

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) PRATT, ROBERT W.	2. Court or Organization US DISTRICT COURT - SO IOWA	3. Date of Report 06/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT COURT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address US COURTHOUSE 123 E. WALNUT STREET DES MOINES, IA 50309		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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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. BANKERS TRUST COMPANY	A	Interest	K	T					
2. BROKERAGE ACCOUNT #1 (H)									
3. MORGAN STANLEY BANK	A	Interest	M	T					
4. MS EMERGING MKTS DOMESTIC DEBT	C	Dividend	K	T					
5. SOUTH JEFSEY PORT CORP N	A	Interest			Redeemed	01/14/16	K		
6. BENSON ARIZ EXCISE TAX & ST SHARED REV OBLIGS	A	Interest			Sold	01/14/16	K	A	
7. WYANDOTTE CNTY KANS CITY GOVT OID	A	Interest			Redeemed	07/01/16	K		
8. STATE UNIV IOWA UTIL SYS	A	Interest			Redeemed	11/01/16	K		
9. CLARK CNTY NEV GEN OBLIG	B	Interest	J	T	Redeemed (part)	11/01/16	K		
10. WASHINGTON ST GENL OBLIG MTR VEHICLE FUEL TAX	A	Interest			Redeemed	12/01/16	J		
11. OHIO ST HOSP CLEVE CLINIC	B	Interest	K	T					
12. WYLIE CITY TEX COMB TAX REV	A	Interest	K	T					
13. AUSTIN TEX UTIL SYS REV ZERO COUPON		None	K	T					
14. UNIVERSITY N C CHAPEL HILL REV REF STUDENT FEE UTILS OY		None	K	T					
15. ST CLAIR CNTY ILL GEN OBLIG ZERO		None	K	T					
16. DELTONA FLA TRANS CAP IMPT	A	Interest			Redeemed	10/03/16	J		
17. NEW YORK ST MTG AGY HOMEOWNER MTG	A	Interest	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 –\$250,000.01 - \$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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18. TAMPA FLA UTIL TAX OY		None	J	T					
19. COVINA CALIF PUB FIN WASTEWATER	A	Interest	J	T					
20. INDIANAPOLIS IN WATER WORKS	B	Interest	K	T					
21. NEW YORK N Y CIT HSG DEV	A	Interest	K	T					
22. CLIVE IOWA GENL OBLIG-C	A	Interest	K	T					
23. IOWA ST PRISON INFRASTRUCTURE FUND OBLIG	C	Interest	M	T					
24. NEVADA STATE HIGHER EDUC	B	Interest	K	T					
25. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-I	A	Interest	J	T	Redeemed (part)	06/01/16	J		
26. COLLEGE CHARLESTON SC HIGHER ED FACS REV REF-A	A	Interest	K	T					
27. LONG ISLAND PWR AUTH N Y ELEC SYS REV SER A OY		None	J	T					
28. MARION IOWA URBAN RENWAL A	A	Interest	K	T					
29. HONOLULU HAWAII CITY WASTE ZERO COUPON		None	J	T					
30. IOWA FIN AUTH SINGLE FAMILY MTG REV SER-I	B	Interest	K	T					
31. CONNECTICUT HSNG FIN AUTH MORTG REV B-I	A	Interest	K	T					
32. FLORIDA HIGHER ED FACS FIN AUTH	A	Interest	J	T					
33. HOUSTON TEX WTR & SWR SYS REV SER A		None	K	T					
34. SHELBY CNTY ALA BRD	A	Interest			Redeemed	06/03/16	J		

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

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35. WALKER CNTY ALA BRD ED -A	A	Interest	K	T					
36. ORANGE BEACH ALA WTR SWR & FIRE	A	Interest	K	T					
37. WATERLOO IOWA COMNTY SCH DIST SCH INFRAS SALES & SVCS REV	B	Interest	K	T					
38. VIRGINIA ST RES AUTH WTR & SWR ZERO COUPON		None	J	T					
39. MISSOURI ST HEALTH & EDL FACS AUTH	A	Interest	K	T					
40. HAMILTON CNTY OHIO SALES TAX ZERO COUPON		None	J	T					
41. VIRGINIA ST HSG DEV AUTH COMWL	B	Interest	K	T					
42. CARSON CITY NEV CAP IMPT REF A	A	Interest	K	T					
43. CLARK CNTY NEV SCH DIST SER A	B	Interest	L	T					
44. METRO APTS - B BE		None	K	T					
45. CLARK CNTY NEV BOND BK	B	Interest			Redeemed	11/01/16	K	A	
46. NORTHBROOK ILL GENL OBLIG SER 1	A	Interest	K	T					
47. POWSHIEK IOWA WTR ASSN WTR REV	B	Interest	K	T					
48. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY	A	Interest	K	T					
49. DAVENPORT IOWA COPR REF-A	B	Interest	K	T					
50. CLARK CNTY NEV SCH DIST BLDG-B	A	Interest	J	T					
51. SHARON MASS MUN PURP LN	B	Interest	K	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	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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52. PIMA COUNTY ARIZ GENERAL OBLIGATION	B	Interest	L	T					
53. KINGSPORT TENN BE	A	Interest	J	T	Sold (part)	03/28/16	K	A	
54. DES MOINES IOWA WTR REV REF B	B	Interest	L	T					
55. IOWA STUDENT LOAN LIQUIDITY CO RP STUDENT LOAN REV SENIOR A1	B	Interest	K	T	Redeemed (part)	12/01/16	J		
56. JANESVILLE WI GENL BE	A	Interest	J	T					
57. ALASKA MUN BND BK SER-1	B	Interest	K	T					
58. COLLIER CNTY FLA GAS TAX REV	A	Interest	K	T					
59. STATE UNIV IOWA ATHLETIC FACS REV	B	Interest	L	T					
60. FORT BEND CNTY TEX WTR CTL & IMPT DIST NO 2	A	Interest	K	T					
61. MONTGOMERY CO MD HSG OPP	B	Interest	K	T					
62. AMES IOWA CMNTY SCH DIST	B	Interest	L	T					
63. DESCHUTES CNTY ORE ADMIN SCH DIST NO-1	A	Interest	K	T					
64. TOMPKINS CNTY NY IMPT GENL OBLIG	B	Interest	K	T					
65. JEA FLA WTR & SWR SYS SUB	C	Interest	M	T					
66. PATCHOGUE-MEDFORD NY UN FREE SCH DIST	A	Interest	J	T					
67. BROOKHAVEN NY PUB IMPT-B	B	Interest	K	T					
68. TENNESSEE ENERGY ACQUISITION CORP GAS REV	B	Interest	K	T					

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69. LINCOLN CNTY KY SCH DIST FIN BE	B	Interest	K	T					
70. ARLINGTON TEX FOR ISSUES DATED BE	B	Interest	L	T					
71. GRAND FORKS N D WTR BE	A	Interest	J	T					
72. TRUMBULL CONN GENLT OBLIG	A	Interest	J	T					
73. FSU FINL ASSISTANCE INC FLA BE	A	Interest	J	T					
74. HILLSBOROUGH CNTY FLA CMNTY INVT TAX BE	A	Interest	K	T					
75. RUSHFORD MINN BE	B	Interest	K	T					
76. ABERDENN TWP N J BE	A	Interest	J	T					
77. CITY OF HOUSTON TX COMBINED UTIL BE	A	Interest	J	T					
78. NEW YORK STATE HSG FIN AGY BE	A	Interest	K	T					
79. FLOWER MOUND TX BE	B	Interest	K	T					
80. MAINE ST TPK AUTH SPL BE	B	Interest	K	T					
81. UNIVERSITY WASH UNIV REV	B	Interest	K	T					
82. SOUTHEAST POLK IOWA CMNTY SCH DIST REV	A	Interest	J	T					
83. COLUMBUS OHIO SWR REV	B	Interest	L	T					
84. IOWA ST SPL OBLIG	B	Interest	K	T					
85. IOWA ST UNIV ACADEMIC BLDG	D	Interest	M	T					

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86. GOLDMAN SACHS (X)	A	Interest	K	T					
87. GE CAP BK CD SALT LAKE CITY (Y)									
88. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend	J	T	Buy	10/26/16	J		
89. GOLDMAN SACHS GRP INC (GS.J)	B	Dividend	K	T	Buy	10/26/16	K		
90. KXR & CO LP (KXR.B)	B	Dividend	K	T	Buy	10/26/16	K		
91. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T	Buy	10/26/16	K		
92. FARGO & CO SER-X (WFC.X)	B	Dividend	K	T	Buy	10/26/16	K		
93. ABBOTT LABORATORIES	A	Dividend	M	T	Buy	12/16/16	M		
94. IRA #1 (H)									
95. MORGAN STANLEY BANK	A	Interest	L	T					
96. MS MARKET LINKED NOTE DJIA		None	K	T					
97. STATE UNIV IOWA UNIV REV	B	Interest	K	T					
98. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend	J	T					
99. INTL PAPER CO	A	Interest			Redeemed	04/01/16	J	A	
100. SOUTHWEST AIRLINES CO	A	Interest			Redeemed	12/15/16	J		
101. WESTERN ASSET HIGH YIELD (HYI)	B	Dividend	K	T					
102. TRANS-CANADA PIPELINES FIXED	B	Interest	J	T					

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103. HCP INC	A	Interest			Redeemed	02/15/16	K		
104. DOW CHEMICAL CO/THE		None			Redeemed	02/15/16	K	B	
105. CENTURYLINK INC	A	Interest	K	T					
106. DUN & BRADSTREET CORP	A	Interest	K	T					
107. MURPHY OIL CORP	A	Interest	K	T					
108. STAPLES INC	A	Interest	J	T					
109. CLIFFS NATURAL RESOURCES	A	Interest			Redeemed	09/16/16	J		
110. ASSURANT INC	A	Interest	K	T					
111. PITNEY BOWES INC	A	Interest	K	T					
112. DOW CHEMICAL COMPANY	A	Interest	K	T					
113. MORGAN STANLEY	A	Interest	K	T					
114. ASTRAZENECA PLC	A	Interest	K	T					
115. COMPUTER SCIENCE	A	Interest			Redeemed	03/17/16	J	A	
116. MORGAN STANLEY	A	Interest	K	T					
117. BEST BUY CO INC		None			Redeemed	03/15/16	J		
118. GENERAL ELECTRIC CAPITAL CORP	A	Interest	K	T					
119. TEVA PHARMA FIN IV LLC	A	Interest	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	

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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. GECC	A	Interest	L	T					
121. SAFEWAY INC	B	Interest	K	T					
122. XEROX CORPORATION	B	Interest	L	T					
123. ALLERGAN, INC.	B	Interest	K	T					
124. ALCOA INC	A	Interest	J	T					
125. FORD MOTOR CREDIT COMPANY, LLC	B	Interest	K	T					
126. HJ HEINZ CO	A	Interest	J	T					
127. ICAHN ENTERPRISES FIN	B	Interest	K	T					
128. BMC SOFTWARE INC	B	Interest	J	T					
129. NEWMONT MINING CORP	A	Interest	J	T					
130. AVON PRODUCTS INC	B	Interest	K	T					
131. JPMORGAN CHASE & CO BB (JPM.H)	B	Interest	K	T	Buy	08/01/16	K		
132. KXR 7 CO LP (KXR.B)	B	Interest	K	T	Buy	09/27/16	K		
133. PUBLIC STORAGE (PSA.D)	B	Interest	K	T	Buy	09/27/16	K		
134. WELL FARGO & CO (WFC.W)	B	Interest	K	T	Buy	08/01/16	K		
135. IRA #2 (H)									
136. MORGAN STANLEY BANK	A	Interest	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	

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PRATT, ROBERT W.

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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. ABBOTT LABORATORIES	A	Dividend	K	T					
138. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
139. ARCONIC INC (formerly ALCOA INC) (AA)		None	J	T	Buy (add'l)	01/12/16	J		
140. ALTRIA GROUP INC	B	Dividend	K	T					
141. AT&T INC	B	Dividend	K	T					
142. BOEING CO	B	Dividend	K	T					
143. CISCO SYSTEMS (CSCO)	A	Dividend	J	T					
144. COCA COLA CO	A	Dividend	K	T					
145. GENERAL ELECTRIC CO	A	Dividend	K	T					
146. ISHARES S&P 100 INDEX FD	A	Dividend	K	T					
147. JOHNSON & JOHNSON	B	Dividend	K	T					
148. PHILIP MORRIS INTL INC (PM)	A	Dividend	J	T					
149. PROCTOR & GAMBLE	A	Dividend	K	T					
150. QUALCOMM INC	A	Dividend	J	T					
151. W.P. CAREY INC COM (WPC)	B	Dividend	K	T					
152. SPDR S&P MIDCAP 400 ETF TRUST	B	Dividend	M	T					
153. ML PFD CAPITAL TRUST III	A	Interest	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	

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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. INTEL CORP	A	Dividend	K	T					
155. PEPSICO INC NC (PEP)	B	Dividend	L	T					
156. APPLE, INC.	A	Dividend	K	T					
157. INTL BUSINESS MACHINES CORP	A	Dividend	J	T					
158. IRA #3 (H)									
159. MORGAN STANLEY BANK	A	Interest	J	T					
160. ALLIANCE BERNSTEIN SMALL CAP GROWTH		None	J	T					
161. WALGREEN CO	A	Dividend	J	T					
162. PITNEY BOWES INC	A	Interest	J	T					
163. GOLDMAN SACHS GRO	A	Interest			Redeemed	02/08/16	J		
164. IRA #4 (H)									
165. MORGAN STANLEY BANK	A	Interest	J	T					
166. DEUTSCHE X-TRACKERS MSCI EAF	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
167.					Sold (part)	04/27/16	J		
168. ISHARES CORE MSCI EAFE ETF	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
169.					Sold (part)	04/27/16	J		
170. ISHARES CORE MSCI EMERGING	A	Dividend	J	T	Buy (add'l)	01/27/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold (part)	07/20/16	J		
172. ISHARES RUSSELL 1000 GR INDEX	A	Dividend	J	T	Sold (part)	01/27/16	J		
173.					Sold (part)	04/27/16	J	A	
174. ISHARES RUSSELL 1000 VALUE IDX	A	Dividend	K	T	Sold (part)	04/27/16	J	A	
175.					Sold (part)	07/20/16	J		
176. ISHARES 2000 VALUE FD	A	Dividend	J	T					
177. ISHARES RUSSELL 2000 GROWTH	A	Dividend	J	T					
178. ISHARES RUSSELL MIDCAP G IN	A	Dividend	J	T					
179. ISHARES RUSSELL MIDCAP V IN	A	Dividend	J	T					
180. ISHARES IBOX \$ H/Y COR BD ETF (HYG)	A	Dividend	J	T	Buy	04/27/16	J		
181.					Buy (add'l)	07/20/16	J		
182. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T	Buy	07/20/16	J		
183. ISHARES MSCI JAPAN ETF		None			Buy	01/27/16	J		
184.					Sold	07/20/16	J		
185. VANGUARD SHORT TERM BND (BSV)	A	Dividend	J	T	Buy	04/27/16	J		
186.					Sold (part)	07/20/16	J		
187. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	J	T	Buy	04/27/16	J		

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

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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.					Sold (part)	07/20/16	J		
189. WISDOMTREE TRUST JAPAN HEDGE EQ (DXJ)	A	Dividend	J	T	Buy	07/20/16	J		
190. COLLEGE SAVINGS PLAN #1 (H)									
191. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		
192. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
193. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
194. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
195. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
196. COLLEGE SAVINGS PLAN #2 (H)									
197. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		
198. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
199. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
200. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
201. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
202. COLLEGE SAVINGS PLAN #3 (H)									
203. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		
204. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		

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

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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. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
206. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
207. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
208. COLLEGE SAVINGS PLAN #4 (H)									
209. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		
210. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
211. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
212. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
213. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
214. COLLEGE SAVINGS PLAN #5 (H)									
215. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		
216. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
217. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
218. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
219. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
220. COLLEGE SAVINGS PLAN #6 (H)									
221. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T	Buy	12/22/16	J		

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

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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. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
223. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
224. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
225. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
226. COLLEGE SAVINGS PLAN #7 (H)									
227. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
228. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
229. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
230. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
231. COLLEGE SAVINGS PLAN #8 (H)									
232. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T	Buy	12/22/16	J		
233. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T	Buy	12/22/16	J		
234. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
235. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T	Buy	12/22/16	J		
236. COLLEGE SAVINGS PLAN #9 (H)									
237. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
238. COLLEGE SAVINGS PLAN #10 (H)									

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

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

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

239. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
240. COLLEGE SAVINGS PLAN #11 (H)									
241. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		
242. COLLEGE SAVINGS PLAN #12 (H)									
243. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy	12/22/16	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

06/28/2017

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

Throughout Part VII, entries in Column A were adjusted to correct typographical errors and eliminate excess information such as interest rates and numbers of positions held. This does not reflect a change in the underlying assets.

Part VII, line 9: Consolidated reporting of 2015, lines 18 and 30.

Part VII, line 12: Consolidated reporting of 2015, lines 21 and 32.

Part VII, line 25: Consolidated reporting of 2015, lines 38 and 75.

Part VII, line 31: Consolidated reporting of 2015, lines 44 and 54.

Part VII, line 33: Consolidated reporting of 2015, lines 46, 63, and 64.

Part VII, line 62: Consolidated reporting of 2015, lines 82, 89, and 90.

Part VII, line 107: Consolidated reporting of 2015, lines 137 and 162.

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

06/28/2017

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/ ROBERT W. PRATT**

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
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Washington, D.C. 20544