

**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) PRATT, ROBERT W.	2. Court or Organization US DISTRICT COURT - SO IOWA	3. Date of Report 04/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT COURT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address US COURTHOUSE 123 E. WALNUT STREET DES MOINES, IA 50309		
IMPORTANT NOTES: <i>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>		

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

☒ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

04/24/2020

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.		
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.	American Constitution Society	June 6-7, 2019	Washington, D.C	Judges Convening	Transportation, meals, lodging
2.	American Constitution Society	November 15-16, 2019	Las Vegas, Nevada	Judges Convening	Transportation, meals, lodging
3.					
4.					
5.					

Name of Person Reporting	Date of Report
PRATT, ROBERT W.	04/24/2020

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. INDIVIDUAL ASSETS (H)									
2. BANKERS TRUST COMPANY (cash)	A	Interest	K	T					
3. BROKERAGE ACCOUNT #1 (H)									
4. MORGAN STANLEY BANK (cash)	A	Interest	N	T					
5. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend	J	T					
6. GOLDMAN SACHS GRP INC (GS.J)	B	Dividend	K	T					
7. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					
8. WELLS FARGO & CO SER-X (WFC.X)	B	Dividend	K	T					
9. ISHARES BARCLAYS 1-3 YRS BD (SHY)	C	Dividend	N	T	Buy	02/08/19	N		
10.					Buy (add'l)	12/27/19	M		
11. COLLEGE CHARLESTON SC HIGHER ED FACS REV REF-A (194208FB5)	A	Interest			Redeemed	04/01/19	K		
12. MARION IOWA URBAN RENWAL A (569611SH0)	A	Interest			Redeemed	06/03/19	K		
13. HONOLULU HAWAII CITY WASTE ZERO COUPON (438701AX2)		None			Redeemed	07/01/19	J		
14. IOWA FIN AUTH SINGLE FAMILY MTG REV SER-1 (462467MF5)	A	Interest			Redeemed (part)	01/22/19	J		
15.					Redeemed	03/20/19	J		
16. WATERLOO IOWA COMNTY SCH DIST SCH INFRAS SALES & SVCS REV (941660AL6)	A	Interest			Redeemed	07/01/19	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

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

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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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17. CONNECTICUT HSNB FIN AUTH MORTG REV B-1 (20775BM45)	B	Interest	L	T	Redeemed (part)	11/15/19	K		
18. FLORIDA HIGHER ED FACS FIN AUTH (34073TEA1)	A	Interest			Redeemed	12/02/19	J		
19. HOUSTON TEX WTR & SWR SYS REV SER A (4424365W7, L1)		None	L	T	Redeemed (part)	12/02/19	K		
20. WALKER CNTY ALA BRD ED -A (931541GG5)	A	Interest	K	T					
21. ORANGE BEACH ALA WTR SWR & FIRE (68407LFR5)	A	Interest	K	T					
22. VIRGINIA ST RES AUTH WTR & SWR ZERO COUPON (928181HR0)		None	J	T					
23. MISSOURI ST HEALTH & EDL FACS AUTH (60637AC59)	A	Interest	K	T					
24. HAMILTON CNTY OHIO SALES TAX ZERO COUPON (407287KH3)		None	J	T					
25. VIRGINIA ST HSG DEV AUTH COMWL (92812UF60)	A	Interest	K	T					
26. CARSON CITY NEV CAP IMPT REF A (1458076H1)	A	Interest	K	T					
27. CLARK CNTY NEV SCH DIST SER A (181059RH1)	B	Interest			Redeemed	10/31/19	K	A	
28. METRO WA D C ARPTS AUTH DULLES TOLL RD REV-B (592643AP5)		None	K	T					
29. NORTHBROOK ILL GENL OBLIG SER 1 (663821TK2)	A	Interest	K	T					
30. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY (54589NBC8)	A	Interest	K	T					
31. IOWA HIGHER ED LN AUTH REV (4624603X2)	A	Interest	K	T					
32. DAVENPORT IOWA COPR REF-A (238388MV1)	B	Interest	L	T					
33. SHARON MASS MUN PURP LN (819649XB5)	A	Interest	K	T					

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34. PIMA COUNTY ARIZ GENERAL OBLIGATION (721663XD9)	B	Interest	L	T					
35. KINGSFORT TENN BE (496443NL2)	A	Interest	J	T					
36. DES MOINES IOWA WTR REV REF B (250152GQ2)	B	Interest	L	T					
37. IOWA STUDENT LOAN LIQUIDITY CO RP STUDENT LOAN REV SEN (462590JG6)	A	Interest			Redeemed (part)	06/03/19	J		
38.					Redeemed	12/03/19	J		
39. JANESVILLE WI GENL BE (470844X22)	A	Interest	J	T					
40. LAKE CNTY ILL WARREN TWP HS DIST (509174SN9, 509174SS8)	A	Interest	L	T	Buy (add'l)	03/14/19	K		
41. ALASKA MUN BND BK REV-1 (01179RUH4)		None			Redeemed	03/08/19	J	A	
42. COLLIER CNTY FLA GAS TAX REV (19463PDG6)	A	Interest	K	T					
43. STATE UNIV IOWA ATHLETIC FACS REV (8575355M6)	B	Interest	L	T					
44. FORT BEND CNTY TEX WTR CTL & IMPT DIST NO 2 (346820SZ7)	A	Interest	K	T					
45. MONTGOMERY CO MD HSG OPP (6133492E8)	B	Interest	K	T					
46. AMES IOWA CMNTY SCH DIST (030825MP5, 030825MN0, M2)	C	Interest	M	T					
47. DESCHUTES CNTY ORE ADMIN SCH DIST NO-1 (250325SA6)	A	Interest	K	T					
48. TOMPKINS CNTY NY IMPT GENL OBLIG (890091UM1)	B	Interest	L	T					
49. JEA FLA WTR & SWR SYS SUB (46615SCS5)	A	Interest	K	T					

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50. PATCHOGUE-MEDFORD NY UN FREE SCH DIST (703023PJ4)	A	Interest	J	T					
51. BROOKHAVEN NY PUB IMPT-B (113152TF9)	B	Interest	L	T					
52. TENNESSEE ENERGY ACQUISITION CORP GAS REV (880443ED4)	B	Interest	K	T					
53. LINCOLN CNTY KY SCH DIST FIN BE (533206KQ0)	A	Interest	K	T					
54. ARLINGTON TEX FOR ISSUES DATED BE (041796KY8)	B	Interest	L	T					
55. GRAND FORKS N D WTR BE (385514HX5)	A	Interest	J	T					
56. TRUMBULL CONN GENLT OBLIG (898116P51)	A	Interest	J	T					
57. FSU FINL ASSISTANCE INC FLA BE (302644DY2)	A	Interest	J	T					
58. HILLSBOROUGH CNTY FLA CMNTY INVT TAX BE (43231YFS0)	A	Interest	K	T					
59. RUSHFORD MINN BE (782021HR3)	A	Interest	K	T					
60. ABERDENN TWP N J BE (003269DW4)	A	Interest	J	T					
61. CITY OF HOUSTON TX COMBINED UTIL BE (442435N66)	A	Interest	J	T					
62. WASHINGTON ST (93974C5L0)	B	Interest	K	T					
63. MASSACHUSETTS ST GENL OBLIG-B (57582PF96)	B	Interest	L	T					
64. NORWALK IOWA (669045PQ3)	B	Interest	L	T					
65. STATE UNIV IOWA UNIV REV (857536US3)	A	Interest	K	T					
66. NEW YORK STATE HSG FIN AGY BE (64986UQS9)	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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67. FLOWER MOUND TX BE (343487U44)	B	Interest	K	T					
68. WAVERLY IOWA WTR RE OID (943665EB1)	B	Interest	K	T					
69. MAINE ST TPK AUTH SPL BE (560543BW9)	B	Interest	K	T					
70. IOWA ST SPL OBLIG (46257TDP1)	B	Interest	K	T					
71. ROYAL BNK OF CANADA (78012K RK5)	B	Interest			Redeemed	07/29/19	L	A	
72. AMERICAN EXPRESS (0258M0EC9)	A	Interest			Redeemed	09/30/19	L		
73. XEROX CORP (984121CH4)	B	Interest	K	T					
74. GOLDMAN SACHS (36161TVU6, 38143U8H7)	B	Interest	L	T	Redeemed (part)	11/08/19	K		
75. WALGREENS BOOTS ALLIANCE (931427AQ1)	B	Interest	L	T					
76. WELLS FARGO & CO (94974BFY1)	B	Interest	K	T					
77. BANK OF AMERICA (06051GFL8)	B	Interest	K	T					
78. CITIGROUP INC (172967JC6)	B	Interest	K	T					
79. QUALCOMM INC (747525AU7)	B	Interest	K	T					
80. AT & T INC (00206REM0) (Y)									
81. BMW SALT LAKE CITY UT CD (05580AKX1)	A	Interest	K	T					
82. DISCOVER BK GREEN GREENWOOD DE CD (254673QX7)	B	Interest	K	T					
83. SYNCHRONY DRAPER UT CD (87164YQH0)	B	Interest	L	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)

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84. PIONEER MLTI AST ULT SHT INC Y (MYFRX)	A	Dividend	M	T	Buy	04/01/19	L		
85.					Sold	07/16/19	M	A	
86.					Buy	12/27/19	M		
87. BROKERAGE ACCT #2 (H)									
88. MS EMERGING MKTS DOMESTIC DEBT	C	Dividend			Sold	12/23/19	L	A	
89. JEA FLA WTR & SWR SYS SUB (46615SCJ5)	B	Interest			Redeemed	04/01/19	L	A	
90. IRA #1 (H)									
91. MORGAN STANLEY BANK (cash)	A	Interest	M	T					
92. KRAFT HEINZ CO (KHC)	A	Dividend	J	T					
93. MS MARKET LINKED NOTE DJIA	A	Dividend	K	T					
94. JPMORGAN CHASE & CO BB (JPM.H)	B	Dividend	K	T					
95. KKR & CO LP (KKR.B)	B	Int./Div.	K	T					
96. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					
97. WELLS FARGO & CO (WFC.W)	B	Dividend	K	T					
98. MS EMERGING MKTS DOMESTIC DEBT (EDD)	A	Dividend	J	T					
99. WESTERN ASSET HIGH YIELD (HYI)	C	Dividend	K	T					
100. STATE UNIV IOWA UNIV REV (857536DM5)	A	Interest	K	T					

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(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

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101. MORGAN STANLEY (61746BDR4, 61744YAH1)	B	Interest	K	T	Redeemed (part)	07/23/19	K		
102. DOW CHEMICAL COMPANY (26054LXM0)	A	Interest			Redeemed	07/15/19	K		
103. ROYAL BANK OF CANADA (78012KRK5)	A	Interest			Redeemed	07/29/19	K	A	
104. ASTRAZENECA PLC (046353AF5)	A	Interest			Redeemed	09/19/19	J	A	
105. AMERICAN EXPRESS (0258M0EC9)	A	Interest			Redeemed	09/30/19	K		
106. GENERAL ELECR TIC CAPITAL CORP (36962G6P4)	A	Interest			Redeemed	12/11/19	J	A	
107. AVON PRODUCTS INC (054303AX0)	B	Interest			Redeemed	12/05/19	K		
108. TEVA PHARMA FIN IV LLC (88166HAD9)	A	Interest	K	T					
109. CVS HEALTH CORP (126650CJ7)	A	Interest	K	T					
110. SAFEWAY INC (786514BS7)	B	Interest	K	T					
111. XEROX CORPORATION (984121CM3)	B	Interest	L	T					
112. ALLERGAN, INC. (018490AN2)	A	Interest	K	T					
113. ARCONIC INC (013817AV3)	A	Interest	J	T					
114. SOUTHERN CO (842587CS4)	B	Interest	L	T					
115. FORD MOTOR CREDIT COMPANY, LLC (34540TGZ9)	A	Interest	K	T					
116. CITIGROUP INC (14042RGD7)	A	Interest	K	T					
117. HJ HEINZ CO (423074AM5)	A	Interest	J	T					

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

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)
118. GOLDMAN SACHS GROUP (38145GAG5)	A	Interest	K	T					
119. GENERAL MILLS INC (370334BM5)	B	Interest	L	T					
120. ICAHN ENTERPRISES FIN (451102BF3)	B	Interest	K	T					
121. NEWMONT MINING CORP (651639AN6)	A	Interest	J	T					
122. BECTON DICKINSON (075887BT5)	A	Interest	K	T					
123. AT&T INC (00026RBN1)	B	Interest	L	T					
124. MURPHY OIL CORP (626717AF9)	A	Interest	J	T					
125. GENERAL MOTORS FINL CO (37045XCF1)	B	Interest	L	T					
126. QUALCOMM INC (747525AR4)	B	Interest	L	T					
127. EXPRESS SCRIPTS HOLDING (30219GAQ1)	A	Interest	K	T					
128. TRANS-CANADA PIPELINES FIXED (89352HAC3)	A	Interest	J	T					
129. WELLS FARGO BK NA SIOUX FALLS SD CD (949763YF7)	B	Interest	M	T	Buy	03/15/19	M		
130. CAPITAL ONE NA MCLEAN VA CD (14042RGD7)	B	Interest	K	T					
131. IRA #2 (H)									
132. MORGAN STANLEY BANK (cash)	A	Interest	J	T					
133. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
134. ABBVIE INC COM (ABBV)	B	Dividend	K	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

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)
135. ALTRIA GROUP INC (MO)	B	Dividend	K	T					
136. APPLE, INC. (AAPL)	A	Dividend	L	T					
137. AT&T INC (T)	B	Dividend	K	T	Buy (add'l)	01/24/19	J		
138. BOEING CO (BA)	B	Dividend	L	T					
139. CISCO SYSTEMS (CSCO)	A	Dividend	K	T					
140. COCA COLA CO (KO)	A	Dividend	K	T					
141. EXXON MOBIL (XOM)	A	Dividend	J	T	Buy (add'l)	01/24/19	J		
142. GENERAL ELECTRIC CO (GE)	A	Dividend	J	T					
143. INTEL CORP (INTC)	B	Dividend	L	T					
144. INTL BUSINESS MACHINES CORP (IBM)	B	Dividend	K	T					
145. JOHNSON & JOHNSON (JNJ)	B	Dividend	L	T					
146. PEPSICO INC NC (PEP)	B	Dividend	L	T					
147. PFIZER INC (PFE)	A	Dividend	J	T					
148. PHILIP MORRIS INTL INC (PM)	A	Dividend	J	T					
149. PROCTOR & GAMBLE (PG)	A	Dividend	K	T					
150. WALGREENS BOOTS ALLIANCE (WBA)	A	Dividend	J	T					
151. ISHARES S&P 100 INDEX FD (OEF)	A	Dividend	K	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

PRATT, ROBERT W.

Date of Report

04/24/2020

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)
152. SPDR S&P MIDCAP 400 ETF TRUST (MDY)	B	Dividend	M	T					
153. IRA #3 (H)									
154. STARBUCKS CORP WASHINGTON (SBUX)	A	Dividend	J	T					
155. WALGREEN BOOTS ALL INC (WBA)	A	Dividend	J	T					
156. BANK PRINCETON NEW JERSEY CD (064520AE9)	A	Dividend			Redeemed	08/26/19	J		
157. COMENITY BANK SALT LAKE CITY UT CD (20033AVV5)	A	Interest	J	T					
158. ALLIANCE BERNSTEIN SMALL CAP GROWTH (QUASX)	B	Dividend	K	T					
159. IRA #4 (H)									
160. ISHARES 20 + YR TREASU BOND ETF (TLT)	A	Dividend	J	T	Buy	04/18/19	J		
161. ISHARES CORE MSCI EAFE ETF (IEAF)	B	Dividend	K	T	Sold (part)	04/18/19	J		
162. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	J	T	Buy (add'l)	12/23/19	J		
163. ISHARES MSCI JAPAN (EWJ)	A	Dividend	J	T	Sold (part)	04/18/19	J		
164. ISHARES RUSSELL 1000 GR (IWF)	A	Dividend	J	T					
165. ISHARES RUSSELL 1000 VALUE (IWD)	A	Dividend	K	T					
166. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T					
167. ISHARES RUSSELL 2000 VALUE (IWN) (X)	A	Dividend	J	T					
168. ISHARES RUSSELL MIDCAP G (IWP)	A	Dividend	J	T	Sold (part)	04/18/19	J	A	

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
169. ISHARES RUSSELL MIDCAP V (IWS)	A	Dividend	J	T	Sold (part)	04/18/19	J	A	
170. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
171. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	J	T					
172. VANGUARD SHORT TERM BND (BSV)	A	Dividend	J	T					
173. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	J	T					
174. COLLEGE SAVINGS PLAN #1 (H)									
175. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
176. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
177. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
178. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
179.					Buy (add'l)	12/23/19	J		
180. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
181. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
182. COLLEGE SAVINGS PLAN #2 (H)									
183. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
184. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
185. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	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

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)
186. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
187.					Buy (add'l)	12/23/19	J		
188. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
189. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
190. COLLEGE SAVINGS PLAN #3 (H)									
191. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
192. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
193. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
194. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
195.					Buy (add'l)	12/23/19	J		
196. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
197. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
198. COLLEGE SAVINGS PLAN #4 (H)									
199. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
200. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
201. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
202. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

04/24/2020

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)
203.					Buy (add'l)	12/23/19	J		
204. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
205. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
206. COLLEGE SAVINGS PLAN #5 (H)									
207. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
208. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
209. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
210. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
211.					Buy (add'l)	12/23/19	J		
212. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
213. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
214. COLLEGE SAVINGS PLAN #6 (H)									
215. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
216. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
217. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
218. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
219.					Buy (add'l)	12/23/19	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	

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)
220. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
221. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
222. COLLEGE SAVINGS PLAN #7 (H)									
223. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
224. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
225. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
226. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
227.					Buy (add'l)	12/23/19	J		
228. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
229. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
230. COLLEGE SAVINGS PLAN #8 (H)									
231. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
232. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
233. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
234. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
235.					Buy (add'l)	12/23/19	J		
236. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	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

PRATT, ROBERT W.

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 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)
237. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
238. COLLEGE SAVINGS PLAN #9 (H)									
239. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					
240. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
241. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
242. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
243.					Buy (add'l)	12/23/19	J		
244. VOYA 529 SMALL COMPANY OPT A (CMCVA) (X)		None	J	T					
245. COLLEGE SAVINGS PLAN #10 (H)									
246. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					
247. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
248. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
249. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
250.					Buy (add'l)	12/23/19	J		
251. VOYA 529 SMALL COMPANY OPT A (CMCVA) (X)		None	J	T					
252. COLLEGE SAVINGS PLAN #11 (H)									
253. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					

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

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)
254. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
255. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
256. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
257.					Buy (add'l)	12/23/19	J		
258. VOYA 529 SMALL COMPANY OPT A (CMCVA) (X)		None	J	T					
259. COLLEGE SAVINGS PLAN #12 (H)									
260. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					
261. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
262. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
263. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	01/02/19	J		
264.					Buy (add'l)	12/23/19	J		
265. VOYA 529 SMALL COMPANY OPT A (CMCVA) (X)		None	J	T					

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

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Name of Person Reporting

PRATT, ROBERT W.

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

LAKE CNTY ILL WARREN TWP HS DIST (509174LV8) was reissued as LAKE CNTY ILL WARREN TWP HS DIST (509174SN9, 509174SS8) without a corresponding reportable transaction.

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

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IX. CERTIFICATION.

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

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

Signature: **s/ ROBERT W. PRATT**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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