

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) Trust, Alan S.	2. Court or Organization Bankruptcy Court	3. Date of Report 09/09/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	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 290 Federal Plaza, 9th floor Central Islip, NY 11722		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. April 2008	following dissolution of Trust.Law.Firm, P.C. on April 1, 2008, I am to receive the net profits of the firm recieved thereafter based on my sole ownership
2.	
3.	

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	Teaching - St Johns University School of Law	\$10,500.00
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.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. NY Intellectual Prop Law Ass'n	3/23/18 - 3/24/18	NY, NY	attend bar ass'n event	reimbursement for actual out of pocket travel, provided lodging and meals
2. American Bankr Institute	5/24/18 - 5/24/18	NY, NY	speaker at a seminar in NY, NY	reimbursement for actual out of pocket travel
3. American Conf Inst.	7/16/18 - 7/18/18	Chicago, Ill.	speaker at a seminar in Chicago Ill	reimbursement for actual out of pocket travel and meals, provided lodging
4. American Conf. Inst.	10/20/18 - 10/22/18	Dallas, TX	speaker at a seminar in Dallas TX	reimbursement for actual out of pocket travel and meals, provided lodging
5. Central NY BK Bar Ass'ns	11/8/18 - 11/10/18	Cooperstown, NY	speaker at a seminar in Cooperstown NY	reimbursement for actual out of pocket travel and meals, provided lodging

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

☒ NONE *(No reportable gifts.)*

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

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

☒ NONE *(No reportable liabilities.)*

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Ameriprise / Columbia Cash Mgt Accounts IDSXX	A	Interest	J	T					
2. RVS Life Fixed (annuity)		None	K	T					
3. Goldman VIT MidCap Va (annuity)		None	J	T	Sold (part)	02/07/18	J	A	see Part VIII;
4.					Buy (add'l)	03/05/18	J		
5. Fid VIP Midcap C12 (annuity)		None	K	T	Sold (part)	02/07/18	J	A	see Part VIII;
6.					Buy (add'l)	03/05/18	J		
7. FT VIP Small Cap Valu (annuity)		None	J	T	Sold (part)	02/07/18	J	A	see Part VIII
8.					Buy (add'l)	03/05/18	J		See Part VIII
9. THDNDL /COL VP Emerg Mkts (annuity)		None	J	T	Sold (part)	02/07/18	J		see Part VIII
10.					Buy (add'l)	03/05/18	J		
11. Oppenheimer Strat Bond (Strar Inc.) (annuity)		None	J	T	Buy (add'l)	03/05/18	J		see Part VIII
12. Alliance Bernstein Disc Valaue (A IRA)	B	Int./Div.	K	T					
13. Mass Mutual Annuity -- MML Equity		None	J	T					see Part VIII
14. MML Opp Global Strategic Income		None	J	T					see Part VIII
15. Mass Mutual Annuity -- Opp Global fka Global Strategic		None	J	T					see Part VIII
16. Mass Mutual Annuity -- Opp Main Street Small Cap		None	K	T					see Part VIII
17. Mass Mutual Annuity -- Opp Main Street		None	K	T					see Part VIII

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

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18. Mass Mutal Oppen Discovery Midcap		None	J	T					see Part VIII
19. Oppenheimer Cap App (both)	A	Int./Div.	J	T	Sold (part)	03/12/18	J	A	
20.					Sold (part)	04/04/18	J		LOSS
21. Oppenheimer Global Fund (both) OPPAX	A	Int./Div.	J	T	Buy (add'l)	08/01/18	J		see Part VIII
22.					Sold (part)	10/25/18	J		see Part VIII
23.					Sold (part)	12/04/18	J		see Part VIII
24. Oppenheimer Global Opportunities (both) (IRA and non) OPGIX	C	Int./Div.	K	T	Sold (part)	09/24/18	J		see Part VIII
25.					Sold (part)	12/04/18	J		see Part VIII
26.					Sold (part)	01/10/18	J		see Part VIII
27.					Sold (part)	01/31/18	J		see Part VIII
28.					Sold (part)	02/02/18	J		see Part VIII
29.					Sold (part)	03/08/18	J		see Part VIII
30. Oppenheimer Global Value (L ret and non)									not owned as of 1/1/18
31. Oppenheimer Main Street Fund (both) MSIGX	D	Int./Div.	K	T	Sold (part)	01/10/18	J		see Part VIII
32.					Sold (part)	09/04/18	J		see Part VIII
33.					Sold (part)	10/18/18	J		see Part VIII
34. NEW Opp Int'l Eq (L)	A	Int./Div.			Buy	2/27/18	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		

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	(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.					Sold	12/04/18	J		LOSS
36.	Opp Int'l Growth & Income (A)	A	Int./Div.		Sold	09/24/18	J		inadvertently off 2017
37.	Oppenheimer Main Street MidCap fka Small Mid Cap Select (A) OPMSX	B	Int./Div.	K	T				
38.	Oppenheimer Global Strategic Income (L) (fka Champion Income)	A	Int./Div.		Sold	02/15/18	J		see Part VIII
39.	Oppenheimer Global Allocation (Quest) (L)	A	Int./Div.	J	T				
40.	Oppenheimer Int'l Small Mid (both) (ret and non)	B	Int./Div.	K	T	Sold (part)	04/11/18	J	B
41.					Sold (part)	10/25/18	J		see Part VII
42.	Belt West Funding Corp raw land in Dallas County		None	J	U				
43.	Royal McAbee universal life insurance		None	J	T				
44.	State of Israel savings bond	A	Int./Div.	K	T	Buy (add'l)	01/11/18	J	
45.					Buy (add'l)	02/01/18	J		
46.					Buy (add'l)	03/01/18	J		
47.					Buy (add'l)	04/01/18	J		
48.					Buy (add'l)	06/01/18	J		
49.					Buy (add'l)	10/01/18	J		
50.					Buy (add'l)	12/01/18	J		
51.	Energy East	A	Int./Div.	J	T				

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

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52. Merrill Lynch / AIG fka US Life stock / cash IRA	A	Int./Div.	J	T					
53. Amprise TWEAX Amer Century Eq Income (both)	A	Int./Div.	K	T	Buy (add'l)	09/11/18	J		
54. Amprise ODMAX Oppenheimer Developing Mkts (A IRA)	A	Int./Div.			Sold	09/11/18	K		LOSS
55. Oppenheimer Discovery	C	Int./Div.	L	T					
56. Ameriprise MALOX Blackrock Golbal Allocation (A SPS IRA) (annuity)	A	Int./Div.			Sold	09/11/18	K		
57. Am Century / VP Value (w/in annuity)		None	K	T	Sold (part)	02/07/18	J	A	see Part VIII
58. CNL Lifestyles CNLIDI nka EPR Prop (w/ in L IRA)									not owned at 1.1.18
59. Corp Prop Assoc CPA17 now WP Carey (w/ in L IRA)	A	Int./Div.	J	T					
60. Am Insured Money Mkt (w/in L IRA)	A	Int./Div.	J	T					
61. MITIX (w/in L IRA) Mass MFS Investors	A	Int./Div.	K	T	Sold (part)	09/11/18	J		
62. ATHAX (w/in L IRA) Amer Century Heritage									not owned at 1.1.18
63. MIAGX (w/in L IRA) MFS Int'l Value	A	Int./Div.	J	T					
64. Justice Federal accounts	A	Int./Div.	K	T					
65. Invesco Int'l Gr. Sr. (annuity)		None	K	T	Sold (part)	02/07/18	J	A	
66. MDLOX (w/in L IRA) Blackrock Global Alloc.	A	Int./Div.			Sold	09/11/18	K		
67. Oppenheimer Equity Income IRA (both)	B	Int./Div.	K	T	Sold (part)	12/04/18	J		
68. Oppenheimer Main St Small Cap	B	Int./Div.	K	T	Sold (part)	01/10/18	J		

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

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69.					Sold (part)	03/08/18	J		see Part VIII
70. Scholars Edge Age Based Portfolio 10 (18+)		None			Sold (part)	01/08/18	J	A	
71.					Sold (part)	03/06/18	J	A	
72.					Sold (part)	06/06/18	J	A	
73.					Sold	07/19/18	J	A	
74. Scholars Edge Large Cap nka Dreyfus R Growth		None			Sold	02/23/18	J		see Part VIII
75. Scholars Edge Sm & Mid Cap nka MidCap Portfolio		None	J	T					
76. NEW Scholars Edge T Rowe Price		None	J	T	Buy	02/23/18	J		
77. Scholars Edge Int'l Growth		None	J	T	Sold (part)	07/19/18	J	A	
78. Scholars Edge Large Cap Value nka Value		None	J	T					
79. Scholars Edge Portfolio 100 fka Aggressive		None	K	T	Sold (part)	07/19/18	J	A	
80. Scholars Edge Portfolio 80 fka Moderately Aggressive		None	K	T	Sold (part)	07/19/18	J	A	
81. Scholars Edge Portfolio 60 fka Moderate		None	K	T	Sold (part)	07/19/18	J	A	
82. Pimco VIT All Asset (annuity)									not owned at 1.1.18
83. Oppenheimer Deveoping Mkts Fund (A)	A	Int./Div.			Sold	10/25/18	J		see Part VIII
84.					Sold	12/10/18	J		see Part VIII
85. Opp Global Focus	A	Int./Div.	K	T	Buy (add'l)	09/24/18	J		

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

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86.					Buy (add'l)	12/10/18	J		
87. Oppenheimer Money Mkt (treat as bank acct)	A	Int./Div.	J	T					
88. US treasuries	A	Interest	K	T					
89. AmerGen (L IRA)	A	Int./Div.	J	T					
90. Oppenheimer Small & Mid Cap Value now MidCap Value	A	Int./Div.	J	T					
91. Oppenheimer Discovery Mid Cap Growth	C	Int./Div.	L	T	Sold (part)	10/25/18	J		see Part VIII
92.					Sold (part)	2/8/18	J		see Part VIII
93.					Buy (add'l)	12/10/18	J		
94.					Sold (part)	06/06/18	J	A	see Part VIII
95.					Sold (part)	10/18/18	J	A	see Part VIII
96. Oppenheimer Int'l Growth (L)	A	Int./Div.	K	T	Buy (add'l)	03/08/18	J		
97. Blackrock Global Dividend BOBDX (AmPrise) (A IRA)	A	Int./Div.	K	T					
98. Corporate Capital (AmPrise) (A / L IRA)	A	Int./Div.			Sold	09/14/18	J		see Part VIII
99. Fidelity Advisor Growth FACGX Opp (A IRA AmPrise)	C	Int./Div.	K	T	Sold (part)	09/11/18	J	A	see Part VIII
100. Fidelity Advisos Cons. Disc. (AmPrise A IRA)							J		not owned at 1.1.18
101. MFS Int'l Value (AmPrise) MINIX (A SPS IRA)	B	Int./Div.	L	T					
102. Steelpath Opp MLP Inc (AmPrise)	B	Int./Div.			Sold	09/11/18	K		see Part VIII loss

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	(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. Blackrock Multi Asset BIICX (L IRA)	A	Int./Div.	J	T					
104. Deutsche Gloab Infrastructure TOLSX (L IRA)	A	Int./Div.	J	T					
105. Oppen Steel Path Select 40 MLPFX	B	Int./Div.	J	T	Sold (part)	03/08/18	J		see Part VIII
106.					Sold (part)	08/01/18	J		loss see Part VIII
107. Oppen Portfolio Series Eq Inv.	A	Int./Div.	J	T					
108. COL VP Bal Fund AmPrise (annuity)	A	Int./Div.	K	T	Sold (part)	02/07/18	J	A	
109.					Buy (add'l)	03/05/18	J		
110. COL VP Growth AmPrise (annuity)	A	Int./Div.	K	T	Sold (part)	02/07/18	J	A	
111. Lord Abbott Sec Growth Leaders AmPrise									not owned at 1.1.18
112. Oppenheimer Rising Dividend OARDX (both)	B	Int./Div.	J	T					
113. AmPrise ALNAX AC Alt Inc. (A IRA)									not owned at 1.1.18
114. PPIAX Deutsche Short Duration (A SPS IRA)	A	Int./Div.			Sold	03/09/18	J	A	
115. GSGIX Goldman Sachs Global Inc. (A SPS IRA)	A	Int./Div.	J	T					
116. MFBFX MFS Corp Bond (A SPS IRA)									not owned 1.1.18
117. HFXAX Catlyst Hedged Futures									not owned at 1.1.18
118. WFGBX Wells Growth Balanced (A SPS IRA)	A	Int./Div.	J	T					
119. SSTHX Wells Short Term High Yield (A SPS IRA)	A	Int./Div.	J	T	Sold (part)	06/06/18	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	

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Trust, Alan S.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Aprise IShares IYF (A IRA)	B	Int./Div.	K	T					
121. BHYAX Blackrock High Yield Bond	A	Int./Div.	J	T					
122. JP Morgan Growth Adv (L IRA)	A	Int./Div.	J	T					
123. Hartford Mid Cap (Aprise. (A))	C	Int./Div.	K	T					
124. ACITX AM CENT INFL ADJ (AIRA SPS)	A	Int./Div.	J	T	Buy	09/11/18	J		
125. NEW Amprise GCITX Goldman Intl (L)	A	Int./Div.	J	T	Buy	09/11/18	J		
126. NEW HFMIX Amprise Hartford Midcap (L)	A	Int./Div.	J	T	Buy	12/19/18	J		
127. NEW AMprise TFXIX Trans Amer BOND (L)	A	Int./Div.	J	T	Buy	09/11/18	J		
128. NEW ACITX Amprise Am Cent Int Bond (A)	A	Int./Div.	K	T	Buy	09/11/18	K		
129. NEW MAHQX AMprise Blackrock Total Ret	A	Int./Div.	K	T	Buy	03/09/18	K		
130.					Buy (add'l)	09/14/18	J		
131. GBIRX Amprise (A) Goldman Global	A	Int./Div.	J	T					
132. NEW HFMIX (A) Amprise Hartford Mid Cap	A	Int./Div.	J	T	Buy	09/12/18	J		
133. NEW ODNYX (A) Amprise	A	Int./Div.	J	T	Buy	02/13/18	J		
134.					Sold (part)	03/09/18	J		see Part VIII
135. Opp Macquarie Gloab Infr (both)	A	Int./Div.			Sold (part)	10/25/18	J		see Part VIII
136.					Sold (part)	10/31/18	J		see Part VIII

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	12/04/18	J		see Part VIII
138.					Sold	12/10/18	J		see Part VIII
139. Opp Int'l Growth(A)	A	Int./Div.			Buy (add'l)	08/01/18	J		
140.					Sold	12/04/18	J		see Part VIII
141. ML OPGIX Opp Global (A from Opp)	B	Int./Div.	K	T	Sold (part)	01/24/18	J		see VIII
142.					Sold (part)	02/06/18	J		see part VIII
143.					Sold (part)	03/14/18	J		see Part VIII
144. ML MSIGX Main St (A from Opp)	D	Int./Div.	K	T	Sold (part)	01/31/18	J		see Part VIII
145. ML OPMSX Main Street MidCap (A from Opp)	B	Int./Div.	J	T					
146. NEW ML IShares S&P Mid Cap 400 IJJ	A	Int./Div.	J	T	Buy (add'l)	12/18/18	J		
147.					Buy (add'l)	09/06/18	J		
148.					Buy (add'l)	02/13/18	J		
149.					Buy	01/31/18	J		
150. ML IJR IShares S&P Small Cap	A	Int./Div.	K	T	Buy (add'l)	10/03/18	J		
151. ML Artisan Gbl ARTRX	A	Int./Div.	J	T					
152. ML Carillon Scou Small UMBHX	A	Int./Div.	J	T					
153. ML Commerce MidCap CFAGX	A	Int./Div.	J	T	Buy (add'l)	12/12/18	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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. ML Janus Henderson JACTX	A	Int./Div.	J	T					
155. ML Nicholas Fund II NNTWX	A	Int./Div.	J	T					
156. ML T Rowe Global PRGSX	A	Int./Div.	J	T	Buy	03/27/18	J		
157. ML TWMLX	A	Int./Div.	J	T	Buy	09/12/18	J		
158. NEW ML TWEIX AM CENT EQ INC	A	Int./Div.	J	T	Buy	09/05/18	J		
159. NEW ML QQQ	A	Int./Div.	J	T	Buy	10/23/18	J		
160. NEW ML Invesco Dynamic Software	A	Int./Div.	J	T	Buy	03/22/18	J		
161. NEW PARWX Endeavor	A	Int./Div.	J	T	Buy	08/27/18	J		
162. NEW VGSTX Vanguard Star	A	Int./Div.	J	T	Buy	02/05/18	J		
163. NEW XTRACKERS DBEU Hedged Equity	A	Int./Div.	J	T	Buy	12/24/18	J		
164. NEW ACACIA		None	J	T	Buy	02/02/18	J		
165.					Sold (part)	05/16/18	J	A	
166.									
167. AMD		None	J	T	Buy (add'l)	04/03/18	J		
168.					Buy (add'l)	03/05/18	J		
169.					Sold (part)	8/27/18	J	A	
170.					Sold (part)	07/30/18	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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold (part)	6/15/18	J	A	
172.					Sold (part)	06/06/18	J	A	
173.					Sold (part)	05/22/18	J	A	
174. NEW AMZN		None	J	T	Buy	09/04/18	J		
175.					Buy (add'l)	10/11/18	J		
176.					Buy (add'l)	10/15/18	J		
177.					Buy (add'l)	10/31/18	J		
178.					Sold (part)	11/5/18	J	A	
179.									
180. NEW APPL	A	Int./Div.	J	T	Buy	02/02/18	J		
181.					Buy (add'l)	10/11/18	J		
182. NEW BABA		None	J	T	Buy	02/08/18	J		
183.					Buy (add'l)	03/22/18	J		
184.					Buy (add'l)	03/06/18	J		
185.					Sold (part)	9/10/18	J		
186. NEW BOEING	A	Int./Div.			Buy	02/07/18	J		
187.					Sold	10/04/18	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. BMRN		None	J	T					
189. NEW CAT	A	Int./Div.			Buy	02/06/18	J		
190.					Sold	9/17/18	J		
191.									
192. NEW CUMMINS	A	Int./Div.	J	T	Buy	02/6/18	J		
193.					Buy (add'l)	02/12/18	J		
194.					Buy (add'l)	03/06/18	J		
195.					Sold (part)	9/12/18	J		
196.					Sold (part)	12/6/18	J		
197. CVS	A	Int./Div.	J	T	Buy (add'l)	03/01/18	J		
198.					Buy (add'l)	02/07/18	J		
199.					Sold (part)	08/21/18	J	A	
200.					Sold (part)	10/03/18	J	A	
201. CY	A	Int./Div.	J	T					
202. DTEGY	A	Int./Div.	J	T					
203. DIS	A	Int./Div.	J	T					
204. EXEL		None	J	T					

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

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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. NEW FB		None	J	T	Buy	02/02/18	J		
206.					Buy (add'l)	03/22/18	J		
207.					Buy (add'l)	10/11/18	J		
208.					Sold (part)	12/26/18	J	A	
209. GE	A	Int./Div.			Sold (part)	03/23/18	J		LOSS
210.					Sold (part)	04/12/18	J		LOSS
211.					Sold	08/23/18	J		LOSS
212. GIS	A	Int./Div.	J	T					
213. NEW GOOGL		None	J	T	Buy	12/20/18	J		
214. NEW HILTON	A	Int./Div.	J	T	Buy	10/03/18	J		
215. HD	A	Int./Div.	J	T	Buy (add'l)	10/03/18	J		
216.					Sold (part)	09/12/18	J	A	
217. NEW JABIL		None			Buy	02/06/18	J		
218.					Sold	10/17/18	J		LOSS
219. JNPR	A	Int./Div.	J	T					
220. MDLZ	A	Int./Div.	J	T					
221. NTGR		None	J	T	Sold (part)	07/13/18	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. NEW NYT	A	Int./Div.	J	T	Buy	01/29/18	J		
223. NEW NEKTAR		None	J	T	Buy	06/26/18	J		
224. NEW NETFLIX		None	J	T	Buy	09/17/18	J		
225.					Buy (add'l)	11/02/18	J		
226.					Buy (add'l)	11/19/18	J		
227. ORCL	A	Int./Div.	J	T	Buy (add'l)	02/05/18	J		
228.					Buy (add'l)	02/06/18	J		
229. NEW PEPSICO	A	Int./Div.			Buy	05/10/18	J		
230.					Sold	11/23/18	J	A	
231.									
232. RIO	A	Int./Div.	J	T					
233. NEW SIEGY	A	Int./Div.	J	T	Buy	02/05/18	J		
234.					Buy (add'l)	09/05/18	J		
235. TI	A	Int./Div.	J	T					
236. NEW QUALCOMM	A	Int./Div.	J	T	Buy	03/27/18	J		
237.									
238. L ML ISAHRES IJH	A	Int./Div.	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	

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Name of Person Reporting

Trust, Alan S.

Date of Report

09/09/2019

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

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

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

239. Wells Fargo checking acct	A	Interest	J	T					
240. NY 529 L/G Growth Port.		None	J	T					
241. NY 529 L/G Small Cap Port.		None	J	T					
242. NY 529 L/G Aggressive Growth Port.		None	J	T					
243. NY 529 L/G Mid Cap Port.		None	J	T					
244. NY 529 L/G Bond Mkt Index Port.		None	J	T					
245. NEW Cons Growth 529 NY		None	J	T	Buy	12/04/18	J		
246. NEW Growth Stock NY 529		None	J	T	Buy	12/04/18	J		
247. Vanguard (L) Fin ETF	A	Int./Div.	J	T					
248. Vanguard (I) Mid Cap ETF	A	Int./Div.	J	T					
249. Vanugard (L) Extended Mut ETF	A	Int./Div.	J	T					
250. Vanguard (L) cash mgt	A	Int./Div.	J	T					
251. Vanguard (L) S&P 500 Index	A	Int./Div.	J	T					
252.									
253.									
254.									
255.									

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

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

as of 9.9.19

Lines 2-11, 13-18, 57, 70-81 and 240-246 -- based on information provided by the fund manager(s), no income or reinvested dividends, taxable or otherwise, was paid or attributed to any of these investments during the reporting period.

Losses were suffered for sales in lines 20, 35, 54, 102, 209-211 and 218 -- therefore no Gain code in D(4).

Sales in lines 21-29, 31-33, 38, 41, 68-69, 74, 83-84, 91-92, 94-95, 98-99, 105-106, 134, 135-138, 140, and 141-144 were exchanges within an IRA or annuity for which no gain or loss was reported and I was unable to ascertain a gain or loss with certainty.

The assets in lines 22, 23, 25 and 41 were transferred to a non reportable government retirement plan.

Line 36 was inadvertently left off the 2017 report.

The assets on lines 30, 58, 62, 82, 100, 111, 113, 116, 117 and 118 were misreported on the 2017 report and were not owned as of 1.1.18 or anytime during 2018.

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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/ Alan S. Trust

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

Committee on Financial Disclosure
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