

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) PRATT, ROBERT W.	2. Court or Organization US DISTRICT COURT - SO IOWA	3. Date of Report 03/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT COURT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address US COURTHOUSE 123 EAST WALNUT STREET DES MOINES, IA 50309		
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. _____	_____
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.		
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.	
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.				
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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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. INDIVIDUAL ASSETS (H)									
2. BANKERS TRUST COMPANY (cash)	A	Interest	K	T					
3. ACCOUNT #1 (H)									
4. MORGAN STANLEY BANK (cash)	A	Interest	J	T					
5. KRAFT HEINZ CO (KHC)	A	Dividend	J	T					
6. JPMORGAN CHASE & CO BB (JPM.H)	B	Dividend	K	T					
7. KKR & CO LP (KKR.B)	B	Int./Div.	K	T					
8. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					
9. WELLS FARGO & CO (WFC.W)	B	Dividend	K	T					
10. MS EMERGING MKTS DOMESTIC DEBT (EDD)	A	Dividend	J	T					
11. WESTERN ASSET HIGH YIELD (HYI)	C	Dividend	K	T					
12. STATE UNIV IOWA UNIV REV (857536DM5)	A	Interest			Redeemed	07/01/20	K		
13. TEVA PHARMA FIN IV LLC (88166HAD9)	A	Interest			Redeemed	03/18/20	J	A	
14. CVS HEALTH CORP (126650CJ7)	A	Interest			Redeemed	07/20/20	K		
15. SAFEWAY INC (786514BS7)	B	Interest			Redeemed	08/17/20	K	A	
16. XEROX CORPORATION (984121CM3)	B	Interest			Redeemed	08/20/20	K	A	
17. ALLERGAN, INC. (018490AN2)	A	Interest			Redeemed	09/15/20	K	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	
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18. ARCONIC INC (013817AV3)	A	Interest	J	T	Redeemed (part)	04/06/20	J		
19. SOUTHERN CO (842587CS4)	B	Interest	L	T					
20. FORD MOTOR CREDIT COMPANY, LLC (34540TGZ9)	A	Interest	K	T					
21. CITIGROUP INC (14042RGD7)	A	Interest	K	T					
22. KRAFT HEINZ FOODS CO (423074AM5) (was HJ HEINZ CO)	A	Interest	J	T					
23. GOLDMAN SACHS GROUP (38145GAG5)	A	Interest			Redeemed	11/16/20	K	A	
24. GENERAL MILLS INC (370334BM5)	B	Interest	L	T					
25. ICAHN ENTERPRISES FIN (451102BF3)	A	Interest			Redeemed	02/03/20	K		
26. NEWMONT MINING CORP (651639AN6)	A	Interest	J	T					
27. BECTON DICKINSON (075887BT5)	A	Interest	K	T					
28. AT&T INC (00026RBN1)	B	Interest	L	T					
29. MURPHY OIL CORP (626717AF9)	A	Interest	J	T					
30. GENERAL MOTORS FINL CO (37045XCF1)	A	Interest	L	T					
31. QUALCOMM INC (747525AR4)	B	Interest	L	T					
32. EXPRESS SCRIPTS HOLDING (30219GAQ1)	A	Interest	K	T					
33. TRANS-CANADA PIPELINES FIXED (89352HAC3)	A	Interest	J	T					
34. WELLS FARGO BK NA SIOUX FALLS SD CD (949763YF7)	B	Interest			Redeemed	09/14/20	M		

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35. CAPITAL ONE NA MCLEAN VA CD (14042RGD7)	B	Interest	L	T					
36. ACCOUNT #2 (H)									
37. MORGAN STANLEY BANK (cash)	A	Interest	K	T					
38. ABBOTT LABORATORIES (ABT)	A	Dividend	L	T					
39. ABBVIE INC COM (ABBV)	B	Dividend	L	T					
40. ALTRIA GROUP INC (MO)	B	Dividend	K	T					
41. APPLE, INC. (AAPL)	A	Dividend	M	T					
42. AT&T INC (T)	B	Dividend	K	T					
43. BOEING CO (BA)	A	Dividend	L	T					
44. CHEVRON CORP (CVX)	A	Dividend	J	T	Buy	06/29/20	J		
45. CISCO SYSTEMS (CSCO)	A	Dividend	K	T					
46. COCA COLA CO (KO)	A	Dividend	K	T	Buy (add'l)	07/09/20	J		
47. EXXON MOBIL (XOM)	A	Dividend	J	T					
48. GENERAL ELECTRIC CO (GE)	A	Dividend	J	T					
49. INTEL CORP (INTC)	B	Dividend	K	T					
50. INTL BUSINESS MACHINES CORP (IBM)	B	Dividend	K	T	Buy (add'l)	07/09/20	J		
51. JOHNSON & JOHNSON (JNJ)	B	Dividend	L	T					

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52. PEPSICO INC NC (PEP)	B	Dividend	L	T					
53. PFIZER INC (PFE)	A	Dividend	J	T					
54. PHILIP MORRIS INTL INC (PM)	B	Dividend	K	T	Buy (add'l)	06/30/20	J		
55. PROCTOR & GAMBLE (PG)	A	Dividend	K	T					
56. WALGREENS BOOTS ALLIANCE (WBA)	A	Dividend	K	T	Buy (add'l)	07/01/20	K		
57. ISHARES S&P 100 INDEX FD (OEF)	A	Dividend	K	T					
58. SPDR S&P MIDCAP 400 ETF TRUST (MDY)	B	Dividend	M	T					
59. ACCOUNT #3 (H)									
60. ISHARES 20 + YR TREASU BOND ETF (TLT)	A	Dividend			Sold (part)	03/16/20	J	A	
61.					Sold	03/18/20	J	B	
62. ISHARES CORE MSCI EAFE ETF (IEAF)	A	Dividend	K	T	Buy (add'l)	03/18/20	J		
63.					Sold (part)	05/20/20	J		
64. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	K	T	Buy (add'l)	03/18/20	J		
65. ISHARES IBOXX HY COR BD ETF (HYG)	A	Dividend	J	T	Buy	04/08/20	J		
66.					Buy (add'l)	05/20/20	J		
67. ISHARES MSCI JAPAN (EWJ)		None			Sold	05/20/20	J		
68. ISHARES RUSSELL 1000 GR (IWF)	A	Dividend	K	T	Sold (part)	05/20/20	J		

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69. ISHARES RUSSELL 1000 VALUE (IWD)	A	Dividend	K	T	Buy (add'l)	03/18/20	J		
70. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T					
71. ISHARES RUSSELL 2000 VALUE (IWN)	A	Dividend	J	T	Buy (add'l)	05/20/20	J		
72. ISHARES RUSSELL MIDCAP G (IWP)	A	Dividend	J	T					
73. ISHARES RUSSELL MIDCAP V (IWS)	A	Dividend	J	T	Buy (add'l)	03/18/20	J		
74. ISHARES TIPS BOND ETF (TIP)	A	Dividend			Sold	04/08/20	J	A	
75. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	J	T					
76. VANGUARD SHORT TERM BND (BSV)	A	Dividend	J	T					
77. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	J	T	Buy (add'l)	03/18/20	J		
78. ACCOUNT #4 (H)									
79. BANK OF AMERICA CORP (06051GFW4)	A	Interest	J	T	Buy	09/14/20	J		
80. CAPITAL ONE FINANCIAL CORP (14040HBY0)	A	Interest	J	T	Buy	09/10/20	J		
81. AMERICAN EXPRESS CO (025816BU2)	A	Interest	J	T	Buy	09/10/20	J		
82.					Buy (add'l)	12/08/20	J		
83. CVS HEALTH CORP (126650CT5)	A	Interest	J	T	Buy	09/10/20	J		
84. WELLS FARGO & CO (949746SA0)		None	J	T	Buy	09/10/20	J		
85.					Buy (add'l)	12/08/20	J		

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86. GOLDMAN SACHS GROUP INC (8141GGQ1)		None	J	T	Buy	09/10/20	J		
87.					Buy (add'l)	12/08/20	J		
88. ORACLE CORP (68389XBK0)	A	Interest	J	T	Buy	09/10/20	J		
89.					Buy (add'l)	12/08/20	J		
90. BANK OF NEW YORK MELLON CORP (06406HBY4)		None	J	T	Buy	12/08/20	J		
91. LOWE'S COS INC (548661CW5)	A	Interest	J	T	Buy	09/10/20	J		
92.					Buy (add'l)	12/08/20	J		
93. STARBUCKS CORP (855244AY5)	A	Interest	J	T	Buy	09/10/20	J		
94.					Buy (add'l)	12/08/20	J		
95. UNITED PARCEL SERVICE INC (911312BC9)	A	Interest	J	T	Buy	09/10/20	J		
96.					Buy (add'l)	12/08/20	J		
97. HOME DEPOT INC (437076BG6)	A	Interest	J	T	Buy	09/10/20	J		
98. JOHN DEERE CAPITAL CORP (24422EVG1)		None	J	T	Buy	09/10/20	J		
99.					Buy (add'l)	12/08/20	J		
100. INTEL CORP REGS (458140AR1)		None	J	T	Buy	09/10/20	J		
101.					Buy (add'l)	12/08/20	J		
102. CHEVRON USA INC (166756AF3)		None	J	T	Buy	09/10/20	J		

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103.					Buy (add'l)	12/08/20	J		
104. HONEYWELL INTERNATIONAL INC (438516CC8)		None	J	T	Buy	09/10/20	J		
105.					Buy (add'l)	12/08/20	J		
106. TOYOTA MOTOR CREDIT CORP (89236TGW9)	A	Interest	J	T	Buy	09/10/20	J		
107.					Buy (add'l)	12/08/20	J		
108. EXXON MOBIL CORP (30231GBL5)	A	Interest	J	T	Buy	09/10/20	J		
109.					Buy (add'l)	12/08/20	J		
110. APPLE INC (037833AK6)	A	Interest	J	T	Buy	09/10/20	J		
111.					Buy (add'l)	12/08/20	J		
112. CITIGROUP INC (172967GT2)	A	Interest	J	T	Buy	09/10/20	J		
113.					Buy (add'l)	12/08/20	J		
114. AMERICAN HONDA FINANCE CORP (02665WDK4)		None	J	T	Buy	09/10/20	J		
115.					Buy (add'l)	12/08/20	J		
116. CATERPILLAR FINANCIAL SERVICES CORP (14913R2D8)		None	J	T	Buy	09/10/20	J		
117.					Buy (add'l)	12/08/20	J		
118. NORTHROP GRUMMAN CORP (666807BG6)		None	J	T	Buy	09/10/20	J		
119.					Buy (add'l)	12/08/20	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

03/10/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. GENERAL MILLS INC (370334CE2)	A	Interest	J	T	Buy	09/10/20	J		
121.					Buy (add'l)	12/08/20	J		
122. TOTAL CAPITAL INTERNATIONAL SA (89153VAG4)		None	J	T	Buy	09/10/20	J		
123.					Buy (add'l)	12/08/20	J		
124. FIFTH THIRD BANCORP (316773CX6)		None	J	T	Buy	12/10/20	J		
125. ALTRIA GROUP INC (02209SAS2)		None	J	T	Buy	09/10/20	J		
126.					Buy (add'l)	12/08/20	J		
127. THERMO FISHER SCIENTIFIC INC (883556BF8)		None	J	T	Buy	09/10/20	J		
128.					Buy (add'l)	12/08/20	J		
129. MASTERCARD INC (576360AB0)	A	Interest	J	T	Buy	09/10/20	J		
130.					Buy (add'l)	12/08/20	J		
131. COMCAST CORP (20030NCR0)	A	Interest	J	T	Buy	09/10/20	J		
132.					Buy (add'l)	12/08/20	J		
133. BECTON DICKINSON AND CO (075887BV0)	A	Interest	J	T	Buy	09/10/20	J		
134.					Buy (add'l)	12/08/20	J		
135. BAT CAPITAL CORP (05526DBG9)		None	J	T	Buy	09/10/20	J		
136.					Buy (add'l)	12/08/20	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

03/10/2021

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. VERIZON COMMUNICATIONS INC (92343VCR3)	A	Interest	J	T	Buy	09/10/20	J		
138. AT&T INC (00206RDD1)		None	J	T	Buy	09/10/20	J		
139. SHELL INTERNATIONAL FINANCE BV (822582CF7)	A	Interest	J	T	Buy	09/10/20	J		
140.					Buy (add'l)	12/08/20	J		
141. AUTOZONE INC (053332AY8)	A	Interest	J	T	Buy	09/10/20	J		
142.					Buy (add'l)	12/08/20	J		
143. AMGEN INC (031162BY5)	A	Interest	J	T	Buy	09/10/20	J		
144.					Buy (add'l)	12/08/20	J		
145. NEXTERA ENERGY CAPITAL HOLDINGS INC (65339KB02)	A	Interest	J	T	Buy	09/10/20	J		
146.					Buy (add'l)	12/08/20	J		
147. FEDEX CORP (31428XBY1)	A	Interest	J	T	Buy	09/10/20	J		
148.					Buy (add'l)	12/08/20	J		
149. DTE ENERGY CO (233331BG1)	A	Interest	J	T	Buy	09/10/20	J		
150.					Buy (add'l)	12/08/20	J		
151. ENTERGY CORP (29364GAM5)		None	J	T	Buy	09/10/20	J		
152.					Buy (add'l)	12/08/20	J		
153. ALLSTATE CORP (020002BH3)		None	J	T	Buy	12/08/20	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. ACCOUNT #5 (H)									
155. MS MARKET LINKED NOTE DJIA (SPPWW)		None	K	T					
156. MORGAN STANLEY (61744YAH1)	B	Interest	L	T					
157. ACCOUNT #6 (H)									
158. MORGAN STANLEY BANK (cash) (X)		None	J	T					
159. STARBUCKS CORP WASHINGTON (SBUX)	A	Dividend	J	T					
160. WALGREEN BOOTS ALL INC (WBA)	A	Dividend	J	T					
161. COMENITY BANK SALT LAKE CITY UT CD (20033AVV5)	A	Interest			Redeemed	08/18/20	J		
162. ALLIANCE BERNSTEIN SMALL CAP GROWTH (QUASX) (Y)									
163. AB SMALL CAP GRW ADV (QUAYX) (X)	B	Dividend	K	T					
164. ACCOUNT #7 (H)									
165. MORGAN STANLEY BANK (cash)	A	Interest	N	T					
166. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend	J	T					
167. GOLDMAN SACHS GRP INC (GS.J)	B	Dividend	K	T					
168. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					
169. WELLS FARGO & CO SER-X (WFC.X)	B	Dividend	K	T					
170. ISHARES BARCLAYS 1-3 YRS BD (SHY)	C	Dividend	N	T	Sold (part)	06/30/20	L	C	

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)
171. WALKER CNTY ALA BRD ED -A (931541GG5)	A	Interest			Redeemed	03/02/20	J		
172. ORANGE BEACH ALA WTR SWR & FIRE (68407LFR5)	A	Interest			Redeemed	05/15/20	K	A	
173. VIRGINIA ST RES AUTH WTR & SWR ZERO COUPON (928181HR0)		None			Redeemed	11/02/20	J		
174. CONNECTICUT HSNG FIN AUTH MORTG REV B-1 (20775BM45)	A	Interest			Redeemed	11/16/20	K		
175. MISSOURI ST HEALTH & EDL FACS AUTH (60637ACS9)	A	Interest			Redeemed	11/16/20	K		
176. HAMILTON CNTY OHIO SALES TAX ZERO COUPON (407287KH3)		None			Redeemed	12/01/20	J		
177. VIRGINIA ST HSG DEV AUTH COMWL (92812UF60)	A	Interest	L	T					
178. CARSON CITY NEV CAP IMPT REF A (1458076H1)	A	Interest	K	T					
179. AMES IOWA CMNTY SCH DIST (030825MP5, 030825MN0, M2)	C	Interest	M	T					
180. METRO WA D C ARPTS AUTH DULLES TOLL RD REV-B (592643AP5)		None	K	T					
181. HOUSTON TEX WTR & SWR SYS REV SER A (4424365W7, L1)		None	K	T					
182. NORTHBROOK ILL GENL OBLIG SER 1 (663821TK2)	A	Interest	K	T					
183. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY (54589NBC8)	A	Interest	K	T					
184. LAKE CNTY ILL WARREN TWP HS DIST (509174SN9, 509174SS8)	A	Interest	L	T					
185. IOWA HIGHER ED LN AUTH REV (4624603X2)	A	Interest	K	T					
186. DAVENPORT IOWA COPR REF-A (238388MV1)	B	Interest	L	T					
187. SHARON MASS MUN PURP LN (819649XB5)	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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Name of Person Reporting

PRATT, ROBERT W.

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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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	(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)
188. PIMA COUNTY ARIZ GENERAL OBLIGATION (721663XD9)	B	Interest	L	T					
189. KINGSFORT TENN BE (496443NL2)	A	Interest	J	T					
190. DES MOINES IOWA WTR REV REF B (250152GQ2)	B	Interest	L	T					
191. JANESVILLE WI GENL BE (470844X22)	A	Interest	K	T					
192. COLLIER CNTY FLA GAS TAX REV (19463PDG6)	A	Interest	K	T					
193. STATE UNIV IOWA ATHLETIC FACS REV (8575355M6)	B	Interest	L	T					
194. FORT BEND CNTY TEX WTR CTL & IMPT DIST NO 2 (346820SZ7)	A	Interest	K	T					
195. MONTGOMERY CO MD HSG OPP (6133492E8)	B	Interest	K	T					
196. DESCHUTES CNTY ORE ADMIN SCH DIST NO-1 (250325SA6)	A	Interest	K	T					
197. TOMPKINS CNTY NY IMPT GENL OBLIG (890091UM1)	B	Interest	L	T					
198. JEA FLA WTR & SWR SYS SUB (46615SCS5)	A	Interest			Redeemed	08/13/20	K	A	
199. PATCHOGUE-MEDFORD NY UN FREE SCH DIST (703023PJ4)	A	Interest	J	T					
200. BROOKHAVEN NY PUB IMPT-B (113152TF9)	B	Interest	L	T					
201. TENNESSEE ENERGY ACQUISITION CORP GAS REV (880443ED4)	B	Interest	K	T					
202. LINCOLN CNTY KY SCH DIST FIN BE (533206KQ0)	A	Interest	K	T					
203. ARLINGTON TEX FOR ISSUES DATED BE (041796KY8)	B	Interest	L	T					
204. GRAND FORKS N D WTR BE (385514HX5)	A	Interest	K	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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	(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)
205. TRUMBULL CONN GENLT OBLIG (898116P51)	A	Interest			Redeemed	09/01/20	J	A	
206. FSU FINL ASSISTANCE INC FLA BE (302644DY2)	A	Interest	J	T					
207. HILLSBOROUGH CNTY FLA CMNTY INVT TAX BE (43231YFS0)	A	Interest	K	T					
208. RUSHFORD MINN BE (782021HR3)	B	Interest			Redeemed	07/27/20	K	A	
209. ABERDENN TWP N J BE (003269DW4)	A	Interest	J	T					
210. CITY OF HOUSTON TX COMBINED UTIL BE (442435N66)	A	Interest	J	T					
211. WASHINGTON ST (93974C5L0)	B	Interest	K	T					
212. MASSACHUSETTS ST GENL OBLIG-B (57582PF96)	B	Interest	K	T					
213. NORWALK IOWA (669045PQ3)	B	Interest	L	T					
214. STATE UNIV IOWA UNIV REV (857536US3)	A	Interest	K	T					
215. NEW YORK STATE HSG FIN AGY BE (64986UQS9)	A	Interest	K	T					
216. FLOWER MOUND TX BE (343487U44)	B	Interest	K	T					
217. WAVERLY IOWA WTR RE OID (943665EB1)	A	Interest	K	T					
218. MAINE ST TPK AUTH SPL BE (560543BW9)	B	Interest	K	T					
219. IOWA ST SPL OBLIG (46257TDP1)	B	Interest			Redeemed	09/25/20	K		
220. XEROX CORP (984121CH4)	A	Interest			Redeemed	05/15/20	K		
221. GOLDMAN SACHS (36161TVU6, 38143U8H7)	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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Name of Person Reporting

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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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	(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)
222. WALGREENS BOOTS ALLIANCE (931427AQ1)	B	Interest	L	T					
223. WELLS FARGO & CO (94974BFY1)	B	Interest	K	T					
224. BANK OF AMERICA (06051GFL8)	B	Interest	K	T					
225. CITIGROUP INC (172967JC6)	B	Interest	K	T					
226. QUALCOMM INC (747525AU7)	B	Interest	L	T					
227. BMW SALT LAKE CITY UT CD (05580AKX1)	B	Interest			Redeemed	10/27/20	K		
228. DISCOVER BK GREEN GREENWOOD DE CD (254673QX7)	B	Interest	L	T					
229. SYNCHRONY DRAPER UT CD (87164YQH0)	B	Interest	M	T					
230. PIONEER MLTI AST ULT SHT INC Y (MYFRX)	B	Dividend	L	T	Sold (part)	06/30/20	L		
231. ACCOUNT #8 (H)									
232. MORGAN STANLEY BANK (cash) (X)		None	J	T					
233. ROYAL CARIBBEAN CRUISES LTD (780153AXO)	A	Interest			Buy	07/08/20	J		
234.					Redeemed	11/30/20	J	A	
235. PDC ENERGY INC (69327RAD3)	A	Interest	J	T	Buy	07/22/20	J		
236.					Buy (add'l)	11/09/20	J		
237. DISH DBS CORP (25470XAJ4)	A	Interest	J	T	Buy	07/07/20	J		
238. ANDEAVOR LLC (881609AZ4)	A	Interest			Buy	08/19/20	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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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239.					Redeemed	10/01/20	J		
240. AMC NETWORKS INC (00164VAC7)	A	Interest	J	T	Buy	07/07/20	J		
241. CROWN AMERICAS CAPITAL CORP IV (228189AB2)		None	J	T	Buy	07/23/20	J		
242. AIRCASTLE LTD (009280AP6)	A	Interest	J	T	Buy	07/07/20	J		
243. HCA INC (404121AF2)		None			Buy	07/07/20	J		
244.					Sold	09/30/20	J		
245. CINEMARK USA INC (172441AZ0)	A	Interest	J	T	Buy	07/08/20	J		
246. EMC CORP (268648AN2)	A	Interest	J	T	Buy	07/07/20	J		
247. BERRY GLOBAL INC (085790AY9)	A	Interest	J	T	Buy	07/07/20	J		
248.					Redeemed (part)	09/09/20	J		
249. SUMMIT MATERIALS LLC/SUMMIT MATERIALS FINANCE CORP (86614RAG2)	A	Interest			Buy	07/10/20	J		
250.					Redeemed	08/11/20	J		
251. VISTA OUTDOOR INC (928377AB6)	A	Interest	J	T	Buy	07/09/20	J		
252. CENTURYLINK INC (156700AX4)	A	Interest	J	T	Buy	07/07/20	J		
253. MERITOR INC (59001KAD2)	A	Interest	J	T	Buy	07/08/20	J		
254.					Redeemed (part)	12/16/20	J	A	

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

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Name of Person Reporting

PRATT, ROBERT W.

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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)
255. OUTFRONT MEDIA CAPITAL CORP (12505FAD3)	A	Interest	J	T	Buy	07/07/20	J		
256. QVC INC (747262AS2)	A	Interest	J	T	Buy	07/08/20	J		
257. AMERIGAS PARTNERS LP/AMERIGAS FINANCE CORP (030981AH7)	A	Interest	J	T	Buy	07/07/20	J		
258. WESCO DISTRIBUTION INC (95081QAM6)	A	Interest	J	T	Buy	07/08/20	J		
259. LOUISIANA-PACIFIC CORP (546347AK1)	A	Interest	J	T	Buy	07/08/20	J		
260. CDK GLOBAL INC (12508EAD3)	A	Interest	J	T	Buy	07/07/20	J		
261. BOARDWALK PIPELINES LP (096630AD0)	A	Interest	J	T	Buy	07/07/20	J		
262. CENTENE CORP (15135BAJ0)	A	Interest	J	T	Buy	07/07/20	J		
263. SILGAN HOLDINGS INC (827048AU3)	A	Interest	J	T	Buy	07/14/20	J		
264. RANGE RESOURCES CORP (75281AAS8)	A	Interest	J	T	Buy	07/08/20	J		
265. H&E EQUIPMENT SERVICES INC (404030AH1)	A	Interest			Buy	07/07/20	J		
266.					Redeemed	12/30/20	J	A	
267. BLUE CUBE SPINCO LLC (095370AD4)	A	Interest	J	T	Buy	07/07/20	J		
268. LAMAR MEDIA CORP (513075BL4)	A	Interest	J	T	Buy	07/08/20	J		
269. BALL CORP (058498AV8)	A	Interest	J	T	Buy	07/07/20	J		
270. ARAMARK SERVICES INC (038522AN8)	A	Interest	J	T	Buy	07/07/20	J		
271. TELEFLEX INC (879369AE6)	A	Interest	J	T	Buy	07/10/20	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
272. QORVO INC (74736KAF8)	A	Interest			Buy	07/08/20	J		
273.					Sold	09/16/20	J	A	
274. GENERAL MOTORS FINANCIAL CO INC (37045XBT2)	A	Interest	J	T	Buy	07/07/20	J		
275. QVC INC (747262AY9)	A	Interest	J	T	Buy	07/09/20	J		
276. GOODYEAR TIRE & RUBBER CO (382550BG5)	A	Interest	J	T	Buy	07/07/20	J		
277. CEDAR FAIR LP/CANADA'S WONDERLAND/MAGNUM MGMT (150190AB2)	A	Interest	J	T	Buy	07/09/20	J		
278. MPT OPERATING PARTNERSHIP LP/ MPT FINANCE CORP (55342UAH7)	A	Interest	J	T	Buy	07/07/20	J		
279. SERVICE CORP INTERNATIONAL (817565CD4)	A	Interest	J	T	Buy	07/08/20	J		
280. MGM GROWTH PROPERTIES OPERATING PARTNERSHIP LP/MGP FINANCE (55303XAF2)		None	J	T	Buy	07/08/20	J		
281. NRG ENERGY INC (629377CE0)	A	Interest	J	T	Buy	07/07/20	J		
282.					Sold	07/09/20	J		
283.					Buy	07/09/20	J		
284. UNITED RENTALS NORTH AMERICA INC (911365BG8)	A	Interest	J	T	Buy	07/08/20	J		
285.					Sold	07/09/20	J		
286.					Buy	07/09/20	J		
287. SILGAN HOLDINGS INC (827048AW9)	A	Interest	J	T	Buy	08/25/20	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 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
2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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Name of Person Reporting

PRATT, ROBERT W.

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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)
288. T-MOBILE USA INC (87264AAV7)	A	Interest	J	T	Buy	07/09/20	J		
289. CHARTER COMMUNICATIONS OPERATI NG LLC (161175BJ2)	A	Interest	J	T	Buy	07/08/20	J		
290. DELL INC (247025AE9)	A	Interest	J	T	Buy	07/08/20	J		
291. TENNESSEE GAS PIPELINE CO LLC (880451AV1)	A	Interest	J	T	Buy	07/08/20	J		
292. NETFLIX INC (64110LAT3)	A	Interest	J	T	Buy	07/07/20	J		
293. KRAFT HEINZ FOODS CO (50077LAT3)	A	Interest	J	T	Buy	07/07/20	J		
294. OCCIDENTAL PETROLEUM CORP (674599CS2)	A	Interest	J	T	Buy	07/08/20	J		
295.					Sold	07/09/20	J		
296.					Buy	07/09/20	J		
297. QORVO INC (74736KAH4)	A	Interest	J	T	Buy	09/17/20	J		
298. DIAMONDBACK ENERGY INC (25278XAN9)	A	Interest	J	T	Buy	07/07/20	J		
299. APACHE CORP (037411BF1)	A	Interest	J	T	Buy	07/07/20	J		
300. OLIN CORP (680665AK2)	A	Interest	J	T	Buy	07/07/20	J		
301. HCA INC (404119CA5)		None	J	T	Buy	09/30/20	J		
302. QUANTA SERVICES INC (74762EAF9)		None	J	T	Buy	09/17/20	J		
303. CENTRAL GARDEN & PET CO (153527AN6)		None	J	T	Buy	10/01/20	J		
304. FORD MOTOR CO (345370CA6)		None	J	T	Buy	12/18/20	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		

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)
305. TENNESSEE GAS PIPELINE CO LLC (880451AW9)	A	Interest	J	T	Buy	07/13/20	J		
306. MASCO CORP (574599AY2)	A	Interest	J	T	Buy	07/10/20	J		
307. FREEPORT-MCMORAN INC (35671DBJ3)		None	J	T	Buy	12/01/20	J		
308. EMBARQ CORP (29078EAA3)	A	Interest	J	T	Buy	07/09/20	J		
309. KRAFT HEINZ FOODS CO (50076QAR7)	A	Interest	J	T	Buy	07/08/20	J		
310. ACCOUNT #9 (H)									
311. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
312. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
313. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
314. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
315. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
316. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
317. ACCOUNT #10 (H)									
318. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
319. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
320. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
321. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	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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Name of Person Reporting

PRATT, ROBERT W.

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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)
322. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
323. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
324. ACCOUNT #11 (H)									
325. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
326. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
327. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
328. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
329. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
330. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
331. ACCOUNT #12 (H)									
332. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
333. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
334. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
335. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
336. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
337. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
338. ACCOUNT #13 (H)									

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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PRATT, ROBERT W.

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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)
339. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
340. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
341. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
342. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
343. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
344. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
345. ACCOUNT #14 (H)									
346. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
347. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
348. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
349. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
350. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
351. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
352. ACCOUNT #15 (H)									
353. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
354. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
355. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	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	

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PRATT, ROBERT W.

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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)
356. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
357. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
358. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
359. ACCOUNT #16 (H)									
360. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
361. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
362. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
363. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/18/20	J		
364. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
365. VOYA 529 US STOCK INDEX OPT A (ACQGA)		None	J	T					
366. ACCOUNT #17 (H)									
367. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
368. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
369. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
370. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/18/20	J		
371. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
372. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	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	

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PRATT, ROBERT W.

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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)
373. ACCOUNT #18 (H)									
374. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
375. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
376. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
377. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/18/20	J		
378. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
379. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
380. ACCOUNT #19 (H)									
381. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
382. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
383. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
384. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/09/20	J		
385. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
386. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
387. ACCOUNT #210(H)									
388. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
389. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	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
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
390. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
391. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	12/18/20	J		
392. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
393. VOYA 529 US STOCK INDEX OPT A (ACQGA) (X)		None	J	T					
394. ACCOUNT #21 (H)									
395. MS EMERGING MKTS DOMESTIC DEBT (EDD) (X)	B	Dividend			Sold	02/03/20	J		

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

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

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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/ ROBERT W. PRATT**

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