

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Grimm, Paul W.	2. Court or Organization U.S. District Court, District of Maryland	3. Date of Report 05/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (active status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Chambers 465A U.S. Courthouse 6500 Cherrywood Lane Greenbelt, MD 20770		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Instructor, part-time	Shemer Bar Review (lecturer)
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Grimm, Paul W.

Date of Report

05/04/2020

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

A. Filer's Non-Investment Income

☐

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Shemer Bar Review, lecturer	\$2,800.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Dietician-Health Care Services Group (HCSG)
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Grimm, Paul W.	05/04/2020

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. M&T Bank accounts	A	Interest	L	T					
2. AXA Equitable TSA (Equi-Vest)		None	L	T					
3. Fidelity Government Cash Reserves Roth	A	Dividend	J	T					
4. Fidelity Government Cash Reserves Roth	A	Dividend	J	T					
5. T Rowe Price Government Money	B	Dividend	L	T					
6. IRA - MORGAN STANLEY (#1) (H):									
7. - Morgan Stanley Bank	A	Interest	K	T					
8. -iShares S&P 500 Growth ETF	A	Dividend			Buy (add'l)	05/07/19	J		
9.					Sold	05/24/19	J	B	
10. -iShares S&P 500 Value ETF	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
11.					Buy (add'l)	08/05/19	J		
12. -iShares S&P Mid-Cap 400 V ETF	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
13.					Buy (add'l)	08/05/19	J		
14. -Invesco S&P 500 Revenue ETF	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
15.					Buy (add'l)	08/05/19	J		
16. -Invesco S&P 500 Low Volatility ETF	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
17.					Buy (add'l)	08/05/19	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

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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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -Vanguard FTSE Developed Markets ETF		None			Sold	03/04/19	J	A	
19. -American Century Emerging Markets I	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
20.					Buy (add'l)	08/05/19	J		
21. -Baron Small Cap Institutional		None			Sold	03/28/19	J	A	
22. -Goldman Sachs Absolute Return Tracker	A	Dividend	K	T	Buy (add'l)	02/01/19	J		
23.					Buy (add'l)	05/07/19	J		
24.					Buy (add'l)	08/05/19	J		
25. -Janus Henderson International Opportunity	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
26.					Buy (add'l)	08/05/19	J		
27. -Neuberger Berman Core Bond Inst	B	Dividend	K	T	Buy (add'l)	05/07/19	J		
28.					Buy (add'l)	08/05/19	J		
29. -PGIM Jennison Mid Cap Growth Z	B	Dividend	J	T	Buy (add'l)	05/07/19	J		
30.					Buy (add'l)	08/05/19	J		
31. -PGIM Absolute Return Bond Z	B	Dividend	J	T	Buy (add'l)	05/07/19	J		
32.					Buy (add'l)	08/05/19	J		
33. -Royce Opportunity Inv	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
34.					Buy (add'l)	08/05/19	J		

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

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Name of Person Reporting

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. -Touchstone Sands Capital Select Growth Y	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
36.					Buy (add'l)	08/05/19	J		
37. -Wisdomtree Mgd Futures Strat		None			Sold	02/01/19	J		
38. -Lord Abbett Total Return	B	Dividend	K	T	Buy (add'l)	05/07/19	J		
39.					Buy (add'l)	08/05/19	J		
40. -Guggenheim Macro Opportunity	A	Dividend	J	T	Buy (add'l)	05/07/19	J		
41.					Buy (add'l)	08/05/19	J		
42. -Hartford Multi Factor Develop	A	Dividend	J	T	Buy	03/04/19	J		
43.					Buy (add'l)	05/07/19	J		
44.					Buy (add'l)	08/05/19	J		
45. -AB Concentrated Gw Adv	A	Dividend	K	T	Buy	05/24/19	J		
46.					Buy (add'l)	08/05/19	J		
47. -Federated Kaufmann Small Cap	A	Dividend	J	T	Buy	03/28/19	J		
48.					Buy (add'l)	05/07/19	J		
49.					Buy (add'l)	08/05/19	J		
50. IRA - MORGAN STANLEY (#2) (H):									
51. -iShares S&P Mid Cap 400 Index		None			Buy	03/20/19	K		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	04/10/19	K		
53.					Sold (part)	05/15/19	K		
54.					Sold	05/29/19	K		
55. -SPDR S&P 500 ETF Trust	A	Dividend	K	T	Buy (add'l)	02/07/19	J		
56.					Buy (add'l)	06/13/19	J		
57.					Buy (add'l)	06/14/19	K		
58.					Sold (part)	07/15/19	J	A	
59.					Sold (part)	08/08/19	K	A	
60. -Schwab U.S. Large Cap Value	A	Dividend			Buy	02/20/19	K		
61.					Sold	06/04/19	K		
62. -Schwab US Mid Cap ETF	A	Dividend			Buy	02/21/19	K		
63.					Buy (add'l)	02/27/19	K		
64.					Sold	03/13/19	K		
65.					Buy	06/12/19	K		
66.					Buy (add'l)	06/13/19	K		
67.					Buy (add'l)	06/19/19	K		
68.					Buy (add'l)	06/26/19	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
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D =\$5,001 - \$15,000
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M =\$100,001 - \$250,000
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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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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Sold (part)	08/07/19	K		
70.					Sold (part)	08/14/19	K		
71.					Sold	08/21/19	K		
72. -Vanguard Russell 1000 Value ETF	A	Dividend			Buy	06/11/19	K		
73.					Buy (add'l)	06/12/19	K		
74.					Buy (add'l)	06/13/19	K		
75.					Buy (add'l)	06/18/19	K		
76.					Sold (part)	08/13/19	K		
77.					Sold (part)	08/20/19	K		
78.					Sold	10/15/19	K	A	
79. -SPDR S&P Mid Cap 400 ETF Trust	A	Dividend			Buy	09/11/19	K		
80.					Buy (add'l)	09/12/19	K		
81.					Buy (add'l)	09/18/19	K		
82.					Sold (part)	10/09/19	K		
83.					Sold	10/10/19	K		
84. -Vanguard Mid Cap ETF	A	Dividend	L	T	Buy (add'l)	02/06/19	K		
85.					Sold (part)	05/29/19	K	A	

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
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U =Book Value

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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
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86.					Sold (part)	06/05/19	K	B	
87.					Buy (add'l)	10/16/19	K		
88.					Buy (add'l)	10/23/19	K		
89.					Buy (add'l)	10/24/19	K		
90. -Goldman Sachs Access Tre 0-1 Yrs.	A	Dividend			Sold (part)	02/12/19	K		
91.					Sold	02/20/19	K	A	
92. -Invesco S&P Ultra Dividend	A	Dividend			Buy (add'l)	02/12/19	K		
93.					Sold (part)	05/14/19	K	A	
94.					Sold	06/04/19	K	B	
95. -SPDR Ser TR Bbg Bcl 1 3 ETF	A	Dividend			Sold (part)	02/21/19	L	A	
96.					Buy (add'l)	06/03/19	K		
97.					Sold (part)	06/13/19	K	A	
98.					Sold	06/18/19	K	A	
99. -Lord Abbett Ultra Short Bond	A	Dividend			Buy (add'l)	01/14/19	J		
100.					Sold (part)	02/05/19	K		
101.					Sold (part)	02/27/19	K	A	
102.					Buy (add'l)	06/13/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103.					Sold (part)	06/18/19	J		
104.					Sold	06/19/19	K	A	
105. -SPDR DJIA Trust	A	Dividend	K	T	Buy	09/10/19	K		
106.					Sold (part)	10/08/19	K		
107. -Morgan Stanley Bank	A	Interest	K	T					
108. -Invesco S&P 500 Revenue ETF	A	Dividend	K	T	Buy	10/17/19	K		
109.					Sold (part)	12/16/19	J	A	
110. -iShares Core S&P 500 ETF	A	Dividend			Buy	02/22/19	K		
111.					Sold (part)	05/16/19	K	A	
112.					Sold	06/06/19	K	A	
113. -Schwab US Large Cap ETF		None			Buy	09/05/19	K		
114.					Sold	10/08/19	K		
115. -Vanguard Large Cap ETF	A	Dividend			Buy	09/12/19	K		
116.					Sold	10/10/19	K		
117. -iShares Russell Top 200	A	Dividend	L	T	Buy	10/22/19	K		
118.					Buy (add'l)	10/23/19	K		
119. IRA - MORGAN STANLEY (#3) (H):									

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. -Morgan Stanley Bank	A	Interest	J	T					
121. -Eaton Vance Tax Mg By-WR	B	Dividend	K	T					
122. -IShares Cohen & Steers REIT ETF	A	Dividend	J	T					
123. -IShares IBoxx Invest Grade Corp Bond	A	Dividend			Sold	04/03/19	J	A	
124. -Invesco S&P 500 High Dividend	A	Dividend	J	T					
125. -SPDR Barclays Convertible	A	Dividend	K	T					
126. -SPDR S&P Dividend	A	Dividend	K	T					
127. -Voya Global Advantage	B	Dividend	K	T					
128. -AB High Income Adv	A	Dividend	J	T	Sold (part)	04/02/19	J	A	
129. -Janus Henderson Global Income	B	Dividend	K	T					
130. -Principal Preferred Sec Inst.	A	Dividend	J	T					
131. -PGIM Absolute Return Bond Z	B	Dividend	K	T					
132. -Columbia Strategic Income	A	Dividend	K	T					
133. -Guggenheim Macro Opport I	A	Dividend	J	T	Buy	04/03/19	J		
134. Exelon Corporation stock	A	Dividend	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

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Name of Person Reporting

Grimm, Paul W.

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

Part VII, line 14: Oppenheimer Large Cap Rev: name change to Invesco S&P 500 Revenue ETF.

Part VII, line 29: Prudential Jennison Mid Cap Growth Z: name change to PGIM Jennison Mid Cap Growth Z.

Part VII, line 31: Prudential Absolute Return Bond Z: name change to PGIM Absolute Return Bond Z.

Part VII, line 92: Oppenheimer S&P Ultra Dividend: name change to Invesco S&P Ultra Dividend.

Part VII, line 131: Prudential Absolute Return Bond Z: name change to PGIM Absolute Return Bond Z.

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Name of Person Reporting

Grimm, Paul W.

Date of Report

05/04/2020

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Paul W. Grimm**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544