

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) Immergut, Karin	2. Court or Organization U.S. District Court, District of Oregon	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III, 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 Hatfield Federal Courthouse 1000 SW Third Avenue Portland, Oregon 97204		
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. Board Member	Classroom Law Project
2. Judge	Multnomah County Circuit Court
3. Trustee and Executor	Estate #1 (No reportable assets)
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. 1997	Public Employee Retirement System defined benefit plan
2. 2009	State of Oregon: Judicial Pension
3.	

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Name of Person Reporting

Immergut, Karin

Date of Report

05/14/2020

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	Oregon Judicial Department	\$95,575.59
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	Ball Janik LLP, partnership income
2. 2019	Rare Bird Books, royalties from publisher for book sales
3. 2019	Aspen Lodging Group LLC, Board of Directors compensation
4. 2019	Provenance Hotel Partners Fund I LLC, Board of Directors compensation

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
Immergut, Karin	05/14/2020

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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. FMI International	A	Dividend	K	T					
2. Parnassus Equity Income	A	Dividend	K	T					
3. Parnassus Mid-Cap	A	Dividend	K	T					
4. Schwab S&P 500 Index Fun	A	Dividend	L	T					
5. Schwab Small Cap Index	A	Dividend	J	T					
6. Baird Core Plus Bond Inst	B	Dividend	K	T					
7. Cash Balance Held by Captrust	A	Int./Div.	J	T					
8. EOF - Semper Vic Partners QP LP		None	M	T					
9. EOF - Kensico Partners LP		None	M	T					
10. EOF - Energy Master Limited Partnerships		None	N	T					
11. Alachua Cnty Fla Sc 07/01/2024 5.000% Call 07/01/2023 100.000	A	Interest	K	T					
12. Allegheny Cnty Pa San Auth Swr 06/01/2032 5.000% Call 06/01/2028 100.0	B	Interest	K	T					
13. Arapahoe Cnty Colo Sch Dist No 12/15/2028 2.500% Call 12/15/2027 100.0	A	Interest	K	T					
14. Bridgeport Conn 08/15/2030 5.000% Call 08/15/2028 100.000	A	Interest	J	T					
15. Chattanooga Tenn Health Edl & 10/01/2026 5.000% Call 10/01/2025 100.00	A	Interest	K	T					
16. Cook Cnty Ill Sch 12/01/2023 5.000% Call 12/01/2021 100.000	A	Interest	K	T					
17. Crestwood Vlg Ill 12/15/2029 5.000% Call 12/15/2023 100.000	A	Interest	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)	(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)
18. Denver Colo City & Cnty Ctfs P 06/01/2027 5.000% Call 06/01/2026 100.0	A	Interest	K	T					
19. Folsom Cordova Calif Uni Sch D 4.000 10/01/35 10/01/2035 4.000% Call 1	A	Interest	J	T	Buy	07/12/19	J		
20. Garvin Cnty Okla Edl Facs Auth 09/01/2025 5.000%	A	Interest	J	T					
21. Garvin Cnty Okla Edl Facs Auth 09/01/2029 5.000% Call 09/01/2028 100.0	A	Interest	K	T					
22. Governors St Univ Ill Ctfs Par 07/01/2024 5.000%	B	Interest	K	T					
23. Harrisburg Pa Sch Dist 11/15/2027 5.000%	A	Interest	J	T					
24. Illinois St 05/01/2024 5.000%	A	Interest	J	T					
25. Illinois St 10/01/2020 5.000%	A	Interest	J	T					
26. Jackson Cnty Ore Arpt Rev 12/01/2028 5.000% Call 06/01/2026 100.000	A	Interest	K	T					
27. Lake Superior St Univ Mich Rev 01/15/2028 4.000%	A	Interest	K	T					
28. Maine St Hsg Auth Mtg Pur 2.600 11/15/34 11/15/2034 2.600% Call 11/15/	A	Interest	K	T					
29. Maine St Hsg Auth Mtg Pur 11/15/2029 3.150% Call 11/15/2027 100.000	A	Interest	J	T					
30. Maine St Hsg Auth Mtg Pur 11/15/2033 3.500% Call 05/15/2027 100.000	A	Interest	K	T	Buy	12/17/19	K		
31. Mifflinburg Area Sch Dist Pa 04/15/2026 3.000% Pre-Refunded 04/15/2020	A	Interest	K	T					
32. Minnesota St Hsg Fin Agy Local Or Gtd Hsng Rev 07/01/2021 2.450%	A	Interest	J	T					
33. New Hampshire St Business Fin 10/01/2033 2.800%	A	Interest	K	T					
34. New Jersey St Edl Facs Auth Re 07/01/2022 4.000%	A	Interest	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)

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

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R =Cost (Real Estate Only)

V =Other

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

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

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

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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)
35. New York St Mtg Agy Homeowner 04/01/2031 3.700% Call 10/01/2027 100.00	A	Interest	J	T					
36. Ohio St Hsg Fin Agy Residentia 09/01/2030 2.900% Call 09/01/2026 100.0	A	Interest	K	T					
37. Oregon St Bd Bk Rev 01/01/2031 5.000% Call 01/01/2026 100.000	A	Interest	J	T	Buy	02/12/19	J		
38. Oregon St Hsg & Cmnty Svcs Dep 07/01/2030 3.300% Call 07/01/2027 100.0	A	Interest	K	T					
39. Philadelphia Pa 09/01/2021 5.250% Pre- Refunded 09/01/2020 100.00	A	Interest	J	T					
40. Port Huron Mich Area Sch Dist 05/01/2028 4.000% Call 05/01/2026 100.00	A	Interest	J	T					
41. Portland Me Arpt Rev 01/01/2026 5.000%	A	Interest	J	T					
42. Portland Ore Wtr Sys Rev 05/01/2026 4.000% Pre-Refunded 05/01/2020 100	A	Interest	K	T					
43. Tradition Community 05/01/2025 4.000% Call 05/01/2024 100.000	A	Interest	K	T					
44. Upper Republican Nat Res Dist 12/15/2022 3.000%	A	Interest	K	T					
45. Viridian Mun Mgmt Dist Tex 12/01/2025 4.000% Call 12/01/2023 100.000	A	Interest	K	T					
46. West Rankin Miss Util Auth Rev 01/01/2027 5.000% Call 01/01/2025 100.0	A	Interest	J	T					
47. Willow Springs Ill 12/15/2020 3.000%	A	Interest	J	T					
48. Winston Salem St Un 06/01/2020 5.000%	A	Interest	K	T					
49. Wyoming Cmnty Dev Auth Hsg Rev 12/01/2024 2.800% Call 06/01/2024 100.0	A	Interest	J	T					
50. Wyoming Cmnty Dev Auth Hsg Rev 12/01/2025 2.875% Call 06/01/2024 100.0	A	Interest	J	T					
51. Schwab Government Money Fund	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

3 Value Method Codes

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52. American Funds Europacific Growth F3	A	Dividend	K	T					
53. Artisan International Value Advisor	B	Dividend	M	T					
54. Fidelity International Small Cap	A	Dividend	K	T					
55. MFS® New Discovery Value I	A	Dividend	L	T					
56. Oppenheimer Developing Markets I	A	Dividend	K	T					
57. PIMCO StocksPLUS® Small Institutional	A	Dividend	K	T					
58. Schwab US Large-Cap Value ETF™	D	Int./Div.	M	T					
59. Thornburg Inv Income Builder - I	B	Int./Div.	L	T					
60. Vanguard Growth ETF	A	Dividend	M	T					
61. Vanguard Value	A	Dividend	J	T					
62. WisdomTree Midcap Dividend	C	Int./Div.	M	T					
63. Cash Balance Held by Captrust	A	Interest	K	T					
64. Artisan International Value Advisor	A	Dividend	K	T					
65. Fidelity International Small Cap	A	Dividend	J	T					
66. First Eagle SoGen Global I	A	Dividend	K	T					
67. Oppenheimer Developing Markets I	A	Dividend	J	T					
68. Thornburg Inv Income Builder - I	A	Int./Div.	K	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	
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69. Vanguard Growth ETF	A	Dividend	K	T					
70. Vanguard Value	B	Dividend	L	T					
71. WisdomTree Midcap Dividend	A	Dividend	K	T					
72. WisdomTree S/C Dvd Fd (Etf)	A	Dividend	K	T					
73. Doubleline Total Ret Bd-I	B	Int./Div.	K	T					
74. PIMCO Foreign Bond Inst	B	Int./Div.	K	T					
75. Riverpark Short Term H/Y-	B	Int./Div.	K	T					
76. Riverpark Strategic	A	Int./Div.	J	T					
77. Riverpark Strategic Income Ins Tl	A	Int./Div.	K	T					
78. Thornburg Ltd Term Income I	B	Int./Div.	L	T					
79. Wells Fargo Advtg Short	B	Int./Div.	L	T					
80. SPDR Gold Shares		None	J	T					
81. Cash Balance Held by Captrust	A	Interest	J	T					
82. American Funds Europacific Growth F3	A	Dividend	J	T					
83. Artisan International Value Advisor	A	Dividend	J	T					
84. Artisan Intl Val Fd Investor	A	Dividend	J	T					
85. Fidelity International Small Cap	A	Dividend	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	
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86. MFS® New Discovery Value I	A	Dividend	J	T					
87. Oppenheimer Developing Markets I	A	Dividend	J	T					
88. PIMCO StocksPLUS® Small Institutional	A	Dividend	J	T					
89. Vanguard Growth ETF	A	Dividend	J	T					
90. Vanguard Value	A	Dividend	K	T					
91. WisdomTree Midcap Dividend	A	Dividend	J	T					
92. Doubleline Total Ret Bd-I	A	Int./Div.	J	T					
93. PIMCO Foreign Bond Inst	A	Int./Div.	J	T					
94. Riverpark Short Term H/Y-	A	Int./Div.	J	T					
95. RiverPark Short Term High Yield Retail	A	Int./Div.	J	T					
96. Riverpark Strategic Income Ins Tl	A	Int./Div.	J	T					
97. Thornburg Ltd Term Income I	A	Int./Div.	K	T					
98. Wells Fargo Advantage Short-Term Bd A	A	Int./Div.	J	T					
99. Wells Fargo Advtg Short	A	Int./Div.	K	T					
100. SPDR Gold Shares	A	Int./Div.	J	T					
101. Cash Balance Held by Captrust	A	Interest	J	T					
102. Life Path 2030	E	Dividend	N	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	
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103. Dodge and Cox Balanced	F	Dividend	O	T					
104. Fidelity International Index	E	Dividend	M	T					
105. Pimco Total Return Admin	E	Dividend	O	T					
106. Vanguard Growth Index Fund	G	Dividend	O	T					
107. Vanguard MidCap Value Index Fund	F	Dividend	N	T					
108. Wells Fargo Bank accts	C	Interest	N	T					
109. Oregon Angel Fund	C	Distribution	M	T					
110. State Judicial Pension (PERS)		None	M	T					
111. Schw Emg Mkt Eq Etf	A	Dividend	J	T					
112. Schw Intl Eq Etf	A	Dividend	J	T					
113. Schwab International Small-Cap Eq ETF™	A	Dividend	J	T					
114. Schwab US Large-Cap Growth ETF™	A	Dividend	J	T					
115. Schwab US Large-Cap Value ETF™	A	Dividend	K	T					
116. Spdr DJ Wilshire Small Cap Value	A	Dividend	J	T					
117. SPDR® S&P 400 Mid Cap Value ETF	A	Dividend	J	T					
118. Doubleline Total Return Bond Fund	A	Int./Div.	J	T					
119. Thornburg Ltd Term Muni Inc	A	Int./Div.	J	T					

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

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. Thornburg Ltd Trm Muni Fd	A	Int./Div.	K	T					
121. Cash Balance Held by CapTrust	A	Interest	J	T					
122. Alaska St Hsg Fin Corp 12/01/2030 5.000% Call 06/01/2029 100.000	A	Interest	K	T	Buy	06/06/19	K		
123. Calumet City Ill 03/01/2020 4.000%	A	Interest	K	T					
124. Chemeketa Ore Cmnty College Di 06/15/2020 5.000%	A	Interest	J	T					
125. Clackamas Cnty Ore Sch Dist No 06/01/2029 5.000% Call 06/01/2027 100.0	A	Interest	K	T					
126. Coachella Calif Redev Agy Succ 09/01/2027 5.000% Call 09/01/2026 100.0	B	Interest	K	T					
127. Cochise Cnty Ariz Cmnty Colleg 07/01/2024 5.000%	B	Interest	K	T					
128. Cook Cnty Ill Sch Dist No 145 4.000 12/01/29 12/01/2029 4.000% Call 12	A	Interest	J	T	Buy	11/21/19	J		
129. Crestwood Vlg Ill 12/15/2026 4.500% Call 12/15/2022 100.000	A	Interest	K	T					
130. Eastmark Cmnty Facs Dist No 1 4.000 07/15/31 07/15/2031 4.000% Call 07	A	Interest	J	T	Buy	09/27/19	J		
131. Idaho Hsg & Fin Assn Single Fa 2.150 01/01/30 01/01/2030 2.150% Call 0	A	Interest	K	T	Buy	10/04/19	K		
132. Indianapolis Ind Lo 06/01/2021 5.000%	A	Interest	K	T					
133. Iowa Fin Auth Single Family Mt 07/01/2022 2.000%	A	Interest	K	T					
134. Kentucky Inc Ky Pub Energy 4.000 02/01/50 02/01/2050 4.000% Call 11/01	A	Interest	J	T	Buy	12/20/19	J		
135. La Mirada Calif Redev Agy Succ Sub Tax Alloc Ref B 08/15/2024 5.000%	A	Interest	J	T					
136. Lane Cmnty College Ore 06/15/2022 4.000%	A	Interest	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)
137. Longmont Colo Elect 12/01/2025 4.000% Call 12/01/2022 100.000	A	Interest	K	T					
138. Madison & Jersey Cntys Ill Cmn 12/01/2023 4.000%	A	Interest	K	T					
139. Marion Cnty Ore Sch Dist No 10 06/01/2031 5.000% Call 06/01/2029 100.0	A	Interest	K	T	Buy	02/13/19	K		
140. Michigan St Hsg Dev Auth 2.300 10/01/29 10/01/2029 2.300% Call 10/01/2	A	Interest	J	T	Buy	07/11/19	J		
141. Midlothian Ill 4.000 01/01/31 01/01/2031 4.000% Call 01/01/2029 100.00	A	Interest	J	T	Buy	12/12/19	J		
142. New Caney Tex In 02/15/2022 6.250%	A	Interest	K	T					
143. New York St Mtg Agy Homeowner 10/01/2025 1.950% Call 04/01/2025 100.00	A	Interest	J	T					
144. Orange Cnty Fla Tourist Dev Ta 10/01/2028 5.000%	A	Interest	J	T					
145. Oregon St Dept Administrative 04/01/2030 5.000% Call 04/01/2027 100.00	A	Interest	J	T	Buy	02/11/19	J		
146. Oregon St Facs Auth Rev 10/01/2020 5.000%	A	Interest	J	T					
147. Oregon St Facs Auth Rev 11/15/2024 5.000% Call 05/15/2024 100.000	A	Interest	K	T					
148. Oregon St Hsg & Cmnty Svcs Dep 01/01/2026 2.700%	A	Interest	K	T					
149. Oregon St Hsg & Cmnty Svcs Dep 07/01/2021 1.600%	A	Interest	J	T					
150. Oregon St Hsg & Cmnty Svcs Dep 07/01/2027 2.950%	A	Interest	K	T					
151. Pawtucket R I 07/15/2028 5.000%	A	Interest	J	T	Buy	05/15/19	J		
152. Port Portland Ore Arpt Rev 07/01/2027 5.000% Call 07/01/2025 100.000	A	Interest	K	T					
153. Rhode Island St Tpk & Brdg Aut 10/01/2023 3.000%	A	Interest	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)	(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)
154. Rio Blanco Cnty Colo Sch Dist 12/01/2030 5.500% Call 12/01/2028 100.00	A	Interest	J	T	Buy	01/17/19	J		
155. San Antonio Tex Wtr 05/15/2020 5.000%	A	Interest	K	T					
156. Southwestern Polk Cnty Rural 4.000 12/15/26 12/15/2026 4.000%	A	Interest	J	T	Buy	08/07/19	J		
157. St Clair Cnty Ill High Sch Dis 12/01/2020 3.000%	A	Interest	K	T					
158. Travis Calif Uni Sch Dist Ctfs 09/01/2028 5.000% Call 09/01/2025 100.0	B	Interest	K	T					
159. Washington Cnty Ore 10/01/2021 5.000%	A	Interest	J	T					
160. West Lafayette Ind Sch Bldg Co 07/15/2029 5.000% Call 07/15/2027 100.0	A	Interest	K	T					
161. WESTFIELD IN HIGH SCH 95 BLDG CORP 1ST MTG B B/E S 07/15/2025 3.000%	A	Interest	J	T					
162. Whittier Calif Redev Successor 11/01/2026 5.000% Call 11/01/2025 100.0	A	Interest	K	T					
163. Wisconsin Hsg & Economic Dev A 03/01/2025 2.350%	A	Interest	K	T					
164. Wyoming Cmnty Dev Auth Hsg Rev 12/01/2024 2.500%	A	Interest	K	T					
165. Schwab Government Money Fund	A	Interest	J	T					
166. American Funds Europacific Growth F3	B	Dividend	M	T					
167. Artisan International Value Advisor	C	Dividend	M	T					
168. Fidelity International Small Cap	A	Dividend	L	T					
169. First Eagle SoGen Global I	B	Dividend	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)

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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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)
170. MFS® New Discovery Value I	A	Dividend	M	T					
171. Oppenheimer Developing	A	Dividend	J	T					
172. Oppenheimer Developing Markets I	A	Dividend	L	T					
173. PIMCO StocksPLUS® Small Institutional	B	Dividend	L	T					
174. Schwab US Large-Cap Value ETF™	D	Dividend	M	T					
175. Thornburg Inv Income Builder - I	C	Int./Div.	M	T					
176. Vanguard Growth ETF	B	Dividend	M	T					
177. Vanguard Small Cap ETF	A	Dividend	K	T					
178. WisdomTree Midcap Dividend	D	Dividend	M	T					
179. Cash Balance Held by Captrust	A	Interest	K	T					
180. Artisan International Value Advisor	A	Dividend	K	T					
181. Fidelity International Small Cap	A	Dividend	J	T					
182. Green Growth Brands Inc		None	J	T	Buy	08/07/19	K		
183. Oppenheimer Developing Markets I	A	Dividend	J	T					
184. Vanguard Growth ETF	A	Dividend	K	T					
185. Vanguard Value	A	Dividend	K	T					
186. WisdomTree Midcap Dividend	A	Dividend	K	T					

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

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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)
187. Doubleline Total Ret Bd-I	A	Int./Div.	K	T					
188. PIMCO Foreign Bond Inst	A	Int./Div.	J	T					
189. Riverpark Short Term H/Y-	A	Int./Div.	K	T					
190. Riverpark Strategic Income Ins Tl	A	Int./Div.	J	T					
191. Thornburg Ltd Term Income I	A	Int./Div.	K	T					
192. Wells Fargo Advantage Short-Term Bd A	A	Int./Div.	J	T					
193. Wells Fargo Advtg Short	A	Int./Div.	K	T					
194. SPDR Gold Shares		None	J	T					
195. Cash Balance Held by Financial Manager	A	Interest	J	T					
196. American Funds Europacific Growth F3	A	Dividend	J	T					
197. Artisan International Value Advisor	A	Dividend	K	T					
198. Fidelity International Small Cap	A	Dividend	J	T					
199. MFS® New Discovery Value I	A	Dividend	J	T					
200. Oppenheimer Developing Markets I	A	Dividend	J	T					
201. PIMCO StocksPLUS® Small Institutional	A	Dividend	J	T					
202. Vanguard Growth ETF	A	Dividend	J	T					
203. Vanguard Value	A	Dividend	K	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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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)
204. WisdomTree Midcap Dividend	A	Dividend	J	T					
205. Doubleline Total Ret Bd-I	A	Int./Div.	J	T					
206. Doubleline Total Return Bond Fund	A	Int./Div.	J	T					
207. PIMCO Foreign Bond Inst	A	Int./Div.	J	T					
208. Riverpark Short Term H/Y-	A	Int./Div.	J	T					
209. RiverPark Short Term High Yield Retail	A	Int./Div.	J	T					
210. Riverpark Strategic Income Ins Tl	A	Int./Div.	J	T					
211. Thornburg Ltd Term Income I	A	Int./Div.	K	T					
212. Wells Fargo Advantage Short-Term Bd A	A	Int./Div.	J	T					
213. Wells Fargo Advtg Short	A	Int./Div.	K	T					
214. SPDR Gold Shares		None	J	T					
215. Cash Balance Held by Captrust	A	Interest	J	T					
216. Trinity Tex Higher	A	Interest			Sold	12/18/19	K	A	
217. Woodbury Minn Cha	A	Interest			Sold	12/01/19	J	A	
218. Bay City Mich Sch Dist	A	Interest			Sold	02/12/19	J	A	
219. Kent Wash	A	Interest			Sold	12/01/19	J	A	
220. Oregon St For Issues Dtd Prior	A	Interest			Sold	12/01/19	J	A	

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

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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)
221. Cook Cnty Ill	A	Interest			Sold	11/15/19	J	A	
222. Palm Beach Cnty Fla Solid Wast	A	Interest			Matured	10/01/19	K	A	
223. Tri-Cnty Met Transn Dist Ore R	A	Interest			Sold	10/01/19	J	A	
224. Tri-Cnty Met Transn Dist Ore R	A	Interest			Matured	09/26/19	J	A	
225. Albuquerque N Mex	A	Interest			Matured	08/01/19	J	A	
226. Florida St Tpk Auth Tpk REV Rfdg-Dept Transn-Ser A	A	Interest			Matured	07/01/19	J	A	
227. Clackamas Cnty Ore	A	Interest			Matured	06/01/19	J	A	
228. Oregon St Dept Administrative	A	Interest			Matured	05/01/19	J	A	
229. Hamden Conn	A	Interest			Sold	02/08/19	K	A	
230. Thornburg Inv Income Builder - I	A	Int./Div.			Sold	01/03/19	J	A	
231. First Eagle SoGen Global I	A	Int./Div.			Sold	01/03/19	J	A	
232. First Eagle SoGen Global I	A	Int./Div.			Sold	01/14/19	J	A	
233. Thornburg Inv Income Builder - I	A	Int./Div.			Sold	01/14/19	J	A	
234. Ball Janik LLP Capital Account (X)		None	M	T					
235.									

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

The asset listed in Part VII line 234 was inadvertently omitted from my prior report. I did not receive management fees for my role as trustee or executor of my [REDACTED] estate, which is listed in Part III. Inheritance income received is not reportable, but is included in Part VII.

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Date of Report

05/14/2020

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/ **Karin Immergut**

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