

# FINANCIAL DISCLOSURE REPORT

## FINAL FILING

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

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>ADLER, JAN M.                                                                                                         | <b>2. Court or Organization</b><br><br>US DISTRICT COURT, SDCA                                                                                                                                                                                                                           | <b>3. Date of Report</b><br><br>10/24/2018                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. MAGISTRATE JUDGE FULL-TIME                                | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>09/30/2018 |
| <b>7. Chambers or Office Address</b><br><br>UNITED STATES DISTRICT COURT<br>940 FRONT STREET, ROOM 2140<br>SAN DIEGO, CA 92101-8928                                                        |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

| <u>POSITION</u>               | <u>NAME OF ORGANIZATION/ENTITY</u>    |
|-------------------------------|---------------------------------------|
| 1. MEMBER                     | EQUITY PARTNERS SPECIAL PURPOSE LLC   |
| 2. CO-TRUSTEE                 | TRUST #1                              |
| 3. 9TH CIRCUIT DIRECTOR       | FEDERAL MAGISTRATE JUDGES ASSOCIATION |
| 4. MEMBER, BOARD OF DIRECTORS | JEWISH FAMILY SERVICES SAN DIEGO      |
| 5.                            |                                       |

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

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                                                                                  |
|-------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| 1. 2018     | FEE INCOME FROM FORMER LAW FIRM TO BE COLLECTED FOR WORK PERFORMED BEFORE LEAVING THE FIRM, APPROXIMATELY \$35,000 PER YEAR THROUGH 2025. |
| 2.          |                                                                                                                                           |
| 3.          |                                                                                                                                           |

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

## III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

### A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                              | <u>INCOME</u><br><small>(yours, not spouse's)</small> |
|-------------|-----------------------------------------------------|-------------------------------------------------------|
| 1. 2018     | EQUITY PARTNERS SPECIAL PURPOSE LLC - MEMBER INCOME | \$25,323.00                                           |
| 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.          |                        |
| 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. | FEDERAL MAGISTRATE JUDGES ASSOCIATION | 03/19/18-03/21/18 | WASHINGTON, D.C. | BOARD MEETINGS | TRANSPORTATION, HOTEL AND FOOD |
| 2. |                                       |                   |                  |                |                                |
| 3. |                                       |                   |                  |                |                                |
| 4. |                                       |                   |                  |                |                                |
| 5. |                                       |                   |                  |                |                                |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| ADLER, JAN M.            | 10/24/2018     |

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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Name of Person Reporting

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

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

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

|                                                                |   |          |   |   |                |          |   |  |  |
|----------------------------------------------------------------|---|----------|---|---|----------------|----------|---|--|--|
| 1. TRUST #1                                                    |   |          |   |   |                |          |   |  |  |
| 2. AMERIPRISE BROKERAGE ACCOUNT<br>IRA#1 - MM CASH EQUIVALENTS |   | None     | J | T |                |          |   |  |  |
| 3. - HIGHLANDS REIT                                            |   | None     | J | T |                |          |   |  |  |
| 4. - INVESTRUST PROPERTIES                                     | A | Dividend | K | T |                |          |   |  |  |
| 5. AMERIPRISE BROKERAGE ACCOUNT<br>IRA#2 - MM CASH EQUIVALENTS |   | None     | J | T |                |          |   |  |  |
| 6. - AMERICAN CAPITAL INCOME<br>BUILDER - A                    | A | Dividend | K | T |                |          |   |  |  |
| 7. - AMERICAN CAPITAL WORLD<br>GROWTH & INCOME                 | A | Dividend | K | T |                |          |   |  |  |
| 8. AMERIPRISE ONE FINANCIAL<br>ACCOUNT - MM CASH EQUIVALENTS   |   | None     | K | T | Buy<br>(add'l) | 01/10/18 | K |  |  |
| 9.                                                             |   |          |   |   | Buy<br>(add'l) | 01/18/18 | J |  |  |
| 10.                                                            |   |          |   |   | Buy<br>(add'l) | 03/02/18 | K |  |  |
| 11.                                                            |   |          |   |   | Buy<br>(add'l) | 04/17/18 | J |  |  |
| 12.                                                            |   |          |   |   | Buy<br>(add'l) | 06/07/18 | K |  |  |
| 13.                                                            |   |          |   |   | Buy<br>(add'l) | 07/11/18 | J |  |  |
| 14.                                                            |   |          |   |   | Buy<br>(add'l) | 07/18/18 | J |  |  |
| 15.                                                            |   |          |   |   | Buy<br>(add'l) | 08/10/18 | J |  |  |
| 16.                                                            |   |          |   |   | Buy<br>(add'l) | 08/22/18 | K |  |  |
| 17. - AMCAP CL A                                               |   | None     |   |   | Sold           | 02/21/18 | M |  |  |

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

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10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 18. - AMERICAN FUNDS AMERICAN<br>BALANCED CL A                                                                             |                                        | None                                          |                                                |                                           | Sold                                            | 02/21/18                | K                               |                                |                                                                   |
| 19. - NEW PERSPECTIVE CL A                                                                                                 |                                        | None                                          |                                                |                                           | Sold                                            | 02/21/18                | L                               |                                |                                                                   |
| 20. - NEW WORLD CL A                                                                                                       |                                        | None                                          |                                                |                                           | Sold                                            | 02/21/18                | L                               |                                |                                                                   |
| 21. - CNL HEATHCARE TR INC                                                                                                 | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. STRATEGIC PORFOLIO SERVICE<br>ADVANTAGE #1 - CASH<br>EQUIVALENTS                                                       |                                        | None                                          | K                                              | T                                         | Sold<br>(part)                                  | 01/10/18                | K                               |                                |                                                                   |
| 23.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/02/18                | K                               |                                |                                                                   |
| 24.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/17/18                | K                               |                                |                                                                   |
| 25.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/11/18                | J                               |                                |                                                                   |
| 26.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/10/18                | J                               |                                |                                                                   |
| 27. - AMCAP CL A                                                                                                           | C                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 02/21/18                | M                               |                                |                                                                   |
| 28. - AMERICAN FUNDS AMERICA<br>BALANCED CL A                                                                              | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 02/21/18                | J                               |                                |                                                                   |
| 29.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/08/18                | J                               |                                |                                                                   |
| 30. - AMERICAN CENTURY CALIFORNIA<br>HIGH YIELD MUN INVESTOR CL                                                            | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 02/21/18                | L                               |                                |                                                                   |
| 31. - BARON SMALL CAP FUND                                                                                                 | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. - BLACKROCK CALIFORNIA MUN<br>OPPTYS INSTL CL                                                                          |                                        | None                                          | M                                              | T                                         | Buy                                             | 08/01/18                | M                               |                                |                                                                   |
| 33. - FRANKLIN CONVERTIBLE SECS<br>ADVISOR CL                                                                              | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/08/18                | K                               |                                |                                                                   |

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

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|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 34. - FRANKLIN MANAGED TR RISING<br>DIVIDEND FUND CL A                                                                     | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 35. - GABELLI ASSET CL SHR CLASS EX                                                                                        |                                        | None                                          | K                                              | T                                         | Sold<br>(part)                                  | 02/28/18                | K                               | D                              |                                                                   |
| 36. - CLEARBRIDGE MIDCAP CORE A                                                                                            | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. - NEW PERSPECTIVE CL A                                                                                                 |                                        | None                                          | L                                              | T                                         | Buy                                             | 02/21/18                | L                               |                                |                                                                   |
| 38. - NEW WORLD CL A                                                                                                       |                                        | None                                          | K                                              | T                                         | Buy                                             | 02/21/18                | K                               |                                |                                                                   |
| 39. - VIRTUS REAL ESTATE SECURITIES                                                                                        | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. - iSHARES CORE US AGGREGATE<br>BOND                                                                                    | B                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 04/27/18                | K                               |                                |                                                                   |
| 41.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/15/18                | K                               |                                |                                                                   |
| 42.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/08/18                | M                               |                                |                                                                   |
| 43. - iSHARES SHORT TREASURY BOND<br>ETF                                                                                   | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 04/27/18                | K                               |                                |                                                                   |
| 44.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/05/18                | J                               |                                |                                                                   |
| 45.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/08/18                | K                               |                                |                                                                   |
| 46. - iSHARES EDGE MSCI MIN<br>VOLATILITY EAFE                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 06/05/18                | J                               |                                |                                                                   |
| 47. - POWERSHARES EMERGING<br>MARKETS N/K/A INVESCO EMERGING<br>MARKETS                                                    | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 04/27/18                | J                               |                                |                                                                   |
| 48.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/05/18                | J                               |                                |                                                                   |
| 49.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 08/08/18                | J                               |                                |                                                                   |

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

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 50. - SPDR BLOOMBERG BARCLAYS<br>SHORT TERM HIGH YIELD BOND ETF                                                            | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 04/27/18         | J                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/05/18         | J                        |                         |                                                            |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 08/08/18         | J                        |                         |                                                            |
| 53. - VANGUARD SHORT TERM CORP<br>BOND ETF                                                                                 | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 04/27/18         | J                        |                         |                                                            |
| 54.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/05/18         | J                        |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 08/08/18         | K                        |                         |                                                            |
| 56. - S&P 500 ETF TRUST (SPDR) UNIT SER<br>1                                                                               | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 57. - VANGUARD TOTAL STOCK MARKET                                                                                          | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. AMERIPRISE ACTIVE PORFOLIO IRA -<br>CASH EQUIVALENTS                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 59. - iSHARES CORE S&P ETF                                                                                                 | C                                      | Dividend                               | N                                              | T                                  | Buy<br>(add'l)                            | 04/27/18         | J                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/30/18         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/14/18         | K                        | B                       |                                                            |
| 62.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/21/18         | J                        |                         |                                                            |
| 63.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/26/18         | J                        |                         |                                                            |
| 64.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/06/18         | J                        |                         |                                                            |
| 65.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/10/18         | J                        | A                       |                                                            |
| 66. - iSHARES CORE US AGGREGATE<br>BOND ETF                                                                                | B                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 04/27/18         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 67.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/04/18         | J                        |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/14/18         | J                        |                         |                                                            |
| 69. - SPDR BLOOMBERG BARCLAYS HIGH<br>YIELD BOND ETF                                                                       | B                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 04/27/18         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/14/18         | J                        |                         |                                                            |
| 71. - SECTOR CONSUMER STAPLES<br>SELECT SECTOR SPDR ETF                                                                    | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/27/18         | J                        |                         |                                                            |
| 72.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/07/18         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/21/18         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/26/18         | J                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/06/18         | K                        | B                       |                                                            |
| 76. - SECTOR MATERIALS SELECT<br>SECTOR SPDR ETF                                                                           | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 04/27/18         | J                        |                         |                                                            |
| 77.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/07/18         | J                        | A                       |                                                            |
| 78.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/21/18         | J                        |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/26/18         | J                        |                         |                                                            |
| 80.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/06/18         | J                        |                         |                                                            |
| 81.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/10/18         | J                        | A                       |                                                            |
| 82. - SECTOR ENERGY SELECT SECTOR<br>SPDR ETF                                                                              | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/10/18         | K                        |                         |                                                            |
| 83. - SECTOR HEALTHCARE SELECT<br>SECTOR SPDR ETF                                                                          |                                        | None                                   |                                                |                                    | Sold                                      | 01/03/18         | K                        | A                       |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 84. - SECTOR FINANCIAL SELECT<br>SECTOR SPDR ETF                                                                           | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 01/03/18                | K                               |                                |                                                                   |
| 85.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/27/18                | J                               |                                |                                                                   |
| 86.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/07/18                | J                               |                                |                                                                   |
| 87.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/21/18                | J                               |                                |                                                                   |
| 88.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/26/18                | J                               |                                |                                                                   |
| 89.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/06/18                | J                               |                                |                                                                   |
| 90.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/10/18                | J                               | A                              |                                                                   |
| 91. - SECTOR INDUSTRIAL SELECT<br>SECTOR SPDR ETF                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 06/26/18                | K                               |                                |                                                                   |
| 92.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/06/18                | J                               |                                |                                                                   |
| 93.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/10/18                | J                               | A                              |                                                                   |
| 94. - SELECT SECTOR TR REAL ESTATE<br>SPDR ETF                                                                             | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 01/03/18                | J                               |                                |                                                                   |
| 95.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/27/18                | J                               |                                |                                                                   |
| 96.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 05/30/18                | J                               |                                |                                                                   |
| 97.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/04/18                | J                               | A                              |                                                                   |
| 98.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/07/18                | J                               | A                              |                                                                   |
| 99. - SELECT UTILITIES SELECT SECTOR<br>SPDR ETF                                                                           | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 04/27/18                | K                               |                                |                                                                   |
| 100.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/07/18                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 101.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 06/21/18         | K                        | A                       |                                                            |
| 102. AMERICAN STRATEGIC PORTFOLIO<br>SERVICE ADVISOR IRA#1 - CASH<br>EQUIVALENT                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 103. - ALPHABET INC CL A                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 104. - AMGEN INC                                                                                                           | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 105. - BANK AMERICA CORP                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        |                         |                                                            |
| 106.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 107. - CISCO SYSTEMS INC                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 109. - CLOROX COMPANY                                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 111. - DOWDUPONT INC                                                                                                       | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 113. - ENTERPRISE PRODUCTS PARTNERS<br>LTC PARTNERSHIP                                                                     | A                                      | Distribution                           |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 114.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | J                        | A                       |                                                            |
| 115. - HALLIBURTON COMPANY                                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 07/02/18         | J                        |                         |                                                            |
| 116. - HASBRO INC                                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |

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

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

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 117.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 118. - HOME DEPOT                                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 120. - HONEYWELL INTL INC                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 121. - INTEL CORP                                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 123. - JPMORGAN CHASE & COMPANY                                                                                            | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 125. - JOHNSON & JOHNSON                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/04/18         | J                        |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 127. - MAXIM INTEGRATED PRODUCTS<br>INC                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 129. - MERCK & COMPANY INC NEW                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/04/18         | J                        |                         |                                                            |
| 130. - MICROSOFT CORP                                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 131.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 132. - OLLIES BARGAIN OUTLET<br>HOLDINGS INC                                                                               |                                        | None                                   | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 133.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | B                       |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

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U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

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L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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Date of Report

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

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 134. - RAYMOND JAMES FINANCIAL INC                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 135.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/02/18                | J                               |                                |                                                                   |
| 136. - UNITED HEALTH GROUP INC                                                                                             | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 137.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               | A                              |                                                                   |
| 138. - VANGUARD MID CAP ETF                                                                                                | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 139.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/02/18                | J                               |                                |                                                                   |
| 140. - VANGUARD SMALL CAP ETF                                                                                              | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 141.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               | A                              |                                                                   |
| 142. - XYLEM INC                                                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 143.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/02/18                | J                               |                                |                                                                   |
| 144. AMERIPRISE STRATEGIC PORTFOLIO<br>SERVICE ADVISOR IRA#2 - CASH<br>EQUIVALENT                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. - BLACKROCK HIGH YIELD BOND<br>INSTL CL                                                                               | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 07/02/18                | L                               |                                |                                                                   |
| 146. - FRANKLIN CONVERTIBLE SECS<br>ADVISOR CL                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 07/02/18                | K                               |                                |                                                                   |
| 147. - BRANDYWINEGLOBAL GLOBAL<br>OPPTYS BOND CL                                                                           | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 07/02/18                | K                               |                                |                                                                   |
| 148. - PGIM TOTAL RETURN BOND CL2                                                                                          | A                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 07/02/18                | M                               |                                |                                                                   |
| 149. - INVESCO LTD                                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 01/04/18                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 150.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/02/18         | J                        |                         |                                                            |
| 151.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 152. - AETNA INC NEW                                                                                                       |                                        | None                                   |                                                |                                    | Sold                                      | 01/04/18         | K                        | D                       |                                                            |
| 153. - ALPHABET INC CL A                                                                                                   |                                        | None                                   | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 154.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 155. - CELGENE CORP                                                                                                        |                                        | None                                   |                                                |                                    | Buy                                       | 01/04/18         | K                        |                         |                                                            |
| 156.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/02/18         | J                        |                         |                                                            |
| 157.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | J                        |                         |                                                            |
| 158. - CENTENE CORP DEL                                                                                                    |                                        | None                                   | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 159.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 160.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 161. - CHINA MOBILE LIMITED<br>SPONSORED ADRS                                                                              |                                        | None                                   |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 162.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/02/18         | J                        |                         |                                                            |
| 163. - CHUBB LTD                                                                                                           | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/04/18         | K                        | B                       |                                                            |
| 164. - CISCO SYSTEMS INC                                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 165.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 166.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 167. - WALT DISNEY CO                                                                                                      | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 168.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 169.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               |                                |                                                                   |
| 170. - DOWDUPONT INC                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 171.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 172.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               |                                |                                                                   |
| 173. - EXXON MOBILE CORP                                                                                                   | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 174.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 175.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               |                                |                                                                   |
| 176. - HALLIBURTON COMPANY                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 07/02/18                | K                               |                                |                                                                   |
| 177. - HOME DEPOT INC                                                                                                      | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 178.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 179.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               | A                              |                                                                   |
| 180. - IRON MOUNTAIN INC NEW                                                                                               |                                        | None                                          | J                                              | T                                         | Buy                                             | 07/02/18                | K                               |                                |                                                                   |
| 181. - iSHARES TIPS BOND ETF                                                                                               | B                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 182.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/02/18                | J                               |                                |                                                                   |
| 183.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 07/02/18                | K                               |                                |                                                                   |

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

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 184. - iSHARES iBOXX \$INVESTMENT<br>GRADE CORP BOND ETF                                                                   | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 185.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        |                         |                                                            |
| 186.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 187. - iSHARES 7-10 YR TREASURY BOND<br>ETF                                                                                | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | K                        |                         |                                                            |
| 188.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        |                         |                                                            |
| 189.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 190. - iSHARES 1-3 YR TREASURY BOND<br>ETF                                                                                 | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/04/18         | J                        |                         |                                                            |
| 191.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 192. - iSHARES MBS ETF                                                                                                     | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 193.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        |                         |                                                            |
| 194.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 195. - iSHARES SHORT TREASURY BOND<br>ETF                                                                                  | A                                      | Dividend                               |                                                |                                    | Buy                                       | 04/02/18         | K                        |                         |                                                            |
| 196.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        | A                       |                                                            |
| 197. - iSHARES CORE MSCI EFE ETF                                                                                           | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 198.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 199.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 200. - JOHNSON & JOHNSON                                                                                                   | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/04/18         | K                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 201.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/02/18         | J                        |                         |                                                            |
| 202.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 203. - KONINKLIJKE PHILIPS NV<br>SPONSORED ADR                                                                             | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 204.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 205.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 206. - MASTERCARD INC CL A                                                                                                 | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 07/02/18         | J                        |                         |                                                            |
| 207. - MERCK & COMPANY INC NEW                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/04/18         | J                        |                         |                                                            |
| 208. - MICROSOFT CORP                                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 209.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 210.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 211. - POWERSHARES EMERGING MARKET<br>N/K/A INVESCO EMERGING MARKET<br>SOVEREIGN                                           | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 212.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 213. - POWERSAHRES SENIOR LOAN N/K/A<br>INVESCO SENIOR LOAN PORT ETF                                                       | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 01/04/18         | J                        |                         |                                                            |
| 214.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/02/18         | J                        |                         |                                                            |
| 215.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        |                         |                                                            |
| 216.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 217. - RAYMOND JAMES FINANCIAL INC                                                                                         | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 218.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/02/18                | J                               | A                              |                                                                   |
| 219.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               | A                              |                                                                   |
| 220. - SPDR BLOOMBERG BARCLAYS HIGH<br>YIELD BOND ETF                                                                      | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 221.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 04/02/18                | K                               |                                |                                                                   |
| 222. - SCHWAB CHARLES CORP NEW                                                                                             | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 223.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 04/02/18                | J                               | A                              |                                                                   |
| 224.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 07/02/18                | J                               | B                              |                                                                   |
| 225. - SEALED AIR CORP NEW                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/04/18                | J                               | A                              |                                                                   |
| 226.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 227.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/02/18                | J                               |                                |                                                                   |
| 228. - SOUTHERN COPPER CORP DEL                                                                                            | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 04/02/18                | J                               |                                |                                                                   |
| 229.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/02/18                | J                               |                                |                                                                   |
| 230. - SYMANTEC CORP                                                                                                       | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |
| 231.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/02/18                | J                               |                                |                                                                   |
| 232.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 05/15/18                | J                               |                                |                                                                   |
| 233. - UNILEVER PLC SPONSORED ADR<br>NEW                                                                                   | A                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 01/04/18                | J                               |                                |                                                                   |

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

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 234.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 235.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 236. - VANGUARD SHORT TERM CORP<br>BOND ETF                                                                                | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/04/18         | K                        |                         |                                                            |
| 237.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        |                         |                                                            |
| 238.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 07/02/18         | K                        |                         |                                                            |
| 239. - VANGUARD MID CAP ETF                                                                                                | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 240.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 241.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 242. - VANGUARD SMALL CAP ETF                                                                                              | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/04/18         | J                        | A                       |                                                            |
| 243.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/02/18         | J                        | A                       |                                                            |
| 244.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/02/18         | J                        | A                       |                                                            |
| 245. - XYLEM INC                                                                                                           | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/15/18         | J                        |                         |                                                            |
| 246.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/02/18         | J                        |                         |                                                            |
| 247. RIVERSOURCE LIFE INSURANCE<br>RAVA 5 - COLUMBIA VP                                                                    |                                        | None                                   | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 248. RIVERSOURCE RETIREMENT<br>ADVISOR 4 - VP MODERATE CL 4                                                                |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 249. RIVERSOURCE LIFE PROTECTION<br>PLUS UL INSURANCE                                                                      |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 250. JP MORGAN CHASE BANK ACCOUNTS                                                                                         | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:  
(See Columns B1 and D4)

2 Value Codes  
(See Columns C1 and D3)

3 Value Method Codes  
(See Column C2)

A =\$1,000 or less  
F =\$50,001 - \$100,000  
J =\$15,000 or less  
N =\$250,001 - \$500,000  
P3 =\$25,000,001 - \$50,000,000  
Q =Appraisal  
U =Book Value

B =\$1,001 - \$2,500  
G =\$100,001 - \$1,000,000  
K =\$15,001 - \$50,000  
O =\$500,001 - \$1,000,000  
R =Cost (Real Estate Only)  
V =Other

C =\$2,501 - \$5,000  
H1 =\$1,000,001 - \$5,000,000  
L =\$50,001 - \$100,000  
P1 =\$1,000,001 - \$5,000,000  
P4 =More than \$50,000,000  
S =Assessment  
W =Estimated

D =\$5,001 - \$15,000  
H2 =More than \$5,000,000  
M =\$100,001 - \$250,000  
P2 =\$5,000,001 - \$25,000,000  
T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

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

PART VII. LINE 17 AND LINE 27: AMCAP TRANSFER OF ASSETS FROM AMERIPRISE ONE FINANCIAL TO STRATEGIC PORTFOLIO SERVICE ADVANTAGE #1.

PART VII. LINE 18 AND 28: AMERICAN FUNDS AMERICAN BALANCED CL A TRANSFER OF ASSETS FROM AMERIPRISE ONE FINANCIAL TO STRATEGIC PORTFOLIO SERVICE ADVANTAGE #1.

PART VII. LINE 19 AND 37: NEW PERSPECTIVE CL A TRANSFER OF ASSETS FROM AMERIPRISE ONE FINANCIAL TO STRATEGIC PORTFOLIO SERVICE ADVANTAGE #1.

PART VII. LINE 20 AND 38: NEW WORLD CL A TRANSFER OF ASSETS FROM AMERIPRISE ONE FINANCIAL TO STRATEGIC PORTFOLIO SERVICE ADVANTAGE #1.

PART VII LINES 211 AND 213: NAME CHANGE.

# FINANCIAL DISCLOSURE REPORT

Page 20 of 20

Name of Person Reporting

ADLER, JAN M.

Date of Report

10/24/2018

## 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/ JAN M. ADLER

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