

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial) TREADWELL, MARC T.	2. Court or Organization UNITED STATES DISTRICT COURT, MIDDLE DISTRICT OF GEORGIA	3. Date of Report 01/27/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address P. O. BOX 65 MACON, GA 31202		
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. Member of Board of Trustees	Mercer University
2. Member of Board of Trustees	The Peyton Anderson Foundation
3. Member of Board of Trustees	Walter F. George School of Law Foundation, Inc.
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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. 2018	Mercer Law School - Salary	\$2,000.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Self-employed landscape architect (d/b/a WT Designs)
2. 2018	Self-employed real estate professional (d/b/a WT Development, LLC)
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. American College of Trial Lawyers Mid-Year Meeting	02/28/2018 - 03/02/2018	Phoenix, AZ	Speaker at seminar	Transportation, meals, hotel
3. Jere White Seminar	11/08/2018 - 11/09/2018	Birmingham, AL	Speaker at seminar	Meals, hotel
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 21

Name of Person Reporting
TREADWELL, MARC T.

Date of Report
01/27/2020

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.	Merrill Lynch	Line of Credit-assets of Brkrgr #1 (Part VII,Lns 7-9) and Brkrgr #3 (Part VII,Lns 48-101) are collateral.	K
2.	Renasant Bank	Construction loan for improvements to Property #3 (Part VII, Ln 4).	N
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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. State Bank and Trust Company Accounts (Y)									
2. Rental Property #1, Fripp Island, South Carolina	C	Rent	O	W					
3. Rental Property #2, Macon, Georgia	D	Rent	M	W					
4. Rental Property #3, Macon, Georgia	C	Rent	L	W					
5. Rental Property #4, Auburn, Alabama	E	Rent	M	W					
6. Lincoln National Life - Survivorship universal life policy		None	L	V					
7. Brokerage #1 (H)									
8. -Merrill Lynch Cash Management Account	A	Interest	J	T					
9. -Apple Inc. (common)	A	Dividend	K	T					
10. Brokerage #2 (H)									
11. -Merrill Lynch Cash Management Account	A	Interest	J	T					
12. -Amazon Com Inc (common)		None	J	T	Buy	09/21/18	J		
13. -American Express Company (common)	A	Dividend	K	T					
14. -Ameriprise Financial Inc (common)	A	Dividend	K	T					
15. -Bristol-Myers Squibb Co (common)	A	Dividend	K	T					
16. -Facebook Inc (common)		None			Sold	03/28/18	J	B	
17. -Avanos Medical Inc (formerly "Halyard Health, Inc") (common) (X)		None	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

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

18. -Home Depot Inc (common)	B	Dividend	M	T	Sold (part)	07/11/18	J	D	
19. -Johnson and Johnson (common)	B	Dividend	M	T	Donated (part)				
20. -Kimberly Clark (common)	B	Dividend	L	T	Sold (part)	10/11/18	J	D	
21. -Zimmer Holdings Inc (common)	A	Dividend	J	T					
22. -Allstate Corp (common) (X)		None	K	T					
23. -Abbot Labs (common) (X)	A	Dividend	K	T					
24. -Abbvie Inc (common) (X)	A	Dividend	K	T					
25. -Alphabet Inc Cl A (common) (X)		None	K	T					
26. -Alphabet Inc Cl c (common) (X)		None	K	T					
27. -Blackrock Inc (common) (X)	A	Dividend	K	T					
28. -Capital One Finc (common) (X)	A	Dividend	K	T					
29. -ConocoPhillips (common) (X)	A	Dividend	K	T					
30. -Coca Cola Co (common) (X)	A	Dividend	J	T					
31. -Colgate Palmolive (common) (X)	A	Dividend	L	T					
32. -Disney (Walt) Co (common) (X)		None	L	T					
33. -Exxon Mobil Corp (common) (X)	A	Dividend	K	T					
34. -General Electric (common) (X)	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

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

35. -Intel Corp (common) (X)	A	Dividend	L	T					
36. -Intl Business Machines (common) (X)	A	Dividend	J	T					
37. -JPMorgan Chase & Co (common) (X)	A	Dividend	K	T					
38. -Praxair Inc (common) (X)		None			Merged (with line 39)	10/31/18	J	E	
39. -Linde PLC (common) (X)	A	Dividend	K	T					
40. -Microsoft Corp (common) (X)	A	Dividend	M	T					
41. -Verizon Comm (common) (X)	A	Dividend	K	T					
42. -Oppenheimer Funds - Developing Markets F&I (X)	A	Dividend	J	T					
43. -Ulta Beauty Inc (common)		None	J	T	Buy	09/21/18	J		
44. -Marriot Intl Inc (common)	A	Dividend	J	T	Buy	09/21/18	J		
45. -Delta Air Lines Inc (common)	A	Dividend	J	T	Buy	09/21/18	J		
46.									
47.									
48. Brokerage #3 (H)									
49. -Merrill Lynch Cash Management Account	A	Dividend	J	T					
50. -Apple Inc (common)	A	Dividend	K	T	Donated (part)				
51. -Ishares U.S. Financial Services ETF	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

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

52. -Ishares U.S. Industrials ETF	A	Dividend	J	T					
53. -Powershares QQQ Trust SE 1	A	Dividend			Sold (part)	02/06/18	J	A	
54.					Sold	06/04/18	K		
55. -Invesco QQQ Tr Ser 1 (X)	A	Dividend	K	T	Sold (part)	10/05/18	J	C	
56. -Ishares U.S. Technology	A	Dividend	J	T	Buy (add'l)	12/26/18	J		
57.									
58. -Ishares S&P 500 Growth Index	A	Dividend	K	T	Sold (part)	02/06/18	J	A	
59.					Sold (part)	10/05/18	J	B	
60.					Buy (add'l)	11/07/18	J		
61.					Sold (part)	11/20/18	J		
62. -Ishares US Healthcare (formerly "Ishares Dow Jones US Healthcare")	A	Dividend	J	T					
63. -Ishares MSCI Emerging Mkts		None			Sold (part)	02/06/18	J	A	
64.					Sold (part)	05/24/18	J	A	
65.					Sold	06/13/18	J	B	
66. -Ishares Dow Jones US Index Fund	A	Dividend	K	T	Sold (part)	02/06/18	J	A	
67.					Sold (part)	02/08/18	J	B	
68.					Buy (add'l)	02/16/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.					Sold (part)	10/05/18	J	A	
70.					Buy (add'l)	10/18/18	J		
71.					Buy (add'l)	11/07/18	J		
72.					Sold (part)	11/20/18	J		
73.					Sold (part)	11/20/18	J		
74. -Ishares MSCI EAFE Index Fund ETF		None			Sold (part)	02/06/18	J	A	
75.					Sold	03/27/18	K	A	
76. -Ishares S&P Smallcap 600 Growth Fund	A	Dividend			Buy	04/05/18	J		
77.					Buy (add'l)	04/10/18	J		
78.					Buy (add'l)	05/24/18	J		
79.					Sold (part)	10/05/18	J	A	
80.					Buy (add'l)	10/18/18	J		
81.					Buy (add'l)	11/07/18	J		
82.					Sold (part)	11/20/18	J		
83.					Sold (part)	11/20/18	J		
84.					Buy (add'l)	12/26/18	J		
85.					Sold	12/27/18	K		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

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

86. -Ishares TR Russell 2000 Fund	A	Dividend			Buy	06/13/18	J		
87.					Buy (add'l)	10/05/18	J		
88.					Sold	12/26/18	J		
89. -Ishares S&P Midcap 400 Growth Fund	A	Dividend	K	T	Buy	06/13/18	J		
90.					Buy (add'l)	10/05/18	J		
91.					Buy (add'l)	11/07/18	J		
92.					Sold (part)	11/20/18	J		
93. -SPDR S&P 500 ETF Trust	A	Dividend			Buy	11/28/18	J		
94.					Sold	12/26/18	J		
95. -First Tr Exchange Traded Alphadex Fd Small Cap Growth Alphadex Fd	A	Dividend			Buy	11/28/18	J		
96.					Sold	12/26/18	J		
97. -Vanguard Information Tech ETF	A	Dividend			Buy	11/28/18	J		
98.					Sold	12/26/18	J		
99. -Vanguard 500 Index Fund		None	J	T	Buy	12/26/18	J		
100. -SPDR Dow Jones Indust Av		None	J	T	Buy	12/26/18	J		
101. -SPDR S&P Midcap 400 ETF		None	K	T	Buy	12/27/18	J		
102. IRA #1 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. -Merrill Lynch cash holding account	A	Int./Div.	J	T					
104. -Delaware Corporate Bond Fund Instl C1 (Y)									
105. -Alababa Group Holding LT (common)		None	J	T					
106. -Apple Inc (common)	A	Dividend	J	T					
107. -Ishares U.S. Financial Services ETF	A	Dividend	J	T					
108.									
109. -Ishares U.S. Healthcare	A	Dividend	J	T					
110.									
111.									
112. -Ishares U.S. Technology	A	Dividend	J	T					
113.									
114. -Ishares S&P 500 Growth	A	Dividend	J	T	Sold (part)	10/05/18	J	A	
115.					Sold (part)	10/08/18	J	A	
116.					Buy (add'l)	10/18/18	J		
117.					Buy (add'l)	11/07/18	J		
118.					Sold (part)	11/20/18	J	A	
119.					Sold (part)	11/20/18	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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.					Buy (add'l)	11/28/18	J		
121.					Buy (add'l)	12/03/18	J		
122. -Powershares QQQ Trust SE 1	A	Dividend			Sold	06/04/18	J		
123. -Invesco QQQ Trust Ser 1 (X)	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
124.					Buy (add'l)	10/18/18	J		
125.					Sold (part)	11/20/18	J	A	
126.					Buy (add'l)	11/28/18	J		
127. -Ishares MSCI Emerging Mkts	A	Dividend			Sold (part)	05/24/18	J	A	
128.					Sold	06/13/18	J	B	
129. -Ishares MSCI EAFE	A	Dividend			Sold	03/27/18	J		
130. -Ishares Tr Russell 2000	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
131. -Ishares US Industrials ETF	A	Dividend	J	T					
132. -Ishares Dow Jones US Index Fund ETF	A	Dividend	J	T	Sold (part)	02/08/18	J		
133.					Sold (part)	02/09/18	J		
134.					Buy (add'l)	02/16/18	J		
135.					Sold (part)	10/05/18	J	A	
136.					Sold (part)	10/08/18	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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.					Buy (add'l)	10/18/18	J		
138.					Buy (add'l)	11/07/18	J		
139.					Sold (part)	11/20/18	J		
140.					Sold (part)	11/20/18	J		
141.					Buy (add'l)	11/28/18	J		
142.					Buy (add'l)	12/03/18	J		
143. -Ishares S&P Smallcap 600 Growth Fund	A	Dividend	J	T	Buy	04/05/18	J		
144.					Buy (add'l)	04/10/18	J		
145.					Buy (add'l)	05/24/18	J		
146.					Sold (part)	10/08/18	J	A	
147.					Buy (add'l)	10/18/18	J		
148.					Buy (add'l)	11/07/18	J		
149.					Sold (part)	11/20/18	J		
150.					Sold (part)	11/20/18	J		
151.					Buy (add'l)	11/28/18	J		
152.					Buy (add'l)	12/03/18	J		
153. -Ishares S&P Midcap 400 Growth Fund	A	Dividend	J	T	Buy	06/13/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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)	10/05/18	J		
155.					Sold (part)	10/08/18	J		
156.					Buy (add'l)	10/18/18	J		
157.					Sold (part)	11/20/18	J		
158.					Buy (add'l)	11/28/18	J		
159.									
160. IRA #2 (H)									
161. -Merrill Lynch cash holding account	A	Int./Div.	J	T					
162. American Cap World Gr & Income Fund F-2	C	Dividend	K	T	Sold (part)	09/04/18	K	D	
163. -Apple Inc (Common)	A	Dividend	K	T					
164. -Alibaba Group Holding LTD		None	J	T					
165. -Novo Nordisk A S ADR	A	Dividend	J	T					
166. -Ishares MSCI Emerging Markets Index Fund	A	Dividend	J	T					
167. -CVS Health Corp (common)	A	Dividend	J	T					
168. -Amazon Com Inc (common)		None	J	T					
169. -First Data Corporation (common)		None	J	T	Buy	09/04/18	K		
170. 401(k) Retirement Plan (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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. -American Funds - Growth Fund of America-R3	E	Dividend	N	T					
172. -American Funds - Investment Company of America-R3	D	Dividend	M	T					
173. -American Funds - Fundamental Investors-R3	E	Dividend	M	T					
174. IRA #3 (H)									
175. -Merrill Lynch cash holding account	A	Int./Div.	J	T					
176. -Delaware Corporate Bond Fund Instl C1 (Y)									
177. -Amazon Com Inc		None	J	T					
178. -Apple Inc (common)	A	Dividend	K	T					
179. -Ishares U.S. Financial Services ETF	A	Dividend	J	T					
180. -Ishares U.S. Healthcare	A	Dividend	J	T					
181. -Ishares U.S. Technology	A	Dividend	J	T					
182. -Ishares S&P 500 Growth	A	Dividend	J	T	Sold (part)	10/05/18	J	A	
183.					Sold (part)	10/08/18	J	A	
184.					Buy (add'l)	10/18/18	J		
185.					Sold (part)	11/20/18	J	A	
186.					Buy (add'l)	11/28/18	J		
187.					Buy (add'l)	12/03/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	A -\$1,000 or less F -\$50,001 - \$100,000 J -\$15,000 or less N -\$250,001 - \$500,000 P3 -\$25,000,001 - \$50,000,000	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)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 15 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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. -Powershares QQQ Trust SE 1		None			Sold	06/04/18	J		
189. -Invesco QQQ Trust Ser 1 (X)	A	Dividend	J	T	Sold (part)	10/08/18	J	A	
190.					Buy (add'l)	10/18/18	J		
191.					Sold (part)	11/20/18	J	A	
192.					Buy (add'l)	11/28/18	J		
193. -Ishares MSCI Emerging Markets	A	Dividend			Sold (part)	05/24/18	J	A	
194.					Sold	06/13/18	J	B	
195. -Ishares MSCI EAFE	A	Dividend			Sold	03/27/18	J	A	
196. -Ishares Russell 2000 Index ETF	A	Dividend	J	T	Buy (add'l)	06/13/18	J		
197.					Sold (part)	10/08/18	J	A	
198. -Ishares U.S. Industrials ETF	A	Dividend	J	T					
199. -Ishares Dow Jones US Index Fund ETF	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
200.					Sold (part)	02/09/18	J	A	
201.					Buy (add'l)	02/16/18	J		
202.					Sold (part)	10/05/18	J	A	
203.					Sold (part)	10/08/18	J	A	
204.					Buy (add'l)	10/18/18	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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)
205.					Buy (add'l)	11/07/18	J		
206.					Sold (part)	11/20/18	J		
207.					Sold (part)	11/20/18	J		
208.					Buy (add'l)	11/28/18	J		
209.					Buy (add'l)	12/03/18	J		
210. -Ishares S&P Smallcap 600 Growth Fund	A	Dividend	J	T	Buy	04/05/18	J		
211.					Buy (add'l)	04/10/18	J		
212.					Buy (add'l)	05/24/18	J		
213.					Sold (part)	10/08/18	J	A	
214.					Buy (add'l)	10/18/18	J		
215.					Sold (part)	11/20/18	J		
216.					Buy (add'l)	11/28/18	J		
217.					Buy (add'l)	12/03/18	J		
218. -Ishares S&P Midcap 400 Growth Fund	A	Dividend	J	T	Buy	06/13/18	J		
219.					Buy (add'l)	10/05/18	J		
220.					Sold (part)	10/08/18	J		
221.					Buy (add'l)	10/18/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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)
222.					Sold (part)	11/20/18	J		
223.					Buy (add'l)	11/28/18	J		
224. Trust #1 (H)									
225. -PWM Fiduciary Master Dep Acct	A	Int./Div.							
226. -Exxon Mobil Corp (Common)	B	Dividend			Distributed	09/14/18	K		
227. -Praxair Inc (Common)	A	Dividend			Distributed	09/14/18	K		
228. -General Electric Co (Common)	B	Dividend			Distributed	09/14/18	K		
229. -Home Depot Inc (Common)	C	Dividend			Distributed	09/14/18	M		
230. -Coca-Cola Co (Common)	A	Dividend			Distributed	09/14/18	J		
231. -Colgate Palmolive Co (Common)	B	Dividend			Distributed	09/14/18	L		
232. -Kimberly Clark Corp (Common)	A	Dividend			Distributed	09/14/18	K		
233. -Bristol Myers Squibb Co (Common)	A	Dividend			Distributed	09/14/18	K		
234. -Johnson & Johnson (Common)	B	Dividend			Distributed	09/14/18	M		
235. -American Express Co (Common)	A	Dividend			Distributed	09/14/18	K		
236. -JP Morgan Chase & Co (Common)	A	Dividend			Distributed	09/14/18	L		
237. -Intel Corp (Common)	B	Dividend			Distributed	09/14/18	L		
238. -Microsoft Corp (Common)	B	Dividend			Distributed	09/14/18	M		

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		

FINANCIAL DISCLOSURE REPORT

Page 18 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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. -Verizon Communications (Common)	A	Dividend			Distributed	09/14/18	K		
240. -Oppenheimer Funds - Developing Markets Fd-I	A	Dividend			Distributed	09/14/18	J		
241. -Capital One FncI Corp (Common)	A	Dividend			Distributed	09/14/18	K		
242. -International Business Machines Corp (Common)	A	Dividend			Distributed	09/14/18	J		
243. -Blackrock Inc Cl A (Common)	A	Dividend			Distributed	09/14/18	K		
244. -ConocoPhilips (Common)	A	Dividend			Distributed	09/14/18	K		
245. -Alphabet Inc Cl A (Common)		None			Distributed	09/14/18	J		
246. -Disney Walt Co New (Common)	A	Dividend			Distributed	09/14/18	L		
247. -Allstate Corp (Common)	A	Dividend			Distributed	09/14/18	K		
248. -Alphabet Inc Cl C (Common)		None			Distributed	09/14/18	J		
249. Trust #2 (H)									
250. -Cash in trust - undistributed (X)		None	J	T					
251. -Abbott Labs (Common)	A	Dividend			Sold (part)	09/05/18	J	C	
252.					Distributed	09/13/18	K		
253. -Intel Corp (Common)	A	Dividend			Distributed	09/13/18	J		
254. -Note Rec. (Mortgage on rental prop #1-Part VI, Ln 2)		None			Distributed	09/06/18	M		
255. -Alphabet Inc Cl A (Common)		None			Distributed	09/13/18	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		

FINANCIAL DISCLOSURE REPORT

Page 19 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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)
256. -Abbvie Inc (Common)	A	Dividend			Distributed	09/13/18	K		
257. -Alphabet Inc Cl C (Common)		None			Distributed	09/13/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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

VII. INVESTMENTS AND TRUSTS

Part VII, Line 6: The value of the universal life policy in Column C(1) is the contract value as of 12/31/2018.

Part VII, Line 17: During 2018, Halyard Health, Inc. changed its name to Avanos Medical, Inc.

Part VII, Lines 224 through 228: During 2018, Trust #1 was terminated per a court order, and all securities were distributed to the filer's spouse (who was the beneficiary), and the securities were subsequently transferred into Brokerage #2 on 9/14/2018. Securities added to the brokerage account are identified with an "X" after the security name, unless there were shares already being held for that security in the account.

Part VII, Lines 249 through 257: During 2018, Trust #2 was terminated per a court order, and all securities were distributed to the filer's spouse (who was the beneficiary), and the securities were subsequently transferred into Brokerage #2 on 9/13/2018. Securities added to the brokerage account are identified with an "X" after the security name, unless there were shares already being held for that security in the account.

Part VII, Line 254: The assets of Trust #1 terminated during 2018 included a note between the trust (the lender) and the beneficiary (the debtor). When the trust was terminated, the note was distributed to the beneficiary, so the lender and the debtor became the same person. Therefore, the debt was essentially cancelled on the date of distribution.

Part VII, Lines 38 and 39: On 10/31/2018, Praxair, Inc. merged with Linde PLC. Stockholders who owned Praxair shares received 1 share of Linde PLC for each share of Praxair. This was a taxable transaction.

Part VII, Lines 54 and 55: On 6/4/2018, 173 shares of Powershares QQQ Trust SE 1 were exchanged for 173 shares of Invesco QQQ Trust Ser 1 in a nontaxable exchange of mutual funds. The type of transaction on line 54 was entered as a "sale" because there is no transaction description for "exchanges" of mutual funds. There was no gain or loss on the exchange transaction.

Part VII, Lines 122 and 123: On 6/4/2018, 35 shares of Powershares QQQ Trust SE 1 were exchanged for 35 shares of Invesco QQQ Trust Ser 1 in a nontaxable exchange of mutual funds. The type of transaction on line 122 was entered as a "sale" because there is no transaction description for "exchanges" of mutual funds. There was no gain or loss on the exchange transaction.

Part VII, Lines 188 and 189: On 6/4/2018, 42 shares of Powershares QQQ Trust SE 1 were exchanged for 42 shares of Invesco QQQ Trust Ser 1 in a nontaxable exchange of mutual funds. The type of transaction on line 188 was entered as a "sale" because there is no transaction description for "exchanges" of mutual funds. There was no gain or loss on the exchange transaction.

FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

TREADWELL, MARC T.

Date of Report

01/27/2020

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/ MARC T. TREADWELL

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