

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Merz, Michael R.	2. Court or Organization U.S. District Court, Southern District of Ohio	3. Date of Report 04/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (recalled)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 200 West Second Street Dayton, Ohio 45402		
IMPORTANT NOTES: <i>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>		

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. Trustee/Director	Dayton Metro Library Foundation
2. Director/Vice-President	State Library of Ohio
3. Director	East End Neighborhood Development Corporation
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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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.	
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. INDIVIDUAL ASSETS (H)									
2. FIFTH THIRD BANK (cash)	A	Interest	K	T					
3. JOHN HANCOCK LIFE INSURANCE CASH VALUE POLICY (whole life)	A	Interest	J	T					
4. METLIFE INSURANCE CASH VALUE POLICY (whole life)	A	Interest	K	T					
5. ACCOUNT #1 (H)									
6. LPL FINANCIAL US BANK NATIONAL ASSN SWEEP ACCOUNT (cash)	A	Interest	K	T					
7. ABBOTT LABORATORIES (ABT)	A	Dividend	J	T	Buy	05/06/20	J		
8. AFLAC INC (AFL)		None	J	T	Buy	12/11/20	J		
9. ALLEGION PUBLIC LTD (ALLE)	A	Dividend			Buy	05/06/20	J		
10.					Sold	12/11/20	J	A	
11. ALPHABET INC CL C (GOOG)		None	K	T					
12. AMERICAN AIRLINES GROUP INC (AAL)	A	Dividend			Sold	03/09/20	J		
13. AMERICAN EXPRESS CO (AXP)	A	Dividend	J	T	Buy	07/21/20	J		
14. APPLE INC (AAPL)	A	Dividend			Sold (part)	02/27/20	J		
15.					Sold	03/16/20	J	C	
16. APPLIED MATERIALS INC (AMAT)	A	Dividend			Sold (part)	01/30/20	J		
17.					Sold	02/19/20	K	D	

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

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	(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. AT&T INC (T)	A	Dividend	J	T	Buy	05/06/20	J		
19. AUTOMATIC DATA PROCESSING INC (ADP)	A	Dividend	J	T	Buy	05/13/20	J		
20. BANK NEW YORK MELLON CORP (BK)	A	Dividend	J	T					
21. BIOGEN INC (BIIB)		None	J	T					
22. BP PLC (BP)	A	Dividend	J	T	Buy	02/25/20	J		
23. BRISTOL MYERS SQUIBB COMPANY (BMY)	A	Dividend			Sold	05/13/20	J	B	
24. CARNIVAL CORP PAIRED CTF (CCL)	A	Dividend			Sold	02/27/20	J		
25. CARRIAGE SERVICES INC (CSV)	A	Dividend			Sold	05/13/20	J		
26. CATERPILLAR INC (CAT)	A	Dividend			Sold	05/01/20	J		
27. CDW CORP (CDW)		None	J	T	Buy	12/31/20	J		
28. CIGNA CORP NEW (CI)	A	Dividend	J	T					
29. COCA-COLA COMPANY (KO)	A	Dividend	J	T	Buy	03/25/20	J		
30. CVS HEALTH CORP (CVS)	A	Dividend	J	T					
31. EXXON MOBIL CORP (XOM)	A	Dividend	J	T	Buy	02/20/20	J		
32. FEDERATED HERMES INC (FHI)	A	Dividend	J	T					
33. FEDEX CORP (FDX)	A	Dividend	J	T					
34. FRANKLIN RESOURCES INC (BEN)	A	Dividend	K	T					

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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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35. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T	Buy	05/13/20	J		
36.					Buy (add'l)	10/08/20	J		
37. GOODYEAR TIRE AND RUBBER COMPANY (GT)	A	Dividend	K	T	Buy (add'l)	02/28/20	J		
38.					Buy (add'l)	03/20/20	J		
39. INTERNATIONAL PAPER COMPANY (IP)	A	Dividend			Sold	04/27/20	J		
40. INTL BUSINESS MACHINES (IBM)	A	Dividend	J	T	Sold (part)	02/21/20	J	A	
41. INTL FLAVOR & FRAGRANCES (IFF)		None	J	T	Buy	12/11/20	J		
42. INVESCO LTD (IVZ)	A	Dividend	K	T	Buy (add'l)	04/09/20	J		
43. JOHNSON & JOHNSON (JNJ)	A	Dividend	K	T	Sold (part)	02/21/20	J	A	
44.					Buy (add'l)	03/25/20	J		
45. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T	Buy	03/12/20	J		
46.					Sold	04/17/20	J	A	
47.					Buy	04/20/20	J		
48. KIMBERLY CLARK CORP (KMB)	A	Dividend	J	T	Buy	04/27/20	J		
49. LOCKHEED MARTIN CORP (LMT)	A	Dividend			Sold	04/27/20	J	C	
50. LOWES COMPANIES INC (LOW)	A	Dividend	K	T					
51. MCKESSON CORP (MCK)	A	Dividend	J	T	Sold (part)	02/21/20	J	A	

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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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52. PEOPLES UNITED FINANCIAL (PBCT)	A	Dividend	J	T	Sold (part)	02/21/20	J	A	
53. QUALCOMM INC (QCOM)		None			Sold	02/27/20	J	C	
54. REALTY INCOME CORP (O)	A	Dividend			Sold	03/16/20	J		
55. ROYAL DUTCH SHELL PLC (RDSA)	A	Dividend			Sold	03/09/20	J		
56. SCHLUMBERGER LTD (SLB)	A	Dividend			Sold	03/09/20	J		
57. SERVICE CORP INTL (SCI)	A	Dividend	J	T	Buy	05/13/20	J		
58. SOUTHWEST AIRLINES (LUV)	A	Dividend			Sold	03/09/20	J	B	
59. STORE CAPITAL CORP (STOR)	A	Dividend	J	T	Buy	05/13/20	J		
60. UNITED PARCEL SERVICE INC (UPS)	A	Dividend			Buy	01/30/20	J		
61.					Sold	05/13/20	J		
62. VERIZON COMMUNICATIONS (VZ)	A	Dividend	K	T	Sold (part)	01/30/20	J	A	
63. VIACOMCBS INC CL B (VIAC)	A	Dividend	J	T					
64. WABTEC (WAB)	A	Dividend			Sold	05/01/20	J		
65. WALT DISNEY CO (DIS)	A	Dividend			Sold	05/01/20	J	A	
66. ZOETIS INC CL A (ZTS)	A	Dividend	J	T	Buy	04/28/20	J		
67. AB INCOME ADVISOR CL (ACGYX)	A	Dividend			Buy	03/10/20	K		
68.					Sold	04/17/20	K		

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69. FIRST TRUST EMERGING MARKETS LOCAL CURRENCY BOND ETF (FEMB)	A	Dividend	J	T	Buy	04/17/20	J		
70. FIRST TRUST LOW DURATION OPPORTUNITIES ETF (LMBS)	A	Dividend	K	T	Buy	04/17/20	K		
71.					Sold (part)	07/07/20	J	A	
72. FIRST TRUST IV ENHANCED SHORT MATURITY ETF NEW (FTSM)		None			Buy	04/17/20	K		
73.					Sold	05/01/20	K		
74. FIRST TRUST TCW OPPORTUNISTIC FIXED INC (FIXD)	B	Dividend	K	T	Buy	04/17/20	K		
75. FIRST TRUST ETF III PFD SECS & INC (FPE)	A	Dividend	K	T	Buy	04/17/20	K		
76. FIRST TRUST IV TACTICAL HIGH YIELD ETF (HYLS)	B	Dividend	K	T	Sold	03/10/20	J		
77.					Buy	04/17/20	J		
78.					Buy (add'l)	05/01/20	K		
79.					Buy (add'l)	07/07/20	J		
80. FIRST TRUST SENIOR LOAN FUND ETF (FTSL)	A	Dividend	J	T	Buy	04/17/20	K		
81.					Sold (part)	05/01/20	K		
82. ISHARES 1-3 YR TREASURY BOND ETF (SHY)	A	Dividend			Sold (part)	01/14/20	J		
83.					Buy (add'l)	03/10/20	J		
84.					Sold	04/17/20	K	A	
85. ISHARES TRUST ISHARES PREFERRED & INCOME SECS ETF (PFF)	A	Dividend			Sold	04/17/20	J		

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86. ISHARES IBOXX \$ HIGH YIELD CORP BOND ETF (HYG)	A	Dividend			Sold	03/10/20	K		
87. ISHARES JPMORGAN USD EMERGING MARKETS BOND ETF (EMB)	A	Dividend			Sold	04/17/20	J		
88. SCHWAB U S AGGREGATE BOND ETF (SCHZ)	A	Dividend			Sold (part)	03/10/20	J		
89.					Sold	04/17/20	K	C	
90. VANECK VECTORS HIGH YIELD MUN INDEX ETF NEW (HYD)	A	Dividend			Sold	04/17/20	K		
91. ISHARES IBOXX \$INVESTMENT GRADE CORP BOND ETF (LQD)	A	Dividend	K	T	Buy	05/01/20	K		
92. ACCOUNT #2 (H)									
93. AB HIGH INCOME ADVISOR CL (AGDYX)	A	Dividend	J	T	Buy	03/27/20	J		
94. AB LARGE CAP GROWTH ADVISOR CL (APGYX)	A	Dividend	J	T	Buy	03/18/20	J		
95. INVESCO QQQ SER 1 ETF (QQQ)	A	Dividend	J	T					
96. ISHARES US PREFERRED STOCK ETF (PFF)	A	Dividend	J	T					
97. ISHARES IBOXX \$ HIGH YIELD CORP BOND ETF (HYG)	A	Dividend	J	T					
98. ISHARES RUSSELL 1000 GROWTH ETF (IWF)	A	Dividend	J	T					
99. ISHARES SELECT DIVIDEND TF (DVY)		None			Sold	03/09/20	J		
100. PACER TRENDPILOT 100 ETF (PTNQ)		None			Buy	02/12/20	J		
101.					Sold	03/17/20	J		
102. SCHWAB INTL EQUITY ETF (SCHF)	A	Dividend	J	T					

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103. SECTOR ENERGY SELECT SECTOR SPDR ETF (XLE)	A	Dividend			Sold	01/15/20	J		
104. SECTOR FINANCIAL SELECT SECTOR SPDR ETF (XLF)	A	Dividend	J	T					
105. SPDR SERIES TRUST S&P DIVIDEND ETF (SDY)		None			Sold	03/09/20	J		
106. SPDR SERIES TRUST S&P 400 MID CAP GROWTH ETF (MDYG)	A	Dividend			Sold	07/13/20	J	A	
107. VANGUARD SHORT TERM BOND ETF (BSV)	A	Dividend	J	T					
108. ACCOUNT #3 (H)									
109. LPL FINANCIAL US BANK NATIONAL ASSN SWEEP ACCOUNT (cash)	A	Interest	J	T					
110. ABBOTT LABORATORIES (ABT)	A	Dividend	J	T	Buy	05/06/20	J		
111. AFLAC INC (AFL)		None	J	T	Buy	12/11/20	J		
112. ALLEGION PUBLIC LTD (ALLE)	A	Dividend			Buy	05/06/20	J		
113.					Sold	12/11/20	J	A	
114. ALPHABET INC CL C (GOOG)		None	J	T					
115. AMERICAN AIRLINES GROUP INC (AAL)	A	Dividend			Sold	09/09/20	J		
116. AMERICAN EXPRESS CO (AXP)	A	Dividend	J	T	Buy	07/21/20	J		
117. APPLE INC (AAPL)	A	Dividend			Sold (part)	02/27/20	J		
118.					Sold	03/16/20	J	C	
119. APPLIED MATERIALS INC (AMAT)	A	Dividend			Sold	02/19/20	K	D	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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. AT&T INC (T)	A	Dividend	J	T	Buy	05/06/20	J		
121. AUTOMATIC DATA PROCESSING INC (ADP)	A	Dividend	J	T	Buy	05/13/20	J		
122. BANK NEW YORK MELLON CORP (BK)	A	Dividend	J	T					
123. BIOGEN INC (BIIB)		None	J	T					
124. BP PLC (BP)	A	Dividend	J	T	Buy	02/25/20	J		
125. BRISTOL MYERS SQUIBB (BMY)	A	Dividend			Sold	05/13/20	J	B	
126. CARNIVAL CORP PAIRED CTF (CCL)	A	Dividend			Sold	02/27/20	J		
127. CARRIAGE SERVICES INC (CSV)	A	Dividend			Sold	05/13/20	J		
128. CATERPILLAR INC (CAT)	A	Dividend			Sold	05/01/20	J		
129. CDW CORP (CDW)		None	J	T	Buy	12/31/20	J		
130. CIGNA CORP NEW (CI)	A	Dividend	J	T					
131. COCA-COLA COMPANY (KO)	A	Dividend	J	T	Buy	03/25/20	J		
132. CVS HEALTH CORP (CVS)	A	Dividend	J	T					
133. EXXON MOBIL CORP (XOM)	A	Dividend	J	T	Buy	02/20/20	J		
134. FEDERATED HERMES INC (FHI)	A	Dividend	J	T					
135. FEDEX CORP (FDX)	A	Dividend	J	T					
136. FRANKLIN RESOURCES INC (BEN)	A	Dividend	K	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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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. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T	Buy	05/13/20	J		
138.					Buy (add'l)	10/08/20	J		
139. GOODYEAR TIRE & RUBBER (GT)	A	Dividend	K	T	Buy (add'l)	02/28/20	J		
140.					Buy (add'l)	03/20/20	J		
141. INTERNATIONAL PAPER COMPANY (IP)	A	Dividend			Sold	04/27/20	J		
142. INTL BUSINESS MACHINES CORP (IBM)	A	Dividend	J	T					
143. INTL FLAVOR & FRAGRANCES (IFF)		None	J	T	Buy	12/11/20	J		
144. INVESCO LTD (IVZ)	A	Dividend	K	T	Buy (add'l)	04/09/20	J		
145. JOHNSON & JOHNSON (JNJ)	A	Dividend	K	T	Buy (add'l)	03/25/20	J		
146. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T	Buy	03/12/20	J		
147.					Sold	04/17/20	J		
148.					Buy	04/20/20	J		
149. KIMBERLY CLARK CORP (KMB)	A	Dividend	J	T	Buy	04/27/20	J		
150. LOCKHEED MARTIN CORP (LMT)	A	Dividend			Sold	04/27/20	J	C	
151. LOWES COMPANIES INC (LOW)	A	Dividend	J	T					
152. MCKESSON CORP (MCK)	A	Dividend	J	T					
153. PEOPLES UNITED FINANCIAL (PBCT)	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. QUALCOMM INC (QCOM)		None			Sold	02/27/20	J	C	
155. REALTY INCOME CORP (O)	A	Dividend			Sold	03/16/20	J	C	
156. ROYAL DUTCH SHELL PLC (RDSA)	A	Dividend			Sold	03/09/20	J		
157. SCHLUMBERGER LTD (SLB)	A	Dividend			Sold	03/09/20	J		
158. SERVICE CORP INTL (SCI)	A	Dividend	J	T	Buy	05/13/20	J		
159. SOUTHWEST AIRLINES (LUV)	A	Dividend			Sold	03/09/20	J	B	
160. STORE CAPITAL CORP (STOR)	A	Dividend	J	T	Buy	05/13/20	J		
161. UNITED PARCEL SERVICE (UPS)	A	Dividend			Buy	01/30/20	J		
162.					Sold	05/13/20	J		
163. VERIZON COMMUNICATIONS (VZ)	A	Dividend	K	T					
164. VIACOMCBS INC CL B (VIAC)	A	Dividend	J	T					
165. WABTEC (WAB)	A	Dividend			Sold	05/01/20	J		
166. WALT DISNEY CO (DIS)	A	Dividend			Sold	05/01/20	J	A	
167. ZOETIS INC (ZTS)	A	Dividend	J	T	Buy	04/28/20	J		
168. FIRST TRUST EMERGING MARKETS LOCAL CURRENCY BOND ETF (FEMB)	A	Dividend	J	T	Buy	04/17/20	J		
169. FIRST TRUST LOW DURATION OPPORTUNITIES ETF (LMBS)	A	Dividend	K	T	Buy	04/17/20	K		
170.					Sold (part)	07/07/20	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. FIRST TRUST TCW OPPORTUNISTIC FIXED INC ETF (FIXD)	B	Dividend	K	T	Buy	04/17/20	K		
172. FIRST TRUST ETF III PFD SECS & INC ETF (FPE)	A	Dividend	K	T	Buy	04/17/20	K		
173. FIRST TRUST IV ENHANCED SHORT MATURITY ETF (FTSM)	A	Dividend			Buy	04/17/20	K		
174.					Sold	05/01/20	K		
175. FIRST TRUST IV TACTICAL HIGH YIELD ETF (HYLS)	B	Dividend	K	T	Sold	03/10/20	J		
176.					Buy	04/17/20	J		
177.					Buy (add'l)	05/01/20	K		
178.					Sold (part)	07/07/20	J		
179. AB INCOME ADVISOR CL (ACGYX)	A	Dividend			Buy	03/10/20	K		
180.					Sold	04/17/20	K		
181. ISHARES 1-3 YR TREASURY BOND ETF (SHY)	A	Dividend			Sold	04/17/20	K	A	
182. ISHARES S&P US PREFERRED STOCK INDEX FUND (PFF)	A	Dividend			Sold	04/17/20	J		
183. ISHARES IBOXX \$ HIGH YIELD CORP BOND ETF (HYG)	A	Dividend			Sold	03/10/20	K		
184. ISHARES JPMORGAN USD EMERGING MARKETS BOND ETF (EMB)	A	Dividend			Sold	04/17/20	J		
185. SCHWAB US AGGREGATE BOND ETF (SCHZ)	A	Dividend			Sold (part)	03/10/20	J		
186.					Sold	04/17/20	K	C	
187. VANECK VECTORS HIGH YIELD MUN INDEX ETF NEW (HYD)	A	Dividend			Sold	04/17/20	K		

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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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)
188. FIRST TRUST SENIOR LOAN FUND ETF (FTSL)	A	Dividend	J	T	Buy	04/17/20	K		
189.					Sold (part)	05/01/20	K		
190. ISHARES IBOXX \$INVESTMENT GRADE CORP BOND ETF (LQD)	A	Dividend	K	T	Buy	05/01/20	K		
191.					Sold (part)	07/07/20	J		

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

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

ROYAL DUTCH SHELL PLC (RDSA) was Royal Dutch Shell PLC sponsored ADR Repstgn A common (RDS/A).

ISHARES TRUST ISHARES PREFERRED & INCOME SECS ETF (PFF) was ISHARES S&P US PREFERRED STOCK INDEX FUND (PFF).

FEDERATED HERMES INC (FHI) was FEDERATED INVS INC PA CL B (FII).

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Merz, Michael R.

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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/ **Michael R. Merz**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544