conference	Transportation, lodging, meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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. Bank of America	Credit Card	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Leberthal Lisanti Small Growth - Retirement #5	A	Dividend	J	T					
2. DFA US Small Cap Value - Retirement #5	A	Dividend	J	T					
3. DFA US Large Cap Value - Retirement #5	B	Dividend	K	T	Buy (add'l)	07/28/16	J		
4. Federated US Gov't Ultrashort - Retirement #5	A	Dividend	K	T					
5. First Eagle Overseas - Retirement #5	A	Dividend	K	T					
6. Janus Fund - Retirement #5	A	Dividend	J	T					
7. Schwab Money Market - Retirement #5	A	Dividend	J	T					
8. Westcore MIDCO Growth - Retirement #5		None			Sold	07/28/16	J	A	
9. William Blair Int'l Small Growth - Retirement #5	A	Dividend	J	T					
10. William Blair International Growth - Retirement #5	A	Dividend	J	T					
11. Federated Gov't Ultrashort - Retirement #6	A	Dividend	K	T					
12. Baron Growth - Retirement #6	A	Dividend	J	T					
13. First Eagle Overseas - Retirement #6	A	Dividend	J	T					
14. Royce Opportunity - Retirement #6	A	Dividend	J	T					
15. Schwab Money Market - Retirement #6	A	Dividend	J	T					
16. Janus Fund - Retirement #6	A	Dividend	J	T					
17. DFA International Large Growth - Retirement #6	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Baron Growth - Retirement #7	D	Dividend	K	T	Sold (part)	10/11/16	J	B	
19. DFA US Micro Cap - Retirement #7	C	Dividend	L	T	Sold (part)	10/11/16	J	A	
20. DFA Emerging Markets Core Equity - Retirement #7	B	Dividend	M	T					
21. DFA International Small Value - Retirement #7	D	Dividend	M	T	Sold (part)	06/09/16	J	A	
22. DFA International Small Value - Retirement #7		None			Sold (part)	10/11/16	J	A	
23. DFA International Value - Retirement #7	D	Dividend	M	T					
24. DFA One Year Fixed - Retirement #7	C	Dividend	N	T					
25. DFA US Small Cap Value - Retirement #7	C	Dividend	M	T	Sold (part)	10/11/16	J	A	
26. DFA US Large Cap Value - Retirement #7	D	Dividend	M	T	Sold (part)	06/09/16	J	C	
27. DFA US Large Cap Value - Retirement #7		None			Buy (add'l)	07/28/16	J		
28. Dodge & Cox Stock - Retirement #7	D	Dividend	L	T					
29. Federated Gov't Ultrashort - Retirement #7	B	Dividend	N	T	Sold (part)	03/29/16	J	A	
30. First Eagle Overseas - Retirement #7	C	Dividend	L	T					
31. Hotchkis & Wiley Mid Value - Retirement #7	C	Dividend	M	T					
32. Morgan Stanley International Equity - Retirement #7	B	Dividend	M	T					
33. Morgan Stanley Emerging Markets - Retirement #7	A	Dividend	M	T	Sold (part)	10/11/16	J	A	
34. Royce Opportunity - Retirement #7	D	Dividend	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Schwab Money Market - Retirement #7	A	Dividend	K	T					
36. Westcore Intl Small Cap - Retirement #7	A	Dividend	L	T					
37. Westcore Mid Cap Value - Retirement #7	C	Dividend	M	T	Sold (part)	06/09/16	J	A	
38. Westcore MIDCO Growth - Retirement #7		None			Sold	07/28/16	L	A	
39. William Blair International Growth - Retirement #7	B	Dividend	M	T					
40. Janus Fund - Retirement #7	D	Dividend	M	T	Buy (add'l)	03/14/16	K		
41. Janus Fund - Retirement #7		None			Sold (part)	06/09/16	J	A	
42. Janus Fund - Retirement #7		None			Sold (part)	07/26/16	J	A	
43. Hotchkis & Wiley Large Cap Value - Retirement #7	B	Dividend	L	T	Sold (part)	06/09/16	J	A	
44. William Blair Large Growth - Retirement #7	B	Dividend	M	T	Buy (add'l)	03/14/16	K		
45. William Blair Large Growth - Retirement #7		None			Sold (part)	07/26/16	J	A	
46. Leberthal Lisanti Small Growth - Retirement #7	A	Dividend	K	T					
47. William Blair Int'l Small Growth - Retirement #7	A	Dividend	L	T					
48. Metropolitan West Total Return - Retirement #7	D	Dividend	N	T					
49. BlackRock Low Duration - Retirement #7	D	Dividend	N	T	Sold (part)	03/29/16	J	A	
50. BlackRock Low Duration - Retirement #7		None			Buy (add'l)	07/28/16	J		
51. Ivy Mid Growth - Retirement #7	C	Dividend	M	T	Buy (add'l)	07/28/16	K		

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. William Blair Mid Cap Growth - Retirement #7	D	Dividend	M	T	Buy (add'l)	07/28/16	K		
53. DFA Global Real Estate - Retirement #7	C	Dividend	L	T	Sold (part)	03/29/16	J	C	
54. DFA Global Real Estate - Retirement #7		None			Sold (part)	07/26/16	J	C	
55. Victory Global Natural Resources - Retirement #7		None	L	T	Buy (add'l)	07/28/16	J		See Section VIII
56. EII Global Property - Retirement #7	E	Dividend	L	T	Sold (part)	07/26/16	J	A	
57. MainGate MLP - Retirement #7	D	Dividend	M	T					
58. MainStay Marketfield - Retirement #7		None			Sold	03/14/16	L	A	
59. William Blair Small Growth - Retirement #7		None	K	T	Sold (part)	10/11/16	J	A	
60. Morgan Stanley AIP - Retirement #7	C	Dividend	M	T					
61. DFA International Large Growth - Retirement #7	B	Dividend	L	T					
62. Schwab Money Market - Trust #1	A	Dividend	J	T					
63. Dodge & Cox Stock - Trust #1	B	Dividend	K	T					
64. Baron Growth - Trust #1	C	Dividend	K	T					
65. Federated Short Term Muni - Trust #1	A	Dividend	K	T					
66. First Eagle Overseas - Trust #1	B	Dividend	K	T					
67. Hotchkis & Wiley Large Cap Value - Trust #1	A	Dividend	K	T					
68. Hotchkis & Wiley Mid Cap Value - Trust #1	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. Janus Fund - Trust #1	B	Dividend	K	T					
70. Morgan Stanley International Equity - Trust #1	A	Dividend	K	T					
71. Royce Opportunity - Trust #1	B	Dividend	K	T					
72. Westcore Mid Cap Value - Trust #1	B	Dividend	K	T					
73. Westcore MIDCO Growth - Trust #1		None			Sold	07/28/16	K	A	
74. DFA Tax Managed Marketwide Value - Trust #1	B	Dividend	K	T					
75. DFA US Micro Cap - Trust #1	A	Dividend	K	T					
76. DFA Intl Small Cap Value - Trust #1	B	Dividend	K	T	Sold (part)	02/03/16	J	A	
77. Westcore Intl Small Cap - Trust #1	A	Dividend	K	T					
78. DFA Int'l Value - Trust #1	A	Dividend	K	T					
79. DFA US Small Value - Trust #1	B	Dividend	K	T					
80. William Blair Mid Growth - Trust #1	B	Dividend	K	T					
81. DFA Short Term Muni - Trust #1	A	Dividend	K	T					
82. Metropolitan West Total Return - Trust #1	A	Dividend	K	T					
83. William Blair Small Cap Growth - Trust #1	A	Dividend	J	T					
84. DFA Global Real Estate - Trust #1	A	Dividend	K	T					
85. EII Global Property - Trust #1	C	Dividend	J	T	Buy	02/03/16	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. MainGate MLP - Trust #1	B	Dividend	K	T	Buy (add'l)	04/13/16	K		
87. Victory Global Resources - Trust #1		None	J	T	Buy	04/13/16	J		See Scetion VIII
88. MainStay Marketfield - Trust #1		None			Sold	03/14/16	K	A	
89. William Blair International Growth - Trust #1	A	Dividend	K	T					
90. DFA Emerging Markets - Trust #1	B	Dividend	L	T					
91. DFA International Large Growth - Trust #1	A	Dividend	K	T					
92. T. Rowe Price New Era - Trust #1		None			Sold	04/13/16	K	C	
93. Ivy Mid Growth - Trust #1	A	Dividend	K	T	Buy	07/28/16	K		
94. William Blair Large Growth - Trust #1	A	Dividend	K	T	Buy	03/14/16	K		
95. Baron Growth - Brokerage #1	A	Dividend	J	T					
96. DFA Tax Mgd US Marketwide Value - Brokerage #1	A	Dividend	J	T	Sold (part)	09/06/16	J	C	
97. DFA US Small Value - Brokerage #1	A	Dividend	J	T					
98. DFA Emerging Markets Core Equity - Brokerage #1	A	Dividend	K	T	Sold (part)	10/13/16	J	A	
99. DFA Tax Mgd International Value - Brokerage #1	A	Dividend	J	T					
100. East River Bank Stock - Brokerage #1		None			Sold	11/03/16	K	D	
101. Federated Short Term Muni - Brokerage #1	A	Dividend	K	T					
102. First Eagle Overseas - Brokerage #1	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

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

103. Janus Fund - Brokerage #1	A	Dividend	J	T	Sold (part)	09/06/16	J	A	
104. Janus Overseas - Brokerage #1		None			Sold	01/20/16	J	A	
105. Morgan Stanley International Equity - Brokerage #1	A	Dividend	J	T					
106. Schwab Money Market - Brokerage #1	A	Dividend	J	T					
107. Westcore MIDCO Growth - Brokerage #1		None			Sold	07/28/16	J	A	
108. Hothckis & Wiley Large Cap Value - Brokerage #1	A	Dividend	J	T					
109. Hotchkis & Wiley Mid Cap Value Brokerage #1	A	Dividend	J	T	Sold (part)	10/13/16	J	A	
110. William Blair Int'l Small Growth - Brokerage #1	A	Dividend	J	T					
111. William Blair Large Growth - Brokerage #1	A	Dividend	J	T					
112. William Blair Mid Cap Growth - Brokerage #1	A	Dividend	J	T	Sold (part)	10/13/16	J	A	
113. William Blair Small Cap Growth - Brokerage #1	A	Dividend	J	T	Sold (part)	10/13/16	J	A	
114. Westcore Mid Cap Value - Brokerage #1	A	Dividend	J	T	Sold (part)	09/06/16	J	B	
115. DFA Int'l Small Value - Brokerage #1	A	Dividend	J	T	Sold (part)	10/13/16	J	A	
116. DFA Short Term Muni - Brokerage #1	A	Dividend	K	T	Sold (part)	09/06/16	J	A	
117. Metropolitan West Total Return - Brokerage #1	A	Dividend	K	T	Sold (part)	10/13/16	J	A	
118. William Blair Int'l Growth - Brokerage #1	A	Dividend	J	T					
119. Thornburg Limitd Term Municipal - Brokerage #1	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. DFA Global Real Estate - Brokerage #1	A	Dividend	K	T					
121. Dodge & Cox Stock - Brokerage #1	A	Dividend	J	T					
122. MainGate MLP - Brokerage #1	A	Dividend	J	T					
123. Royce Opportunity - Brokerage #1	A	Dividend	J	T	Sold (part)	09/06/16	J	A	
124. DFA US Micro Cap - Brokerage #1	A	Dividend	J	T					
125. DFA Int'l Large Growth - Brokerage #1	A	Dividend	J	T	Buy	01/20/16	J		
126. Ivy Mid Growth - Brokerage #1	A	Dividend	J	T	Buy	07/28/16	J		
127. Baron Growth - Brokerage #2	B	Dividend	K	T					
128. DFA US Micro Cap - Brokerage #2	A	Dividend	J	T					
129. DFA Tax Mgd Marketwide Value - Brokerage #2	A	Dividend	K	T					
130. DFA US Small Value - Brokerage #2	A	Dividend	J	T					
131. Dodge & Cox Stock - Brokerage #2	A	Dividend	J	T					
132. Federated Short Term Muni - Brokerage #2	A	Dividend	L	T					
133. First Eagle Overseas - Brokerage #2	A	Dividend	J	T					
134. Hotchkis & Wiley Large Cap Value - Brokerage #2	A	Dividend	J	T					
135. Hotchkis & Wiley Mid Cap Value - Brokerage #2	A	Dividend	K	T					
136. Janus Fund - Brokerage #2	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Janus Overseas - Brokerage #2		None			Sold	01/20/16	J	A	
138. Morgan Stanley International Equity - Brokerage #2	A	Dividend	J	T					
139. Royce Opportunity - Brokerage #2	A	Dividend	K	T					
140. Schwab Money Market - Brokerage #2	A	Dividend	J	T					
141. Westcore Mid Cap Value - Brokerage #2	A	Dividend	J	T					
142. Westcore International Small Cap - Brokerage #2	A	Dividend	J	T					
143. Metropolitan West Total Return - Brokerage #2	B	Dividend	K	T					
144. DFA Short Term Muni - Brokerage #2	A	Dividend	L	T					
145. DFA Global Real Estate - Brokerage #2	B	Dividend	K	T					
146. MainGate MLP - Brokerage #2	B	Dividend	K	T					
147. MainStay Marketfield - Brokerage #2		None			Sold	03/14/16	J	A	
148. DFA Intl Small Cap Value - Brokerage #2	A	Dividend	K	T					
149. William Blair International Growth - Brokerage #2	A	Dividend	J	T					
150. DFA Emerging Markets Core Equity - Brokerage #2	A	Dividend	K	T					
151. DFA International Value - Brokerage #2	A	Dividend	K	T					
152. Ivy Mid Cap Growth - Brokerage #2	A	Dividend	K	T					
153. DFA Int'l Large Growth - Brokerage #2	A	Dividend	J	T	Buy	01/20/16	J		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. William Large Growth - Brokerage #2	A	Dividend	J	T	Buy	03/14/16	J		
155. DFA One Year Fixed - Retirement #8	B	Dividend	N	T					
156. Federated Gov't Ultrashort - Retirement #8	B	Dividend	M	T					
157. Lebenthal Lisanti Small Growth - Retirement #8	A	Dividend	K	T					
158. Baron Growth - Retirement #8	C	Dividend	K	T					
159. DFA Emerging Markets Core Equity - Retirement #8	B	Dividend	L	T					
160. DFA International Value - Retirement #8	C	Dividend	M	T					
161. DFA US Large Value - Retirement #8	C	Dividend	M	T					
162. DFA US Small Value - Retirement #8	C	Dividend	L	T					
163. DFA US Micro Cap - Retirement #8	C	Dividend	L	T					
164. Dodge & Cox Stock - Retirement #8	C	Dividend	L	T					
165. DFA Int'l Small Cap Value - Retirement #8	D	Dividend	M	T					
166. First Eagle Overseas - Retirement #8	B	Dividend	K	T					
167. Hotchkis & Wiley Large Cap Value - Retirement #8	B	Dividend	L	T					
168. Hotchkis & Wiley Mid Cap Value - Retirement #8	B	Dividend	M	T					
169. Janus Fund - Retirement #8	C	Dividend	L	T	Buy (add'l)	03/14/16	K		
170. Morgan Stanley Emerging Markets - Retirement #8	A	Dividend	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Morgan Stanley International Equity - Retirement #8	A	Dividend	L	T					
172. Royce Opportunity - Retirement #8	C	Dividend	L	T					
173. Schwab Money Market - Retirement #8	A	Dividend	K	T					
174. Westcore Intl Small Cap - Retirement #8	A	Dividend	K	T					
175. Westcore Mid Cap Value - Retirement #8	C	Dividend	M	T					
176. Westcore MIDCO Growth - Retirement #8		None			Sold	07/28/16	K	A	
177. William Blair International Growth - Retirement #8	B	Dividend	L	T					
178. William Blair Large Cap Growth - Retirement #8	A	Dividend	L	T	Buy (add'l)	03/14/16	J		
179. William Blair Intl Small Growth - Retirement #8	A	Dividend	K	T					
180. BlackRock Low Duration - Retirement #8	C	Dividend	N	T					
181. Metropolitan West Total return - Retirement #8	D	Dividend	M	T					
182. William Blair Small Growth - Retirement #8	B	Dividend	K	T					
183. William Blair Mid Growth - Retirement #8	C	Dividend	L	T	Buy (add'l)	07/28/16	K		
184. Ivy Mid Growth - Retirement #8	C	Dividend	L	T	Buy (add'l)	07/28/16	K		
185. DFA Global Real Estate - Retirement #8	C	Dividend	L	T					
186. EII Global Property - Retirement #8	D	Dividend	L	T					
187. MainGate MLP - Retirement #8	D	Dividend	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. MainStay Marketfield - Retirement #8		None			Sold	03/14/16	K	A	
189. Victory Global Resources - Retirement #8		None	K	T	Buy (add'l)	07/28/16	J		See Section VIII
190. Morgan Stanley AIP - Retirement #8	C	Dividend	M	T					
191. DFA International Large Growth - Retirement #8	B	Dividend	L	T	Buy (add'l)	07/28/16	J		
192. Equitable Variable Life - Alliance Common Stock		None	M	T					
193. Equitable Variable Life - Alliance International		None	K	T					
194. PNC Bank Accounts	A	Interest	J	T					
195. Nantucket Bank Account	A	Interest	J	T					
196. 401K Plan (X)									
197. - John Hancock Balanced		None	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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

Line 55, 88 and 189. RS Global Natural Resources changed its name to Victory Global Natural Resources in 2016.

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Pratter, Gene E.

Date of Report

03/31/2017

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/ **Gene E. Pratter**

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

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