

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

|                                                                                                                                                                                     |                                                                                                                                                                                                                                        |                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Block, Frederic                                                                                                | <b>2. Court or Organization</b><br><br>U.S. District Court                                                                                                                                                                             | <b>3. Date of Report</b><br><br>03/22/2019                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge                                     | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
|                                                                                                                                                                                     | <b>5b.</b> <input checked="" type="checkbox"/> Amended Report                                                                                                                                                                          |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>225 Cadman Plaza E.<br>Eastern District Court of NY<br>Brooklyn, NY 11201                                                               |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. |                                                                                                                                                                                                                                        |                                                                  |

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|            |                      |
|------------|----------------------|
| 1. Officer | Frederic Block, P.C. |
| 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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Name of Person Reporting

Block, Frederic

Date of Report

03/22/2019

**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><br>(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. 2017     | SELF-EMPLOYED - OWNER OF CONSTRUCTION COMPANY |
| 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. | Bar Group, Bar Organization, or Bar Association (Private) | 02/14/2017 to 02/17/2017 | Salem OR        | Non-FJC educational seminar or program | Travel 4.0 Business Days      |
| 2. | Bar Group, Bar Organization, or Bar Association (Private) | 06/28/2017 to 06/30/2017 | Tampa FL        | Non-FJC educational seminar or program | Travel 3.0 Business Days      |
| 3. |                                                           |                          |                 |                                        |                               |
| 4. |                                                           |                          |                 |                                        |                               |
| 5. |                                                           |                          |                 |                                        |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Block, Frederic          | 03/22/2019     |

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

Block, Frederic

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. BLACKROCK NY MUNI INC.                                                                                                   | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. BLACKROCK MUNIYIELD NY QLT                                                                                               | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. CALAMOS STRAT TOT RETURN FD                                                                                              | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. EATON VANCE TX-AD GL DIV<br>GLOBAL DIV INC FD                                                                            | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. EATON VANCE TAX DIV INC DIV INC<br>FD                                                                                    | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. EATON VANCE ENH INC FD II                                                                                                | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. ML BANK BANK DEPOSIT PRGM(FIA<br>CARD SERVICES) NA ACCOUNT                                                               | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. GUGGENHEIM RUSSEL TO 50 EFT                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. INVESTCO SENIOR INC TRUST                                                                                                | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/15/17                | K                               | A                              |                                                                   |
| 10. ISHARES US CONSUMER GOODS ETF                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. NUVEEN NY DIV ADV MUNI New Name<br>NUVEEN NY QUALITY MUNI INC FD                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. POWERSHARES QQQ TRUST SE 1                                                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. POWERSHARES PREFERRED<br>PORTFOLIO                                                                                      | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. POWERSHARES EXCHANGE TRADED<br>FD TR II S7P 500                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. POWERSHARES VARIABLE RAT PREF<br>PORTFOLIO                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. ALLIANZGI NFJ DIV INT PREM STRAT<br>AND PREM STRAT FD                                                                   | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. IRA - F. BLOCK                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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Date of Report

03/22/2019

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. ALLIANCEBERNSTEIN GLOBAL HIGH                                                                                           | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. BLACKROCK INTL GROWTH & INCOME TR                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. BLACKROCK INTL GROWTH & INCOME TR                                                                                       |                                         | None                                          |                                                 |                                           | Sold (part)                                     | 09/21/17                | K                               | C                              |                                                                   |
| 21. CALMOS STRAT TOT RET RETURN FD                                                                                          | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. COHEN AND STEERS QUALITY INC REALTY FD INC                                                                              | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. EATON VANCE TAX DIV INC DIV INC FD                                                                                      | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. EATON VANCE TX-AD GL DIV GL DIV INC FD                                                                                  | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. EATON VANCE ENH INC FD II                                                                                               | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. FIRST TR SR FL II SR FLOAT RATE INC FD 11                                                                               | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. GABELLI DIV & INC TR INC TR                                                                                             | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. BANK OF AMERICA NA RASP ACCOUNT ( FIA CARD SERVICES NA RASP)                                                            | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. MORGAN STANLEY EMERGING MARK                                                                                            | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. ALLIANZGI NFJ DIVID INT &PR(NFJ DIV INT PREM STRAT AND PREMIUM STRAT)                                                   | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. WESTERN ASSET HIGH INC OPPT FD                                                                                          | C                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/15/17                | K                               | A                              |                                                                   |
| 32. BANK OF AMERICA NA RASP ACCOUNT                                                                                         | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. APPLE INC. (1)                                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/20/17                | J                               | C                              |                                                                   |

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

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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.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 34. FACEBOOK INC CLASS A COMM(1)                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 10/19/17                | K                               | D                              |                                                                   |
| 35. BANK OF SMITHTOWN                                                                                                       | A                                       | Interest                                      | J                                               | T                                         | Closed                                          | 01/03/17                | J                               |                                |                                                                   |
| 36. IRA-F. BLOCK (2)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 37. POWERSHARES DWA CONSUMER                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/04/17                | J                               |                                |                                                                   |
| 38. POWERSHARES DWA CONSUMER                                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 01/24/17                | J                               |                                |                                                                   |
| 39. MATERIALS SELECT SECTOR                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 40. MATERIALS SELECT SECTOR                                                                                                 |                                         |                                               |                                                 |                                           | Sold                                            | 01/23/17                | J                               | A                              |                                                                   |
| 41. ENBRIDGE INC                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 42. ENBRIDGE INC                                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 06/13/17                | J                               | A                              |                                                                   |
| 43. GENERAL ELECTRIC                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 44. GENERAL ELECTRIC                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 45. GENERAL ELECTRIC                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/14/17                | J                               |                                |                                                                   |
| 46. GENERAL ELECTRIC                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/31/17                | J                               | A                              |                                                                   |
| 47. ISHARES US INDUSTRIALS                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 02/28/17                | K                               | C                              |                                                                   |
| 48. ISHARES US INDUSTRIALS                                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 03/21/17                | K                               | C                              |                                                                   |
| 49. ISHARES US REAL ESTATE                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 02/28/17                | K                               | A                              |                                                                   |
| 50. ISHARES US REAL ESTATE                                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 03/21/17                | K                               | A                              |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 51. ISHARES US UTILITIES                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 02/28/17                | J                               | A                              |                                                                   |
| 52. ISHARES US UTILITIES                                                                                                    |                                         |                                               |                                                 |                                           | Sold                                            | 03/21/17                | J                               | A                              |                                                                   |
| 53. MATERIALS SELECT SECTOR                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 54. MATERIALS SELECT SECTOR                                                                                                 |                                         |                                               |                                                 |                                           | Sold                                            | 03/21/17                | J                               | A                              |                                                                   |
| 55. CONSUMER DISCRETIONARY                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 56. CONSUMER DISCRETIONARY                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/23/17                | J                               | A                              |                                                                   |
| 57. CONSUMER DISCRETIONARY                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/21/17                | J                               | A                              |                                                                   |
| 58. CONSUMER DISCRETIONARY                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/17/17                | J                               | A                              |                                                                   |
| 59. CONSUMER DISCRETIONARY                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 60. CONSUMER DISCRETIONARY SPDR                                                                                             |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/05/17                | J                               | A                              |                                                                   |
| 61. BANK OF AMERICA NA RASP                                                                                                 | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. AMN ELEC POWER CO                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 63. AMN ELEC POWER CO                                                                                                       |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 64. ASTRAZENECA PLC SPND                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 65. ASTRAZENECA PLC SPND                                                                                                    |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 66. AT&T INC                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 67. AT&T INC                                                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |

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

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Name of Person Reporting

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Date of Report

03/22/2019

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 68. BB&T CORP                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/30/17                | J                               |                                |                                                                   |
| 69. BB&T                                                                                                                    |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/08/17                | J                               |                                |                                                                   |
| 70. CARNIVAL CORP PAIRED                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 71. CARNIVAL CORP PAIRED SHS                                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/18/17                | J                               | A                              |                                                                   |
| 72. CARNIVAL CORP PAIRED SHS                                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 73. CARNIVAL CORP PAIRED                                                                                                    |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/15/17                | J                               |                                |                                                                   |
| 74. CISCO SYSTEMS INC                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/27/17                | J                               |                                |                                                                   |
| 75. CME GROUP INC                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 76. CME GROUP INC                                                                                                           |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/13/17                | J                               |                                |                                                                   |
| 77. CME GROUP INC                                                                                                           |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 78. COCA COLA COM                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 79. COCA COLA COM                                                                                                           |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 80. DIGITAL RLTY TR INC                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 81. DOMINION ENERGY INC                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 82. DOMINION ENERGY INC                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 83. EMERSON ELEC CO                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/13/17                | J                               |                                |                                                                   |
| 84. GENERAL MOTORS CO                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/11/17                | J                               |                                |                                                                   |

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

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Name of Person Reporting

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03/22/2019

## 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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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 85. GENERAL MOTORS CO                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/24/17                | J                               |                                |                                                                   |
| 86. HSBC HLDG PLC                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 12/26/17                | J                               |                                |                                                                   |
| 87. INTEL CORP                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 88. INTEL CORP                                                                                                              |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 89. INTEL CORP                                                                                                              |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 09/25/17                | J                               | A                              |                                                                   |
| 90. INTL BUSINESS MACHINES                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/12/17                | J                               |                                |                                                                   |
| 91. INTL BUSINESS MACHINES                                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/13/17                | J                               |                                |                                                                   |
| 92. INTL BUSINESS MACHINES                                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/14/17                | J                               |                                |                                                                   |
| 93. JP MORGAN CHASE CO                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 94. JP MORGAN CHASE CO                                                                                                      |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 95. KIMBERLY CLARK                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 96. KIMBERLY CLARK                                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 97. KRAFT HEINZ CO                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 98. KRAFT HEINZ CO                                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/08/17                | J                               | A                              |                                                                   |
| 99. LOCKHEED MARTIN CORP                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 100. LOCKHEED MARTIN CORP                                                                                                   |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 101. MCDONALDS CORP                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |

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

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Name of Person Reporting

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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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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                        | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |                                                            |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------|-------------------------------------------------|------------------------------------|--------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                    | (1)                                             | (2)                                | (1)                                        | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 102. MCDONALDS CORP                                                                                                         |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 103. MCDONALDS CORP                                                                                                         |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 11/09/17         | J                        | A                       |                                                            |
| 104. METLIFE INC                                                                                                            | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/21/17         | J                        |                         |                                                            |
| 105. METLIFE INC                                                                                                            |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 106. METLIFE INC                                                                                                            |                                         |                                        |                                                 |                                    | Buy<br>(add'l)                             | 08/14/17         | J                        |                         |                                                            |
| 107. OCCIDENTAL PETE CORP CAL                                                                                               | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/21/17         | J                        |                         |                                                            |
| 108. OCCIDENTAL PETE CORP CAL                                                                                               |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 06/08/17         | J                        | A                       |                                                            |
| 109. OCCIDENTAL PETE CORP                                                                                                   |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 110. PACCAR INC                                                                                                             | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/21/17         | J                        |                         |                                                            |
| 111. PACCAR INC                                                                                                             |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 112. PACCAR INC                                                                                                             |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 10/19/17         | J                        | A                       |                                                            |
| 113. PFIZER INC                                                                                                             | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/24/17         | J                        |                         |                                                            |
| 114. PFIZER INC                                                                                                             |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 115. PHILLIP MORRIS INTL                                                                                                    | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/24/17         | J                        |                         |                                                            |
| 116. PHILLIP MORRIS INTL INC                                                                                                |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 04/18/17         | J                        | A                       |                                                            |
| 117. PHILIP MORRIS INTL INC                                                                                                 |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 118. PPL CORPORATION                                                                                                        | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/24/17         | J                        |                         |                                                            |

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

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Name of Person Reporting

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 119. PPL CORPORATION                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/27/17                | J                               | A                              |                                                                   |
| 120. PROCTER GAMBLE CO                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 121. PROCTER GAMBLE CO                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/24/17                | J                               |                                |                                                                   |
| 122. ROYAL DUTCH SHEL PLC                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/24/17                | J                               |                                |                                                                   |
| 123. ROYAL DUTCH SHELL PLC                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 124. TEXAS INSTRUMENTS                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 12/15/17                | J                               |                                |                                                                   |
| 125. TORONTO DOMINION BANK                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 126. TORONTO DOMINION BANK                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 127. TRANSCANADA CORP                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/13/17                | J                               |                                |                                                                   |
| 128. TRANSCANADA CORP                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/23/17                | J                               |                                |                                                                   |
| 129. TRANSCANADA CORP                                                                                                       |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 130. UNITED TECHS CORP                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/01/17                | J                               |                                |                                                                   |
| 131. VENTAS INC                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/21/17                | J                               |                                |                                                                   |
| 132. VENTAS INC                                                                                                             |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 133. VERIZON COMMUNICATIONS COM                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/21/17                | J                               |                                |                                                                   |
| 134. VERIZON COMMUNICATIONS COM                                                                                             |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/21/17                | J                               |                                |                                                                   |
| 135. VERIZON COMMUNICATIONS COM                                                                                             |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/09/17                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Block, Frederic

Date of Report

03/22/2019

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 136. VODAFONE GROUP PLC                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/13/17                | J                               |                                |                                                                   |
| 137. VODAFONE GROUP PLC                                                                                                     |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/21/17                | J                               |                                |                                                                   |
| 138. HEALTH CARE SELECT SPDR                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 139. HEALTH CARE SELECT SPDR                                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/21/17                | J                               | A                              |                                                                   |
| 140. HEALTH CARE SELECT SPDR                                                                                                |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/05/17                | J                               | A                              |                                                                   |
| 141. ISHARES NASDAQ BIOTECH ETF                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 12/01/17                | J                               |                                |                                                                   |
| 142. ISHARES MSCI EAFE                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 143. ISHARES MSCI EAFE                                                                                                      |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/21/17                | J                               | A                              |                                                                   |
| 144. ISHARES MSCI EAFE                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/22/17                | J                               |                                |                                                                   |
| 145. ISHARES MSCI EAFE                                                                                                      |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 146. ISHARES EDGE MSCI                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/03/17                | K                               |                                |                                                                   |
| 147. ISHARES EDGE MSCI                                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 03/21/17                | K                               | B                              |                                                                   |
| 148. ISHARES IBOXX                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 149. ISHARES IBOXX                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/24/17                | J                               |                                |                                                                   |
| 150. ISHARES IBOXX                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 07/19/17                | J                               | A                              |                                                                   |
| 151. ISHARES TIPS BOND ETF                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 152. ISHARES 3-7 YEAR                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Block, Frederic

Date of Report

03/22/2019

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

☐

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                        | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |                                                            |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------|-------------------------------------------------|------------------------------------|--------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                    | (1)                                             | (2)                                | (1)                                        | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 153. ISHARES 3-7 YEAR                                                                                                       |                                         |                                        |                                                 |                                    | Buy<br>(add'l)                             | 03/24/17         | J                        |                         |                                                            |
| 154. ISHARES 3-7 YEAR                                                                                                       |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 155. ISHARES MBS ETF                                                                                                        | A                                       | Dividend                               | K                                               | T                                  | Buy                                        | 01/03/17         | J                        |                         |                                                            |
| 156. ISHARES MBS ETF                                                                                                        |                                         |                                        |                                                 |                                    | Buy<br>(add'l)                             | 05/22/17         | J                        |                         |                                                            |
| 157. ISHARES MBS ETF                                                                                                        |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 158. ISHARES IBOXX HIGH YIELD                                                                                               | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 01/26/17         | J                        |                         |                                                            |
| 159. ISHARES IBOXX HIGH YIELD                                                                                               |                                         |                                        |                                                 |                                    | Buy<br>(add'l)                             | 03/24/17         | J                        |                         |                                                            |
| 160. ISHARES IBOXX HIGH YIELD                                                                                               |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 161. ISHARES INC CORE MSCI                                                                                                  | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 01/03/17         | J                        |                         |                                                            |
| 162. ISHARES INC CORE MSCI                                                                                                  |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 03/21/17         | J                        | A                       |                                                            |
| 163. ISHARES INC CORE MSCI                                                                                                  |                                         |                                        |                                                 |                                    | Buy<br>(add'l)                             | 05/22/17         | J                        |                         |                                                            |
| 164. ISHARES INC CORE MSCI                                                                                                  |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 10/24/17         | J                        | A                       |                                                            |
| 165. POWERSHARES EM SOVEREIGN                                                                                               | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 01/03/17         | J                        |                         |                                                            |
| 166. POWERSHARES EM SOVEREIGN                                                                                               |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 167. POWERSHARES PREFERRED                                                                                                  | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 03/24/17         | J                        |                         |                                                            |
| 168. POWERSHARES PREFERRED                                                                                                  |                                         |                                        |                                                 |                                    | Sold<br>(part)                             | 07/19/17         | J                        | A                       |                                                            |
| 169. REAL ESTATE SELECT                                                                                                     | A                                       | Dividend                               | J                                               | T                                  | Buy                                        | 01/03/17         | J                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Block, Frederic

Date of Report

03/22/2019

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 170. REAL ESTATE SELECT                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/23/17                | J                               | A                              |                                                                   |
| 171. REAL ESTATE SELECT                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/21/17                | J                               | A                              |                                                                   |
| 172. REAL ESTATE SELECT                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/17/17                | J                               | A                              |                                                                   |
| 173. SECTOR SPDR CONSMRS STPL                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 174. SECTOR SPDR CONSMRS STPL                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/23/17                | J                               | A                              |                                                                   |
| 175. SECTOR SPDR CONSMRS STPL                                                                                               |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/24/17                | J                               |                                |                                                                   |
| 176. SECTOR SPDR CONSMRS STPL                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/17/17                | J                               | A                              |                                                                   |
| 177. SECTOR SPDR ENERGY                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 178. SECTOR SPDR ENERGY                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/23/17                | J                               | A                              |                                                                   |
| 179. SECTOR SPDR ENERGY                                                                                                     |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/17/17                | J                               | A                              |                                                                   |
| 180. SECTOR SPDR INDUSTRIAL                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 181. SECTOR SPDR INDUSTRIAL                                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 01/23/17                | J                               | A                              |                                                                   |
| 182. SECTOR SPDR INDUSTRIAL                                                                                                 |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/21/17                | J                               |                                |                                                                   |
| 183. SECTOR SPDR INDUSTRIAL                                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 184. SECTOR SPDR INDUSTRIAL                                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/24/17                | J                               | A                              |                                                                   |
| 185. SECTOR SPDR INDUSTRIAL                                                                                                 |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 12/05/17                | J                               | A                              |                                                                   |
| 186. SECTOR SPDR UTILITIES                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | 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

Block, Frederic

Date of Report

03/22/2019

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

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

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

|                              |   |          |   |   |             |          |   |   |  |
|------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 187. SECTOR SPDR UTILITIES   |   |          |   |   | Sold (part) | 01/23/17 | J | A |  |
| 188. SECTOR SPDR UTILITIES   |   |          |   |   | Buy (add'l) | 03/24/17 | J |   |  |
| 189. SECTOR SPDR UTILITIES   |   |          |   |   | Sold (part) | 05/17/17 | J | A |  |
| 190. SECTOR SPDR UTILITIES   |   |          |   |   | Sold (part) | 07/19/17 | J | A |  |
| 191. SPDR S&P INSURANCE ETF  | A | Dividend | J | T | Buy         | 01/03/17 | J |   |  |
| 192. SPDR S&P INSURANCE ETF  |   |          |   |   | Sold (part) | 03/21/17 | J | A |  |
| 193. SPDR S&P INSURANCE ETF  |   |          |   |   | Buy (add'l) | 12/08/17 | J |   |  |
| 194. VANECK VECTORS JP       | A | Dividend | J | T | Buy         | 01/26/17 | J |   |  |
| 195. VANECK VECTORS JP       |   |          |   |   | Buy         | 03/24/17 | J |   |  |
| 196. VANECK VECTORS JP       |   |          |   |   | Sold (part) | 07/19/17 | J | A |  |
| 197. VANGUARD FINANCIALS ETF | A | Dividend | J | T | Buy         | 01/03/17 | J |   |  |
| 198. VANGUARD FINANCIALS ETF |   |          |   |   | Buy (add'l) | 06/21/17 | J |   |  |
| 199. VANGUARD FINANCIALS ETF |   |          |   |   | Buy (add'l) | 12/08/17 | J |   |  |
| 200. VANGUARD FINANCIALS ETF |   |          |   |   | Sold (part) | 03/21/17 | J | A |  |
| 201. VANGUARD FINANCIALS ETF |   |          |   |   | Sold (part) | 10/24/17 | J | A |  |
| 202. VANGUARD INFORMATION    | A | Dividend | K | T | Buy         | 01/03/17 | K |   |  |
| 203. VANGUARD INFORMATION    |   |          |   |   | Sold (part) | 03/21/17 | K | B |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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

Block, Frederic

Date of Report

03/22/2019

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

☐

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 204. VANGUARD INFORMATION                                                                                                   |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/17/17                | J                               | A                              |                                                                   |
| 205. VANGUARD INFORMATION                                                                                                   |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/24/17                | J                               | A                              |                                                                   |
| 206. VANGUARD INFORMATION                                                                                                   |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/08/17                | J                               |                                |                                                                   |
| 207. VANGUARD TELECOMM SRVCS                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/17                | J                               |                                |                                                                   |
| 208. VANGUARD TELECOMM SRVCS                                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 05/17/17                | J                               | A                              |                                                                   |
| 209. VANGUARD INTEREDIEATE                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/26/17                | J                               |                                |                                                                   |
| 210. VANGUARD INTERMEDIATE                                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/24/17                | J                               |                                |                                                                   |
| 211. VANGUARD INTERMEDIATE                                                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 212. VANGUARD INTERMEDIATE                                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/26/17                | J                               |                                |                                                                   |
| 213. VANGUARD SHORT TERM BOND                                                                                               | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/26/17                | J                               |                                |                                                                   |
| 214. VANGUARD SHORT TERM BOND                                                                                               |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/24/17                | J                               |                                |                                                                   |
| 215. VANGUARD SHORT TERM BOND                                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/19/17                | J                               | A                              |                                                                   |
| 216.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Block, Frederic

Date of Report

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Block, Frederic

Date of Report

03/22/2019

## 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/ Frederic Block**

**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