

FINANCIAL DISCLOSURE REPORT
FINAL FILING

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) Fulton,, Thomas H.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 11/6/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2020 to 08/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 601 West Broadway, Suite 528 Louisville, KY 40202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
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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Fulton,, Thomas H.	11/6/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

[X] NONE (No reportable non-investment income.)

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

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

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

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

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Name of Person Reporting

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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)
1. AMERIPRISE FINANCIAL									
2. First Eagle Global CL A	A	Dividend	J	T					
3. Hilliard Lyons Trust Account									
4. Abbvie Inc	A	Dividend	J	T					
5. Allergan PIC cap stk	A	Dividend			Sold	03/09/20	K	B	
6. Alphabet	A	Dividend	K	T					
7. Berkshire Hathaway	A	Dividend	K	T					
8. Cisco	A	Dividend	K	T					
9. Disney Walt	A	Dividend	K	T					
10. Exxon Mobile	A	Dividend	J	T					
11. Pepsico	A	Dividend	K	T					
12. Proctor & Gamble	A	Dividend	K	T					
13. Goldmans Sach Financial Square Federal Fund	A	Int./Div.	K	T					
14. Johnson & Johnson Co.	A	Dividend	K	T					
15. TJX Companies	A	Dividend	K	T					
16. Harley Davidson Inc.	A	Dividend			Sold	05/06/20	J	A	
17. Mircrosoft Corp	A	Dividend	L	T	Sold (part)	03/31/20	J	D	

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Home Depot	A	Dividend	K	T	Sold (part)	08/05/20	J	D	
19. Chevron Corp	A	Dividend	J	T					
20. US Bancorp Del Com	A	Dividend	J	T					
21. Ishare TR S&P 400 Value	A	Dividend	J	T					
22. VanGuard Index Small Cap ETF	A	Dividend	K	T					
23. JP Morgan Chase	A	Dividend	K	T	Buy (add'l)	03/31/20	J		
24. Expediors Intl	A	Dividend	K	T					
25. Artisan International	A	Dividend	K	T					
26. Dodge & Cox International Stock	A	Dividend	K	T					
27. Pfizer, Inc.	A	Dividend	J	T					
28. Apple, Inc.	A	Dividend	L	T	Buy (add'l)	03/31/20	J		
29. Fastenal Co Com	A	Dividend	K	T					
30. Northern Tr Corp Com	A	Dividend	J	T					
31. Wells Fargo & Co. New Com	A	Dividend	J	T					
32. Wells Fargo Emerging Markets Equity Fund	A	Dividend	K	T					
33. Carmax Inc.	A	Dividend	K	T					
34. Bank of America Corp	A	Dividend	J	T	Buy (add'l)	03/31/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35. TE Connectivity LTD	A	Dividend	K	T					
36. Facebook Inc	A	Dividend	J	T	Buy	08/05/20	J		
37. O'Reilly Automotive Inc	A	Dividend	J	T	Buy	08/05/20	J		
38. BAIRD FORMERY HILLIARD LYONS BROKERAGE ACCT #1									
39. Hilliard Lyons Govt. Fund	A	Dividend	K	T	Sold (part)	01/31/20	L	A	
40. Bar Harbor Bankshares	A	Dividend	J	T					
41. Cisco Systems, Inc.	A	Dividend	K	T					
42. Walt Disney Stock	A	Dividend	L	T					
43. Home Depot Stock	A	Dividend	L	T					
44. International Paper	A	Dividend	J	T					
45. Kimberly-Clark Corp Stock	A	Dividend	K	T					
46. Microsoft	A	Dividend	L	T					
47. Pfizer, Inc	A	Dividend	J	T					
48. Colgate-Palmolive Co.	A	Dividend	K	T					
49. Comcast Corp Class A	A	Dividend	K	T					
50. Corning, Inc.	A	Dividend	J	T					
51. Janus Cap Group	A	Dividend	J	T					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Motorcar parts of America	A	Dividend	K	T					
53. O Reily Automotive, Inc.	A	Dividend	J	T					
54. Zoetis, Inc.	A	Dividend	J	T					
55. Core Molding Tech Inc	A	Dividend	J	T					
56. Avanos Med Inc formerly known as (Hallyard Health Inc)	A	Dividend	J	T					
57. Veritiv Corp	A	Dividend	J	T					
58. Hennessy Advisors Inc	A	Dividend	J	T					
59. Napco Security	A	Dividend	J	T					
60. Middleby Corp	A	Dividend	K	T	Buy (add'l)	05/08/20	J		
61. Big Lots Inc	A	Dividend	J	T					
62. Stifel Financial Corp	A	Dividend	K	T					
63. Ultralife Corporation	A	Dividend	K	T					
64. Allied Motion Technologies	A	Dividend	K	T	Buy (add'l)	04/16/20	J		
65. First United Corp Maryland	A	Dividend	K	T					
66. Keysight Technologies inc	A	Dividend	K	T	Buy	01/30/20	K		
67. PNM Resources Inc	A	Dividend	K	T	Buy	06/12/20	K		
68. Hexcel Corp	A	Dividend	J	T	Buy	01/15/20	J		

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69.	BAIRD FORMEY HILLIARD LYONS BROKERAGE ACCT #2								
70.	Walmart	A	Dividend	K	T				
71.	Lincoln Natil life Ins American Legacy III Var. Annuity- Growth	A	Dividend	L	T				
72.	FDIC INSURED DEPOSIT BANK	A	Interest	J	T				
73.	DowDupont inc	A	Dividend	J	T				
74.	QualComm, Inc.	A	Dividend	K	T				
75.	Oracle Corp	A	Dividend	K	T				
76.	Pfizer, Inc	A	Dividend	J	T				
77.	Janus Henderson Group PLC	A	Dividend	J	T				
78.	Motorcar Parts of America	A	Dividend	K	T				
79.	Stifel Financial Corp	A	Dividend	J	T				
80.	Summer Infant Inc.	A	Dividend		Sold	01/05/20	J	B	
81.	Zoetis, Inc.	A	Dividend	J	T				
82.	Hingham Institue for Svg	A	Dividend	J	T				
83.	Core Molding Tech, Inc	A	Dividend	J	T				
84.	Hennessy Advisors inc	A	Dividend	J	T				
85.	Napco Security	A	Dividend	K	T				

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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86. Big Lots Inc.	A	Dividend	J	T					
87. Middleby Corp	A	Dividend	J	T					
88. Allied Motion Tech Inc	A	Dividend	J	T	Buy (add'l)	04/16/20	J		
89. Corteva inc	A	Dividend	J	T					
90. Ultralife Corp	A	Dividend	J	T					
91. Dupont De Nemours inc	A	Dividend	J	T					
92. Wells Fargo (formerly Wachovia Securities) Brokerage Acct #1									
93. Invesco TR Water Res (formerly Powershares Water Resources)	A	Dividend	J	T					
94. Wachovia Bank Deposit Sweep Option	A	Dividend	K	T					
95. Firts Trust Dow Target 10 Mar 19	A	Interest			Redeemed	04/14/20	M	A	
96. First Trust Dow Target 10 Apr 20	A	Interest	M	T	Buy	04/13/20	M		
97. Dell Technologies Inc	A	Dividend	K	T					
98. Guggenheim Dividend Strength Portfolio series 35	A	Dividend	K	T					
99. First Trust emerging Markets Strength port series 45c	A	Dividend	K	T					
100. WELLS FARGO (FORMELRY WACHOVIA SECURITES) ACCT #3									
101. Bank Deposit Sweep	A	Interest	K	T					
102. Monmouth Real Estate Reit	A	Dividend			Sold	04/02/20	K	B	

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103. UMH Properties, Inc.	A	Dividend	J	T					
104. Aberdeen Global Dynamic formerly known as (Alpine Global Dynamic)	A	Dividend	J	T					
105. Medtronic, Inc.	A	Dividend	K	T					
106. Merk & Co. Inc.	A	Dividend	K	T					
107. Exxon Mobile	A	Dividend	J	T					
108. First Trust Dow Target DVD 1q 18 C	A	Interest			Redeemed	07/13/20	K	A	
109. DowDupont Inc	A	Dividend	J	T					
110. IShares ETF Global Infrastructure	A	Dividend			Sold	01/05/20	J	A	
111. Boeing Co	A	Dividend			Sold	01/05/20	J	A	
112. First Trust Technology Select Portfolio Series 73	A	Dividend	K	T	Buy	01/04/20	K		
113. Guggenheim Health Care Portfolio Series 28	A	Dividend	J	T	Buy	07/08/20	J		
114. WELLS FARGO (FORMERLY WACHOVIA SECURITIES) BROKERAGE ACCT #4									
115. Gilat Satellite Networks	A	Dividend	J	T					
116. Pfizer Incorporated	B	Dividend	K	T					
117. Tetra Tech, Inc.	A	Dividend	L	T					
118. Verizon Communications	B	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

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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

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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

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

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

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119. IRA Bank Deposit Sweep	A	Interest	K	T					
120. Frontier Communications, Corp	A	Dividend	J	T					
121. Chevron	A	Dividend	K	T	Buy (add'l)	03/05/20	J		
122. Apple, Inc.	A	Dividend	M	T	Sold (part)	08/03/20	K	C	
123. Coca-Cola Company	A	Dividend	L	T					
124. Exxon Mobile Corp	A	Dividend	J	T					
125. International Business Machine Corp	A	Dividend	K	T					
126. Cisco Systems, Inc.	A	Dividend			Sold	08/18/20	K	B	
127. Amazon Com Inc.	B	Dividend	L	T					
128. Starbucks Corp	A	Dividend			Sold	06/24/20	K	C	
129. T-mobile Us Inc.	A	Dividend			Sold	02/11/20	K	D	
130. Macquarie Infrastructure Corporation	A	Dividend	J	T					
131. US Concrete Inc New	A	Dividend	J	T					
132. Zayo GRP Holdings Inc	A	Dividend			Sold	03/10/20	J	B	
133. AT & T Inc	A	Dividend	K	T					
134. Salesforce.com	A	Dividend	K	T					
135. Philip Morris International Inc	A	Dividend			Sold	01/31/20	K	C	

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)
136. Berkshire Hathaway Inc Series B	A	Dividend	K	T					
137. Paypal Holdings Inc	A	Dividend	K	T					
138. Guggenheim Blue Chip Growht Portfolio Series 20	A	Dividend	K	T					
139. First Trust Dow Target DVD 2Q 19	A	Dividend			Redeemed	07/13/20	M	A	
140. Fedex Corp	A	Dividend	L	T	Buy (add'l)	06/24/20	K		
141. Dow Inc	A	Dividend	J	T					
142. 3m Co.	A	Dividend	K	T					
143. Walgreens Boots Alliance Inc	A	Dividend	K	T					
144. First Trust Financials Select Port	A	Dividend	K	T					
145. Facebook Inc Class A	A	Dividend	K	T	Buy	01/31/20	K		
146. Occidental Pete Corp	A	Dividend	J	T	Buy	03/05/20	J		
147. Occidental Petro WTS	A	Dividend	J	T	Buy	08/03/20	J		
148. Micorsoft Corp	A	Dividend	K	T	Buy	05/01/20	K		
149. Guggenheim Health Care Portfolio	A	Dividend	L	T	Buy	07/09/20	L		
150. Honeywell International Inc	A	Dividend	K	T	Buy	08/18/20	K		
151. WELLS FARGO (FORMERLY WACHOVIA SECURITIES) BROKERAGE ACCT #5									

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)
152. Bank Deposit Sweep	A	Dividend	L	T					
153. Monmouth Real Estate	B	Dividend	K	T					
154. UMH Properties, Inc.	A	Dividend	K	T					
155. Verizon Communications	A	Dividend	J	T					
156. First Trust Interest Rete hedge Portfolio Ser 110	A	Dividend	L	T					
157. First Trust Energy Opportunity Portfolio Serise 2 cash	B	Dividend	K	T					
158. First Trust Dow Target 10 Jan 18	B	Dividend			Redeemed	03/11/20	K	A	
159. First Trust Dow Target 10 Mar 10	B	Dividend	K	T	Buy	03/10/20	K		
160. Guggenheim Dow Jones Value Divided Focus Portfolio ser 32 C	B	Dividend			Redeemed	01/06/20	K	A	
161. Guggenheim Dividend Strength Portfolio Series 34	B	Dividend	K	T	Buy	01/05/20	K		
162. First Trust Diversified Equity Strat Allc. port 3q'18R	D	Dividend			Redeemed	01/05/20	M		
163. First Trust Defensvie Equity Port Series 50	D	Dividend	M	T	Buy	01/28/20	M		
164. First Trust US Infrastructure Portfolio Series 13 Cash	B	Dividend	K	T					
165. Guggenheim Health Care Portfolio Series 25 cash	B	Dividend			Redeemed	07/15/20	K	C	
166. Guggenheim Health Care Portfolio Series 29 Cash	B	Dividend	K	T	Buy	07/13/20	K		
167. Guggenheim Technology Portfolio Ser 24 cash	B	Dividend	L	T					
168. Guggenheim Blue Chip Growth Portfolio Series 20 Cash	C	Dividend	L	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) 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)
169. JP Morgan Chase & Co.	A	Dividend	K	T	Buy	06/24/20	K		
170. Regulus Advisors (formerly PRO CASH PLUS #1)									
171. Federated Capital Reserves	A	Dividend	K	T					
172. Abbvie , Inc.	A	Dividend	K	T	Buy	05/04/20	K		
173. MFS Municipal Income Fund	A	Dividend	K	T					
174. Vanguard Whitehall FDS High Dividend	B	Dividend	K	T					
175. Wisdom Tree TR Div. Ex. Financials	B	Dividend	K	T					
176. Altria Group Inc Com	B	Dividend	K	T					
177. AT&T Inc.	A	Dividend	J	T					
178. Select Spdr TR	A	Dividend	K	T					
179. Procter & Gamble Co.	A	Dividend	K	T					
180. Verizon Communications	B	Dividend	K	T					
181. Tax Exempt Bond Fund of America Class A	B	Dividend	L	T					
182. American Short Term Tax-Exempt Bond Fund	A	Dividend	L	T					
183. PNC Finl Svcs Group Inc Ser Q Non Cum	A	Dividend	K	T					
184. Exelon Corp Com	A	Dividend	K	T					
185. Select Sector SPDR TR Health Care	A	Dividend	J	T					

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

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)
186. Smart TR Healthcare Innovations TR Ser 6 Unit	A	Dividend	J	T					
187. Constellation Brands Inc	A	Dividend	K	T					
188. CVS Health Corp	A	Dividend	K	T					
189. Regulus Advisors (fromerly PRO CASH #2)									
190. Ventas, Inc.	B	Dividend	K	T					
191. Comcast Corp	A	Dividend	K	T					
192. Exxon Mobile Corp	A	Dividend	J	T					
193. General Electric Co.	A	Dividend	J	T					
194. Seadrill limited Shs.	A	Dividend	J	T					
195. 3d Sys Corp	A	Dividend	J	T					
196. Westport Fuel Systems Inc (formerly Westport Innovations, Inc.)	A	Dividend	J	T					
197. Pershing Govt. Acct	A	Interest	J	T					
198. Fireye Inc Com	A	Dividend	J	T					
199. Boeing Co	A	Dividend	K	T					
200. Select Sectro Spdr TR Technology	B	Dividend	L	T					
201. ROBO Global Robotics and Automation Index ETF	A	Dividend	K	T					
202. AT&T	A	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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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)
203. American Funds U.S. Government Money Market Fund	D	Dividend	K	T					
204. Walmart Inc	B	Dividend	M	T					
205. Washington Mutual Investors Fund Class A	C	Dividend	M	T					
206. Berkshire Hathaway Inc	A	Dividend	K	T					
207. Select Sector SPDR TR UTILS	B	Dividend	K	T					
208. WABTEC Com	A	Dividend	J	T	Buy	01/06/20	J		
209. Alexander Investment Services -1									
210. Insured Deposit Account	A	Dividend	J	T					
211. First Trust WTR ETF	A	Dividend	J	T					
212. Global X rbtcx artfl inte ETF	A	Dividend			Sold	03/23/20	J	B	
213. Franklin Rising Dividends	A	Dividend	K	T					
214. Pimco Fds Income Instl	B	Dividend	K	T					
215. Vanguard Wellington Admiral	A	Dividend	K	T					
216. 3m Co	A	Dividend	J	T					
217. Abbot Labs	A	Dividend	J	T					
218. Aqua America inc	A	Dividend			Merged (with line 219)	02/03/20	J		
219. Essential Utilities Inc	A	Dividend	J	T	Buy	02/03/20	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.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
220. Boeing Co	A	Dividend			Sold	03/23/20	K	A	
221. Chevron Corp	A	Dividend			Sold	02/20/20	J	A	
222. Coca Cola Co	A	Dividend	J	T					
223. Cummins Inc	A	Dividend	J	T					
224. Home Depot	A	Dividend	J	T	Buy (add'l)	04/01/20	J		
225. International Paper Co	A	Dividend			Sold	02/20/20	J	A	
226. Intl Business Machines	A	Dividend	J	T					
227. Nvidia Corp	A	Dividend	J	T					
228. Procter Gamble Co	A	Dividend	K	T					
229. Salesforce.com Inc	A	Dividend	J	T	Buy (add'l)	04/01/20	J		
230. Ventas Inc	A	Dividend			Sold	02/20/20	J	A	
231. Vanguard Div App ETF	A	Dividend	K	T					
232. Zoetis Inc	A	Dividend	K	T	Buy (add'l)	04/01/20	J		
233. Chipolte Mexican Grill	A	Dividend	K	T	Buy (add'l)	03/23/20	J		
234. Adobe Inc	A	Dividend	K	T					
235. Workday Inc	A	Dividend	J	T					
236. Vmware Inc	A	Dividend	J	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
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3 Value Method Codes (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 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)
237. Amazon Com Inc	A	Dividend	K	T	Buy	02/20/20	J		
238. VISA Inc	A	Dividend	K	T	Buy	02/20/20	K		
239. Thermo Fischer Scientific Inc	A	Dividend	K	T	Buy	02/20/20	K		
240. Qualcomm Inc	A	Dividend	J	T	Buy	03/23/20	J		
241. Verizon Inc	A	Dividend	J	T	Buy	05/08/20	J		
242. Aflac Inc	A	Dividend	J	T	Buy	05/08/20	J		
243. Hannon Armstrong Sustainable	A	Dividend	J	T	Buy	05/08/20	J		
244. Alexander Investment Services - 2									
245. Insured Deposit Account	A	Dividend	J	T					
246. Fidelity Advisor New Insights A	A	Dividend			Sold	03/20/20	J	B	
247. Franklin Rising Dividends A	A	Dividend	J	T					
248. Ivy Balanced I	A	Dividend	J	T					
249. Mutual Fund Ser Tr Eventide Gilead A	A	Dividend	J	T					
250. Ishares Short Treas BD ETF	A	Dividend	J	T					
251. Paranassus Investments Core EQTY Investor	A	Dividend	J	T	Buy	03/20/20	J		
252. Alexander Investments Services #3									
253. Insured deposit account	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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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 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)
254. Ishares Trust Short Treas BD	A	Dividend	L	T					
255. American Funds Growth Fund of America F2	A	Dividend			Buy	01/05/20	K		
256.					Sold	03/19/20	K	A	
257. Vanguard Div App	A	Dividend	L	T					
258. Franklin Rising Dividends	A	Dividend	K	T					
259. Exxon Mobil Corp	A	Dividend	J	T					
260. Johnson & Johnson	A	Dividend	J	T					
261. Microsoft Corp	A	Dividend	K	T					
262. Parnassus Investments Core EQTY Investor	A	Dividend	K	T	Buy	03/19/20	K		
263.									
264.									
265.									
266.									
267.									
268.									
269.									
270.									

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

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)
271.									
272.									
273.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting Fulton,, Thomas H.	Date of Report 11/6/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fulton,, Thomas H.

Date of Report

11/6/2020

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/ Thomas H. Fulton,**

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