

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial) Pratter, Gene E.	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 04/26/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 10613 United States Courthouse Sixth & Market Streets Philadelphia, PA 19106-1723		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust #1
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	University of Pennsylvania Law School (Adjunct Professor)	\$10,000.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Cohen, Placitella & Roth (Attorney)
2.	
3.	
4.	

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

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	American Bar Association	April 10-11, 2018	Washington, DC	2018 Antitrust Law Spring Meeting	Transportation, lodging, meals
2.	American Chamber of Commerce in Bulgaria	November 2-12, 2018	Sofia, Bulgaria	Conference on the Rule of Law	Transportation, lodging, meals
3.	Northwestern Pritzker School of Law	November 28-29, 2018	Chicago, IL	Contemporary Issues in Complex Litigation Conference	Transportation, lodging, meals
4.					
5.					

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Bank of America	Credit Card	K
2. Bank of America	Credit Card	K
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Schwab Money Market Fund - Retirement #5	A	Dividend	J	T					
2. BlackRock Low Duration - Retirement #5	A	Dividend	K	T					
3. DFA Global Equity - Retirement #5	B	Dividend	L	T					
4. Schwab Money Market Fund - Retirement #6	A	Dividend	J	T					
5. BlackRock Low Duration - Retirement #6	A	Dividend	K	T					
6. DFA Global Equity - Retirement #6	B	Dividend	K	T					
7. DFA US Micro Cap - Retirement #7	D	Dividend	L	T	Sold (part)	01/17/18	J	B	
8. DFA Emerging Markets Core Equity - Retirement #7	C	Dividend	M	T	Sold (part)	01/17/18	K	C	
9. DFA International Small Value - Retirement #7	D	Dividend	M	T	Sold (part)	01/17/18	K	C	
10. DFA International Value - Retirement #7	E	Dividend	M	T	Sold (part)	01/17/18	J	A	
11. DFA One Year Fixed - Retirement #7	D	Dividend	N	T	Buy (add'l)	01/17/18	L		
12. DFA US Small Cap Value - Retirement #7	D	Dividend	L	T	Sold (part)	01/17/18	K	C	
13. DFA US Large Cap Value - Retirement #7	E	Dividend	M	T	Sold (part)	01/17/18	K	C	
14. Dodge & Cox Stock - Retirement #7	E	Dividend	N	T	Buy (add'l)	01/17/18	L		
15. First Eagle Overseas - Retirement #7	D	Dividend	M	T					
16. Hotchkis & Wiley Mid Value - Retirement #7	D	Dividend	M	T	Buy (add'l)	04/17/18	K		
17. Morgan Stanley International Equity - Retirement #7	E	Dividend	L	T	Sold (part)	06/06/18	K	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

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

J = \$15,000 or less

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

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

Q = Appraisal

U = Book Value

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

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

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

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

R = Cost (Real Estate Only)

V = Other

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

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

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

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

P4 = More than \$50,000,000

S = Assessment

W = Estimated

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

H2 = More than \$5,000,000

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

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

T = Cash Market

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Morgan Stanley Emerging Markets - Retirement #7	D	Dividend	L	T	Sold (part)	01/17/18	J	C	
19. Royce Opportunity - Retirement #7	D	Dividend	M	T	Sold (part)	01/17/18	J	B	
20. Schwab Money Market Fund - Retirement #7	A	Dividend	L	T					
21. Westcore Intl Small Cap - Retirement #7	E	Dividend	K	T	Sold (part)	06/06/18	J	D	
22. Westcore Mid Cap Value - Retirement #7	E	Dividend	M	T	Buy (add'l)	04/17/18	K		
23. William Blair Large Growth - Retirement #7	E	Dividend	N	T					
24. Metropolitan West Total Return - Retirement #7	D	Dividend	N	T					
25. BlackRock Low Duration - Retirement #7	D	Dividend	N	T	Buy (add'l)	01/17/18	K		
26. Ivy Mid Growth - Retirement #7	E	Dividend	M	T	Sold (part)	01/17/18	K	C	
27. Ivy Mid Growth - Retirement #7		None			Sold (part)	06/06/18	K	D	
28. DFA Global Real Estate - Retirement #7	E	Dividend	M	T					
29. Victory Global Natural Resources - Retirement #7		None			Sold	04/17/18	L	A	
30. MainGate MLP - Retirement #7	E	Dividend			Sold	12/20/18	M	A	
31. William Blair Small Growth - Retirement #7	E	Dividend	L	T					
32. Morgan Stanley AIP - Retirement #7	D	Dividend	N	T					
33. DFA International Large Growth - Retirement #7	C	Dividend	L	T	Sold (part)	06/06/18	K	C	
34. DFA Short Term Gov't - Retirement #7	C	Dividend	N	T					

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. DFA US Small Growth - Retirement #7	D	Dividend	L	T					
36. DFA Intl Small Growth - Retirement #7	C	Dividend	K	T	Sold (part)	01/17/18	K	B	
37. Schwab Money Market Fund - Trust #1	A	Dividend	K	T					
38. Dodge & Cox Stock - Trust #1	C	Dividend	L	T					
39. First Eagle Overseas - Trust #1	B	Dividend	K	T					
40. Hotchkis & Wiley Mid Cap Value - Trust #1	A	Dividend	K	T	Buy (add'l)	04/17/18	J		
41. Morgan Stanley International Equity - Trust #1	A	Dividend			Sold	12/10/18	K	A	
42. Royce Opportunity - Trust #1	B	Dividend	K	T	Sold (part)	03/14/18	J	A	
43. Westcore Mid Cap Value - Trust #1	B	Dividend	K	T	Buy (add'l)	04/17/18	J		
44. DFA Tax Managed Marketwide Value - Trust #1	C	Dividend	K	T	Sold (part)	03/14/18	J	A	
45. DFA US Micro Cap - Trust #1	A	Dividend	K	T					
46. DFA Intl Small Cap Value - Trust #1	A	Dividend			Sold	12/11/18	K	A	
47. Westcore Intl Small Cap - Trust #1	C	Dividend	K	T	Sold (part)	03/14/18	J	B	
48. DFA Int'l Value - Trust #1	B	Dividend	K	T					
49. DFA US Small Value - Trust #1	B	Dividend	K	T	Sold (part)	03/14/18	J	A	
50. DFA Short Term Muni - Trust #1	A	Dividend	K	T					
51. Metropolitan West Total Return - Trust #1	A	Dividend	K	T					

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

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52. William Blair Small Cap Growth - Trust #1	C	Dividend	K	T					
53. DFA Global Real Estate - Trust #1	B	Dividend	K	T					
54. MainGate MLP - Trust #1	B	Dividend			Sold	12/07/18	K	B	
55. Victory Global Resources - Trust #1		None			Sold	04/17/18	J	B	
56. DFA Emerging Markets - Trust #1	B	Dividend	L	T	Sold (part)	03/14/18	J	C	
57. DFA International Large Growth - Trust #1	A	Dividend	K	T					
58. Ivy Mid Growth - Trust #1	C	Dividend	K	T					
59. William Blair Large Growth - Trust #1	D	Dividend	M	T					
60. Thornburg Limited Term Muni - Trust #1	A	Dividend	K	T	Buy (add'l)	03/14/18	K		
61. DFA US Small Growth - Trust #1	B	Dividend	K	T					
62. iShares MSCI EAFE ETF - Trust #1	A	Dividend	K	T	Buy	12/10/18	K		
63. iShares MSCI EAFE Small Cap ETF - Trust #1	A	Dividend	K	T	Buy	12/11/18	K		
64. DFA Tax Mgd US Marketwide Value - Brokerage #1	B	Dividend	J	T	Sold (part)	09/05/18	J	A	
65. DFA US Small Value - Brokerage #1	A	Dividend	J	T	Sold (part)	09/05/18	J	B	
66. DFA US Small Value - Brokerage #1		None			Sold (part)	12/04/18	J	B	
67. DFA Emerging Markets Core Equity - Brokerage #1	A	Dividend	J	T					
68. DFA Tax Mgd International Value - Brokerage #1	A	Dividend	J	T	Sold (part)	12/04/18	J	A	

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. First Eagle Overseas - Brokerage #1	A	Dividend	J	T					
70. Morgan Stanley International Equity - Brokerage #1	A	Dividend	J	T					
71. Schwab Money Market Fund - Brokerage #1	A	Dividend	J	T					
72. Hotchkis & Wiley Mid Cap Value Brokerage #1	A	Dividend	J	T					
73. William Blair Large Growth - Brokerage #1	C	Dividend	K	T	Sold (part)	09/05/18	J	B	
74. William Blair Large Growth - Brokerage #1		None			Sold (part)	12/04/18	J	A	
75. William Blair Small Cap Growth - Brokerage #1	B	Dividend	J	T	Sold (part)	07/16/18	J	A	
76. William Blair Small Cap Growth - Brokerage #1		None			Sold (part)	09/05/18	J	A	
77. Westcore Mid Cap Value - Brokerage #1	A	Dividend	J	T					
78. DFA Int'l Small Value - Brokerage #1	A	Dividend	J	T					
79. Metropolitan West Total Return - Brokerage #1	B	Dividend	K	T					
80. Thornburg Limitd Term Municipal - Brokerage #1	B	Dividend	K	T	Sold (part)	10/11/18	J	A	
81. DFA Global Real Estate - Brokerage #1	A	Dividend	J	T	Sold (part)	09/05/18	J	A	
82. DFA Global Real Estate - Brokerage #1		None			Sold (part)	12/04/18	J	B	
83. Dodge & Cox Stock - Brokerage #1	B	Dividend	K	T	Sold (part)	07/16/18	J	A	
84. Dodge & Cox Stock - Brokerage #1		None			Buy (add'l)	12/20/18	J		
85. MainGate MLP - Brokerage #1	A	Dividend			Sold (part)	12/04/18	J	A	

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

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86. MainGate MLP - Brokerage #1		None			Sold	12/20/18	J	A	
87. Royce Opportunity - Brokerage #1	A	Dividend	J	T	Sold (part)	07/16/18	J	A	
88. DFA US Micro Cap - Brokerage #1	A	Dividend	J	T					
89. DFA Int'l Large Growth - Brokerage #1	A	Dividend	J	T	Sold (part)	09/05/18	J	A	
90. Ivy Mid Growth - Brokerage #1	B	Dividend	J	T	Sold (part)	07/16/18	J	B	
91. Ivy Mid Growth - Brokerage #1		None			Sold (part)	09/05/18	J	B	
92. DFA Intl Small Growth - Brokerage #1	A	Dividend			Sold (part)	09/05/18	J	A	
93. DFA Intl Small Growth - Brokerage #1		None			Sold	12/11/18	J	A	
94. iShares MSCI EAFE Small Cap ETF - Brokerage #1	A	Dividend	J	T	Buy	12/11/18	J		
95. DFA US Micro Cap - Brokerage #2	A	Dividend	J	T					
96. DFA Tax Mgd Marketwide Value - Brokerage #2	B	Dividend	K	T					
97. DFA US Small Value - Brokerage #2	A	Dividend	J	T					
98. Dodge & Cox Stock - Brokerage #2	B	Dividend	K	T	Buy (add'l)	12/20/18	J		
99. First Eagle Overseas - Brokerage #2	A	Dividend	J	T					
100. Hotchkis & Wiley Mid Cap Value - Brokerage #2	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
101. Morgan Stanley International Equity - Brokerage #2	B	Dividend	J	T					
102. Royce Opportunity - Brokerage #2	B	Dividend	J	T	Sold (part)	01/17/18	J	A	

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

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Pratter, Gene E.

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04/26/2019

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. Schwab Money Market Fund - Brokerage #2	A	Dividend	K	T					
104. Westcore Mid Cap Value - Brokerage #2	A	Dividend	J	T					
105. Westcore International Small Cap - Brokerage #2	B	Dividend	J	T					
106. Metropolitan West Total Return - Brokerage #2	B	Dividend	L	T					
107. DFA Short Term Muni - Brokerage #2	B	Dividend	M	T					
108. DFA Global Real Estate - Brokerage #2	B	Dividend	K	T					
109. MainGate MLP - Brokerage #2	B	Dividend			Sold	12/20/18	J	A	
110. DFA Intl Small Cap Value - Brokerage #2	A	Dividend			Sold (part)	01/17/18	J	A	
111. DFA Intl Small Cap Value - Brokerage #2		None			Sold	12/11/18	J	A	
112. DFA Emerging Markets Core Equity - Brokerage #2	A	Dividend	K	T	Sold (part)	01/17/18	J	C	
113. DFA International Value - Brokerage #2	B	Dividend	K	T					
114. Ivy Mid Cap Growth - Brokerage #2	B	Dividend	K	T	Sold (part)	01/17/18	J	B	
115. DFA Int'l Large Growth - Brokerage #2	A	Dividend	J	T					
116. William Blair Large Growth - Brokerage #2	D	Dividend	K	T	Buy (add'l)	07/17/18	J		
117. Thornburg Limited Term Muni - Brokerage #2	A	Dividend	L	T	Buy (add'l)	01/07/18	K		
118. DFA US Small Growth - Brokerage #2	B	Dividend	K	T					
119. iShares MSCI EAFE Small Cap ETF - Brokerage #2	A	Dividend	J	T	Buy	12/11/18	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. DFA One Year Fixed - Retirement #8	C	Dividend	N	T					
121. DFA Emerging Markets Core Equity - Retirement #8	C	Dividend	L	T	Sold (part)	01/17/18	K	C	
122. DFA International Value - Retirement #8	D	Dividend	M	T					
123. DFA US Large Value - Retirement #8	D	Dividend	M	T	Buy (add'l)	01/17/18	K		
124. DFA US Small Value - Retirement #8	C	Dividend	L	T					
125. DFA US Micro Cap - Retirement #8	C	Dividend	K	T	Sold (part)	01/17/18	J	B	
126. Dodge & Cox Stock - Retirement #8	E	Dividend	M	T	Buy (add'l)	12/20/18	L		
127. DFA Int'l Small Cap Value - Retirement #8	C	Dividend	L	T	Sold (part)	01/17/18	K	B	
128. First Eagle Overseas - Retirement #8	C	Dividend	L	T					
129. Hotchkis & Wiley Mid Cap Value - Retirement #8	C	Dividend	L	T	Sold (part)	01/17/18	K	C	
130. Hotchkis & Wiley Mid Cap Value - Retirement #8		None			Buy (add'l)	04/17/18	J		
131. Morgan Stanley Emerging Markets - Retirement #8	B	Dividend	L	T	Sold (part)	01/17/18	K	C	
132. Morgan Stanley International Equity - Retirement #8	D	Dividend	L	T					
133. Royce Opportunity - Retirement #8	D	Dividend	L	T	Sold (part)	01/17/18	K	B	
134. Schwab Money Market Fund - Retirement #8	A	Dividend	L	T					
135. Westcore Intl Small Cap - Retirement #8	D	Dividend	K	T					
136. Westcore Mid Cap Value - Retirement #8	D	Dividend	L	T	Buy (add'l)	04/17/18	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. William Blair Large Cap Growth - Retirement #8	E	Dividend	M	T	Buy (add'l)	01/17/18	J		
138. William Blair Large Cap Growth - Retirement #8		None			Buy (add'l)	04/17/18	J		
139. BlackRock Low Duration - Retirement #8	D	Dividend	N	T	Buy (add'l)	01/17/18	K		
140. Metropolitan West Total return - Retirement #8	D	Dividend	M	T					
141. William Blair Small Growth - Retirement #8	D	Dividend	L	T					
142. Ivy Mid Growth - Retirement #8	D	Dividend	M	T	Sold (part)	01/17/18	K	C	
143. DFA Global Real Estate - Retirement #8	D	Dividend	M	T					
144. MainGate MLP - Retirement #8	D	Dividend			Buy (add'l)	01/17/18	J		
145. MainGate MLP - Retirement #8		None			Buy (add'l)	04/17/18	J		
146. MainGate MLP - Retirement #8		None			Sold	12/20/18	L	A	
147. Victory Global Resources - Retirement #8		None			Sold	04/17/18	K	A	
148. Morgan Stanley AIP - Retirement #8	D	Dividend	M	T					
149. DFA International Large Growth - Retirement #8	B	Dividend	L	T					
150. DFA Short Term Govt - Retirement #8	C	Dividend	N	T	Buy	01/17/18	L		
151. DFA US Small Growth - Retirement #8	C	Dividend	L	T					
152. DFA Intl Small Growth - Retirement #8	B	Dividend	K	T					
153. Equitable Variable Life - Alliance Common Stock		None	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. Equitable Variable Life - Alliance International		None	K	T					
155. PNC Bank Accounts	A	Interest	J	T					
156. Nantucket Bank Account	A	Interest	J	T					
157. 401K Plan - John Hancock Balanced		None	K	T	Buy (add'l)	02/05/18	J		

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

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

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IX. CERTIFICATION.

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

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

Signature: s/ Gene E. Pratter

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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