

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Almond, Lincoln D.	2. Court or Organization United States District Court	3. Date of Report 09/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States District Court District of Rhode Island Two Exchange Terrace, Room 208 Providence, RI 02903		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

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Almond, Lincoln D.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Greater Providence YMCA-Wages
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Commonwealth Financial Network - IRA									
2. Doubleline Total Return Bond	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
3.	A	Dividend		T	Buy (add'l)	02/28/19	J		
4.	A	Dividend		T	Buy (add'l)	03/29/19	J		
5.	A	Dividend		T	Buy (add'l)	04/30/19	J		
6.	D				Sold	05/22/19	J		
7. John Hancock Bond	D		J	T	Buy	05/22/19	J		
8.	A	Dividend		T	Buy (add'l)	05/31/19	J		
9.	A	Dividend		T	Buy (add'l)	06/28/19	J		
10.	A	Dividend		T	Buy (add'l)	07/31/19	J		
11.	A	Dividend		T	Buy (add'l)	08/30/19	J		
12.	A	Dividend		T	Buy (add'l)	09/30/19	J		
13.	A	Dividend		T	Buy (add'l)	10/31/19	J		
14.	A	Dividend		T	Buy (add'l)	11/29/19	J		
15.	A	Distribution		T	Buy (add'l)	12/20/19	J		
16.	A	Dividend		T	Buy (add'l)	12/31/19	J		
17. DFA Emerging Markets Core	A	Dividend	K	T	Buy (add'l)	03/28/19	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.	A	Dividend		T	Buy (add'l)	06/27/19	J		
19.	A	Dividend		T	Buy (add'l)	09/27/19	J		
20.	A	Dividend		T	Buy (add'l)	12/16/19	J		
21. DFA US Core Equity 2	A	Dividend	L	T	Buy (add'l)	03/28/19	J		
22.	A	Dividend		T	Buy (add'l)	06/27/19	J		
23.	A	Dividend		T	Buy (add'l)	09/27/19	J		
24.	A	Dividend		T	Buy (add'l)	12/16/19	J		
25.	B	Distribution		T	Buy (add'l)	12/16/19	J		
26. DFA US Small Cap Portfolio	A	Dividend	K	T	Buy (add'l)	03/28/19	J		
27.	A	Dividend		T	Buy (add'l)	06/27/19	J		
28.	A	Dividend		T	Buy (add'l)	09/27/19	J		
29.	A	Dividend		T	Buy (add'l)	12/16/19	J		
30.	B	Distribution		T	Buy (add'l)	12/16/19	J		
31. DFA US Large Cap Value			K	T	Sold (part)	01/15/19	J		
32.	A	Dividend		T	Buy (add'l)	03/28/19	J		
33.	A	Dividend		T	Buy (add'l)	06/27/19	J		
34.	A	Dividend		T	Buy (add'l)	09/27/19	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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35.	A	Dividend		T	Buy (add'l)	12/17/19	J		
36.	A	Distribution		T	Buy (add'l)	12/17/19	J		
37. DFA International Core Equity	A	Dividend	L	T	Buy (add'l)	03/28/19	J		
38.	A	Dividend		T	Buy (add'l)	06/27/19	J		
39.	A	Dividend		T	Buy (add'l)	09/27/19	J		
40.	A	Dividend		T	Buy (add'l)	12/16/19	J		
41. AQR Large Cap Momentum	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
42.	B	Distribution		T	Buy (add'l)	12/23/19	J		
43. DFA Emerging Markets Small Cap	A	Dividend	J	T	Buy (add'l)	06/27/19	J		
44.	A	Dividend		T	Buy (add'l)	09/27/19	J		
45.	A	Dividend		T	Buy (add'l)	12/17/19	J		
46. Flexshares Global Quality Real Estate	A	Dividend	K	T	Buy (add'l)	03/21/19	K		
47.	A	Dividend		T	Buy (add'l)	06/27/19	J		
48.	A	Dividend		T	Buy (add'l)	09/26/19	J		
49.	A	Dividend		T	Buy (add'l)	12/27/19	J		
50. AQR Global Macro			K	T	Sold (part)	07/10/19	J		
51.	A	Dividend		T	Buy (add'l)	12/23/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. Flexshares Global Upstream Nat. Res.	A	Dividend	J	T	Buy (add'l)	03/21/19	J		
53.	A	Dividend		T	Buy (add'l)	06/27/19	J		
54.	A	Dividend		T	Buy (add'l)	09/26/19	J		
55.	A	Dividend		T	Buy (add'l)	12/27/19	J		
56. JP Morgan Chase Bk CD Zero Cpn		None	L	T					
57. Commonwealth Financial Network IRA #2									
58. Doubleline Total Return Bond	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
59.	A	Dividend		T	Buy (add'l)	02/28/19	J		
60.	A	Dividend		T	Buy (add'l)	03/29/19	J		
61.				T	Sold (part)	04/26/19	J		
62.					Sold	05/22/19	J		
63. John Hancock Bond	A		J	T	Buy	05/22/19	J		
64.	A	Dividend		T	Buy (add'l)	05/31/19	J		
65.	A	Dividend		T	Buy (add'l)	06/28/19	J		
66.	A	Dividend		T	Buy (add'l)	07/31/19	J		
67.	A	Dividend		T	Buy (add'l)	08/30/19	J		
68.	A	Dividend		T	Buy (add'l)	09/30/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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69.	A	Dividend		T	Buy (add'l)	10/31/19	J		
70.	A	Dividend		T	Buy (add'l)	11/29/19	J		
71.	A	Distribution		T	Buy (add'l)	12/20/19	J		
72.	A	Dividend		T	Buy (add'l)	12/31/19	J		
73. DFA Emerging Markets Core	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
74.	A	Dividend		T	Buy (add'l)	06/27/19	J		
75.	A	Dividend		T	Buy (add'l)	09/27/19	J		
76.	A	Dividend		T	Buy (add'l)	12/16/19	J		
77. DFA US Small Cap Portfolio	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
78.	A	Dividend		T	Buy (add'l)	06/27/19	J		
79.	A	Dividend		T	Buy (add'l)	09/27/19	J		
80.	A	Dividend		T	Buy (add'l)	12/16/19	J		
81.	A	Distribution		T	Buy (add'l)	12/16/19	J		
82. DFA US Large Cap Value	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
83.	A	Dividend		T	Buy (add'l)	06/27/19	J		
84.	A	Dividend		T	Buy (add'l)	09/27/19	J		
85.	A	Dividend		T	Buy (add'l)	12/17/19	J		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.	A	Distribution		T	Buy (add'l)	12/17/19	J		
87. DFA International Core Equity	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
88.				T	Buy (add'l)	04/03/19	J		
89.	A	Dividend		T	Buy (add'l)	06/27/19	J		
90.	A	Dividend		T	Buy (add'l)	09/27/19	J		
91.	A	Dividend		T	Buy (add'l)	12/16/19	J		
92. AQR Large Cap Momentum	A	Dividend	J	T	Buy (add'l)	12/23/19	J		
93.	A	Distribution		T	Buy (add'l)	12/23/19	J		
94. AQR Small Cap Momentum	A	Dividend	J	T	Buy (add'l)	12/23/19	J		
95.	A	Distribution		T	Buy (add'l)	12/23/19	J		
96. Flexshares Global Upstream Nat. Resources	A	Dividend	J	T	Buy (add'l)	03/21/19	J		
97.	A	Dividend		T	Buy (add'l)	06/27/19	J		
98.	A	Dividend		T	Buy (add'l)	09/26/19	J		
99.	A	Dividend		T	Buy (add'l)	12/27/19	J		
100. Flexshares Global Quality Real Estate	A	Dividend	J	T	Buy (add'l)	03/21/19	J		
101.	A	Dividend		T	Buy (add'l)	06/27/19	J		
102.	A	Dividend		T	Buy (add'l)	09/26/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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103.	A	Dividend		T	Buy (add'l)	12/27/19	J		
104. JP Morgan Chase Bk CD Zero Cpn		None	J	T					
105. JP Morgan Chase Bk Buffered Note		None	J	T	Buy	04/30/19	J		
106. Commonwealth Financial Network - Joint									
107. Doubleline Total Return Bond			J	T	Sold (part)	01/15/19	J		
108.	A	Dividend		T	Buy (add'l)	01/31/19	J		
109.	A	Dividend		T	Buy (add'l)	02/28/19	J		
110.	A	Dividend		T	Buy (add'l)	03/29/19	J		
111.	A	Dividend		T	Buy (add'l)	04/30/19	J		
112.					Sold	05/22/19	J		
113. John Hancock Bond			J	T	Buy	05/22/19	J		
114.	A	Dividend			Buy (add'l)	05/31/19	J		
115.	A	Dividend		T	Buy (add'l)	06/28/19	J		
116.	A	Dividend		T	Buy (add'l)	07/31/19	J		
117.	A	Dividend		T	Buy (add'l)	08/30/19	J		
118.	A	Dividend		T	Buy (add'l)	09/30/19	J		
119.	A	Dividend		T	Buy (add'l)	10/31/19	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Almond, Lincoln D.

Date of Report

09/08/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120.	A	Dividend		T	Buy (add'l)	11/29/19	J		
121.	A	Distribution		T	Buy (add'l)	12/20/19	J		
122.	A	Dividend		T	Buy (add'l)	12/31/19	J		
123. DFA TA US Core Equity 2	A	Dividend	K	T	Buy (add'l)	03/28/19	J		
124.	A	Dividend		T	Buy (add'l)	06/27/19	J		
125.	A	Dividend		T	Buy (add'l)	09/27/19	J		
126.	A	Dividend		T	Buy (add'l)	12/17/19	J		
127.	A	Distribution		T	Buy (add'l)	12/17/19	J		
128. DFA Emerging Markets Core	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
129.	A	Dividend		T	Buy (add'l)	06/27/19	J		
130.	A	Dividend		T	Buy (add'l)	09/27/19	J		
131.	A	Dividend		T	Buy (add'l)	12/16/19	J		
132. DFA International Core Equity	A	Dividend	J	T	Buy (add'l)	03/28/19	J		
133.	A	Dividend		T	Buy (add'l)	06/27/19	J		
134.	A	Dividend		T	Buy (add'l)	09/27/19	J		
135.	A	Dividend		T	Buy (add'l)	12/16/19	J		
136. DFA International Small Company	A	Dividend	J	T	Buy (add'l)	06/27/19	J		

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

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Name of Person Reporting

Almond, Lincoln D.

Date of Report

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.	A	Dividend		T	Buy (add'l)	09/27/19	J		
138.	A	Dividend		T	Buy (add'l)	12/17/19	J		
139.	A	Distribution		T	Buy (add'l)	12/17/19	J		
140. DFA Emerging Markets Small Cap	A	Dividend	J	T	Buy (add'l)	06/27/19	J		
141.	A	Dividend		T	Buy (add'l)	09/27/19	J		
142.	A	Dividend		T	Buy (add'l)	12/17/19	J		
143.	A	Distribution		T	Buy (add'l)	12/17/19	J		
144. AQR TM Small Cap Momentum	A	Dividend	J	T	Buy (add'l)	12/23/19	J		
145.	A	Distribution		T	Buy (add'l)	12/23/19	J		
146. AQR TM Large Cap Momentum	A	Dividend	J	T	Buy (add'l)	12/23/19	J		
147.		Distribution		T	Buy (add'l)	12/23/19	J		
148. AQR Global Macro			J	T	Sold (part)	07/10/19	J		
149.	A	Dividend		T	Buy (add'l)	12/23/19	J		
150. Flexshares Global Upstream Nat. Resources	A	Dividend	J	T	Buy (add'l)	03/21/19	J		
151.	A	Dividend		T	Buy (add'l)	06/27/19	J		
152.	A	Dividend		T	Buy (add'l)	09/26/19	J		
153.	A	Dividend		T	Buy (add'l)	12/27/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.									
155.									
156.									
157.									
158.									
159.									
160.									
161.									
162.									
163.									
164.									
165.									
166.									
167.									
168.									
169.									
170.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.									
172.									

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Name of Person Reporting

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

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Name of Person Reporting

Almond, Lincoln D.

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IX. CERTIFICATION.

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

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

Signature: **s/ Lincoln D. Almond**

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