

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Ebel, David M.	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 06/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Byron White U.S. Courthouse 1823 Stout Street Room 109L Denver, CO 80257		
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.		
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 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. 2018	Public Employees Retirement Association (PERA) -- retirement
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. Dane and Jessi Shikman	February 18, 2018	Houston, TX	Perform wedding	travel, lodging
2. International Academy of Trial Lawyers	July 19, 2018 - July 21, 2018	Colorado Springs, CO	Educational seminar	travel, meals and lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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 4 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. Northwestern Mutual Modified Whole Life Policies	E	Interest	M	T					
2. Mass. Mutual Whole Life Policy	C	Interest	K	T					
3. Thrivent Lutheran Brotherhood Whole Life Policy	B	Interest	K	T					
4. Open Intelligence Software Group, Inc. Class A Common Stock	B	Dividend	J	U					
5. IRA #1 (H)									
6. - Janus Henderson Money Market Fund D Shares	B	Interest	M	T	Buy (add'l)	02/08/18	K		
7.					Buy (add'l)	03/14/18	M		
8.					Sold (part)	05/09/18	L		
9.					Buy (add'l)	08/10/18	K		
10.					Buy (add'l)	10/23/18	K		
11.					Buy (add'l)	12/21/18	K		
12. - Janus Henderson Global Technology Fund D Shares	A	Dividend	J	T	Sold (part)	03/14/18	M	D	
13.					Buy (add'l)	05/09/18	K		
14.					Sold (part)	10/23/18	K	C	
15. - Janus Henderson Emerging Markets Fund D Shares		None			Sold	01/04/18	K	C	
16. - Janus Henderson Research Fund D Shares		None			Sold	03/14/18	J	A	
17. - Janus Henderson Emerging Markets Managed Vol D Shares		None			Buy	01/04/18	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	H2 = 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 5 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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.					Sold	02/08/18	K		
19. - Janus Henderson Forty Fund D Shares	B	Dividend	J	T	Buy	05/09/18	K		
20.					Sold (part)	12/21/18	K		
21. - Janus Henderson International Small Cap Fund D Shares		None			Buy	05/09/18	K		
22.					Sold	08/10/18	K		
23. - Janus Henderson U.S. Growth Opportunities Fund D Shares	A	Dividend	J	T	Buy	05/09/18	K		
24.					Sold (part)	12/21/18	K		
25. - Janus Henderson Asia Equity Fund D Shares		None			Buy	01/04/18	K		
26.					Sold	02/08/18	K		
27. Brokerage (H)									
28. - Amazon.Com Inc		None	K	T	Buy (add'l)	02/12/18	K		
29.					Buy (add'l)	02/21/18	J		
30.					Sold (part)	12/21/18	J	C	
31.					Sold (part)	12/26/18	J		
32. - Nvidia Corp	A	Dividend			Buy (add'l)	01/04/18	J		
33.					Sold (part)	01/19/18	J	D	
34.					Buy (add'l)	02/07/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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.					Buy (add'l)	02/21/18	J		
36.					Sold	03/16/18	K	B	
37.					Buy	03/20/18	L		
38.					Sold (part)	05/11/18	K	A	
39.					Sold (part)	07/11/18	J		
40.					Sold	07/25/18	K		
41.					Buy	11/14/18	K		
42.					Sold	11/20/18	K		
43. - Sector SPDR Tr Shs Ben Int Financial		None			Sold	02/12/18	J	B	
44. - Wal-Mart Stores Inc	A	Dividend			Sold	02/08/18	K	B	
45. - iShares Inc Core MSCI Emerging Mkts		None			Buy (add'l)	01/30/18	J		
46.					Sold	02/07/18	K	B	
47. - Boeing Co		None			Sold	02/08/18	K	C	
48. - Intel Corp		None			Sold	01/05/18	K	A	
49. - Petmed Express Inc	A	Dividend			Buy (add'l)	01/24/18	J		
50.					Sold	03/16/18	K		
51. - UnitedHealth Group		None			Sold	02/01/18	J	B	

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 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. - Fidelity Core Cash Management Account	A	Interest	L	T					
53. - Ishares Edge MSCI USA Momentum Factor ETF		None			Buy	01/03/18	J		
54.					Buy (add'l)	01/08/18	K		
55.					Sold	02/12/18	K	A	
56. - HaloZyme Therapeutics Inc		None			Buy	01/16/18	J		
57.					Sold	01/19/18	J		
58. - Ishares TR US AER DEF ETF		None			Buy	02/01/18	J		
59.					Sold	03/16/18	J		
60. - Netflix Com Inc		None			Buy	02/23/18	J		
61.					Sold	03/14/18	K	B	
62. - EOG Resources Inc		None			Buy	03/02/18	J		
63.					Sold	03/22/18	J		
64. - DropBox Inc		None			Buy	03/27/18	J		
65.					Sold	04/18/18	J	A	
66. - Lockheed Martin Corp	A	Dividend			Buy	04/27/18	K		
67.					Sold	06/08/18	K		
68. - Sprint Corporation Com		None			Buy	05/02/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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.					Sold	06/22/18	J		
70. - ARK ETF TR Web X.0 ETF		None			Buy	05/14/18	K		
71.					Buy (add'l)	06/22/18	J		
72.					Sold	08/21/18	K	A	
73. - Total S A Sponsored ADR	A	Dividend			Buy	05/15/18	J		
74.					Sold	08/06/18	J		
75. - Two Hhrs Invt Corp Com	A	Dividend			Buy	06/08/18	K		
76.					Sold	10/09/18	J		
77. - Alphabet Inc Cap Stk Cl A		None			Buy	07/26/18	J		
78.					Sold	12/26/18	J		
79. - Facebook Inc Com		None			Buy	07/26/18	J		
80.					Sold	11/20/18	J		
81. - AT&T Inc Com	A	Dividend			Buy	08/21/18	K		
82.					Sold	10/23/18	K		
83. - Alibaba Group Hldg Ltd		None			Buy	09/05/18	K		
84.					Sold	10/23/18	J		
85. - Texas Instruments Inc Com		None			Buy	10/17/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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.					Sold	10/26/18	J		
87. - Fidelity MSCI Consumer Discretionary Index ETF		None			Buy	11/13/18	J		
88.					Sold	11/20/18	J		
89. - Fidelity MSCI Health Care Index	A	Dividend			Buy	11/13/18	J		
90.					Sold	12/26/18	J		
91. - CVR Refng LP		None			Buy	11/29/18	J		
92.					Sold	12/10/18	J		
93. - Microsoft Corp	A	Dividend	K	T	Buy	11/30/18	K		
94. IRA #2 (H)									
95. - FDIC Insured Deposit at US Bank	A	Interest	M	T					
96. - Alphabet Inc		None			Sold	02/09/18	L	D	
97. - Johnson & Johnson	A	Dividend			Sold	06/21/18	K	B	
98. - Fidelity Nasdaq Composite Index Fund		None			Sold	03/15/18	K	D	
99.					Buy	05/14/18	K		
100.					Sold	10/22/18	K	A	
101. - Fidelity Europe Fund		None			Sold	02/06/18	K	B	
102. - Apple Inc	A	Dividend			Buy (add'l)	02/20/18	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 \$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 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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.					Sold (part)	03/16/18	J	C	
104.					Sold	12/26/18	L		
105. - United Technologies Corp		None			Sold	02/16/18	K	C	
106. - Applied Materials Inc		None			Sold	02/12/18	K		
107. - Medtronic PLC	A	Dividend			Sold	01/30/18	K	A	
108. - Alibaba Group Hldg Ltd		None	J	T	Buy	01/30/18	J		
109.					Sold	06/07/18	J	A	
110.					Buy	11/16/18	K		
111. - JP Morgan Chase & Co		None			Buy	02/16/18	K		
112.					Sold	03/16/18	K	A	
113. - Home Depot Inc Com	A	Dividend	K	T	Buy	02/23/18	K		
114.					Sold	03/16/18	K		
115.					Buy	09/13/18	K		
116. - Salesforce Com Inc		None	K	T	Buy	04/12/18	K		
117.					Sold (part)	12/26/18	K	B	
118. - Micron Technology		None			Buy	05/30/18	J		
119.					Sold	10/24/18	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 11 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. - Verizon Communications		None	K	T	Buy	11/16/18	K		
121. IRA #3 (H)									
122. - Dodge & Cox Stock Fd.	A	Dividend	J	T	Sold (part)	02/08/18	J	B	
123. - Dodge & Cox Balanced Fd.	C	Dividend	J	T	Sold (part)	12/21/18	J	B	
124. - Dodge & Cox Income Fd.	B	Dividend	M	T	Buy (add'l)	02/08/18	L		
125.					Sold (part)	02/22/18	K	D	
126.					Buy (add'l)	06/25/18	L		
127.					Buy (add'l)	10/25/18	K		
128.					Buy (add'l)	12/11/18	J		
129.					Sold (part)	12/11/18	J	B	
130.					Buy (add'l)	12/21/18	J		
131. - Dodge & Cox International Stock Fd		None			Sold (part)	02/08/18	K	D	
132.					Buy (add'l)	02/22/18	K		
133.					Sold (part)	06/25/18	L	D	
134.					Sold (part)	10/25/18	K	C	
135.					Sold	12/11/18	J	B	
136. IRA #4 (H)									

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 12 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. - Proshares Large Cap Core Plus ETF	A	Dividend			Sold	03/14/18	K	B	
138. - MFS Intl Diversification I Fund	A	Dividend	K	T	Buy (add'l)	01/05/18	J		
139. - AIG Focused Div Strat A Fund	A	Dividend	K	T	Buy (add'l)	01/05/18	J		
140. - Tweedy Brown Global Value Fund		None			Sold	01/05/18	K	A	
141. - iShares Russell 3000 ETF		None			Buy (add'l)	01/05/18	J		
142.					Sold	06/26/18	K	B	
143. - Cambiar SMID Investor Fund	C	Dividend	K	T	Buy (add'l)	01/05/18	J		
144.					Buy (add'l)	06/26/18	K		
145. - AMG Yackman I Fund		None			Sold	01/05/18	J	A	
146. - Putnam Capital Spectrum Y Fund		None			Sold	01/05/18	J	A	
147. - Highland Global Allocation I Fund		None			Sold	01/05/18	J	A	
148. - Western Asset Macro Opport I Fund		None			Sold	03/14/18	J	A	
149. - Templeton Global Total Return Adv Fund	A	Dividend	J	T					
150. - BrandywineGlobal Alt Credit I F/K/A Legg Mason BW Alt Credit I Fund	A	Dividend	J	T					
151. - Invesco Balanced-Risk Alloc Y Fund		None			Sold	01/05/18	J	A	
152. - Loomis Sayles Strategic Inc Y Fund		None			Sold	01/05/18	J	A	
153. - EV MultiSector Inc I Fund		None			Sold	01/05/18	J	A	

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

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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. - Oakmark International I Fund		None			Sold	01/05/18	J	A	
155. - Oppenheimer Developing Markets Y Fund		None			Sold	01/05/18	J	A	
156. - Dbx ETF Tr Xtrack Rusl 1000		None			Sold	01/05/18	J	A	
157. - Pimco Enhanced Shrt Mtrt Exc ETF	A	Dividend			Sold	01/05/18	J	A	
158. - FT North American Energy Infra	A	Dividend	K	T	Buy (add'l)	01/05/18	K		
159.					Buy (add'l)	06/26/18	K		
160. - Lord Abbett Flt Rt F Fund	A	Dividend			Sold	01/05/18	J	A	
161. - WisdomTree TR EM Mkts Qly Div ETF		None			Buy (add'l)	01/05/18	K		
162.					Sold	03/14/18	K	B	
163. - Goldman Sachs Strategic Inc I Fund		None			Sold	01/05/18	J	A	
164. - Catalyst Millburn HGD Strat I	A	Dividend	K	T	Buy	01/05/18	K		
165. - American Bond Fund of America F2	A	Dividend	L	T	Buy	01/16/18	K		
166.					Buy (add'l)	10/08/18	L		
167.					Sold (part)	12/13/18	J	A	

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

Name of Person Reporting	Date of Report
Ebel, David M.	06/04/2019

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

1) This report was prepared on my behalf by my accountant.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Ebel, David M.

Date of Report

06/04/2019

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/ David M. Ebel**

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