

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) Sullivan, Emmet G.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 08/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 333 Constitution Ave., NW Washington, DC 20001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Abramson Scholarship Foundation	Director
2.	
3.	
4.	
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. 1994	D.C. Government (defined benefit pension plan)
2.	
3.	

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

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Pension (D.C. Government)	\$67,983.00
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.				
2.				
3.				
4.				
5.				

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Sullivan, Emmet G.	08/10/2020

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.	Wells Fargo	Equity Line / Rental Property, Washington, DC	K
2.			
3.			
4.			
5.			

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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. Wells Fargo (cash accounts)	A	Interest	M	T					
3. Rental Property I Income (Washington, DC)	E	Rent	O	S					
4. Rental Property II Income (Washington, DC)	F	Rent	P1	S					
5. Brokerage Account #1 (H)									
6. Dreyfus Govt Cash Mgmt (cash)	A	Interest	J	T					
7. Abbott Laboratories (ABT)	A	Dividend	J	T	Buy (add'l)	09/05/19	J		
8. Adidas AG Spons ADR (ADDYY)	A	Dividend	J	T					
9. Adobe Inc (ADOBE)		None	J	T	Buy	02/28/19	J		
10. Alibaba Group Holding Ltd Spons Ads Repstg 8 Ord Shs (BABA)		None	J	T	Buy	11/18/19	J		
11.					Buy (add'l)	11/20/19	J		
12. Alphabet Inc. C1 A (GOOGL)		None	J	T					
13. Amazon.com Inc (AMZN)		None	K	T					
14. Apple Inc. (AAPL)	A	Dividend	K	T					
15. Blackstone Group Inc Cl A (BX)	A	Dividend	J	T	Buy	08/16/19	J		
16.					Buy (add'l)	09/05/19	J		
17.					Buy (add'l)	11/20/19	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	
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18. Carmax Inc (KMX)		None	J	T	Buy	09/03/19	J		
19.					Buy (add'l)	09/05/19	J		
20. CDW Corp (CDW)	A	Dividend	J	T	Buy	10/10/19	J		
21.					Buy (add'l)	11/20/19	J		
22. Comcast Corp Cl A New (CMCSA)	A	Dividend	J	T	Buy	09/03/19	J		
23.					Buy (add'l)	09/05/19	J		
24.					Buy (add'l)	11/20/19	J		
25. Costco Wholesale Corp (COST)	A	Dividend	K	T					
26. D R Horton Inc (DHI)	A	Dividend	J	T	Buy	08/19/19	J		
27.					Buy (add'l)	09/05/19	J		
28.					Buy (add'l)	11/20/19	J		
29. Ferrari NV New (RACE)		None	J	T	Buy	11/18/19	J		
30.					Buy (add'l)	11/20/19	J		
31. JPMorgan Chase & Company (JPM)	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
32.					Buy (add'l)	11/20/19	J		
33. L3Harris Technologies Inc (LHX)	A	Dividend	J	T	Buy	02/28/19	J		
34.					Buy (add'l)	09/05/19	J		

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35. LAM Research Corp (LRCX)		None	J	T	Buy	11/18/19	J		
36.					Buy (add'l)	11/20/19	J		
37. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
38.					Buy (add'l)	11/20/19	J		
39. Northrop Grumman Corp (NOC)	A	Dividend	J	T	Buy	09/03/19	J		
40.					Buy (add'l)	09/05/19	J		
41.					Buy (add'l)	11/20/19	J		
42. Paypal Holdings Inc (PYPL)		None	J	T	Buy	11/20/19	J		
43. Starbucks Corp (SBUX)	A	Dividend	J	T	Buy	09/03/19	J		
44.					Buy (add'l)	09/05/19	J		
45. Texas Instruments Inc (TXN)	A	Dividend	J	T	Buy	09/03/19	J		
46.					Buy (add'l)	09/05/19	J		
47.					Buy (add'l)	11/20/19	J		
48. Thermo Fisher Scientific Inc (TMO)		None	J	T	Buy	11/18/19	J		
49.					Buy (add'l)	11/20/19	J		
50. United Rentals Inc (URI)		None	J	T	Buy	11/18/19	J		
51.					Buy (add'l)	11/20/19	J		

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52. United Healthcare Group Inc (UNH)	A	Dividend	J	T					
53. Visa Inc Class A (V)	A	Dividend	J	T					
54. Walt Disney Co (DIS)	A	Dividend	J	T	Sold	02/28/19	J		
55.					Buy	08/06/19	J		
56.					Buy (add'l)	09/05/19	J		
57. Waste Management Inc Del (WM)	A	Dividend	J	T	Buy	09/03/19	J		
58.					Buy (add'l)	09/05/19	J		
59. Zebra Technologies Corp Cl A (ZBRA)		None	J	T	Buy	11/20/19	J		
60. Zoetis Inc Cl A (ZTS)	A	Dividend	J	T	Buy	05/17/19	J		
61.					Buy (add'l)	11/20/19	J		
62. iShares Russell 1000 Value ETF (IWD)	A	Dividend	J	T					
63. iShares Russell 1000 Growth ETF (IWF)	A	Dividend	J	T					
64. JPMorgan Mid Cap Value Cl I (JMV SX)	A	Dividend	J	T					
65. T Rowe Price Growth Stock (PRGFX)	A	Dividend	J	T					
66. AB Global Bond Advisor (ANAYX)	A	Dividend			Sold	06/06/19	J	A	
67. MFS Intl Value Cl I (MINIX)		None			Sold	05/17/19	J	B	
68. LPL Financial Holdings Inc (LPLA)	A	Dividend			Buy	06/06/19	J		

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69.					Sold	08/16/19	J		
70. Deleware Value Instl Cl (DDVIX)	A	Dividend			Sold	08/06/19	J	B	
71. Invesco Oppenheimer Intl Small-mid Cl Y (OSMYX) (Frmly Oppenheimer)		None			Sold	08/19/19	J	A	
72. Aurora Cannabis Inc (ACB)		None			Buy	05/23/19	J		
73.					Sold	09/16/19	J		
74. Union Pacific Corp (UNP)	A	Dividend			Buy	05/17/19	J		
75.					Sold	10/09/19	J		
76. Automatic Data Processing Inc (ADP)	A	Dividend			Buy	09/03/19	J		
77.					Buy (add'l)	09/05/19	J		
78.					Sold	11/20/19	J		
79. Merk & Company Inc (MRK)	A	Dividend			Buy (add'l)	09/05/19	J		
80.					Sold	11/20/19	J	A	
81. Nextera Energy Inc (NEE)	A	Dividend			Buy (add'l)	09/05/19	J		
82.					Sold	11/20/19	J	B	
83. IRA Account #1 (H)									
84. Janney Sweep Account (cash)	A	Interest	J	T					
85. Abbott Laboratories (ABT)	A	Dividend	J	T	Buy	03/15/19	J		

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2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
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86. Adobe Inc (ADBE)		None	J	T	Buy	03/15/19	J		
87.					Sold (part)	12/19/19	J	A	
88. Alphabet Inc Cl A (GOOGL)		None	J	T	Buy	03/15/19	J		
89. Amazon.com Inc (AMZN)		None	J	T	Buy	03/15/19	J		
90. Apple Inc (AAPL)	A	Dividend	J	T	Buy	03/15/19	J		
91.					Sold (part)	12/19/19	J	B	
92. Costco Wholesale Corp (COST)	A	Dividend	J	T	Buy	10/10/19	J		
93. D R Horton Inc (DHI)	A	Dividend	J	T	Buy	08/19/19	J		
94. L3Harris Technologies Inc (LHX)	A	Dividend	J	T	Buy	03/15/19	J		
95.					Sold (part)	12/19/19	J	A	
96. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy	03/15/19	J		
97.					Sold (part)	12/19/19	J	A	
98. United Rentals Inc (URI)		None	J	T	Buy	11/11/19	J		
99.					Buy (add'l)	11/13/19	J		
100.					Buy (add'l)	11/20/19	J		
101. Unitedhealth Group Inc (UNH)	A	Dividend	J	T	Buy	03/15/19	J		
102.					Sold (part)	04/12/19	J		

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103.					Buy (add'l)	07/17/19	J		
104. Visa Inc Cl A (V)	A	Dividend	J	T	Buy	03/15/19	J		
105.					Sold (part)	12/19/19	J	A	
106. Zoetis Inc Cl A (ZTS)	A	Dividend	J	T	Buy	03/15/19	J		
107.					Sold (part)	12/19/19	J	A	
108. First Trust Large Cap Core Alphasdex ETF (FEX)	B	Dividend	L	T	Buy	03/15/19	L		
109.					Sold (part)	12/19/19	K	A	
110. IShares Russell Mid Cap ETF (IWR)	A	Dividend	K	T	Buy	03/15/19	K		
111. Vanguard S&P 500 Index ETF (VOO)	B	Dividend	L	T	Buy	03/15/19	L		
112.					Sold (part)	06/21/19	J	A	
113.					Sold (part)	12/19/19	J	A	
114. PGIM Total Return Bond Cl Z (PDBZX)	B	Dividend	K	T	Buy	03/15/19	K		
115. PGIM Absolute Return Bond Cl Z (PADZX)	B	Dividend	K	T	Buy	03/15/19	K		
116. Putnam Short Duration Income CL Y (PSDYX)	A	Dividend	K	T	Buy	03/15/19	K		
117. Merck & Company Inc New (MRK)		None			Buy	03/15/19	J		
118.					Sold (part)	04/17/19	J		
119.					Sold	04/24/19	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Delaware Emerging Markets Instl Cl (DEMIX)		None			Buy	03/15/19	J		
121.					Sold	05/31/19	J		
122. Union Pacific Group (UNP)	A	Dividend			Buy	04/17/19	J		
123.					Buy (add'l)	04/24/19	J		
124.					Sold	10/08/19	J		
125. Nextera Energy Inc (NEE)	A	Dividend			Buy	03/15/19	J		
126.					Sold (part)	11/11/19	J	A	
127.					Sold (part)	11/13/19	J	A	
128.					Sold	11/20/19	J	A	
129. LPL Financial Holdings Inc (LPLA)		None			Buy	06/06/19	J		
130.					Buy (add'l)	06/12/19	J		
131.					Sold	08/08/19	J		
132. Prudential Premier Retirement Variable Annuity (H)									
133. AST T Rowe Price Asset Allocation		None			Redeemed	03/13/19	K		
134. AST Prudential Growth Allocation		None			Redeemed	03/13/19	M		
135. AST Advanced Strategies Portfolio		None			Redeemed	03/13/19	K		
136. AST Investment Grade Bond		None			Redeemed	03/13/19	L		

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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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)
137. IRA Account #2 (H)									
138. First Trust Nasdaq Bank ETF (FTXO)	A	Dividend	J	T	Sold (part)	03/29/19	J		
139. First Trust Horizon Managed Volatility Dev Intl ETF (HDMV)	A	Dividend	J	T	Buy	07/01/19	J		
140. First Trust Cap Strength ETF (FTCS)	A	Dividend	J	T	Buy	01/03/19	J		
141. First Trust Consumer Discretionary Alphadex ETF (FXD)	A	Dividend	J	T	Buy (add'l)	10/01/19	J		
142. First Trust Emerging Markets Alphadex (FEM)	A	Dividend	J	T	Buy (add'l)	03/29/19	J		
143. First Trust Europe Alphadex ETF (FEP)	A	Dividend	J	T	Sold (part)	07/01/19	J	A	
144. First Trust Large Cap Value Opportunity ETF (FTA)	A	Dividend	J	T	Sold (part)	03/29/19	J	A	
145.					Sold (part)	07/01/19	J	A	
146. First Trust Large Cap Growth Opportunity (FTC)	A	Dividend	K	T	Buy (add'l)	07/01/19	K		
147.					Buy (add'l)	10/01/19	J		
148. First Trust Mid Cap Growth Alphadex ETF (FNY)	A	Dividend	J	T	Buy	07/01/19	J		
149. First Trust NYSE Arca Bio Tech Index (FBT)		None	J	T	Buy (add'l)	10/01/19	J		
150. First Trust Technology Alphadex (FXL)	A	Dividend	J	T	Buy (add'l)	03/29/19	J		
151.					Sold (part)	07/01/19	J	A	
152.					Buy (add'l)	10/01/19	J		
153. First Trust Value Line Dividend Index ETF (FVD)	A	Dividend	J	T	Buy	01/03/19	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	10/01/19	J		
155. AB Global Bond Advisor (ANAYX)	A	Dividend	J	T	Sold (part)	12/19/19	J	A	
156. PGIM Total Return Bond Cl Z (PDBZX)	B	Dividend	J	T	Sold (part)	01/03/19	J		
157.					Sold (part)	12/19/19	J		
158. First Trust US Equity Opportunity Fund (FPX)		None			Sold	01/03/19	J	A	
159. First Trust Energy Alphasdex ETF (FXN)		None			Sold	01/03/19	J		
160. First Trust Mid Cap Core Alphasdex (FNX)	A	Dividend			Sold	07/01/19	J	A	
161. First Trust Dow 30 Equal Weight ETF (EDOW)	A	Dividend			Buy	07/01/19	J		
162.					Sold	10/01/19	J		
163. First Trust Healthcare Alphasdex ETF (FXH)		None			Buy	03/29/19	J		
164.					Buy (add'l)	07/01/19	J		
165.					Sold	10/01/19	J		
166. First Trust Small Cap Core Alphasdex (FYX)	A	Dividend			Sold	10/01/19	J		
167. First Trust Cloud Computing Index ETF (SKYY)	A	Dividend			Sold	10/01/19	J	A	
168. First Trust Japan Alphasdex ETF (FJP)	A	Dividend			Sold (part)	03/29/19	J	A	
169.					Sold	07/01/19	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
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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, line 2: One-third interest Rental Property #1 (Washington, DC) - the assessed total value is \$592,000.00

Part VII, line 3: One-half interest in Rental Property #2 (Washington, DC) - the assessed total value is \$1,446,000.00

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.

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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/ **Emmet G. Sullivan**

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