

# FINANCIAL DISCLOSURE REPORT INITIAL FILING

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Harjani, Sunil R.                                                                                                                    | <b>2. Court or Organization</b><br><br>United States District Court - Northern District of Illinois                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/31/2019                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States Magistrate Judge                                                | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input checked="" type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>05/01/2019 |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>Dirksen Federal Building<br>219 South Dearborn Street<br>Chicago, IL 60604                                                    |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

| <u>POSITION</u>                   | <u>NAME OF ORGANIZATION/ENTITY</u>              |
|-----------------------------------|-------------------------------------------------|
| 1. Board Member                   | Leadership Greater Chicago                      |
| 2. Board Member                   | Northwestern Law School Alumni Club of Chicago  |
| 3. Volunteer Council Member       | Center for Conflict Resolution                  |
| 4. Board Member                   | Federal Bar Association, Chicago Chapter        |
| 5. Senior Advisory Council member | South Asian Bar Association                     |
| 6. Committee Co-Chair             | American Bar Association, Section of Litigation |
| 7. Adjunct Professor              | Northwestern University School of Law           |
| 8. Associates Board Member        | Ravinia Festival                                |
| 9. Sensei                         | Traditional Karate Club of Wilmette             |

## 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.          |                          |
| 2.          |                          |

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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Harjani, Sunil R.        | 05/31/2019     |

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><br>(yours, not spouse's) |
|-------------|--------------------------------------------------|----------------------------------------|
| 1. 2018     | Northwestern University School of Law (teaching) | \$300.00                               |
| 2.          |                                                  |                                        |
| 3.          |                                                  |                                        |
| 4.          |                                                  |                                        |

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

| <u>DATE</u>  | <u>SOURCE AND TYPE</u>                    |
|--------------|-------------------------------------------|
| 1. 2018-2019 | Northwestern University (salary/teaching) |
| 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. Exempt     |              |                 |                |                               |
| 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.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 1. | Exempt        |                    |              |
| 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. |                 |                    |                   |

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

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

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

|                                                                        |   |          |   |   |        |  |  |  |  |
|------------------------------------------------------------------------|---|----------|---|---|--------|--|--|--|--|
| 1. JPMorgan Chase Bank (cash)                                          | A | Interest | N | T | Exempt |  |  |  |  |
| 2. Rental property, Glenview, IL                                       | E | Rent     | M | W |        |  |  |  |  |
| 3. IRA #1 (H)                                                          |   |          |   |   |        |  |  |  |  |
| 4. FIDELITY GOVERNMENT MONEY MKT (SPAXX)                               | A | Dividend | K | T |        |  |  |  |  |
| 5. FIDELITY 500 INDEX PREM FUND (FXAIX)                                | C | Dividend | M | T |        |  |  |  |  |
| 6. FIDELITY U.S. BOND INDEX PREM FUND (FXNAX)                          | B | Dividend | L | T |        |  |  |  |  |
| 7. VANGUARD WHITEHALL FDS HIGH DIVIDEND YIELD ETF SHS (VYM)            | B | Dividend | K | T |        |  |  |  |  |
| 8. VANGUARD INTL EQUITY INDEX FUND INC FTSE EMERGING MARKETS ETF (VWO) | A | Dividend | J | T |        |  |  |  |  |
| 9. VANGUARD INDEX FDS S&P 500 (VOO)                                    | B | Dividend | L | T |        |  |  |  |  |
| 10. VANGUARD INDEX FDS VANGUARD SMALL CAP (VB)                         | A | Dividend | K | T |        |  |  |  |  |
| 11. VANGUARD INDEX FDS VANGUARD TOTAL STK MKT ETF (VTI)                | B | Dividend | L | T |        |  |  |  |  |
| 12. VANGUARD BD INDEX FD INC LONG TERM BD ETF (BLV)                    | A | Dividend | K | T |        |  |  |  |  |
| 13. VANGUARD BD INDEX FUND INC TOTAL BOND MARKET ETF (BND)             | A | Dividend | K | T |        |  |  |  |  |
| 14. VANGUARD SCOTTSDALE FUNDS LONG-TERM CORP BOND IDX FUND (VCLT)      | A | Dividend | K | T |        |  |  |  |  |
| 15. TESLA INC COM (TSLA)                                               |   | None     | K | T |        |  |  |  |  |
| 16. IRA #2 (H)                                                         |   |          |   |   |        |  |  |  |  |

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

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

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

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

|                                                 |   |          |   |   |  |  |  |  |  |
|-------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 17. T ROWE PR BLUE CHIP GRWTH FD (TRBCX)        | A | Dividend | K | T |  |  |  |  |  |
| 18. VANGUARD GRWTH & INC PORT (VQNPX)           | B | Dividend | J | T |  |  |  |  |  |
| 19. VANGUARD SPECIALIZED PORT REIT INDX (VGSIX) | A | Dividend | J | T |  |  |  |  |  |
| 20. RETIREMENT ACCT #1 (H)                      |   |          |   |   |  |  |  |  |  |
| 21. Vang Primecap ADM (VPMAX)                   | E | Dividend | M | T |  |  |  |  |  |
| 22. JH Discl Value R6 (JDVWX)                   | E | Dividend | M | T |  |  |  |  |  |
| 23. Metwest TOT RTN BD P (MWT SX)               | B | Dividend | L | T |  |  |  |  |  |
| 24. Vang TOT Intl Stk IS (VGT SX)               | A | Dividend | J | T |  |  |  |  |  |
| 25. Vang EXT Mkt Idx ISP (VEMPX)                | A | Dividend | J | T |  |  |  |  |  |
| 26. Vang EXT Mkt Idx INS (VIEIX)                | A | Dividend |   |   |  |  |  |  |  |
| 27. Vanguard Inst Index (VINIX)                 | A | Dividend |   |   |  |  |  |  |  |
| 28. Vang Inst Index Plus (VIIX)                 | A | Dividend | K | T |  |  |  |  |  |
| 29. Vang TOT BD Mkt Inst (VBTIX)                | A | Dividend | J | T |  |  |  |  |  |
| 30. Blkrk LP Idx 2040 K (LIKX)                  | D | Dividend | M | T |  |  |  |  |  |
| 31. Blkrk LP Idx 2050 K (LIPKX)                 | A | Dividend | J | T |  |  |  |  |  |
| 32. Blkrk LP Idx 2045 K (LIHKX)                 | A | Dividend | J | T |  |  |  |  |  |
| 33. 403B ACCT #1 (H)                            |   |          |   |   |  |  |  |  |  |

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

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|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 34. Vang Primecap ADM (VPMAX)                                                                                             | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 35. JH Discpl Value R6 (JDVWX)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. Metwest TOT RTN BD P (MWTSX)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. Vang TOT Intl Stk IS (VGTSX)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. Vang EXT Mkt Idx ISP (VEMPX)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. Vang Inst Index Plus (VIIIIX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. Vang TOT BD Mkt Inst (VBTIX)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. Blkrk LP Idx 2040 K (LIKXK)                                                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. Blkrk LP Idx 2050 K (LIPKX)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. Blkrk LP Idx 2045 K (LIHKX)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. BROKERAGE ACCT #1 (H)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 45. ML BANK DEPOSIT PROGRAM (cash)                                                                                        | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. Abbvie Inc (ABBV)                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. Altria Group (MO)                                                                                                     | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. Apple Inc (AAPL)                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. Archer Daniels Midland (ADM)                                                                                          | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. AT&T Inc (T)                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 51. Cisco Systems Inc (CSCO)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 52. Motorola Solutions Inc (MSI)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. AMERICAN INCOME FUND OF AMERICA (IFAFX)                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. AMERICAN GROWTH FUND OF AMERICA (GFAFX)                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. BLACKROCK ADV INTL FD A (BROAX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. BLACKROCK ADV LG CAP GRWTH FD A (BMCAX)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. BLACKROCK BASIC VALUE FD INC A (MDBAX)                                                                                  | D                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. OPPENHEIMER GLOBAL OPPS FD SBI (OPGIX)                                                                                  | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. TEMPLETON GRWTH FD INC A (TEPLX)                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. BROKERAGE ACCT #2 (H)                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. VANGUARD REIT ETF (VNQ)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. VANGUARD TOT STK MKT ETF (VTI)                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. T ROWE PR EQ INC (PRFDX)                                                                                                | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. VANGUARD WINDSOR II FD (VWNFX)                                                                                          | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. VANGUARD TOT STK MKT INDX FD (VTSMX)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. BROKERAGE ACCT #3 (H)                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 67. WELLS FARGO EXPANDED BANK DEPOSIT (CASH)                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harjani, Sunil R.

Date of Report

05/31/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 68. AGILENT TECH INC (A)                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 69. AMEREN CORP (AEE)                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. BP PLC SPONS ADR (BP)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. COCA-COLA COMPANY (KO)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. COCA-COLA EUROPEAN PARTNERS<br>PLC (CCEP)                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. CONOCOPHILLIPS (COP)                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 74. DEERE & CO (DE)                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. DISNEY WALT COMPANY (DIS)                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. EXELON CORPORATION (EXC)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. FORD MOTOR CO (F) (Y)                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 78. HEWLETT PACKARD ENTERPRISE CO<br>(HPE)                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. HP INC (HPQ)                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. INTEL CORP (INTC)                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. KEYSIGHT TECHS INC (KEYS)                                                                                               |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. MICRON TECHNOLOGY INC (MU)                                                                                              |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. PROCTER & GAMBLE CO (PG)                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. VERIZON COMMUNICATIONS (VZ)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harjani, Sunil R.

Date of Report

05/31/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
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| 85. INVESCO GROWTH & INCOME FD CL A (ACGIX)                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 86. INVESCO MID CAP GROWTH FD CL A (VGRAX)                                                                                  | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. AB CAP FD INC RELATIVE VALUE FD CL A (CABDX)                                                                            | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. COLUMBIA ACORN INTL FD CL A (LAIA)                                                                                      | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. COLUMBIA FDS SER TR I MID CAP GROWTH FUND A (CBSAX)                                                                     | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 90. EUROPACIFIC GROWTH FD CLASS A (AEPGX)                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. FIRST EAGLE GLOBAL INC GLOBAL FD CL A (SGENX)                                                                           | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 92. GOLDMAN SACHS SMALL CAP VALUE FD CL A (GSSMX)                                                                           | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. LORD ABBETT BD-DEB A (LBNDX)                                                                                            | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. OPPENHEIMER GLOBAL FD CL A (OPPAX)                                                                                      | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. PIONEER SER TR IV CLASSIC BALANCED FD CLASS A (AOBLX)                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 96. BROKERAGE #4 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 97. JPMORGAN TR II MUN MONEY MKT FD I (IJMXX) (cash)                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. AMCAP FD A (AMCPX)                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. INCOME FD OF AMERICA (AMECX)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 100. INVESTMENT CO AMER CL A (AIVSX)                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 101. PUTNAM EQUITY INCOME FUND NEW A (PEYAX)                                                                                | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harjani, Sunil R.

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

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 102. BROKERAGE #5 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 103. NORTHERN SMALL CAP VALUE<br>(NOSGX)                                                                                    | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. NORTHERN INCOME EQUITY (NOIEX)                                                                                         | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105. NORTHERN STOCK INDEX (NOSIX)                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. NORTHERN MONEY MARKET<br>(NORXX)                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. 529 ACCT #1 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 108. BRIGHT START EQUITY PORTFOLIO                                                                                          |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 109. BRIGHT START INDEX EQUITY<br>PORTFOLIO                                                                                 |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 110. BRIGHT START INDEX BALANCED<br>PORTFOLIO                                                                               |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 111. BRIGHT START INDEX FIXED INCOME<br>PORTFOLIO                                                                           |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 112. 529 ACCT #2 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 113. BRIGHT START EQUITY PORTFOLIO                                                                                          |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 114. BRIGHT START INDEX EQUITY<br>PORTFOLIO                                                                                 |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115. BRIGHT START INDEX BALANCED<br>PORTFOLIO                                                                               |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 116. BRIGHT START INDEX FIXED INCOME<br>PORTFOLIO                                                                           |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. 529 ACCT #3 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 118. Bright Start Balanced Portfolio                                                                                        |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harjani, Sunil R.

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| 119. Bright Start Fixed Income Portfolio                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 120. Bright Start Index Equity Portfolio                                                                                    |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 121. Bright Start Index Balanced Portfolio                                                                                  |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122. Bright Start Index Fixed Income Portfolio                                                                              |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123. 529 ACCT #4 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 124. Bright Start Equity Portfolio                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. Bright Start Balanced Portfolio                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126. Bright Start Fixed Income Portfolio                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. Bright Start Index Equity Portfolio                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. T Rowe Price Large-Cap Growth 529 Portfolio                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. Vanguard Explorer 529 Portfolio                                                                                        |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. Vanguard Total Intl Stock Index 529 Port                                                                               |                                         | None                                          |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 131. Vanguard Total Stock Mkt 529 Port                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

|                                                             |                                     |
|-------------------------------------------------------------|-------------------------------------|
| <b>Name of Person Reporting</b><br><b>Harjani, Sunil R.</b> | <b>Date of Report</b><br>05/31/2019 |
|-------------------------------------------------------------|-------------------------------------|

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

Part III A: No reportable income for 2017 or 2019.

The 529 accounts listed in Part VII do not allocate income to individual holdings. They are based in unit value as described on page 42 of the filing instructions.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harjani, Sunil R.

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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/ Sunil R. Harjani**

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