

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Pappert, Gerald J.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 09/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge--Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2015 to 12/31/2015
	5b. ☒ Amended Report	
7. Chambers or Office Address U.S. Courthouse 601 Market St., Room 5614 Philadelphia, PA 19106		
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. General Partner	Marza, L.P.
2. Trustee	Trust No. 1
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. 2001	Pennsylvania State Employees' Retirement System Defined Benefit Pension Plan
2.	
3.	

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Pappert, Gerald J.	09/08/2016

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	Pennsylvania State Retirement Benefits	\$8,430.52
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.)

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

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

NONE (No reportable reimbursements.)

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

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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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. Barclays Commodity IPATH ETN		None	K	U	Buy	12/29/15	K		
2. Boone Cty, KY School District Bonds		None	M	U	Buy	06/25/15	M		
3. Brandes Emerging Markets Fund	A	Interest			Buy	01/13/15	K		
4.					Sold	01/13/15	J	A	
5.					Sold	02/18/15	J	A	
6.					Sold	02/18/15	K	A	
7. Buffalo, NY Bonds	A	Interest	J	T					
8. Calamos Market Neutral Class A	B	Dividend	J	T	Buy (add'l)	08/13/15	K		
9.					Buy (add'l)	12/24/15	K		
10.					Buy (add'l)	07/22/15	J		
11. Calamos Market Neutral Income Fund	A	Dividend	J	T	Buy (add'l)	04/16/15	J		
12.					Buy (add'l)	08/16/15	J		
13.					Buy (add'l)	01/22/15	J		
14. Central Greene PA School District Bonds	B	Interest	J	T	Buy	12/29/15	M		
15. Dansville NY School District Bonds	A	Interest			Sold	06/16/15	K		
16. Discover Bank Greenwood Del. CD	A	Interest	J	T					
17. East Penn Area PA School District Bonds	A	Interest			Redeemed	05/15/15	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
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

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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)
18. Elk County PA Industrial Development Authority Bonds	A	Interest	J	T					
19. Europacific Growth Fund F1	A	Dividend	J	T	Buy	01/14/15	J		
20.					Buy	05/18/15	J		
21.					Buy	02/17/15	J		
22.					Buy	11/03/15	J		
23. Europacific Growth Fund F2	E	Dividend	J	T					
24. Federal Farm Credit Bank	B	Interest			Redeemed	03/25/15	K		
25. Fidelity Floating Rate High Income Fund	D	Dividend	M	T	Buy	02/03/15	M		
26.					Sold (part)	09/09/15	J	A	
27.					Sold	01/06/15	J	A	
28.					Sold (part)	11/12/15	J	A	
29.					Sold (part)	02/03/15	J	A	
30.					Sold (part)	09/09/15	J	A	
31.					Sold (part)	11/12/15	K	A	
32. Fidelity Information Tech Index Fund	A	Dividend	M	T	Buy	06/12/15	J		
33. Fidelity MSCI Consumer Discretionary Fund	A	Dividend	M	T	Buy	06/12/15	J		
34.					Buy	06/17/15	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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☐ 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)
35. Fidelity MSCI Energy Index Fund	A	Dividend	M	T	Buy	10/29/15	L		
36. Fidelity MSCI Financials Index Fund	A	Dividend	M	T	Buy	11/16/15	J		
37.					Buy	07/31/15	J		
38.					Buy	07/31/15	J		
39. Fidelity MSCI Health Care Index Fund	A	Dividend	M	T	Buy	06/15/15	J		
40. Fidelity Municipal Money Market	A	Dividend	M	T					
41. Fidelity Total Bond Fund	A	Dividend	J	T	Buy	01/07/15	J		
42.					Buy (add'l)	10/29/15	J		
43. Fidelity Treasury Money Market	A	Interest	K	T					
44. Gates-Chili NY Central School District Bonds	A	Interest	M	T					
45. Gateway Fund Class A	A	Dividend	M	T	Sold	01/21/15	J	A	
46. Gateway Fund Class Y	A	Dividend	M	T					
47. Goldman Sachs NY CD	A	Interest	M	T	Buy	04/08/15	K		
48. Greater Johnstown, PA School District Bonds	B	Interest	P1	T					
49. Greenfield, MA Bonds	A	Interest	N	T					
50. Harbor Creek, PA School District Bonds	A	Interest	K	T					
51. Highland LongShort Equity Fund A	A	Dividend	N	T	Buy (add'l)	04/15/15	J		

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

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)
52.					Buy (add'l)	08/14/15	J		
53.					Buy (add'l)	01/23/15	J		
54.					Buy	06/10/15	J		
55.					Buy (add'l)	10/30/15	J		
56. Highland LongShort Equity Fund Z	A	Dividend	L	T	Buy (add'l)	12/24/15	K		
57.					Buy (add'l)	07/22/15	J		
58. iShares 1-3 Year Treasury Bonds					Sold	01/07/15	J	A	
59. iShares Core MSCI EAFE Exchange Traded Fund	A	Dividend	M	T	Buy	11/05/15	M		
60.					Buy	03/16/15	L		
61.					Buy	05/19/15	K		
62.					Buy	02/05/15	J		
63.					Buy	05/08/15	J		
64.					Buy	03/16/15	J		
65.					Buy	05/13/15	J		
66.					Buy	04/30/15	J		
67.					Buy	05/14/15	J		
68.					Buy	10/28/15	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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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)
69.					Buy	10/21/15	J		
70.					Sold	01/14/15	J	A	
71.					Sold	01/14/15	J	A	
72.					Sold (part)	09/28/15	J	A	
73.					Sold (part)	09/28/15	K	A	
74.					Sold (part)	09/28/15	L	A	
75.					Sold (part)	09/28/15	L	A	
76. iShares Core S&P 500 Exchange Traded Fund	G	Dividend	N	T	Sold (part)	08/17/15	J	B	
77.					Sold (part)	03/20/15	J	B	
78.					Sold (part)	04/09/15	J	B	
79. iShares Core US AGG Bond Exchange Traded Fund	A	Dividend	J	T	Buy	04/30/15	J		
80.					Buy (add'l)	05/13/15	J		
81.					Sold (part)	01/07/15	J	A	
82.					Sold (part)	01/07/15	J	A	
83.					Sold (part)	01/07/15	J	A	
84.					Sold (part)	01/07/15	J	A	
85.					Sold (part)	10/21/15	J	A	

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)
86.					Sold (part)	10/21/15	J	A	
87. iShares Core MSCI Emerging Markets	A	Dividend	N	T	Buy (add'l)	11/05/15	L		
88.					Buy	02/20/15	K		
89.					Buy (add'l)	02/20/15	J		
90.					Buy (add'l)	05/19/15	J		
91.					Buy (add'l)	04/10/15	J		
92.					Buy (add'l)	05/21/15	J		
93.					Buy (add'l)	04/30/15	J		
94.					Sold (part)	09/16/15	J	A	
95.					Sold (part)	09/17/15	J	A	
96.					Sold (part)	09/17/15	J	A	
97.					Sold (part)	09/17/15	K	A	
98. iShares Core S&P 500 Index Fund	G	Dividend			Sold	08/17/15	J	A	
99. iShares Core S&P Mid-Cap	G	Dividend			Sold	05/20/15	J	A	
100.					Sold (part)	06/15/15	J	A	
101. iShares Core S&P Small-Cap	A	Dividend	M	T	Buy (add'l)	03/10/15	J		
102.					Sold (part)	06/16/15	J	A	

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(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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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)
103.					Sold (part)	08/19/15	J	A	
104. iShares MSCI USA Minimum Volatility Exchange Traded Fund	A	Dividend			Buy (add'l)	09/17/15	K		
105.					Buy	02/10/15	J		
106.					Sold (part)	05/11/15	J	A	
107.					Sold	06/11/15	J	A	
108.					Sold	05/19/15	K	A	
109. iShares MSCI EM MKT MIN VOL	A	Dividend			Sold	01/14/15	K		
110.					Sold	11/05/15	L		
111. iShares U.S. Technology Fund	E	Dividend	M	T					
112. iShares Mid-Cap 400 Growth Fund	D	Dividend	N	T	Buy	07/22/15	K		
113.					Buy	07/22/15	J		
114.					Buy (add'l)	08/19/15	J		
115.					Buy (add'l)	10/21/15	J		
116.					Buy (add'l)	09/23/15	J		
117. iShares Russell 2000 Index Fund	F	Dividend	K	T					
118. iShares S&P Small-Cap 600 Growth Fund	C	Dividend	N	T	Buy (add'l)	03/10/15	J		
119.					Buy (add'l)	07/24/15	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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☐ 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. iShares Short Term National Municipal Bond ETF	A	Dividend	M	T	Buy (add'l)	04/13/15	L		
121.					Buy (add'l)	12/22/15	K		
122.					Buy	03/30/15	K		
123.					Buy (add'l)	06/25/15	J		
124.					Sold	08/17/15	J		
125.					Sold (part)	10/28/15	J	A	
126.					Sold (part)	01/29/15	J	A	
127.					Sold (part)	08/17/15	K	A	
128.					Sold (part)	05/07/15	K	A	
129.					Sold (part)	10/28/15	L	A	
130.					Sold (part)	02/05/15	M	B	
131.					Sold (part)	02/05/15	M	A	
132. iShares TR EAFE MIN VOL ETF	B	Dividend			Sold	11/05/15	L	B	
133. JP Morgan MLP Exchange Traded Note	A	Dividend			Sold (part)	06/30/15	J	A	
134. JP Morgan MLP Exchange Traded Note	A	Dividend			Sold (part)	03/20/15	J	A	
135. JP Morgan MLP Exchange Traded Note	B	Dividend			Sold (part)	04/13/15	J	B	
136.					Sold (part)	04/13/15	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		

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

09/08/2016

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.					Sold	04/13/15	J	A	
138.					Sold	07/24/15	K	A	
139.					Sold (part)	06/30/15	K	B	
140.					Sold	04/13/15	K	D	
141. Jackson County, MO School District Bonds	B	Interest	N	T					
142. Janus Triton Fund	D	Dividend	K	T					
143. Mainstay Marketfield Fund	A	Dividend	K	T					
144.					Sold	01/21/15	J	A	
145.					Sold	08/11/15	J	A	
146.					Sold (part)	02/04/15	J	A	
147.					Sold (part)	07/17/15	J	A	
148.					Sold (part)	08/11/15	K	B	
149.					Sold (part)	07/17/15	K	C	
150.					Sold (part)	02/04/15	L	D	
151.					Sold (part)	12/24/15	L	B	
152. Merger Fund	A	Dividend	N	T	Buy (add'l)	01/26/15	J		
153.					Sold (part)	09/10/15	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		

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

09/08/2016

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.					Sold (part)	09/10/15	J	A	
155.					Sold (part)	03/04/15	J	A	
156.					Sold (part)	02/05/15	J	A	
157.					Sold (part)	09/10/15	J	A	
158.					Sold (part)	03/04/15	K	A	
159.					Sold (part)	02/05/15	K	A	
160. Morris Twp, NJ Municipal Bonds	A	Interest	M	T					
161. PA State College Revenue Bonds	A	Interest	J	T					
162. Pacific Life Indexed Accumulation	A	Interest	K	W					
163. Pacira Pharmaceuticals, Inc.	A	Dividend	J	T					
164. Panther Valley PA School District Bonds	A	Dividend			Redeemed	12/18/15	K		
165. Phelps-Clifton Springs, NY Central School District Bonds	C	Interest	J	T					
166. Pike County, KY School District Bonds	C	Interest	J	T					
167. Ringwood, NJ Board of Education Bonds	B	Interest	J	T					
168. Romeo, MI Community School District Bonds	B	Interest	K	T					
169. Shenango PA Municipal Bonds	A	Dividend			Redeemed	11/15/15	L		
170. Spartan US Equity Index Fund	D	Dividend	K	T	Sold	04/13/15	J	A	

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

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Name of Person Reporting

Pappert, Gerald J.

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) 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. PA State Public School Building Authority Bonds	A	Interest	J	T					
172. Swatara TWP, PA Bonds	A	Interest	K	T					
173. Templeton Global Bond Fund	A	Dividend	K	T	Buy	02/03/15	M		
174.					Sold (part)	09/15/15	K	A	
175. Templeton Global Bond Class A	D	Dividend	M	T	Sold	01/06/15	J	A	
176.					Sold (part)	09/15/15	J	A	
177. Tortoise MLP & Pipeline Investor Class Fund	A	Dividend	K	T	Buy (add'l)	04/10/15	J		
178.					Buy (add'l)	04/10/15	J		
179.					Sold (part)	07/28/15	J	A	
180.					Sold (part)	07/16/15	J	A	
181.					Sold (part)	08/07/15	J	A	
182.					Sold (part)	08/06/15	J	A	
183.					Sold	10/07/15	L	A	
184. University of Northern Iowa Bonds	A	Interest	K	T					
185. Utah State Building Ownership Authority Bonds	A	Interest	J	T					
186. Vanguard Total Stock Market Fund	E	Dividend	J	T					
187. American Funds Washington Mutual Investors Fund	G	Dividend	K	T	Sold	06/26/15	K	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	
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3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting

Pappert, Gerald J.

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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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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. Wasatch Long/Short Fund	A	Dividend			Sold	01/21/15	J	A	
189.					Sold	03/03/15	J	A	
190.					Sold	03/03/15	L	A	
191. Wauwatosa, WI Municipal Bonds	B	Interest	J	T					
192. Wells Fargo Premier Large Company Growth Fund	E	Dividend	J	T	Sold	01/21/15	J	A	
193.					Sold (part)	05/12/15	J	A	
194.					Sold	05/19/15	J	B	
195.					Sold (part)	04/02/15	J	A	
196. Williamsport Sanitary Authority Bonds	A	Interest	J	T					
197. Wilshire 5000 Index Fund	A	Dividend	J	T	Buy	01/21/15	J		
198.					Buy (add'l)	05/18/15	J		
199.					Buy (add'l)	10/26/15	J		
200. Fidelity Cash Reserves	A	Interest	K	T					
201. FLBeach,OC, LLC	A	Interest	L	S					Abundance Wealth Counselor
202. Glaxo SmithKline Capital plc Note	A	Interest	K	T					
203. IBM Corp. Note	A	Interest	M	T					
204. Intel Corp. Note	A	Interest	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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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

Pappert, Gerald J.

Date of Report

09/08/2016

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)
205. Merck & Co. Note	A	Interest	L	T					
206. Altoona NPPE, LP	A	Distribution	M	S	Buy	10/28/15	M		AWC
207. PIMCO Commodities Plus Strategy Fund	A	Dividend	J	T	Buy	01/07/15	L		
208.					Buy (add'l)	05/15/15	J		
209.					Buy (add'l)	04/28/15	J		
210.					Sold (part)	08/10/15	J	A	
211.					Sold	12/24/15	K	A	
212. Urban Storage Fund, LP		None	N	S					AWC
213. Village of Canterbury, LP		None	M	S					AWC
214. PAC Life Life Insurance									
215. -Fixed Account	C	Interest	J	T					
216. -1year Index Fund S & P 500	A	Interest	J	T					
217. -1 year International INDEX Fund Euro Stock 500	A	Interest	K	T					
218. Washington Mutual INV FDF2					Sold	06/26/15	K		
219. Whitesboro NY School District Bonds					Sold	06/16/15	M		

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	Date of Report
Pappert, Gerald J.	09/08/2016

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

Trust No. 1, listed in Section 1 of this Report, is an unfunded trust.
Line 201 FL Beach Purchased 8/1/14 \$50,000.00
Line 206 Altonna NPPE Purchased 10/28/15 \$100,000.00

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

09/08/2016

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/ Gerald J. Pappert**

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