

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Pratter, Gene E.	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 05/13/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 10613 United States Courthouse Sixth & Market Streets Philadelphia, PA 19106-1723		
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. Co-Trustee	Trust #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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	University of Pennsylvania Law School (Adjunct Professor)	\$10,000.00
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. 2019	Cohen, Placitella & Roth (Attorney)
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Northwestern Pritzker School of Law	October 16-17, 2019	Chicago, IL	Complex Litigation Conference	Transportation, lodging, meals
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

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

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

☐ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1. Bank of America	Credit Card	J
2. Bank of America	Credit Card	K
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. Schwab Money Market Fund - Retirement #5	A	Dividend	J	T					
2. BlackRock Low Duration - Retirement #5	A	Dividend	K	T					
3. DFA Global Equity - Retirement #5	A	Dividend	L	T	Buy (add'l)	04/03/19	J		
4. Schwab Money Market Fund - Retirement #6	A	Dividend	J	T					
5. BlackRock Low Duration - Retirement #6	A	Dividend	K	T	Buy (add'l)	04/03/19	J		
6. DFA Global Equity - Retirement #6	B	Dividend	L	T	Buy (add'l)	04/03/19	J		
7. DFA US Micro Cap - Retirement #7	B	Dividend	L	T					
8. DFA Emerging Markets Core Equity - Retirement #7	B	Dividend	M	T					
9. DFA International Small Value - Retirement #7	C	Dividend	M	T					
10. DFA International Value - Retirement #7	C	Dividend	M	T					
11. DFA One Year Fixed - Retirement #7	D	Dividend			Sold (part)	03/07/19	K	A	
12. DFA One Year Fixed - Retirement #7		None			Sold	12/18/19	N	A	
13. DFA US Small Cap Value - Retirement #7	B	Dividend	L	T	Sold (part)	07/19/19	K	C	
14. DFA US Large Cap Value - Retirement #7	D	Dividend	N	T	Buy (add'l)	01/23/19	L		
15. DFA US Large Cap Value - Retirement #7		None			Sold (part)	04/12/19	J	A	
16. Dodge & Cox Stock - Retirement #7	E	Dividend	N	T	Sold (part)	01/23/19	K	A	
17. Dodge & Cox Stock - Retirement #7		None			Sold (part)	03/07/19	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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18. First Eagle Overseas - Retirement #7	D	Dividend	M	T					
19. Hotchkis & Wiley Mid Value - Retirement #7	C	Dividend	M	T					
20. Morgan Stanley International Equity - Retirement #7	E	Dividend	M	T	Buy (add'l)	03/13/19	K		
21. Morgan Stanley Emerging Markets - Retirement #7	E	Dividend	M	T	Buy (add'l)	01/23/19	J		
22. Royce Opportunity - Retirement #7	B	Dividend	L	T	Sold (part)	07/12/19	K	A	
23. Schwab Money Market Fund - Retirement #7	A	Dividend	L	T					
24. Westcore Intl Small Cap - Retirement #7		None			Sold	02/22/19	J	C	
25. Westcore Mid Cap Value - Retirement #7	D	Dividend	M	T	Sold (part)	05/23/19	K	A	
26. William Blair Large Growth - Retirement #7	E	Dividend	N	T	Sold (part)	01/23/19	K	A	
27. William Blair Large Growth - Retirement #7		None			Sold (part)	03/07/19	J	A	
28. William Blair Large Growth - Retirement #7		None			Sold (part)	04/12/19	K	C	
29. William Blair Large Growth - Retirement #7		None			Sold (part)	07/12/19	K	D	
30. Metropolitan West Total Return - Retirement #7	D	Dividend	N	T	Buy (add'l)	07/12/19	K		
31. BlackRock Low Duration - Retirement #7	D	Dividend	N	T	Sold (part)	03/07/19	J	A	
32. Ivy Mid Growth - Retirement #7	D	Dividend	M	T	Sold (part)	01/23/19	J	A	
33. Ivy Mid Growth - Retirement #7		None			Sold (part)	03/07/19	J	A	
34. Ivy Mid Growth - Retirement #7		None			Sold (part)	04/12/19	J	B	

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35. Ivy Mid Growth - Retirement #7		None			Sold (part)	05/23/19	L	D	
36. DFA Global Real Estate - Retirement #7	D	Dividend	M	T	Sold (part)	01/23/19	L	A	
37. William Blair Small Growth - Retirement #7	B	Dividend	L	T	Sold (part)	07/12/19	K	A	
38. Morgan Stanley AIP - Retirement #7	D	Dividend	N	T					
39. DFA International Large Growth - Retirement #7	A	Dividend	M	T					
40. DFA Short Term Gov't - Retirement #7	C	Dividend	N	T					
41. DFA US Small Growth - Retirement #7	A	Dividend	L	T	Sold (part)	07/12/19	K	B	
42. DFA Intl Small Growth - Retirement #7	A	Dividend	L	T					
43. DFA Int Term Government Bond - Retirement #7		None	N	T	Buy	12/19/19	N		
44. AQR Defensive Equity - Retirement #7	C	Dividend	M	T	Buy	05/23/19	M		
45. AQR Defensive Equity - Retirement #7		None			Buy (add'l)	07/12/19	M		
46. Schwab Money Market Fund - Trust #1	A	Dividend	J	T					
47. Dodge & Cox Stock - Trust #1	D	Dividend	L	T	Buy (add'l)	01/23/19	J		
48. First Eagle Overseas - Trust #1	C	Dividend	K	T					
49. Hotchkis & Wiley Mid Cap Value - Trust #1	A	Dividend	K	T					
50. Morgan Stanley International Equity - Trust #1	C	Dividend	K	T	Buy	01/23/19	K		
51. Morgan Stanley International Equity - Trust #1		None			Buy (add'l)	03/12/19	K		

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52. Royce Opportunity - Trust #1	A	Dividend	K	T	Sold (part)	07/12/19	J	A	
53. Westcore Mid Cap Value - Trust #1	A	Dividend	K	T	Sold (part)	05/23/19	J	A	
54. DFA Tax Managed Marketwide Value - Trust #1	C	Dividend	L	T	Buy (add'l)	01/23/19	K		
55. DFA US Micro Cap - Trust #1	A	Dividend	K	T					
56. DFA Intl Small Cap Value - Trust #1	A	Dividend	K	T	Buy	01/23/19	K		
57. Westcore Intl Small Cap - Trust #1		None			Sold (part)	02/22/19	J	A	
58. Westcore Intl Small Cap - Trust #1		None			Sold	03/12/19	K	C	
59. DFA Int'l Value - Trust #1	A	Dividend	K	T	Buy (add'l)	01/23/19	K		
60. DFA US Small Value - Trust #1	A	Dividend	K	T	Sold (part)	07/12/19	J	B	
61. DFA Short Term Muni - Trust #1	A	Dividend	K	T					
62. Metropolitan West Total Return - Trust #1	A	Dividend	K	T	Buy (add'l)	04/03/19	J		
63. William Blair Small Cap Growth - Trust #1	A	Dividend	K	T	Sold (part)	07/12/19	J	A	
64. DFA Global Real Estate - Trust #1	B	Dividend	K	T	Sold (part)	01/23/19	J	A	
65. DFA Emerging Markets - Trust #1	A	Dividend	L	T					
66. DFA International Large Growth - Trust #1	A	Dividend	K	T					
67. Ivy Mid Growth - Trust #1	B	Dividend	K	T	Sold (part)	04/03/19	J	B	
68. Ivy Mid Growth - Trust #1		None			Sold (part)	05/23/19	K	C	

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69. William Blair Large Growth - Trust #1	D	Dividend	L	T	Sold (part)	01/23/19	K	A	
70. William Blair Large Growth - Trust #1		None			Sold (part)	07/12/19	J	B	
71. Thornburg Limited Term Muni - Trust #1	A	Dividend	K	T					
72. DFA US Small Growth - Trust #1	A	Dividend	K	T	Sold (part)	07/12/19	J	A	
73. iShares MSCI EAFE ETF - Trust #1		None			Sold	01/23/19	K	A	
74. iShares MSCI EAFE Small Cap ETF - Trust #1		None			Sold	01/23/19	K	A	
75. AQR Defensive Equity - Trust #1	B	Dividend	L	T	Buy	05/23/19	K		
76. AQR Defensive Equity - Trust #1		None			Buy (add'l)	07/12/19	K		
77. DFA Intl Small Cap Growth - Trust #1	A	Dividend	J	T	Buy	04/03/19	J		
78. DFA Tax Mgd US Marketwide Value - Brokerage #1	B	Dividend	L	T					
79. DFA US Small Value - Brokerage #1	A	Dividend	J	T					
80. DFA Emerging Markets Core Equity - Brokerage #1	A	Dividend	K	T	Sold (part)	10/30/19	J	B	
81. DFA Tax Mgd International Value - Brokerage #1	A	Dividend	J	T	Sold (part)	10/30/19	J	A	
82. First Eagle Overseas - Brokerage #1	B	Dividend	K	T					
83. Morgan Stanley International Equity - Brokerage #1	B	Dividend	K	T					
84. Schwab Money Market Fund - Brokerage #1	A	Dividend	K	T					
85. Hotchkis & Wiley Mid Cap Value Brokerage #1	A	Dividend	K	T					

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86. William Blair Large Growth - Brokerage #1	C	Dividend	L	T					
87. William Blair Small Cap Growth - Brokerage #1	A	Dividend	J	T	Sold (part)	10/30/19	J	A	
88. Westcore Mid Cap Value - Brokerage #1	A	Dividend	K	T	Sold (part)	05/23/19	J	A	
89. DFA Int'l Small Value - Brokerage #1	A	Dividend	J	T					
90. Metropolitan West Total Return - Brokerage #1	C	Dividend	M	T					
91. Thornburg Limitd Term Municipal - Brokerage #1	C	Dividend	M	T					
92. DFA Global Real Estate - Brokerage #1	B	Dividend	K	T					
93. Dodge & Cox Stock - Brokerage #1	C	Dividend	L	T					
94. Royce Opportunity - Brokerage #1	A	Dividend	J	T	Sold (part)	10/30/19	J	A	
95. DFA US Micro Cap - Brokerage #1	A	Dividend	J	T					
96. DFA Int'l Large Growth - Brokerage #1	A	Dividend	K	T					
97. Ivy Mid Growth - Brokerage #1	B	Dividend	K	T	Sold (part)	05/23/19	J	A	
98. DFA Short Term Muni - Brokerage #1	A	Dividend	L	T	Sold (part)	12/05/19	J	A	See Notes in Part VIII
99. DFA Intl Small Growth - Brokerage #1	A	Dividend	J	T					
100. iShares MSCI EAFE Small Cap ETF - Brokerage #1		None			Sold	03/07/19	J	A	
101. AQR Defensive Equity - Brokerage #1	A	Dividend	K	T	Buy	05/23/19	J		
102. DFA International Value - Brokerage #1	A	Dividend	K	T	Buy	11/12/19	K		See Notes in Part VIII

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. DFA US Small Cap Growth - Brokerage #1	A	Dividend	J	T	Buy	11/12/19	J		See Notes In Part VIII
104. DFA US Micro Cap - Brokerage #2		None			Sold (part)	07/12/19	J	A	
105. DFA US Micro Cap - Brokerage #2		None			Merged (with line 95)	11/12/19	J		
106. DFA Tax Mgd Marketwide Value - Brokerage #2	A	Dividend			Sold (part)	10/30/19	J	A	
107. DFA Tax Mgd Marketwide Value - Brokerage #2		None			Merged (with line 78)	11/12/19	K		
108. DFA US Small Value - Brokerage #2	A	Dividend			Sold (part)	07/12/19	J	A	
109. DFA US Small Value - Brokerage #2		None			Merged (with line 79)	11/12/19	J		
110. Dodge & Cox Stock - Brokerage #2	A	Dividend			Sold (part)	10/30/19	J	A	
111. Dodge & Cox Stock - Brokerage #2		None			Merged (with line 93)	11/12/19	K		
112. First Eagle Overseas - Brokerage #2	A	Dividend			Buy (add'l)	01/23/19	J		
113. First Eagle Overseas - Brokerage #2		None			Merged (with line 82)	11/12/19	K		
114. Hotchkis & Wiley Mid Cap Value - Brokerage #2	A	Dividend			Buy (add'l)	01/23/19	J		
115. Hotchkis & Wiley Mid Cap Value - Brokerage #2		None			Merged (with line 85)	11/12/19	K		
116. Morgan Stanley International Equity - Brokerage #2		None			Buy (add'l)	03/12/19	J		
117. Morgan Stanley International Equity - Brokerage #2		None			Sold (part)	08/19/19	J	A	
118. Morgan Stanley International Equity - Brokerage #2		None			Sold (part)	10/30/19	J	A	
119. Morgan Stanley International Equity - Brokerage #2		None			Merged (with line 83)	11/12/19	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Royce Opportunity - Brokerage #2		None			Sold (part)	07/12/19	J	A	
121. Royce Opportunity - Brokerage #2		None			Merged (with line 94)	11/12/19	J		
122. Schwab Money Market Fund - Brokerage #2	A	Dividend			Merged (with line 84)	11/12/19	J		
123. Westcore Mid Cap Value - Brokerage #2		None			Sold (part)	05/23/19	J	A	
124. Westcore Mid Cap Value - Brokerage #2		None			Merged (with line 88)	11/12/19	J		
125. Westcore International Small Cap - Brokerage #2		None			Sold (part)	01/23/19	J	A	
126. Westcore International Small Cap - Brokerage #2		None			Sold (part)	02/22/19	J	A	
127. Westcore International Small Cap - Brokerage #2		None			Sold	03/12/19	J	B	
128. Metropolitan West Total Return - Brokerage #2	A	Dividend			Buy (add'l)	01/23/19	J		
129. Metropolitan West Total Return - Brokerage #2		None			Merged (with line 90)	11/12/19	L		
130. DFA Short Term Muni - Brokerage #2	A	Dividend			Sold (part)	04/03/19	K	A	
131. DFA Short Term Muni - Brokerage #2		None			Sold (part)	08/29/19	J	A	
132. DFA Short Term Muni - Brokerage #2		None			Merged (with line 98)	11/12/19	L		
133. DFA Global Real Estate - Brokerage #2		None			Sold (part)	01/23/19	J	B	
134. DFA Global Real Estate - Brokerage #2		None			Merged (with line 92)	11/12/19	J		
135. DFA Intl Small Cap Value - Brokerage #2		None			Buy	01/23/19	J		
136. DFA Intl Small Cap Value - Brokerage #2		None			Merged (with line 89)	11/12/19	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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Pratter, Gene E.

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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. DFA Emerging Markets Core Equity - Brokerage #2		None			Merged (with line 80)	11/12/19	K		
138. DFA International Value - Brokerage #2		None			Merged (with line 102)	11/12/19	K		
139. Ivy Mid Cap Growth - Brokerage #2		None			Sold (part)	01/23/19	J	B	
140. Ivy Mid Cap Growth - Brokerage #2		None			Sold (part)	05/23/19	J	C	
141. Ivy Mid Cap Growth - Brokerage #2		None			Sold (part)	08/19/19	J	A	
142. Ivy Mid Cap Growth - Brokerage #2		None			Merged (with line 97)	11/12/19	K		
143. DFA Intl Large Growth - Brokerage #2		None			Sold (part)	01/23/19	J	A	
144. DFA Intl Large Growth - Brokerage #2		None			Merged (with line 96)	11/12/19	J		
145. William Blair Large Growth - Brokerage #2		None			Sold (part)	01/23/19	J	A	
146. William Blair Large Growth - Brokerage #2		None			Sold (part)	07/12/19	J	A	
147. William Blair Large Growth - Brokerage #2		None			Merged (with line 86)	11/12/19	K		
148. Thornburg Limited Term Muni - Brokerage #2	A	Dividend			Buy (add'l)	04/03/19	K		
149. Thornburg Limited Term Muni - Brokerage #2		None			Merged (with line 91)	11/12/19	L		
150. DFA US Small Growth - Brokerage #2		None			Sold (part)	07/12/19	J	A	
151. DFA US Small Growth - Brokerage #2		None			Sold (part)	08/19/19	J	A	
152. DFA US Small Growth - Brokerage #2		None			Merged (with line 103)	11/12/19	J		
153. iShares MSCI EAFE Small Cap ETF - Brokerage #2		None			Sold	01/23/19	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)
154. DFA Intl Small Growth - Brokerage #2		None			Buy	04/03/19	J		
155. DFA Intl Small Growth - Brokerage #2		None			Merged (with line 99)	11/12/19	J		
156. AQR Defensive Equity - Brokerage #2		None			Buy	05/23/19	J		
157. AQR Defensive Equity - Brokerage #2		None			Buy (add'l)	07/12/19	J		
158. AQR Defensive Equity - Brokerage #2		None			Merged (with line 101)	11/12/19	K		
159. DFA One Year Fixed - Retirement #8	C	Dividend			Sold	12/18/19	N	B	
160. DFA Emerging Markets Core Equity - Retirement #8	A	Dividend	L	T					
161. DFA International Value - Retirement #8	C	Dividend	M	T					
162. DFA US Large Value - Retirement #8	D	Dividend	N	T	Buy (add'l)	01/23/19	L		
163. DFA US Small Value - Retirement #8	B	Dividend	L	T	Sold (part)	07/12/19	K	B	
164. DFA US Micro Cap - Retirement #8	B	Dividend	L	T					
165. Dodge & Cox Stock - Retirement #8	E	Dividend	N	T	Sold (part)	01/23/19	K	A	
166. DFA Int'l Small Cap Value - Retirement #8	C	Dividend	L	T					
167. First Eagle Overseas - Retirement #8	C	Dividend	M	T	Buy (add'l)	07/12/19	K		
168. Hotchkis & Wiley Mid Cap Value - Retirement #8	B	Dividend	M	T					
169. Morgan Stanley Emerging Markets - Retirement #8	D	Dividend	L	T	Buy (add'l)	01/23/19	J		
170. Morgan Stanley International Equity - Retirement #8	D	Dividend	M	T	Buy (add'l)	03/12/19	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Royce Opportunity - Retirement #8	A	Dividend	L	T	Sold (part)	07/12/19	J	A	
172. Schwab Money Market Fund - Retirement #8	A	Dividend	J	T					
173. Westcore Intl Small Cap - Retirement #8		None			Sold (part)	02/22/19	J	A	
174. Westcore Intl Small Cap - Retirement #8		None			Sold	03/12/19	K	D	
175. Westcore Mid Cap Value - Retirement #8	C	Dividend	L	T	Sold (part)	05/23/19	K	A	
176. William Blair Large Cap Growth - Retirement #8	E	Dividend	N	T	Sold (part)	01/23/19	K	A	
177. William Blair Large Cap Growth - Retirement #8		None			Sold (part)	07/12/19	K	D	
178. BlackRock Low Duration - Retirement #8	D	Dividend	N	T					
179. Metropolitan West Total return - Retirement #8	D	Dividend	N	T	Buy (add'l)	01/23/19	K		
180. William Blair Small Growth - Retirement #8	B	Dividend	L	T	Sold (part)	07/12/19	K	B	
181. Ivy Mid Growth - Retirement #8	D	Dividend	M	T	Sold (part)	01/23/19	K	A	
182. Ivy Mid Growth - Retirement #8		None			Sold (part)	05/23/19	L	D	
183. DFA Global Real Estate - Retirement #8	D	Dividend	L	T	Sold (part)	01/23/19	L	A	
184. Morgan Stanley AIP - Retirement #8	D	Dividend	M	T					
185. DFA International Large Growth - Retirement #8	A	Dividend	L	T					
186. DFA Short Term Govt - Retirement #8	D	Dividend	N	T					
187. DFA US Small Growth - Retirement #8	A	Dividend	K	T	Sold (part)	07/12/19	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. DFA Intl Small Growth - Retirement #8	A	Dividend	K	T					
189. AQR Defensive Equity - Retirement #8	B	Dividend	M	T	Buy	05/23/19	L		
190. AQR Defensive Equity - Retirement #8		None			Buy (add'l)	07/12/19	L		
191. DFA Int Term Governement Bond - Retirement #7		None	N	T	Buy	12/19/19	N		
192. Equitable Variable Life - Alliance Common Stock		None	M	T					
193. Equitable Variable Life - Alliance International		None	K	T					
194. PNC Bank Accounts	A	Interest	K	T					
195. Nantucket Bank Account	A	Interest	J	T					
196. 401K Plan - John Hancock Balanced	A	Dividend	K	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 98 - This asset was inadvertently left off the 2018 Financial Disclosure Report. The details that should have been reported were as follows: Amount was A, Type was Dividend, Value was J, and the Value Method was T. There were no buys or sells in 2018.

Line 102 - This asset was transferred in-kind from Brokerage #2 on November 12, 2019.

Line 103 - This asset was transferred in-kind from Brokerage #2 on November 12, 2019.

All assets in Brokerage #2 were transferred in-kind to Brokerage #1 on November 12, 2019.

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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/ **Gene E. Pratter**

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