

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

|                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                          |                                                              |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br>Van Tatenhove, Gregory F.                                                                                          | <b>2. Court or Organization</b><br>District Court -ED-KY                                                                                                                                                                                                                                 | <b>3. Date of Report</b><br>08/03/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br>United States District Judge - Active                       | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br>01/01/2019<br>to<br>12/31/2019 |
| <b>7. Chambers or Office Address</b><br>330 West Broadway<br>354 Federal Building<br>Frankfort, Kentucky 40601                                                                      |                                                                                                                                                                                                                                                                                          |                                                              |
| <b>IMPORTANT NOTES:</b> 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. Member       | <div></div> Committee              |
| 2. Member       | <div></div> Board                  |
| 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.          |                          |
| 2.          |                          |
| 3.          |                          |

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**Van Tatenhove, Gregory F.**

08/03/2020

### A. Filer's Non-Investment Income

☐ NONE (No reportable non-investment income.)

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                                                                        | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|-----------------------------------------------------------------------------------------------|----------------------------------------|
| 1. May 2019 |  -- Teaching | \$3,000.00                             |
| 2.          |                                                                                               |                                        |
| 3.          |                                                                                               |                                        |
| 4.          |                                                                                               |                                        |

## (Dollar amount not required except for honoraria.)

☐ NONE (No reportable non-investment income.)

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                                                                                         |
|-------------|----------------------------------------------------------------------------------------------------------------|
| 1. 2019     | Commonwealth of Kentucky,  |
| 2. 2019     | Commonwealth of Kentucky,  |
| 3. 2019     | Trout Law Office, PLLC (Spouse)                                                                                |
| 4.          |                                                                                                                |

(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. | Ms. Kiki Courtelis<br>(Permanent Recusal List) | September 2019 | Saratoga, New York    | Personal Travel             | Transportation and Lodging    |
| 2. | Ms. Kiki Courtelis<br>(Permanent Recusal List) | October 2019   | Skukuza, South Africa | <div></div> Personal Travel | Transportation and Lodging    |
| 3. | Legislative Research<br>Commission             | December 2019  | Cadiz, Kentucky       | <div></div> Business Travel | Transportation and Lodging    |
| 4. |                                                |                |                       |                             |                               |
| 5. |                                                |                |                       |                             |                               |

|                           |                |
|---------------------------|----------------|
| Name of Person Reporting  | Date of Report |
| Van Tatenhove, Gregory F. | 08/03/2020     |

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

☐ NONE (No reportable gifts.)

|    | SOURCE                                      | DESCRIPTION            | VALUE      |
|----|---------------------------------------------|------------------------|------------|
| 1. | Ms. Kiki Courtelis (Permanent Recusal List) | Sporting Event Tickets | \$2,920.00 |
| 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. | American Express | Credit Card | K          |
| 2. |                  |             |            |
| 3. |                  |             |            |
| 4. |                  |             |            |
| 5. |                  |             |            |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Van Tatenhove, Gregory F.

Date of Report

08/03/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental Property Number One Lexington, Kentucky                                                                          | B                                      | Rent                                          | M                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. AB High Income Muni Bond                                                                                                | A                                      | Interest                                      |                                                |                                           | Sold                                            | 10/28/19                | K                               | A                              |                                                                   |
| 3.                                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 09/13/19                | K                               |                                |                                                                   |
| 4. NFFFX- American Funds New World Fund                                                                                    | D                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 12/23/19                | J                               |                                |                                                                   |
| 5.                                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 01/30/19                | M                               |                                |                                                                   |
| 6.                                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 05/24/19                | J                               |                                |                                                                   |
| 7.                                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 06/18/19                | J                               |                                |                                                                   |
| 8.                                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 12/31/19                | K                               |                                |                                                                   |
| 9.                                                                                                                         |                                        |                                               |                                                |                                           | Sold                                            | 09/17/19                | J                               | A                              |                                                                   |
| 10.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | A                              |                                                                   |
| 11.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | A                              |                                                                   |
| 12. Barclays Bank PLC LOA/TA Bond                                                                                          | A                                      | Interest                                      | L                                              | T                                         | Buy                                             | 06/26/19                | L                               |                                |                                                                   |
| 13. Barclays Bank PLC TA-CYN Bond                                                                                          | A                                      | Interest                                      | L                                              | T                                         | Buy                                             | 07/29/19                | L                               |                                |                                                                   |
| 14. Barclays Bank PLC- TA RTY Bond                                                                                         | A                                      | Interest                                      | L                                              | T                                         | Buy                                             | 04/26/19                | L                               |                                |                                                                   |
| 15. Bank of America Bond 2.6%                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 01/15/19                | K                               |                                |                                                                   |
| 16. SHSSX- Blackrock Health Sciences                                                                                       | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 05/24/19                | J                               |                                |                                                                   |
| 17.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 12/31/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 01/30/19         | L                        | A                       |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        | A                       |                                                            |
| 20.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 10/28/19         | J                        | A                       |                                                            |
| 21.                                                                                                                        | C                                      | Dividend                               | J                                              | T                                  | Buy                                       | 12/06/19         | J                        |                         |                                                            |
| 22. Citigroup Global CYN MXEF                                                                                              | B                                      | Interest                               | L                                              | T                                  | Buy                                       | 06/14/19         | L                        |                         |                                                            |
| 23. XLC - Comm. Services                                                                                                   | A                                      | Dividend                               |                                                |                                    | Buy                                       | 01/30/19         | J                        |                         |                                                            |
| 24.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 01/30/19         | J                        | A                       |                                                            |
| 25.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 05/24/19         | J                        | A                       |                                                            |
| 26.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        | A                       |                                                            |
| 27.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 10/28/19         | J                        | A                       |                                                            |
| 28.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 12/31/19         | J                        | A                       |                                                            |
| 29. CS AG- TA- SDT Bond                                                                                                    | D                                      | Interest                               |                                                |                                    | Redeemed                                  | 07/23/19         | M                        |                         |                                                            |
| 30. Credit Suisse AG- TA-CYN SPX                                                                                           | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 09/06/19         | K                        |                         |                                                            |
| 31. Credit Suisse NY Bond                                                                                                  | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 01/20/19         | K                        |                         |                                                            |
| 32. Davis Global Fund                                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/30/19         | M                        | A                       |                                                            |
| 33. Deutsche Bank 2.5% 2/13/19                                                                                             | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 02/13/19         | L                        |                         |                                                            |
| 34. Eastman Chemical 2.7%                                                                                                  | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 01/30/19         | 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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Van Tatenhove, Gregory F.

Date of Report

08/03/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. EQT Corp 2.5%                                                                                                          | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 01/30/19         | K                        |                         |                                                            |
| 36. XLF- Financial Sector                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/30/19         | M                        | A                       |                                                            |
| 37. GM Bond 2.35%                                                                                                          | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 10/04/19         | K                        |                         |                                                            |
| 38. GM Bond 3.15%                                                                                                          | A                                      | Interest                               | J                                              | T                                  | Buy                                       | 01/30/19         | J                        |                         |                                                            |
| 39. GM Bond 3.15%                                                                                                          | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 12/16/19         | L                        |                         |                                                            |
| 40. Goldman Sachs 2.3%                                                                                                     | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 01/30/19         | K                        |                         |                                                            |
| 41. Goldman Sachs 2.3%                                                                                                     | A                                      | Interest                               |                                                |                                    | Sold                                      | 07/18/19         | K                        | A                       |                                                            |
| 42. Goldman Sachs L/O TA SPX                                                                                               | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 10/29/19         | K                        |                         |                                                            |
| 43. HSBC USA L/O NDX                                                                                                       | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 12/10/19         | K                        |                         |                                                            |
| 44. HSBC USA L/O RTY                                                                                                       | D                                      | Interest                               |                                                |                                    | Redeemed                                  | 11/14/19         | M                        |                         |                                                            |
| 45.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 05/10/19         | M                        |                         |                                                            |
| 46. Husky Energy 7.25%                                                                                                     | A                                      | Interest                               |                                                |                                    | Buy                                       | 01/30/19         | K                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Redeemed                                  | 12/16/19         | K                        |                         |                                                            |
| 48. ACTDX- Invesco HY Muni                                                                                                 | C                                      | Interest                               |                                                |                                    | Buy                                       | 03/14/19         | M                        |                         |                                                            |
| 49.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 10/21/19         | K                        | B                       |                                                            |
| 50. QQQ- Invesco                                                                                                           | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/30/19         | M                        | A                       |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 06/18/19         | J                        | A                       |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Van Tatenhove, Gregory F.

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.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. RSP- Invesco                                                                                                           | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 01/30/19                | M                               |                                |                                                                   |
| 53.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 12/31/19                | J                               |                                |                                                                   |
| 54.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | J                               | A                              |                                                                   |
| 55.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 09/17/19                | J                               | A                              |                                                                   |
| 56.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | A                              |                                                                   |
| 57. ISHYX- Invesco HY Short Muni                                                                                           | C                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/14/19                | M                               | A                              |                                                                   |
| 58.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/14/19                | L                               | A                              |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 01/30/19                | M                               |                                |                                                                   |
| 60.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | J                               | A                              |                                                                   |
| 61.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | J                               | A                              |                                                                   |
| 62.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 09/17/19                | J                               | B                              |                                                                   |
| 63.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | B                              |                                                                   |
| 64.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | B                              |                                                                   |
| 65. IJR- Small Cap                                                                                                         | B                                      | Dividend                                      |                                                |                                           | Buy                                             | 12/20/19                | J                               |                                |                                                                   |
| 66.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 01/30/19                | L                               |                                |                                                                   |
| 67.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 05/24/19                | L                               |                                |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 06/18/19                | J                               |                                |                                                                   |

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

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Name of Person Reporting

Van Tatenhove, Gregory F.

Date of Report

08/03/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        | A                       |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 10/28/19         | K                        | A                       |                                                            |
| 71.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 12/31/19         | K                        | B                       |                                                            |
| 72. IWR- Midcap                                                                                                            | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/30/19         | M                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Buy                                       | 12/31/19         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 05/24/19         | J                        | A                       |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        | A                       |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 10/28/19         | J                        | A                       |                                                            |
| 77. JP Morgan LO TA NDX Bond                                                                                               | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 11/15/19         | K                        |                         |                                                            |
| 78. JP Morgan LO TA- RTY Bond                                                                                              | C                                      | Interest                               |                                                |                                    | Buy                                       | 06/26/19         | M                        |                         |                                                            |
| 79.                                                                                                                        |                                        |                                        |                                                |                                    | Redeemed                                  | 12/31/19         | M                        |                         |                                                            |
| 80. JP Morgan LO NDX_RTY Bond                                                                                              | A                                      | Interest                               | L                                              | T                                  | Buy                                       | 10/29/19         | L                        |                         |                                                            |
| 81. JP Morgan LOA RTY_SPX Bond                                                                                             | C                                      | Interest                               |                                                |                                    | Redeemed                                  | 04/30/19         | L                        |                         |                                                            |
| 82. JP Morgan LOA CYN SPX Bond                                                                                             | C                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 83. JP Morgan LOA CYN RTY Bond                                                                                             | C                                      | Interest                               |                                                |                                    | Redeemed                                  | 12/03/19         | L                        |                         |                                                            |
| 84. Kinder Morgan Energy 2.65% Bond                                                                                        | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 02/01/19         | K                        |                         |                                                            |
| 85. MDIUX- MFS Int.                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 12/31/19         | J                        |                         |                                                            |

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

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Name of Person Reporting

Van Tatenhove, Gregory F.

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 01/30/19                | M                               | A                              |                                                                   |
| 87.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | J                               | A                              |                                                                   |
| 88.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/18/19                | J                               | A                              |                                                                   |
| 89.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 09/18/19                | J                               | A                              |                                                                   |
| 90.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | A                              |                                                                   |
| 91. Morgan Stanley LOA INDU Bond                                                                                           | A                                      | Interest                                      | L                                              | T                                         | Buy                                             | 07/29/19                | L                               |                                |                                                                   |
| 92. NASDAQ OMC Bond                                                                                                        | A                                      | Interest                                      |                                                |                                           | Buy                                             | 01/30/19                | J                               |                                |                                                                   |
| 93.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 05/01/19                | J                               |                                |                                                                   |
| 94. Nomura Bond                                                                                                            | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 03/19/19                | J                               |                                |                                                                   |
| 95. NVHIX- Nuveen Short                                                                                                    | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/26/19                | K                               | A                              |                                                                   |
| 96.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 06/14/19                | L                               | B                              |                                                                   |
| 97.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 07/02/19                | K                               | A                              |                                                                   |
| 98.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 07/15/19                | L                               | B                              |                                                                   |
| 99.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 07/18/19                | K                               | A                              |                                                                   |
| 100.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 08/16/19                | L                               | B                              |                                                                   |
| 101. ODVYX- Opp. Intl                                                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 01/30/19                | M                               | A                              |                                                                   |
| 102. RBC LO- CYN Bond                                                                                                      | B                                      | Interest                                      |                                                |                                           | Buy                                             | 03/27/19                | K                               |                                |                                                                   |

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

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Van Tatenhove, Gregory F.

Date of Report

08/03/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                          |   |          |   |   |          |          |   |   |  |
|--------------------------|---|----------|---|---|----------|----------|---|---|--|
| 103.                     |   |          |   |   | Redeemed | 12/31/19 | K |   |  |
| 104. RBC LO CYN EEM Bond | B | Interest | M | T | Buy      | 07/12/19 | M |   |  |
| 105. RBC LO CYN NDX Bond |   | None     | L | T | Buy      | 12/20/19 | L |   |  |
| 106. RBC CYN RTY Bond    | B | Interest |   |   | Buy      | 01/18/19 | L |   |  |
| 107.                     |   |          |   |   | Redeemed | 07/22/19 | L |   |  |
| 108. RBC CYN RTY Bond    | B | Interest |   |   | Buy      | 06/14/19 | L |   |  |
| 109.                     |   |          |   |   | Redeemed | 12/18/19 | L |   |  |
| 110. XLK- Tech Select    | A | Dividend |   |   | Sold     | 01/30/19 | J | A |  |
| 111.                     |   |          |   |   | Sold     | 05/24/19 | J | A |  |
| 112.                     |   |          |   |   | Sold     | 09/17/19 | J | A |  |
| 113.                     |   |          |   |   | Sold     | 10/28/19 | J | A |  |
| 114.                     |   |          |   |   | Sold     | 12/31/19 | J | C |  |
| 115. TIBIX- Thornburg    | A | Dividend | J | T | Buy      | 05/24/19 | K |   |  |
| 116.                     |   |          |   |   | Buy      | 12/31/19 | J |   |  |
| 117.                     |   |          |   |   | Sold     | 01/30/19 | J | A |  |
| 118.                     |   |          |   |   | Sold     | 06/18/19 | J | A |  |
| 119.                     |   |          |   |   | Sold     | 09/17/19 | J | A |  |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 120.                                                                                                                       | B                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 09/23/19                | J                               |                                |                                                                   |
| 121.                                                                                                                       | B                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 12/30/19                | J                               |                                |                                                                   |
| 122. UBS Select Prime MM                                                                                                   | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 09/19/19                | K                               |                                |                                                                   |
| 123.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 01/31/19                | K                               | A                              |                                                                   |
| 124.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 10/22/19                | K                               | A                              |                                                                   |
| 125. VUG- Vanguard Growth                                                                                                  | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 01/30/19                | L                               |                                |                                                                   |
| 126.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 06/18/19                | J                               |                                |                                                                   |
| 127.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | K                               | C                              |                                                                   |
| 128.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/17/19                | J                               | A                              |                                                                   |
| 129.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | B                              |                                                                   |
| 130. VO- Vangaurd Mid                                                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 01/30/19                | M                               | A                              |                                                                   |
| 131.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 05/24/19                | J                               | A                              |                                                                   |
| 132.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 10/28/19                | J                               | A                              |                                                                   |
| 133. VTV- Vanguard Value                                                                                                   | D                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 01/30/19                | L                               |                                |                                                                   |
| 134.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 05/24/19                | J                               |                                |                                                                   |
| 135.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 06/18/19                | J                               |                                |                                                                   |
| 136.                                                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 12/31/19                | 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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 05/24/19         | J                        |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 09/17/19         | J                        |                         |                                                            |
| 139.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 10/28/19         | J                        |                         |                                                            |
| 140. Barclays CYN SPX Bond                                                                                                 | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 04/30/19         | K                        |                         |                                                            |
| 141. Citigroup LO CYN RTY Bond                                                                                             | B                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 142. Eastman Chemical 2.7                                                                                                  | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 12/16/19         | K                        |                         |                                                            |
| 143. GM Motors 3.5%                                                                                                        | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 07/10/19         | K                        |                         |                                                            |
| 144. ODVYX- Opp.                                                                                                           | A                                      | Dividend                               |                                                |                                    | Sold                                      | 06/18/19         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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Van Tatenhove, Gregory F.

Date of Report

08/03/2020

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

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Van Tatenhove, Gregory F.

Date of Report

08/03/2020

## 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/ Gregory F. Van Tatenhove**

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

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