

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) Pratter, Gene E.	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 10613 United States Courthouse Sixth & Market Streets Philadelphia, PA 19106-1723		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee	Trust #1
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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. 2020	University of Pennsylvania Law School (Adjunct Professor)	\$10,000.00
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. 2020	Cohen, Placitella & Roth (Attorney)
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.	Committee On Rules Of Practice And Procedure	January 27-28, 2020	Phoenix, AZ	Standing Rules Committee Conference	Transportation, lodging, meals
2.	New York Bar Association	March 4-5, 2020	New York, NY	Presenter at 2020 Antitrust Symposium	Transportation, lodging
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.	Bank of America	Credit Card	J
2.	Bank of America	Credit Card	J
3.	Barclay's Bank	Credit Card	J
4.			
5.			

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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. Schwab Money Market Fund - Retirement #5	A	Dividend	J	T					
2. BlackRock Low Duration - Retirement #5	A	Dividend	K	T					
3. DFA Global Equity - Retirement #5	B	Dividend	L	T					
4. Schwab Money Market Fund - Retirement #6	A	Dividend	J	T					
5. BlackRock Low Duration - Retirement #6	A	Dividend	K	T					
6. DFA Global Equity - Retirement #6	B	Dividend	M	T					
7. DFA US Micro Cap - Retirement #7	A	Dividend			Sold (part)	01/10/20	J	A	
8. DFA US Micro Cap - Retirement #7		None			Sold	05/19/20	K	D	
9. DFA Emerging Markets Core Equity - Retirement #7	B	Dividend	M	T					
10. DFA International Small Value - Retirement #7	B	Dividend	L	T	Sold (part)	01/10/20	J	A	
11. DFA International Value - Retirement #7	C	Dividend	M	T					
12. DFA US Small Cap Value - Retirement #7		None			Sold (part)	01/10/20	J		
13. DFA US Small Cap Value - Retirement #7		None			Sold	03/25/20	K	A	
14. DFA US Large Cap Value - Retirement #7	D	Dividend	N	T	Sold (part)	01/10/20	K	A	
15. Dodge & Cox Stock - Retirement #7	E	Dividend	N	T					
16. First Eagle Overseas - Retirement #7	A	Dividend	M	T					
17. Hotchkis & Wiley Mid Value - Retirement #7		None			Sold	01/10/20	M	E	

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. Morgan Stanley International Equity - Retirement #7	B	Dividend	M	T					
19. Morgan Stanley Emerging Markets - Retirement #7	B	Dividend	M	T					
20. Royce Opportunity - Retirement #7		None	L	T					
21. Schwab Money Market Fund - Retirement #7	A	Dividend	L	T					
22. Westcore Mid Cap Value - Retirement #7		None			Sold (part)	01/10/20	J	B	
23. Westcore Mid Cap Value - Retirement #7		None			Sold	05/22/20	L	E	
24. William Blair Large Growth - Retirement #7	E	Dividend	N	T					
25. Metropolitan West Total Return - Retirement #7	E	Dividend	N	T	Buy (add'l)	01/10/20	K		
26. BlackRock Low Duration - Retirement #7	D	Dividend	N	T					
27. Ivy Mid Growth - Retirement #7	D	Dividend	M	T	Sold (part)	01/10/20	J	B	
28. DFA Global Real Estate - Retirement #7	B	Dividend	L	T	Sold (part)	01/10/20	J	B	
29. William Blair Small Growth - Retirement #7	D	Dividend	L	T	Sold (part)	01/10/20	J	A	
30. Morgan Stanley AIP - Retirement #7		None	L	T	Sold (part)	03/31/20	M	A	
31. Morgan Stanley AIP - Retirement #7		None			Sold (part)	06/30/20	K	A	
32. Morgan Stanley AIP - Retirement #7		None			Sold (part)	09/30/20	K	A	
33. DFA International Large Growth - Retirement #7	B	Dividend	M	T					
34. DFA Short Term Gov't - Retirement #7	B	Dividend	N	T	Buy (add'l)	01/10/20	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

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35. DFA Short Term Gov't - Retirement #7		None			Sold (part)	04/15/20	K	A	
36. DFA Short Term Gov't - Retirement #7		None			Sold (part)	09/10/20	K	A	
37. DFA US Small Growth - Retirement #7		None			Sold (part)	01/10/20	J		
38. DFA US Small Growth - Retirement #7		None			Sold	03/25/20	K	A	
39. DFA Intl Small Growth - Retirement #7	A	Dividend	L	T					
40. DFA Int Term Government Bond - Retirement #7	E	Dividend	N	T					
41. AQR Defensive Equity - Retirement #7	C	Dividend	N	T	Buy (add'l)	01/10/20	L		
42. DFA US Small Cap - Retirement #7	A	Dividend	L	T	Buy	05/19/20	K		
43. Invesco QQQ - Retirement #7	A	Dividend	M	T	Buy	03/25/20	L		
44. Invesco QQQ - Retirement #7		None			Buy (add'l)	03/26/20	J		
45. Invesco QQQ - Retirement #7		None			Buy (add'l)	04/15/20	K		
46. Ishares Russell Mid Cap Value - Retirement #7	B	Dividend	M	T	Buy	05/22/20	L		
47. JP Morgan Hedged Equity - Retirement #7	A	Dividend	M	T	Buy	06/30/20	M		
48. JP Morgan Hedged Equity - Retirement #7		None			Buy (add'l)	09/30/20	K		
49. JP Morgan Hedged Equity - Retirement #7		None			Buy (add'l)	12/31/20	K		
50. Schwab Money Market Fund - Trust #1	A	Dividend	J	T					
51. Dodge & Cox Stock - Trust #1	D	Dividend	L	T	Buy (add'l)	01/10/20	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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52. First Eagle Overseas - Trust #1	A	Dividend	K	T					
53. Hotchkis & Wiley Mid Cap Value - Trust #1		None			Sold	01/10/20	K	D	
54. Morgan Stanley International Equity - Trust #1	A	Dividend	K	T					
55. Royce Opportunity - Trust #1		None	K	T					
56. Westcore Mid Cap Value - Trust #1		None			Sold	05/22/20	K	C	
57. DFA Tax Managed Marketwide Value - Trust #1	B	Dividend	L	T					
58. DFA US Micro Cap - Trust #1	A	Dividend			Sold	05/19/20	K	A	
59. DFA Intl Small Cap Value - Trust #1	A	Dividend	K	T					
60. DFA Int'l Value - Trust #1	B	Dividend	K	T					
61. DFA US Small Value - Trust #1		None			Sold	03/25/20	J	B	
62. DFA Short Term Muni - Trust #1	A	Dividend	K	T	Sold (part)	04/15/20	J	A	
63. DFA Short Term Muni - Trust #1		None			Sold (part)	10/14/20	J	A	
64. Metropolitan West Total Return - Trust #1	B	Dividend	K	T	Buy (add'l)	01/10/20	J		
65. William Blair Small Cap Growth - Trust #1	C	Dividend	K	T					
66. DFA Global Real Estate - Trust #1	A	Dividend	K	T					
67. DFA Emerging Markets - Trust #1	B	Dividend	L	T					
68. DFA International Large Growth - Trust #1	A	Dividend	K	T					

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69. Ivy Mid Growth - Trust #1	C	Dividend	K	T					
70. William Blair Large Growth - Trust #1	C	Dividend	M	T					
71. Thornburg Limited Term Muni - Trust #1	A	Dividend	K	T					
72. DFA US Small Growth - Trust #1		None			Sold	03/25/20	J	A	
73. Invesco QQQ - Trust #1	A	Dividend	K	T	Buy	03/25/20	K		
74. Invesco QQQ - Trust #1		None			Buy (add'l)	03/26/20	J		
75. Invesco QQQ - Trust #1		None			Buy (add'l)	04/15/20	J		
76. AQR Defensive Equity - Trust #1	B	Dividend	L	T	Buy (add'l)	01/10/20	K		
77. DFA Intl Small Cap Growth - Trust #1	A	Dividend	K	T					
78. Ishares Russell Mid Cap Value - Trust #1	A	Dividend	K	T	Buy	05/22/20	K		
79. DFA Tax Mgd US Marketwide Value - Brokerage #1	B	Dividend	L	T	Sold (part)	09/29/20	J	A	
80. DFA US Small Value - Brokerage #1		None			Sold	03/25/20	J	B	
81. DFA Emerging Markets Core Equity - Brokerage #1	A	Dividend	K	T	Sold (part)	09/18/20	J	A	
82. DFA Emerging Markets Core Equity - Brokerage #1		None			Sold (part)	12/14/20	J	A	
83. DFA Tax Mgd International Value - Brokerage #1	A	Dividend	K	T	Buy (add'l)	04/03/20	J		
84. First Eagle Overseas - Brokerage #1	A	Dividend	K	T	Sold (part)	12/14/20	J	A	
85. Morgan Stanley International Equity - Brokerage #1	A	Dividend	K	T					

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86. Schwab Money Market Fund - Brokerage #1	A	Dividend	K	T					
87. Hotchkis & Wiley Mid Cap Value Brokerage #1		None			Sold	01/10/20	K	D	
88. William Blair Large Growth - Brokerage #1	B	Dividend	L	T	Sold (part)	01/10/20	J	A	
89. William Blair Large Growth - Brokerage #1		None			Sold (part)	06/09/20	J	B	
90. William Blair Large Growth - Brokerage #1		None			Sold (part)	08/21/20	J	C	
91. William Blair Small Cap Growth - Brokerage #1	A	Dividend	J	T					
92. Westcore Mid Cap Value - Brokerage #1		None			Sold	05/22/20	J	C	
93. DFA Int'l Small Value - Brokerage #1	A	Dividend	K	T	Sold (part)	12/14/20	J	A	
94. Metropolitan West Total Return - Brokerage #1	D	Dividend	L	T	Sold (part)	07/20/20	J	B	
95. Metropolitan West Total Return - Brokerage #1		None			Sold (part)	09/18/20	J	A	
96. Metropolitan West Total Return - Brokerage #1		None			Sold (part)	09/29/20	J	A	
97. Thornburg Limitd Term Municipal - Brokerage #1	B	Dividend	M	T	Sold (part)	10/30/20	J	A	
98. DFA Global Real Estate - Brokerage #1	A	Dividend	J	T					
99. Dodge & Cox Stock - Brokerage #1	A	Dividend			Sold	04/03/20	K	A	
100. Royce Opportunity - Brokerage #1		None	J	T	Sold (part)	09/18/20	J	A	
101. DFA US Micro Cap - Brokerage #1	A	Dividend			Sold	05/19/20	J	B	
102. DFA Int'l Large Growth - Brokerage #1	A	Dividend	K	T					

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. Ivy Mid Growth - Brokerage #1	B	Dividend	K	T	Sold (part)	06/9/20	J	B	
104. Ivy Mid Growth - Brokerage #1		None			Buy (add'l)	08/12/20	J		
105. Ivy Mid Growth - Brokerage #1		None			Sold (part)	09/29/20	J	B	
106. DFA Short Term Muni - Brokerage #1	A	Dividend			Sold (part)	09/29/20	J	A	
107. DFA Short Term Muni - Brokerage #1		None			Sold	10/01/20	L	A	
108. DFA Intl Small Growth - Brokerage #1	A	Dividend	J	T					
109. AQR Defensive Equity - Brokerage #1	A	Dividend	L	T	Buy (add'l)	01/10/20	J		
110. AQR Defensive Equity - Brokerage #1		None			Sold (part)	08/21/20	J	A	
111. AQR Defensive Equity - Brokerage #1		None			Sold (part)	09/29/20	J	A	
112. DFA International Value - Brokerage #1		None			Sold	04/03/20	K	A	
113. DFA US Small Cap Growth - Brokerage #1		None			Sold	03/25/20	J	A	
114. Invesco QQQ - Brokerage #1	A	Dividend	K	T	Buy	03/25/20	J		
115. Invesco QQQ - Brokerage #1		None			Buy (add'l)	03/26/20	J		
116. Ishares Russell Mid Cap Value - Brokerage #1	A	Dividend	K	T	Buy	05/22/20	J		
117. Ishares Russell 1000 - Brokerage #1	A	Dividend	L	T	Buy	03/03/20	K		
118. DFA US Small Cap - Brokerage #1	A	Dividend	J	T	Buy	05/19/20	J		
119. DFA Emerging Markets Core Equity - Retirement #8	B	Dividend	M	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pratter, Gene E.

Date of Report

05/05/2021

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)
120. DFA International Value - Retirement #8	C	Dividend	M	T	Sold (part)	01/10/20	K	A	
121. DFA US Large Value - Retirement #8	D	Dividend	N	T	Buy (add'l)	01/10/20	L		
122. DFA US Small Value - Retirement #8		None			Sold (part)	01/10/20	J	A	
123. DFA US Small Value - Retirement #8		None			Sold	03/25/20	K	A	
124. DFA US Micro Cap - Retirement #8	A	Dividend			Sold (part)	01/10/20	J	A	
125. DFA US Micro Cap - Retirement #8		None			Sold	05/19/20	K	C	
126. Dodge & Cox Stock - Retirement #8	E	Dividend	N	T					
127. DFA Int'l Small Cap Value - Retirement #8	B	Dividend	L	T	Sold (part)	01/10/20	J	A	
128. First Eagle Overseas - Retirement #8	A	Dividend	M	T					
129. Hotchkis & Wiley Mid Cap Value - Retirement #8		None			Sold	01/10/20	L	E	
130. Morgan Stanley Emerging Markets - Retirement #8	B	Dividend	M	T					
131. Morgan Stanley International Equity - Retirement #8	B	Dividend	M	T	Sold (part)	01/10/20	J	A	
132. Royce Opportunity - Retirement #8		None	L	T	Sold (part)	01/10/20	J	A	
133. Schwab Money Market Fund - Retirement #8	A	Dividend	L	T					
134. Westcore Mid Cap Value - Retirement #8		None			Sold (part)	01/10/20	J	B	
135. Westcore Mid Cap Value - Retirement #8		None			Sold	05/22/20	L	D	
136. William Blair Large Cap Growth - Retirement #8	D	Dividend	N	T					

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

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Name of Person Reporting

Pratter, Gene E.

Date of Report

05/05/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. BlackRock Low Duration - Retirement #8	D	Dividend	N	T					
138. Metropolitan West Total Return - Retirement #8	E	Dividend	N	T	Buy (add'l)	01/10/20	K		
139. William Blair Small Growth - Retirement #8	D	Dividend	L	T	Sold (part)	01/10/20	J	A	
140. Ivy Mid Growth - Retirement #8	D	Dividend	M	T	Sold (part)	01/10/20	J	B	
141. DFA Global Real Estate - Retirement #8	B	Dividend	L	T	Sold (part)	01/10/20	J	B	
142. Morgan Stanley AIP - Retirement #8		None	K	T	Sold (part)	03/31/20	L	A	
143. Morgan Stanley AIP - Retirement #8		None			Sold (part)	06/30/20	K	A	
144. Morgan Stanley AIP - Retirement #8		None			Sold (part)	09/30/20	K	A	
145. DFA International Large Growth - Retirement #8	B	Dividend	M	T					
146. DFA Short Term Govt - Retirement #8	A	Dividend	N	T	Sold (part)	04/15/20	K	A	
147. DFA US Small Growth - Retirement #8		None			Sold	03/25/20	K	A	
148. DFA Intl Small Growth - Retirement #8	A	Dividend	K	T					
149. AQR Defensive Equity - Retirement #8	C	Dividend	N	T	Buy (add'l)	01/10/20	L		
150. DFA Int Term Governement Bond - Retirement #8	D	Dividend	N	T	Buy (add'l)	01/10/20	K		
151. DFA US Small Cap - Retirement #8	A	Dividend	L	T	Buy	05/19/20	K		
152. Invesco QQQ - Retirement #8	A	Dividend	M	T	Buy	03/25/20	L		
153. Invesco QQQ - Retirement #8		None			Buy (add'l)	03/26/20	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	

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. Invesco QQQ - Retirement #8		None			Buy (add'l)	04/15/20	K		
155. iShares Russell Mid Cap Value - Retirement #8	A	Dividend	L	T	Buy	05/22/20	L		
156. JP Morgan Hedged Equity - Retirement #8	A	Dividend	M	T	Buy	03/31/20	L		
157. JP Morgan Hedged Equity - Retirement #8		None			Buy (add'l)	06/30/20	K		
158. JP Morgan Hedged Equity - Retirement #8		None			Buy (add'l)	12/31/20	K		
159. Equitable Variable Life - Alliance Common Stock		None	M	T					
160. Equitable Variable Life - Alliance International		None	K	T					
161. PNC Bank Account	A	Interest	J	T					
162. Nantucket Bank Account	A	Interest	J	T					
163. First Trust Bank Account	A	Interest	K	T					
164. 401K Plan - John Hancock Balanced	A	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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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

Pratter, Gene E.

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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/ **Gene E. Pratter**

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