

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) Fulton,, Thomas H.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 08/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy 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 U.S. Courthouse 601 West Broadway, Suite 528 Louisville, KY 40202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.		

Name of Person Reporting	Date of Report
Fulton,, Thomas H.	08/05/2020

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

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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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. AMERIPRISE FINANCIAL									
2. First Eagle Global CL A	A	Dividend	J	T					
3. Hilliard Lyons Trust Account									
4. Abbvie Inc	A	Dividend	J	T					
5. Allergan PIC cap stk	A	Dividend	K	T					
6. Alphabet	A	Dividend	K	T					
7. Berkshire Hathaway	A	Dividend	K	T					
8. Cisco	A	Dividend	K	T					
9. Disney Walt	A	Dividend	K	T					
10. Exxon Mobile	A	Dividend	J	T					
11. Pepsico	A	Dividend	K	T					
12. Proctor & Gamble	A	Dividend	K	T					
13. Walgreens Co.	A	Dividend			Sold	05/13/19	K	D	
14. Goldmans Sach Financial Square Federal Fund	A	Int./Div.	K	T	Buy (add'l)	06/30/19	J		
15. Johnson & Johnson Co.	A	Dividend	K	T					
16. TJX Companies	A	Dividend	K	T					
17. Harley Davidson Inc.	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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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				
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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)
18. Microsoft Corp	A	Dividend	L	T					
19. Home Depot	A	Dividend	K	T					
20. Chevron Corp	A	Dividend	K	T					
21. CVS Caremark Corp	A	Dividend			Sold	9/23/19	K	D	
22. US Bancorp Del Com	A	Dividend	J	T					
23. Ishare TR S&P 400 Value	A	Dividend	J	T					
24. VanGuard Index Small Cap ETF	A	Dividend	J	T					
25. JP Morgan Chase	A	Dividend	K	T					
26. Expeditors Intl	A	Dividend	K	T					
27. International Business Machs Corp	A	Dividend			Sold	05/13/19	J	B	
28. Artisan International	A	Dividend	K	T					
29. Dodge & Cox International Stock	A	Dividend	K	T					
30. Pfizer, Inc.	A	Dividend	J	T					
31. Apple, Inc.	A	Dividend	K	T					
32. Fastenal Co Com	A	Dividend	K	T					
33. Northern Tr Corp Com	A	Dividend	J	T					
34. Wells Fargo & Co. New Com	A	Dividend	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		

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35. Wells Fargo Emerging Markets Equity Fund	A	Dividend	J	T					
36. Carmax Inc.	A	Dividend	K	T	Buy	05/13/19	K		
37. Bank of America Corp	A	Dividend	J	T	Buy	09/23/19	J		
38. TE Connectivity LTD	A	Dividend	K	T	Buy	11/13/19	K		
39. BAIRD FORMERY HILLIARD LYONS BROKERAGE ACCT #1									
40. Hilliard Lyons Govt. Fund	A	Dividend	M	T					
41. Bar Harbor Bankshares	A	Dividend	J	T					
42. Connecticut WTR Svc, Inc	A	Dividend			Sold	10/10/19	J	A	
43. Cisco Systems, Inc.	A	Dividend	K	T					
44. Walt Disney Stock	A	Dividend	L	T					
45. Home Depot Stock	A	Dividend	L	T					
46. International Paper	A	Dividend	K	T					
47. Kimberly-Clark Corp Stock	A	Dividend	K	T					
48. Microsoft	A	Dividend	L	T					
49. Pfizer, Inc	A	Dividend	J	T					
50. Colgate-Palmolive Co.	A	Dividend	K	T					
51. Comcast Corp Class A	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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☐ NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Corning, Inc.	A	Dividend	J	T					
53. Janus Cap Group	A	Dividend	J	T					
54. Motorcar parts of America	A	Dividend	K	T	Buy (add'l)	07/01/19	J		
55.					Buy (add'l)	08/27/19	J		
56. Summer Infant	A	Dividend			Sold	12/12/19	J	A	
57. O Reily Automotive, Inc.	A	Dividend	J	T					
58. Zoetis, Inc.	A	Dividend	J	T					
59. Core Molding Tech Inc	A	Dividend	J	T					
60. Avanos Med Inc formerly known as (Hallyard Health Inc)	A	Dividend	J	T					
61. Veritiv Corp	A	Dividend	J	T					
62. Hennessy Advisors Inc	A	Dividend	J	T					
63. Napco Security	A	Dividend	J	T					
64. Middleby Corp	A	Dividend	J	T	Buy (add'l)	04/02/19	J		
65. Big Lots Inc	A	Dividend	J	T					
66. Stifel Financial Corp	A	Dividend	K	T					
67. Ultralife Corporation	A	Dividend	K	T					
68. Tenn Valley Auth Electronotes Callable	A	Int./Div.			Redeemed	11/15/19	K	A	

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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69. Allied Motion Technologies	A	Dividend	K	T	Buy	04/02/19	K		
70. First United Corp Maryland	A	Dividend	K	T	Buy	11/22/19	K		
71. BAIRD FORMEY HILLIARD LYONS BROKERAGE ACCT #2									
72. Walmart	A	Dividend	J	T					
73. Lincoln Natil life Ins American Legacy III Var. Annuity- growth Inc.	A	Dividend			Merged (with line 74)	11/01/19	J		
74. Lincoln Natil life Ins American Legacy III Var. Annuity- Growth	A	Dividend	L	T					
75. Hilliard Lyons Govt Fund	A	Dividend			Sold	11/01/19	J	A	
76. FDIC INSURED DEPOSIT BANK	A	Interest	J	T	Buy	11/01/19	J		
77. DowDupont inc	A	Dividend	J	T					
78. QualComm, Inc.	A	Dividend	K	T					
79. Oracle Corp	A	Dividend	K	T					
80. Pfizer, Inc	A	Dividend	J	T					
81. Janus Henderson Group PLC	A	Dividend	J	T					
82. Motorcar Parts of America	A	Dividend	K	T					
83. Stifel Financial Corp	A	Dividend	J	T					
84. Summer Infant Inc.	A	Dividend	J	T					
85. Zoetis, Inc.	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	
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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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)
86. Hingham Institue for Svg	A	Dividend	J	T					
87. Core Molding Tech, Inc	A	Dividend	J	T					
88. Hennessy Advisors inc	A	Dividend	J	T					
89. Napco Security	A	Dividend	J	T					
90. Big Lots Inc.	A	Dividend	J	T					
91. Middleby Corp	A	Dividend	J	T					
92. Allied Motion Tech Inc	A	Dividend	J	T	Buy	04/01/19	J		
93. Corteva inc	A	Dividend	J	T	Buy	04/01/19	J		
94. Ultralife Corp	A	Dividend	J	T	Buy	04/01/19	J		
95. Dupont De Nemours inc	A	Dividend	J	T	Buy	03/01/19	J		
96. Wells Fargo (formerly Wachovia Securities) Brokerage Acct #1									
97. Invesco TR Water Res (formerly Powershares Water Resources)	A	Dividend	J	T					
98. Wachovia Bank Deposit Sweep Option	A	Dividend	J	T					
99. AAM Emerging Markets Div Portfolio Series 18-2q	A	Dividend			Redeemed	09/18/19	K	A	
100. First Trust Dow Target 10 Feb 18	C	Interest			Redeemed	03/12/19	M	A	
101. Guggenheim Dow Jones Value Divided Focus Port Ser 33	A	Dividend			Sold	09/19/19	K	B	
102. Owens Corning Inc	A	Dividend			Sold	08/01/19	J	C	

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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. Firts Trust Dow Target 10 Mar 19	A	Interest	M	T	Buy	03/11/19	M		
104. Dell Technologies Inc	A	Dividend	K	T	Buy	08/01/19	K		
105. Guggenheim Dividend Strength Portfolio series 35	A	Dividend	K	T	Buy	09/17/19	K		
106. First Trust emerging Markets Strength port series 45c	A	Dividend	K	T	Buy	09/16/19	K		
107. WELLS FARGO (FORMELRY WACHOVIA SECURITES) ACCT #3									
108. Bank Deposit Sweep	A	Interest	K	T					
109. Monmouth Real Estate Reit	A	Dividend	K	T					
110. UMH Properties, Inc.	A	Dividend	J	T					
111. Aberdeen Global Dynamic formerly known as (Alpine Global Dynamic)	A	Dividend	J	T					
112. Medtronic, Inc.	A	Dividend	K	T					
113. Merk & Co. Inc.	A	Dividend	K	T					
114. Exxon Mobile	A	Dividend	J	T					
115. First Trust Dow Target DVD 1q 18 C	A	Interest	K	T					
116. DowDupont Inc	A	Dividend	J	T					
117. IShares ETF Global Infrastructure	A	Dividend	J	T					
118. Boeing Co	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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119. WELLS FARGO (FORMERLY WACHOVIA SECURITIES) BROKERAGE ACCT #4									
120. Gilat Satellite Networks	A	Dividend	J	T					
121. Pfizer Incorporated	B	Dividend	K	T					
122. Tetra Tech, Inc.	A	Dividend	K	T					
123. Verizon Communications	B	Dividend	K	T					
124. IRA Bank Deposit Sweep	A	Interest	L	T					
125. Frontier Communications, Corp	A	Dividend	J	T					
126. Chevron	A	Dividend	K	T					
127. Apple, Inc.	A	Dividend	L	T					
128. First Trust Financial Select Port Series 62	A	Int./Div.			Redeemed	12/03/19	K	B	
129. Coca-Cola Company	A	Dividend	L	T					
130. Exxon Mobile Corp	A	Dividend	J	T					
131. International Business Machine Corp	A	Dividend	K	T					
132. First Trust Dow Target DVD 1q 18	C	Interest			Redeemed	04/11/19	M	B	
133. Cisco Systems, Inc.	A	Dividend	K	T					
134. Proctor & Gamble Co.	A	Dividend			Sold	11/15/19	J	C	

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

Fulton,, Thomas H.

Date of Report

08/05/2020

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)
135. Amazon Com Inc.	B	Dividend	K	T					
136. Merk & Co. Inc.	B	Dividend			Sold	11/15/19	L	D	
137. Outfront Media	A	Dividend			Sold	05/07/19	J	B	
138. Starbucks Corp	A	Dividend	K	T					
139. T-mobile Us Inc.	A	Dividend	K	T					
140. US Foods Holding Corp	A	Dividend			Sold	05/07/19	K	C	
141. Macquarie Infrastructure Corporation	A	Dividend	J	T					
142. US Concrete Inc New	A	Dividend	J	T					
143. Zayo GRP Holdings Inc	A	Dividend	J	T					
144. AT & T Inc	A	Dividend	K	T					
145. Salesforce.com	A	Dividend	K	T					
146. Philip Morris International Inc	A	Dividend	K	T					
147. Berkshire Hathaway Inc Series B	A	Dividend	K	T					
148. Paypal Holdings Inc	A	Dividend	J	T					
149. Guggenheim Blue Chip Growht Portfolio Series 20	A	Dividend	K	T					
150. First Trust Dow Target DVD 2Q 19	A	Dividend	M	T	Buy	04/10/19	M		
151. Fedex Corp	A	Dividend	L	T	Buy	05/07/19	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

Fulton,, Thomas H.

Date of Report

08/05/2020

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)
152.					Buy (add'l)	09/24/19	K		
153. Dow Inc	A	Dividend	K	T	Buy	11/15/19	K		
154. 3m Co.	A	Dividend	K	T	Buy	11/15/19	K		
155. Walgreens Boots Alliance Inc	A	Dividend	K	T	Buy	11/15/19	K		
156. First Trust Financials Select Port	A	Dividend	K	T	Buy	11/29/19	K		
157. WELLS FARGO (FORMERLY WACHOVIA SECURITIES) BROKERAGE ACCT #5									
158. Bank Deposit Sweep	A	Dividend	K	T					
159. Monmouth Real Estate	B	Dividend	K	T					
160. UMH Properties, Inc.	A	Dividend	K	T					
161. Verizon Communications	A	Dividend	J	T					
162. First Trust Interest Rete hedge Portfolio Ser 110	A	Dividend	L	T					
163. First Trust Energy Opportunity Portfolio Serie 2 cash	B	Dividend	K	T					
164. First Trust Dow Target 10 Jan 18	B	Dividend	K	T					
165. Guggenheim Dow Jones Value Divided Focus Portfolio ser 32 C	B	Dividend	K	T					
166. First Trust Diversified Equity Strat Allc. port 3q'18R	D	Dividend	M	T					
167. First Trust US Infrastructure Portfolio Series 13 Cash	B	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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Name of Person Reporting

Fulton,, Thomas H.

Date of Report

08/05/2020

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)
168. Guggenheim Health Care Portfolio Series 25 cash	B	Dividend	K	T					
169. Guggenheim Technology Portfolio Ser 24 cash	B	Dividend	L	T					
170. Guggenheim Blue Chip Growth Portfolio Series 20 Cash	C	Dividend	L	T					
171. Regulus Advisors (formerly PRO CASH PLUS #1)									
172. Federated Capital Reserves	A	Dividend	K	T					
173. MFS Municipal Income Fund	A	Dividend	K	T					
174. Vanguard Whitehall FDS High Divident	B	Dividend	K	T					
175. Wisdom Tree TR Div. Ex. Financials	B	Dividend	K	T					
176. Altria Group Inc Com	B	Dividend	K	T					
177. AT&T Inc.	A	Dividend	K	T					
178. Select Spdr TR	A	Dividend	K	T					
179. Procter & Gamble Co.	A	Dividend	K	T					
180. Verizon Communications	B	Dividend	K	T					
181. Tax Exempt Bond Fund of America Class A	B	Dividend	L	T					
182. American Short Term Tax-Exempt Bond Fund	A	Dividend	L	T					
183. PNC Finl Svcs Group Inc Ser Q Non Cum	A	Dividend	K	T					
184. Exelon Corp Com	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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Name of Person Reporting

Fulton,, Thomas H.

Date of Report

08/05/2020

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)
185. Select Sector SPDR TR Health Care	A	Dividend	J	T					
186. Smart TR Healthcare Innovations TR Ser 6 Unit	A	Dividend	J	T					
187. Constellation Brands Inc	A	Dividend	K	T					
188. CVS Health Corp	A	Dividend	K	T	Buy	09/18/19	K		
189. Regulus Advisors (fromerly PRO CASH #2)									
190. Ventas, Inc.	B	Dividend	K	T					
191. Comcast Corp	A	Dividend	K	T					
192. Exxon Mobile Corp	A	Dividend	K	T					
193. General Electric Co.	A	Dividend	K	T					
194. Seadrill limited Shs.	A	Dividend	J	T					
195. 3d Sys Corp	A	Dividend	J	T					
196. Westport Fuel Systems Inc (formerly Westport Innovations, Inc.)	A	Dividend	J	T					
197. Pershing Govt. Acct	A	Interest	J	T					
198. Fireye Inc Com	A	Dividend	J	T					
199. Boeing Co	A	Dividend	K	T					
200. Select Spectro Spdr TR Technology	B	Dividend	K	T					
201. ROBO Global Robotics and Automation Index ETF	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	
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)
202. AT&T	A	Dividend	K	T					
203. American Funds U.S. Government Money Market Fund	D	Dividend	M	T	Sold (part)	08/26/19	M	C	
204. Walmart Inc	B	Dividend	L	T					
205. Washington Mutual Investors Fund Class A	C	Dividend	M	T					
206. Berkshire Hathaway Inc	A	Dividend	K	T					
207. Select Sector SPDR TR UTILS	B	Dividend	K	T					
208. Alexander Investment Services -1									
209. Insured Deposit Account	A	Dividend	J	T					
210. First Trust WTR ETF	A	Dividend	J	T					
211. Global X rbtcx artfl inte ETF	A	Dividend	J	T					
212. Vanguard Short Term Treas ETF	A	Dividend			Sold	10/07/19	J	B	
213. Franklin Rising Dividends	A	Dividend	K	T					
214. Pimco Fds Income Instl	B	Dividend	K	T					
215. Vanguard Wellington Admiral	A	Dividend	K	T					
216. 3m Co	A	Dividend	J	T					
217. Abbot Labs	A	Dividend	J	T					
218. Abbvie Inc	A	Dividend			Sold	08/09/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

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)
219. Aqua America inc	A	Dividend	J	T					
220. Boeing Co	A	Dividend	K	T					
221. Chevron Corp	A	Dividend	J	T					
222. Coca Cola Co	A	Dividend	J	T					
223. Cummins Inc	A	Dividend	J	T					
224. Home Depot	A	Dividend	J	T	Buy	08/09/19	J		
225. International Paper Co	A	Dividend	J	T					
226. Intl Business Machines	A	Dividend	J	T					
227. Kraft Heinz Co	A	Dividend			Sold	08/09/19	J	A	
228. Nvidia Corp	A	Dividend	J	T					
229. Procter Gamble Co	A	Dividend	K	T					
230. Salesforce.com Inc	A	Dividend	J	T	Buy	08/09/19	J		
231. Ventas Inc	A	Dividend	J	T					
232. RBS Ctznz NA Providence RI CD	A	Interest			Sold	03/01/19	J	B	
233. BB&T Corporation	A	Dividend			Sold	10/07/19	J	B	
234. Ishares Short Treas BD ETF	A	Dividend	K	T	Sold (part)	10/07/19	J	A	
235. Vanguard Div App ETF	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

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)
236. Zoetis Inc	A	Dividend	J	T	Buy	10/07/19	J		
237. Chipolte Mexican Grill	A	Dividend	J	T	Buy	10/07/19	J		
238. Adobe Inc	A	Dividend	J	T	Buy	10/07/19	J		
239. Workday Inc	A	Dividend	J	T	Buy	10/07/19	J		
240. Vmware Inc	A	Dividend	J	T	Buy	10/07/19	J		
241. Alexander Investment Services - 2									
242. Insured Deposit Account	A	Dividend	J	T					
243. Fidelity Advisor New Insights A	A	Dividend	J	T					
244. Franklin Rising Dividends A	A	Dividend	J	T					
245. Ivy Balanced I	A	Dividend	J	T					
246. Mutual Fund Ser Tr Eventide Gilead A	A	Dividend	J	T					
247. Ishares Short Treas BD ETF	A	Dividend	J	T					
248. Alexander Investments Services #3									
249. Insured deposit account	A	Interest	J	T	Buy	01/01/19	J		
250. Ishares Trust Short Treas BD	A	Dividend	M	T	Buy	01/01/19	M		
251. Vanguard Div App	A	Dividend	L	T	Buy	01/01/19	L		
252. Franklin Rising Dividends	A	Dividend	K	T	Buy	01/01/19	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

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)
253. Exxon Mobil Corp	A	Dividend	J	T	Buy	01/01/19	J		
254. Johnson & Johnson	A	Dividend	J	T	Buy	01/01/19	J		
255. Microsoft Corp	A	Dividend	K	T	Buy	01/01/19	K		
256.									
257.									
258.									
259.									
260.									
261.									
262.									
263.									
264.									
265.									
266.									
267.									

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

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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 Fulton,, Thomas H.	Date of Report 08/05/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fulton,, Thomas H.

Date of Report

08/05/2020

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/ **Thomas H. Fulton,**

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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One Columbus Circle, N.E.
Washington, D.C. 20544