

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) Pappert, Gerald J.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 09/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge- Active Status	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 U.S. Courthouse 601 Market Street, Room 5614 Philadelphia, PA 19106		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	General Partner	Marza, L.P.
2.	Trustee	Trust No 1
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2001	Pennsylvania State Employees' Retirement System Defined Benefit Pension Plan
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Pennsylvania State Retirement Benefits	\$8,430.52
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.				
2.				
3.				
4.				
5.				

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

☒ NONE *(No reportable gifts.)*

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

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

☒ NONE *(No reportable liabilities.)*

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

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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. 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. BARCLAYS COMMODITY IPATH ETN	A	Dividend			Sold	04/11/16	K	A	
2. BOONE CTY KY SCHOOL DISTRICT BONDS	A	Dividend	M	T					
3. BMW BANK CD	A	Interest			Redeemed	07/19/16	K		
4. BUFFALO NY BONDS	A	Dividend	K	T					
5. CALAMOS MARKET NEUTRAL CLASS A	A	Dividend	M	T	Sold (part)	05/23/16	K	A	
6. CALAMOS MARKET NEUTRAL INCOME FUND	B	Dividend	K	T	Sold (part)	05/09/16	J	A	
7.					Buy (add'l)	01/20/16	J		
8.					Buy (add'l)	01/21/16	J		
9.					Buy (add'l)	01/27/16	J		
10.					Buy (add'l)	10/20/16	J		
11. CENTRAL GREENE PA SCHOOL DISTRICT BONDS	A	Interest	M	T					
12. DISCOVER BANK GREENWOOD DELCD	A	Interest	K	T					
13. ELK CNTY PA INDUSTRIAL DEVELOPMENT AUTHORITY BONDS	A	Interest			Redeemed	04/01/16	M		
14. EUROPACIFIC GROWTH FUND #1	A	Dividend	J	T	Sold (part)	01/19/16	K	A	
15. EUROPACIFIC GROWTH FUND #2	E	Dividend	M	T					
16. FIDELITY CASH RESERVES	A	Dividend	J	T					
17. FIDELITY MUNICIPAL MONEY MARKET	A	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 P3 –\$250,000.01 - \$500,000.00	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	P1 –\$1,000,001 - \$5,000,000 P4 –More than \$5,000,000	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	

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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 I (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. FIDELITY TOTAL BOND FUND	A	Dividend	J	T	Sold (part)	12/19/16	J		
19. FIDELITY INTERM MUNI FUND	A	Dividend			Buy	08/01/16	L		
20.					Buy (add'l)	09/19/16	M		
21.					Sold	12/08/16	M		
22. FIDELITY FLOATING RATE HIGH INCOME FUND	D	Dividend			Sold	01/12/16	M		
23. FIDELITY INFOMRATION TECH INDEX FUND	A	Dividend			Buy	03/04/16	J		
24.					Sold	05/02/16	J		
25. FIDELITY MSCI CONSUMER DISCRETIONARY FUND	A	Dividend			Buy (add'l)	02/22/16	J		
26.					Buy (add'l)	03/04/16	J		
27.					Sold	07/01/16	J	A	
28. FIDELITY MSCI INDUSTRIAL INDEX FUND	A	Dividend			Buy	04/14/16	L		
29.					Sold	07/07/16	L	A	
30. FIDELITY MSCI MATERIALS INDEX FUND	A	Dividend			Buy	05/03/16	J		
31.					Sold (part)	07/06/16	J	B	
32.					Sold	08/02/16	J	D	
33. FIDELITY MSCI ENERGY INDEX FUND	A	Dividend			Sold (part)	01/20/16	J		
34.					Sold	04/21/16	L		

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

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☐ 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. FIDELITY MSCI FINANCIALS INDEX FUND	A	Dividend			Sold (part)	02/04/16	J		
36.					Sold	02/09/16	J		
37. FIDELITY MSCI HEALTH CARE INDEX FUND	A	Dividend			Sold (part)	04/11/16	J		
38.					Sold	04/13/16	J		
39. FIDELITY TREASURY MONEY MARKET	A	Interest	M	T					
40. GATEWAY FUND CLASS A	A	Dividend	K	T	Buy (add'l)	01/20/16	J		
41.					Buy (add'l)	01/21/16	J		
42.					Buy (add'l)	10/20/16	J		
43.					Buy (add'l)	12/15/16	J		
44.					Sold (part)	05/10/16	J	A	
45. GATEWAY FUND CLASS Y	A	Dividend	M	T	Sold (part)	05/23/16	K	B	
46. GATES CHILI NY CENTRAL SCHOOL DISTRICT BONDS	A	Interest			Redeemed	06/16/16	M		
47. GLAXOSMITHKLINE CAPITAL PLC NOTE	A	Interest	K	T					
48. GOLDMAN SACHS NY CD	A	Interest	K	T					
49. GREATER JOHNSTOWN PA SCHOOL DISTRICT BONDS	A	Interest	M	T					
50. GREENFIELD MA BONDS	A	Dividend	M	T					
51. HIGHLAND LONG SHORT EQUITY FUND A	A	Dividend			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 \$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	

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52.					Sold (part)	04/11/16	J		
53.					Sold (part)	05/10/16	J		
54.					Sold	06/09/16	J		
55. HIGHLAND LONG SHORT EQUITY FUND Z	A	Dividend			Sold (part)	04/11/16	K		
56.					Sold (part)	05/23/16	K		
57.					Sold	06/09/16	M	A	
58. HARBOR CREEK PA SCHOOL DISTRICT BONDS	A	Interest			Redeemed	08/01/16	K		
59. IBM CORP NOTE	A	Dividend	K	T					
60. INTEL CORP	A	Dividend			Sold	10/01/16	K	A	
61. ISHARES EDGE EMERGING MARKETS	B	Dividend	L	T	Buy	01/08/16	L		
62.					Buy (add'l)	02/04/16	K		
63.					Buy (add'l)	03/04/16	J		
64.					Buy (add'l)	03/17/16	K		
65.					Buy (add'l)	04/12/16	K		
66.					Sold (part)	07/06/16	J	B	
67.					Sold (part)	11/21/16	L		
68.					Sold (part)	11/25/16	L	A	

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

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69. ISHARES CORE US BOND MARKET EFT	B	Dividend	K	T	Buy	07/19/16	J		
70.					Buy (add'l)	09/15/16	J		
71.					Buy (add'l)	09/23/16	J		
72.					Buy (add'l)	10/03/16	K		
73.					Buy (add'l)	10/20/16	J		
74.					Sold (part)	12/15/16	J	A	
75. ISHARES CORE MSCI EAFE EFT	B	Dividend	M	T	Buy	03/04/16	J		
76.					Buy (add'l)	08/15/16	J		
77.					Buy (add'l)	10/03/16	J		
78.					Buy (add'l)	10/07/16	K		
79.					Buy (add'l)	10/20/16	J		
80.					Buy (add'l)	11/11/16	K		
81.					Sold (part)	01/11/16	K	D	
82.					Sold (part)	06/27/16	M	A	
83. ISHARES CORE MSCI EMERGING MARKETS	A	Dividend	N	T	Buy (add'l)	03/18/16	J		
84.					Buy (add'l)	03/21/16	K		
85.					Buy (add'l)	04/12/16	L		

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	
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86.					Buy (add'l)	04/20/16	K		
87.					Buy (add'l)	06/15/16	K		
88.					Buy (add'l)	07/06/16	J		
89.					Buy (add'l)	07/08/16	K		
90.					Buy (add'l)	07/18/16	J		
91.					Buy (add'l)	08/24/16	J		
92.					Buy (add'l)	10/20/16	J		
93.					Buy (add'l)	11/21/16	L		
94.					Sold (part)	01/08/16	L	E	
95. ISHARES CORE S&P 500 EFT	F	Dividend	P1	T	Buy	01/21/16	J		
96.					Buy (add'l)	03/04/16	J		
97.					Buy (add'l)	09/23/16	J		
98.					Buy (add'l)	10/03/16	J		
99.					Buy (add'l)	10/05/16	K		
100.					Buy (add'l)	10/20/16	J		
101. ISHARES CORE S&P MID CAP EFT	E	Dividend	N	T	Buy (add'l)	09/23/16	J		
102.					Buy (add'l)	10/03/16	J		

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103.					Buy (add'l)	10/20/16	J		
104. ISHARES CORE S&P SMALL CAP	A	Dividend	M	T	Buy (add'l)	03/04/16	J		
105. ISHARES DJ US TECH INDEX FUND	D	Dividend	L	T	Sold (part)	05/02/16	K	D	
106. ISHARES 1-3 YEAR TREASURY BONDS	D	Dividend			Buy	01/20/16	J		
107.					Buy (add'l)	01/21/16	J		
108.					Buy (add'l)	01/26/16	J		
109.					Buy (add'l)	03/04/16	J		
110.					Sold (part)	02/22/16	K		
111.					Sold	04/08/16	J		
112. ISHARES EDGE USA MINIMUM VOLATILITY	D	Dividend	M	T	Buy	01/14/16	K		
113.					Buy (add'l)	01/20/16	K		
114.					Buy (add'l)	01/21/16	K		
115.					Buy (add'l)	02/23/16	L		
116.					Sold (part)	03/04/16	K	B	
117.					Sold (part)	04/21/16	J	A	
118.					Sold (part)	05/18/16	J	A	
119.					Sold (part)	07/14/16	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 \$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	

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Pappert, Gerald J.

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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. 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.					Sold (part)	10/15/16	K	C	
121. ISHARES EDGE MINIMUM VOLITILITY EAFE	D	Dividend			Buy	01/11/16	K		
122.					Buy (add'l)	01/19/16	K		
123.					Buy (add'l)	02/04/16	K		
124.					Buy (add'l)	02/22/16	J		
125.					Sold (part)	08/19/16	J	A	
126.					Sold (part)	09/01/16	J	D	
127.					Sold (part)	10/07/16	K	B	
128.					Sold	11/11/16	K	B	
129. ISHARES INFLATION PROTECTED	F	Dividend	N	T	Buy	03/21/16	M		
130.					Buy (add'l)	04/08/16	J		
131.					Buy (add'l)	04/12/16	M		
132.					Buy (add'l)	07/19/16	K		
133.					Buy (add'l)	10/20/16	J		
134. ISHARES INTERNATIONAL TREASURY BONDS	B	Dividend			Buy	05/09/16	M		
135.					Buy (add'l)	05/23/16	M		
136.					Buy (add'l)	07/19/16	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	

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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. 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.					Sold (part)	07/25/16	L	A	
138.					Sold	09/14/16	M	C	
139. ISHARES JPMORGAN EMERGE BONDS	D	Dividend	L	T	Buy	04/26/16	L		
140.					Buy (add'l)	05/17/16	J		
141.					Buy (add'l)	10/20/16	J		
142. ISHARES MIDCAP 400 GROWTH FUND	D	Dividend			Buy	02/04/16	L		
143.					Sold (part)	03/21/16	K		
144.					Sold	05/05/16	M	C	
145. ISHARES S&P SMALL CAP VALUE	B	Dividend	M	T	Buy	05/05/16	M		
146.					Buy (add'l)	08/08/16	J		
147.					Sold (part)	12/15/16	J	A	
148.					Sold (part)	12/19/16	J	A	
149. ISHARES CORE S&P SM CAP EFT	A	Dividend			Sold	03/08/16	J	A	
150. ISHARES S&P SMALLCAP 600 GROWTH FUND	C	Dividend			Sold (part)	01/21/16	K		
151.					Sold (part)	03/18/16	K	A	
152.					Sold	05/03/16	M	C	
153. ISHARES SHORT TERM NATIONAL MUNI BOND	A	Dividend			Buy	01/07/16	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 \$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	

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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. 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.					Buy (add'l)	01/26/16	L		
155.					Sold	03/21/16	M	A	
156. ISHARES MSCI TOTAL INTER ST	A	Dividend	M	T	Buy	06/27/16	M		
157. ISHARES RUSSELL 2000 INDEX FUND	E	Dividend	N	T					
158. JACKSON COUNTY MO SCHOOL DISTRICT BONDS	A	Interest	M	T					
159. JANUS TRITON FUND	D	Dividend			Sold	02/04/16	M	D	
160. MAINSTAY MARKETFIELD FUND	A	Dividend			Sold	01/27/16	J	A	
161. MAINSTAY MARKETFIELD FUND CLASS I	A	Dividend			Sold	07/21/16	J	A	
162. MERCK & CO	A	Interest	K	T					
163. MERGER FUND	D	Dividend	M	T	Buy	01/20/16	J		
164.					Buy (add'l)	02/01/16	J		
165.					Buy (add'l)	06/14/16	K		
166.					Buy (add'l)	09/23/16	J		
167.					Buy (add'l)	10/20/16	J		
168.					Buy (add'l)	12/13/16	J		
169.					Sold (part)	03/21/16	J		
170.					Sold (part)	04/11/16	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 \$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	

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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. 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.					Sold (part)	04/18/16	K		
172.					Sold (part)	05/10/16	K		
173. MORRIS PLAINS NJ MUNICIPAL BONDS	A	Interest	M	T	Buy	02/08/16	M		
174. MORRIS TOWNSHIP NY GO BONDS	A	Interest	M	T					
175. MT LEBANON PA GO BONDS	A	Interest	L	T	Buy	06/29/16	M		
176. PARK CITY KANSAS GO BONDS	A	Interest	M	T	Buy	01/22/16	M		
177. PA STATE COLLEGE REVENUE BONDS	A	Interest			Redeemed	03/01/16	K	A	
178. PFIZER INC NOTE	A	Interest	K	T	Buy	02/22/16	K		
179. PACIRA PHARMACEUTICALS INC	A	Dividend	J	T	Sold (part)	10/14/16	K		
180. PIMCO COMMODITY PLUS STRATEGY FUND	A	Dividend			Buy	03/04/16	J		
181.					Buy (add'l)	03/17/16	J		
182.					Buy (add'l)	04/28/16	J		
183.					Buy (add'l)	05/23/16	K		
184.					Sold	08/01/16	K		
185. PIMCO COMMODITY REAL RETURN	B	Dividend	M	T	Buy	04/12/16	L		
186.					Buy (add'l)	06/08/16	J		
187.					Buy (add'l)	08/02/16	L		

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	

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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. 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. PHELPS-CLIFTON SPRINGS NY CENTRAL SCHOOL DISTRICT BONDS	C	Interest	M	T					
189. PIKE COUNTY KY SCHOOL DISTRICT BONDS	C	Interest	M	T					
190. RINGWOOD NJ BOARD OF EDUCATION BONDS	B	Interest	M	T					
191. ROMEO MI COMMUNITY SCHOOL DISTRICT BONDS	B	Interest	M	T					
192. SWATARA TOWNSHIP PA BONDS	A	Interest	M	T					
193. PA STATE PUBLIC SCHOOL BUILDING AUTHORITY BONDS	A	Interest			Redeemed	10/17/16	M	A	
194. SPARTAN US EQUITY INDEX FUND	D	Dividend	K	T					
195. SPDR S&P PHARMACEUTICALS ETF	B	Dividend			Buy	10/14/16	K		
196.					Sold	12/19/16	K	B	
197. TEMPLETON GLOBAL BOND FUND	A	Dividend			Sold (part)	01/08/16	K		
198.					Sold	01/26/16	K		
199. TEMPLETON GLOBAL BOND CLASS A	D	Dividend			Sold (part)	01/08/16	J		
200.					Sold	01/26/16	J		
201. TOYOTA FINANCIAL	A	Dividend	K	T	Buy	01/26/16	K		
202. TORTOISE MLP & PIPELINE INSTITUTIONAL CLASS FUND	A	Dividend	M	T					
203. TORTOISE MLP & PIPELINE INVESTOR CLASS FUND	A	Dividend	L	T	Buy (add'l)	04/26/16	L		
204.					Buy (add'l)	04/27/16	J		

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

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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)
205.					Buy (add'l)	05/20/16	J		
206.					Buy (add'l)	05/23/16	J		
207.					Buy (add'l)	06/22/16	J		
208.					Buy (add'l)	07/01/16	K		
209.					Sold (part)	01/20/16	J		
210.					Sold (part)	09/29/16	J	B	
211. UTAH STATE BUILDING OWNERSHIP AUTHORITY BOND	A	Interest			Redeemed	05/17/16	L		
212. UNIVERSITY OF NORTHERN IOWA BONDS	A	Interest	K	T					
213. WAUWATOSA WI MUNICIPAL BONDS	B	Interest	M	T					
214. AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	D	Dividend	O	T	Sold (part)	02/23/16	K	D	
215. VANGUARD TOTAL STOCK MARKET FUND	E	Dividend	L	T					
216. WELLS FARGO PREMIERLARGE COMPANY GROWTH FUND	E	Dividend	M	T	Sold (part)	02/23/16	K	D	
217.					Sold (part)	03/21/16	K	D	
218.					Sold (part)	04/12/16	L	E	
219.					Sold (part)	04/26/16	L	E	
220. WILLIAMSPORT PA SANITARY AUTHORITY BONDS	A	Interest			Redeemed	01/04/16	K	A	
221. WILSHIRE 5000 INDEX FUND	A	Dividend	J	T					

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

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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)
222.									
223. FLBEACH, OC, LLC	A	Interest	K	U	Open				Abundance Wealth Counselor
224. ALTOONA NPRLP	C	Distribution	L	U	Open				Abundance Wealth Counselor
225. PACIFIC LIFE INDEXED ACCUMULATION	A	Interest	K	W					
226. -FIXED ACCOUNT	C	Interest	J	T					
227. -1YEAR INDEX FUND S&P500	A	Interest	J	T					
228. -1YEAR INTERNATIONAL INDEX FUND EURO STOCK 500	A	Interest	K	T					
229. URBAN STORAGE FUND, LP 2013	A	None	L	U	Open				Abundance Wealth counselor
230. VILLAGE OF CANTERBURY, LP		None	M	U	Open				Abundance Wealth Counselor
231. HONEY FARMS MANAGEMENT, LLC		None	L	U	Buy	11/04/16	L		Abundance Wealth Counselor
232.									
233.									
234.									
235.									
236.									
237.									
238.									

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	

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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. 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)

239.									
240.									
241.									
242.									
243.									
244.									
245.									
246.									
247.									
248.									
249.									
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255.									

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

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Pappert, Gerald J.

Date of Report

09/25/2017

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)

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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	

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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. 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)

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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	

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

Trust No. 1, listed in section I of this report, is an unfunded Trust.

Line 3 BMW Bank CD was reported at Line #55 of the 2014 Report, erroneously omitted from the 2015 Report and sold on 7/19/2016 as reported in the 2016 Amended Report.

Line 105 of this 2016 Amended Report uses the correct title for this fund. The fund was incorrectly titled at line #111 in the 2015 Amended Report

Line 161 The Mainstay Marketfield Fund Class 1 of this 2016 Amended Report is the correct name of the fund. The word Mainstay was omitted at line 159 of the initial 2016 Report.

Lines 202 and 203 In 2015, these funds were one fund, the Tortise MLP & Pipeline Investor Class Fund, listed at line #177 of the 2015 Amended Report. In 2016, the fund was separated into the two funds now listed at lines 202 and 203 of this Amended Report. Going forward, they will be listed as separate classes, as they are here

Line 223 FLBeach, OC, LLC was purchased on 08/01/2014 \$50,000

Line 224 Altoona NPPE, LP was purchased 10/28/2015 \$100,000

Line 229 Urban Storage Fund, LP was purchased 07/30/2013 \$100,000
Additional Urban Storage Fund, LP was purchased 04/04/2014 \$100,000

Line 230 Village of Canterbury, LP was purchased 04/12/2012 \$150,000

Line #231 Honey Farms Management, LLC was purchased on 11/04/2016 \$100,000

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Pappert, Gerald J.

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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/ **Gerald J. Pappert**

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
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