

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) Trust, Alan S.	2. Court or Organization Bankruptcy Court	3. Date of Report 09/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	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 290 Federal Plaza, 9th floor Central Islip, NY 11722		
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. Adjunct professor of law | St John's University School of Law, Queens NY |
| 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. April 2008 | following dissolution of Trust.Law.Firm, P.C. on April 1, 2008, I am to receive the net profits of the firm recieved thereafter based on my sole ownership |
| 2. | |
| 3. | |

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Name of Person Reporting

Trust, Alan S.

Date of Report

09/09/2021

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. 2020	Teaching - St Johns University School of Law	\$8,000.00
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.	
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. Federal Bar Association	2/25/20	Brooklyn, NY	attend bar ass'n event	reimbursement for actual out of pocket travel
2. American Bankr Institute	3/2/20	NY, NY	judge at a moot court competition	reimbursement for actual out of pocket travel
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Trust, Alan S.	09/09/2021

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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Trust, Alan S.

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09/09/2021

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)	(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 (H)									
2. Ameriprise / Columbia Cash Mgt Accounts IDSXX	A	Interest	J	T					
3. RVS Life Fixed (fully annuitized 12.30.19)	E	Distribution	M	T					
4. AVZ- A (H)									
5. Blackrock Total Ret. (was AMP) MAHQX		None			Sold	4/9/20	J		Loss
6. Artisan High Income ARTFX		None			Sold	04/09/20	J		Loss
7. Amer Cent Inflation Adjusted Bond AIAHX	A	Int./Div.	J	T					
8. AVZ-A-NEW (H)									
9. Inv. Opp Disc ODIYX	C	Int./Div.	K	T					
10. AMG Times Sq Small Cap TQTI	B	Int./Div.	K	T					
11. Inv Opp Int'l Grw OIGYX	B	Int./Div.	K	T					
12. Casuseway Emerg Mkts Fund CEMIX	B	Int./Div.	J	T					
13. DElaware Value FUND DDVIX		None	L	T					
14. DWS Enhanced Commod Strat SKIRX		None	K	T					
15. Emerald Growth FGROX	C	Int./Div.	J	T					
16. Harding Loevner Inst. Emerg Mkts HLMEX	B	Int./Div.	J	T					
17. Hartford Scriders Intl MLT HFYYX	A	Int./Div.	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	
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)
18. Loomis Sayles Gr. LSGRX	E	Int./Div.	L	T					
19. PIMCO Total ret. PTTNX	A	Int./Div.	K	T					
20. ISHARES Core S&P 500 ETF IVV	E	Int./Div.	M	T					
21. ISHARES CORE US AGG BOND ETF AGG	C	Int./Div.	M	T					
22. ISHARES RUSSELL 2000 ETF IWM	D	Int./Div.	K	T					
23. ISHARES TRUST CORE MSCI ETF IEFA	C	Int./Div.	K	T					
24. ISHARES CORE MSCI EMERGING ETF IEMG	C	Int./Div.	K	T					
25. MFS New Disc Value Fund NDVIX	A	Int./Div.	K	T					
26. Metropolitan West Total Ret MWTIX	A	Int./Div.	L	T					
27. Principal RE SEC Inst PIREX		None	J	T					
28. Vanguard RE ETF VNQ		None	J	T					
29. AVZ- L (H)									
30. Inv. Opp Disc ODIYX	A	Int./Div.	J	T					
31. AMG Timesquare Int Sm TQTIX	A	Int./Div.	J	T					
32. invesco Opp Int'l Growth OIGYX	A	Int./Div.	J	T					
33. Cayseway Emerging Mkt CEMIX	A	Int./Div.	J	T					
34. Delaware Value DDVIX		None	J	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

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)
35. DWS Enhanced Comm SKIRX		None	J	T					
36. Harding Loevner Inst Emrg HLMEX	A	Int./Div.	J	T					
37. Hartford Schroeder MLT CP HFYYX	A	Int./Div.	J	T					
38. ISHARES SP 500 IVV	C	Int./Div.	K	T					
39. ISHARES CORE US BOND ETF AGG	A	Int./Div.	K	T					
40. ISHARES RUSSELL 2000 ETF IWM	B	Int./Div.	J	T					
41. ISHARES TRUST CORE MSCI ETF IEFA	A	Int./Div.	J	T					
42. ISHARES CORE MSCI EMERGING ETF IEMG	A	Int./Div.	J	T					
43. MFS New Disc Value Fund NDVIX	A	Int./Div.	J	T					
44. Metropolitan West Total Ret MWTIX	A	Int./Div.	J	T					
45. Principal RE SEC Inst PIREX		None	J	T					
46. Vanguard RE ETF VNQ		None	J	T					
47. PIMCO Total ret. PTPPX	A	Int./Div.	J	T					
48. Loomis Sayles Gr. LSGRX	C	Int./Div.	K	T					
49. Emerald Growth FGROX	A	Int./Div.	J	T					
50. IISIX		None			Sold	04/09/20	J		loss
51. BIICX		None			Sold	04/09/20	J		Loss

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
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Q =Appraisal
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B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
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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
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FINANCIAL DISCLOSURE REPORT

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52. BHYIX		None			Sold	04/09/20	J		Loss
53. Alliance Bernstein Disc Value (A IRA)									see part VIII
54. Mass Mutual (H)									
55. Mass Mutual Annuity -- MML Equity		None			Sold	10/07/20	J		transfer within MassMu
56. MML Opp Global Strategic Income		None			Sold	09/28/20	J		transfer within MassMu
57. Mass Mutual Annuity -- Opp Global		None			Sold	10/06/20	J		transfer within MassMu
58. Mass Mutual Annuity -- Opp Main Street Small Cap		None	J	T					
59. Mass Mutual Annuity -- Opp Main Street		None	J	T	Sold (part)	09/15/20	J		trasfer within MassMu
60. MassMu Opp Disc MidCap		None			Sold	10/08/20	J		transfer within MassMu
61. MML US Gov't Money Market		None	J	T	Buy (add'l)	09/18/20	J		transfer within MassMu
62.					Buy (add'l)	09/25/20	J		transfer within MassMu
63. MML Managed Bond		None	K	T	Buy (add'l)	09/25/20	J		transfer within MassMu
64.					Buy (add'l)	09/18/20	J		transfer within MassMu
65.					Buy (add'l)	09/16/20	J		transfer wthin MassMu
66.					Buy (add'l)	09/28/20	J		transfer within MassMu
67.					Buy (add'l)	09/29/20	J		transfer within MassMu
68.					Buy (add'l)	09/30/20	J		transfer within MassMu

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69.					Buy (add'l)	10/1/20	J		trasfer within MassMu
70.					Buy (add'l)	10/06/20	J		trasfer within MassMu
71.					Buy (add'l)	10/07/20	J		transfer within MassMu
72.					Buy (add'l)	10/08/20	J		transfer within MassMu
73.					Buy (add'l)	10/14/20	J		transfer within MassMu
74. MML Blend		None			Sold	09/16/20	J		transfer within MassMu
75. Invesco Opp Gov't Money		None	J	T	Buy	09/25/20	J		
76. SCHOLARS EDGE (H)									
77. Principal Blue Chip Portfolio		None	J	T	Sold (part)	7/28/20	J	A	
78. Aggressive Portfolio		None	K	T	Sold (part)	1/15/20	J		rollover to NY 529 line123
79.					Sold (part)	1/23/20	J		rollover to NY 529 line123
80.					Sold (part)	01/02/20	J	A	
81.					Sold (part)	7/28/20	J	A	
82. Moderate Portfolio fka 60		None	J	T					
83.									
84. Vanguard Mid Cap Index		None	J	T					
85. Principal SystematEx Int'l Portfolio		None	J	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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86.									
87. Merrill Lynch (H)									
88. AMZN		None	J	T	Sold (part)	01/31/20	J	B	
89.					Sold (part)	08/18/20	J	B	
90.					Sold (part)	09/20/20	J	B	
91. APPL	A	Dividend			Sold	05/05/20	J	B	
92. CVS	A	Dividend	J	T	Sold (part)	11/05/20	J		loss
93. DIS	A	Dividend	J	T	Sold (part)	08/05/20	J	A	
94. DUNKIN		None			Buy	03/11/20	J		
95.					Buy (add'l)	03/17/20	J		
96.					Sold (part)	06/03/20	J	A	
97.					Sold (part)	08/27/20	J	B	
98.					Sold	12/28/20	J	C	
99. Eli Lilly	A	Dividend	J	T	Buy	12/03/20	J		
100. FB		None			Sold (part)	08/19/20	J	B	
101.					Sold	08/25/20	J	B	
102. GOOGL		None			Sold (part)	09/02/20	J	A	

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3 Value Method Codes (See Column C2)					

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103.					Sold	11/05/20	J	B	
104. GRPN		None	J	T	Sold (part)	12/09/20	J	A	
105.					Sold (part)	04/28/20	J		loss
106.					Sold (part)	06/08/20	J	A	
107. JETBLUE		None	J	T	Buy	03/30/20	J		
108.					Sold (part)	05/27/20	J		loss
109. NYT	A	Dividend	J	T	Sold (part)	10/06/20	J	A	
110. ORCL	A	Dividend			Sold (part)	08/25/20	J	A	
111.					Sold	10/07/20	J		
112. PFIZER		None	J	T	Buy	11/18/20	J		
113. SIEGY	A	Dividend			Sold	04/07/20	J	A	loss
114. LUV	A	Dividend	K	T	Buy (add'l)	03/10/20	J		
115.					Buy (add'l)	04/10/20	J		
116.					Buy (add'l)	05/04/20	J		
117.					Sold (part)	08/04/20	J		loss
118.					Sold (part)	11/09/20	J	A	
119. Planet Fitness		None			Buy	03/17/20	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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Trust, Alan S.

Date of Report

09/09/2021

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.					Sold	06/03/20	J	C	
121. Stryker		None			Buy	04/01/20	J		
122.					Sold	09/02/20	J	B	
123. NY 529 (H)									
124. Aggressive Growth Port.		None	J	T	Sold (part)	01/16/20	J	A	
125.					Sold (part)	01/24/20	J	A	
126. Mid Cap Stock Port.		None	J	T	Sold (part)	01/16/20	J	A	
127.					Sold (part)	01/24/20	J	A	
128. Small Cap Stock Port.		None	J	T	Sold (part)	01/16/20	J	A	
129.					Sold (part)	01/24/20	J	A	
130. Growth port		None	J	T	Sold (part)	01/16/20	J	A	
131. Mod Growth Port		None	J	T	Sold (part)	01/24/20	J	A	
132. MISC. ASSETS (H)									
133. Belt West Funding Corp raw land in Dallas County		None	J	U					
134. Royal McAbee universal life insurance		None	J	T					
135. State of Israel savings bond	A	Interest	K	T	Redeemed (part)	3/1/20	J	A	Mazel Toy bond
136. Energy East common stock	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	

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Name of Person Reporting

Trust, Alan S.

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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. Justice Federal cash bank accounts	A	Int./Div.	L	T					
138. Wells Fargo checking acct	A	Interest	J	T					
139. US treasuries	A	Interest	K	T					
140. AMERICAN GENERAL IRA and de minimus common stock	A	Int./Div.	J	T					
141. INVESCO-AL (H)									
142. Opp Main Street MSIGX	B	Int./Div.	K	T	Buy (add'l)	11/02/20	J		reallcatoin within Invesc
143. Opp Discovery OPOCX	D	Int./Div.	L	T	Buy (add'l)	11/2/20	J		reallocation within Invesc
144. Opp Main St Mid Cap OPMSX	A	Int./Div.	J	T	Sold (part)	11/2/20	J		reallocation within INvesc
145. Opp Disc Mid Cap Gr (b) OEGAX	B	Int./Div.	K	T	Buy (add'l)	11/02/20	J		reallocation within Invesc
146.					Sold (part)	10/01/20	J		reallocation within INvesc
147.					Sold (part)	11/30/20	J		erallocation within Invesc
148. Opp Equity Inc. OAEIX	A	Int./Div.			Sold	04/17/20	J		reallocation within Invesc
149. Opp Rising Divs (b) OARDX	A	Int./Div.	J	T	Buy (add'l)	11/02/20	J		reallocation within Invesc
150. OFI Main St Small Cap OSCAX	A	Int./Div.	J	T	Buy (add'l)	11/02/20	J		reallocation within Invesc
151. Opp Global Focus GLVAX	B	Int./Div.	K	T	Buy (add'l)	11/02/20	J		reallocation within Invesc
152. OFI Intl Small Mid OSMAX		None			Sold	11/02/20	J		reallocation within Invesc
153. OFI IntL; Diversity OIDAX	A	Int./Div.	J	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		

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. OFI Port Series Growth OAAIX		None			Buy (add'l)	02/06/20	J		reallocation within Invesc
155.					Sold	11/02/20	J		reallocation within Invesc
156. OFI Cap App OPTFX	A	Int./Div.	J	T	Buy (add'l)	10/01/20	J		reallocation within Invesc
157.					Buy (add'l)	11/30/20	J		reallocation within Invesc
158. OFI Global Opp OPGIX	B	Int./Div.	J	T	Sold (part)	02/06/20	J		reallocation within Invesc
159.					Sold (part)	10/01/20	J		reallocation within Invesc
160.					Buy (add'l)	11/30/20	J		reallocation within Invesc
161. OFI Intl Growth OIGAX	A	Int./Div.	J	T	Buy (add'l)	02/06/20	J		reallocation within Invesc
162. Core Bond Fund (OPIGX)	A	Int./Div.			Buy	10/01/20	J		reallocation within Invesc
163.					Sold	11/30/20	J		reallocation within Invesc
164. Intermed Bond Factor (OFIAX)	A	Int./Div.			Buy	10/01/20	J		reallocation within Invesc
165.					Sold	11/30/20	J		reallocation within Invesc
166. Dividend Inc Fund (IAUTX)	A	Int./Div.			Buy	04/17/20	J		reallocation within Invesc
167.					Sold	11/02/20	J		reallocation within Invesc

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

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T =Cash Market

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Name of Person Reporting

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

Line 53 Alliance Bernstein Discovery Value Fund (ABYSX) was sold 11/04/2019 but inadvertently misreported on the 2019 report. The sale amount was code K for a gain of code B.

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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/ Alan S. Trust

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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