

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 09/10/2018
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.		
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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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. 2017	Teaching - St Johns University School of Law	\$10,500.00
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. NY Intellectual Property Law Ass'n	3/23/17 - 3/24/17	NY, NY	guest at dinner	reimbursement for actual out of pocket travel, provided lodging and meals
2. American Conf Institute	4/4/17-4/5/17	Uncasville CT	speaker at a seminar in Uncasville CT	reimbursement for actual out of pocket travel and meals, provided lodging
3. Texas Bankr. Law Section	5/31/17- 6/2/17	San Antonio, Tx	speaker at a seminar in San Antonio, Tx	reimbursement for actual out of pocket travel and meals, provided lodging
4. American Conf Institute	9/25/17-9/26/17	NY, NY	speaker at a seminar in NY, NY	reimbursement for actual out of pocket travel and meals, provided lodging
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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Ameriprise / Columbia Cash Mgt Accounts IDSXX	A	Interest	J	T					
2. RVS Life Fixed (annuity)		None	K	T					See Part VIII
3. DELETED									
4. DELETED									see Part VIII
5. Goldman VIT MidCap Va (annuity)		None	J	T					see Part VIII;
6. Fid VIP Midcap C12 (annuity)		None	K	T					see Part VIII;
7. FT VIP Small Cap Valu (annuity)		None	J	T					see Part VIII
8. DELETED									See Part VIII
9. THDNDL /COL VP Emerg Mkts (annuity)		None	J	T					see Part VIII
10. DELETED									
11. DELETED									
12. Oppenheimer Strat Bond (Strar Inc.) (annuity)		None	J	T					see Part VIII
13. DELETED									
14. Alliance Bernstein Disc Valaue (A IRA)	B	Int./Div.	K	T	Sold (part)	03/24/17	J		see Part VIII
15. Mass Mutual Annuity -- MML Equity		None	J	T					see Part VIII
16. MML Opp Global Strategic Income		None	J	T	Sold (part)	02/01/17	J		see Part VIII
17.					Buy (add'l)	05/30/17	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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18. Mass Mutual Annuity -- Opp Global fka Global Strategic	A	Int./Div.	J	T	Sold (part)	02/01/17	J		
19.					Buy (add'l)	05/30/17	J		
20. Mass Mutual Annuity -- Opp Main Street Small Cap		None	K	T	Sold (part)	05/30/17	J		see Part VIII
21. Mass Mutual Annuity -- Opp Main Street		None	K	T	Buy (add'l)	02/01/17	J		see Part VIII
22.					Sold (part)	05/30/17	J		
23. Mass Mutial Oppen Discovery Midcap		None	J	T	Buy (add'l)	02/01/17	J		see Part VIII
24. Oppenheimer Cap App (both)	B	Int./Div.	K	T	Sold (part)	1/26/17	J	B	
25.					Sold (part)	2/01/17	J		see Part VIII loss
26.					Buy (add'l)	5/30/17	J		
27.					Merged (with line 222)				transfer to ML line 222
28. Oppenheimer Global Fund (both) OPPAX	A	Int./Div.	K	T	Sold (part)	01/26/17	J		see Part VIII
29.					Sold (part)	2/01/17	J		see Part VIII
30.					Sold (part)	02/09/17	J		see Part VIII
31. Oppenheimer Global Opportunities (both) (IRA and non) OPGIX	D	Int./Div.	M	T	Sold (part)	01/26/17	J		see Part VIII
32.					Buy (add'l)	01/30/17	J		
33.					Buy (add'l)	02/01/17	J		
34.					Buy (add'l)	03/13/17	J		

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

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35.					Sold (part)	03/06/17	J	A	
36.					Merged (with line 178)	07/18/17	L		moved bal. from Opp to ML
37. Oppenheimer Global Value (both)(ret and non)	A	Int./Div.	J	T	Sold (part)	01/03/17	J	A	
38. Oppenheimer Main Street Fund (both) MSIGX	C	Int./Div.	K	T	Buy (add'l)	02/01/17	J		
39.					Buy (add'l)	01/03/17	J		
40.					Buy (add'l)	03/16/17	J		
41.					Merged (with line 180)	08/08/17	L		moved part from Opp to ML
42. Oppenheimer Main Street MidCap fka Small Mid Cap Select (A) OPMSX	B	Int./Div.	K	T	Merged (with line 182)	08/08/17	L		moved part from Opp to ML
43. Oppenheimer Global Strategic Income (L) (fka Champion Income)	A	Int./Div.	J	T					
44. Oppenheimer Global Allocation (Quest) (L)	A	Int./Div.	J	T					
45. DELETED									
46. Oppenheimer Int'l Small Mid (both) (ret and non)	B	Int./Div.	K	T	Sold (part)	01/03/17	J	B	
47.					Sold (part)	05/30/17	J		see Part VIII
48. Belt West Funding Corp raw land in Dallas County		None	J	U					
49. Royal McAbee universal life insurance		None	J	T					
50. State of Israel savings bond	A	Int./Div.	J	T	Buy (add'l)	02/01/17	J		
51. Energy East	A	Int./Div.	J	T					

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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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52. Merrill Lynch / AIG fka US Life stock / cash IRA	A	Int./Div.	J	T					
53. Amprise TWEAX Amer Century Eq Income (both)	A	Int./Div.	K	T	Buy (add'l)	9/25/17	K		
54.					Sold (part)	03/24/17	J		see Part VIII
55. Amprise ODMAX Oppenheimer Developing Mkts (A IRA)	A	Int./Div.	J	T					
56. Oppenheimer Discovery	C	Int./Div.	L	T					
57. Ameriprise MALOX Blackrock Golbal Allocation (A SPS IRA) (annuity)	A	Int./Div.	K	T	Sold (part)	09/25/17	K		see Part VIII
58. Ameriprise VOYA GNAM Inc. (A SPS IRA)	A	Int./Div.			Sold	03/24/17	J		see Part VIII
59. DELETED									
60. DELETED									
61. Am Century / VP Value (w/in annuity)		None	K	T					see Part VIII
62. CNL Lifestyles CNLIDI nka EPR Prop (w/ in L IRA)	A	Int./Div.	J	T	Sold (part)	04/28/17	J		see Part VIII
63.					Sold (part)	05/11/17	J		see Part VIII
64.									
65. Corp Prop Assoc CPA17 (w/in L IRA)	A	Int./Div.	J	T					
66. Am Insured Mkt (w/in L IRA)	A	Int./Div.	J	T					
67. MITIX (w/in L IRA) Mass MFS Investors	A	Int./Div.	K	T	Sold (part)	03/24/17	J		See Part VIII
68. ATHAX (w/in L IRA) Amer Century Heritage		None	J	T	Sold (part)	03/24/17	J		see Part VIII

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69. MGIAX (w/in L IRA) MFS Int'l Value	A	Int./Div.	J	T	Buy (add'l)	03/24/17	J		
70. Justice Federal accounts	A	Int./Div.	K	T					
71. Invesco Int'l Gr. Sr. (annuity)		None	J	T					
72. MDLOX (w/in L IRA) Blackrock Global Alloc.	A	Int./Div.	J	T	Sold (part)	09/25/17	K		
73. Oppenheimer Equity Income IRA (both)	B	Int./Div.	K	T	Sold (part)	01/26/17	J		see Part VIII
74.					Sold (part)	02/09/17	J		see Part VIII
75.					Sold (part)	03/03/17	J		see Part VIII
76.					Sold (part)	03/10/17	J		see Part VIII
77.					Sold (part)	05/30/17	J		see Part VIII
78. Oppenheimer Main St Small Cap	B	Int./Div.	K	T	Buy (add'l)	03/13/17	J		
79.					Sold (part)	03/10/17	J		see Part VIII
80.					Sold (part)	04/25/17	J		see Part VIII
81.					Sold (part)	06/13/17	J		see Part VIII
82. Scholars Edge Age Based Portfolio 10 (18+)		None	J	T	Sold (part)	01/12/17	J	A	
83.					Sold (part)	03/31/17	J	A	
84.					Sold (part)	04/25/17	J	A	
85.					Sold (part)	07/25/17	J	A	

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86.					Sold (part)	08/24/17	J	A	
87.					Sold (part)	08/25/17	J	A	
88. Scholars Edge Large Cap nka Dreyfus R Growth		None	J	T					
89. Scholars Edge Sm & Mid Cap nka MidCap Portfolio		None	J	T					
90. DELETED									
91. Scholars Edge Int'l Growth		None	J	T					
92. Scholars Edge Large Cap Value nka Value		None	J	T					
93. Scholars Edge Portfolio 100 fka Aggressive		None	K	T	Buy (add'l)	07/25/17	J		
94. Scholars Edge Portfolio 80 fka Moderately Aggressive		None	K	T	Buy (add'l)	07/25/17	J		
95. Scholars Edge Portfolio 60 fka Moderate		None	K	T	Buy (add'l)	07/25/17	J		
96. Pimco VIT All Asset (annuity)		None	K	T					
97. Oppenheimer Developing Mkts Fund (A)	A	Int./Div.	J	T	Sold (part)	05/30/17	J		see Part VIII
98. Oppenheimer Rochester Ltd Term NY Munis	A	Int./Div.			Sold	02/13/17	J		
99. Oppenheimer Money Mkt (treat as bank acct)	A	Int./Div.	J	T					
100. Oppenheimer Rochester AMT Free NY Munis	A	Int./Div.			Buy (add'l)	02/15/17	J		
101.					Sold (part)	04/25/17	J	A	
102.					Sold	12/15/17	J		see Part VIII loss

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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103. Oppenheimer Rochester AMT Free	A	Int./Div.			Sold (part)	03/06/17	J		see Part VIII loss
104.					Sold	12/15/17	J		see Part VIII loss
105. US treasuries	A	Interest	K	T					
106. AmerGen (L IRA)	A	Int./Div.	J	T					
107. Oppenheimer Small & Mid Cap Value now MidCap Value	A	Int./Div.	J	T	Sold (part)	01/26/17	J		see Part VIII
108.					Sold (part)	01/30/17	J		see Part VIII
109.					Sold (part)	03/10/17	J		see Part VIII
110. DELETED									
111. Oppenheimer Discovery Mid Cap Growth	C	Int./Div.	L	T	Sold (part)	02/15/17	J		see Part VIII
112.					Sold (part)	05/30/17	J		see Part VIII
113. Oppenheimer Int'l Growth (L)	A	Int./Div.	K	T	Buy (add'l)	03/03/17	J		
114.					Buy (add'l)	08/03/17	J		
115. Blackrock Global Dividend (AmPrise) (A IRA)	A	Int./Div.	K	T					
116. CNL Growth Props (AmPrise) (A IRA)	C	Int./Div.			Sold	10/31/17	J	A	see Part VIII
117. Corporate Capital (AmPrise) (A IRA)	A	Int./Div.	J	T	Sold (part)	11/1/17	J		see Part VIII
118. Fidelity Advisor Growth Opp (AmPrise)		None	K	T	Sold (part)	03/24/17	J	A	see Part VIII
119. Fidelity Advisos Cons. Disc. (AmPrise A IRA)	A	Int./Div.	K	T	Buy (add'l)	03/24/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	09/25/17	K	C	estimate - not reportable
121. DELETED									
122. MFS Int'l Value (AmPrise) MGIAX (A SPS IRA)	A	Int./Div.	K	T					
123. Steelpath Opp MLP Inc (AmPrise)	B	Int./Div.	K	T					see Part VIII loss
124. DELETED									
125. DELETED									
126. DELETED									
127. DELETED									
128. DELETED									
129. Blackrock Multi Asset (L IRA)	A	Int./Div.	J	T					
130. Deutsche Gloab Infrastructure (L IRA)	A	Int./Div.	J	T	Buy (add'l)	09/25/17	J		
131. Oppen Rochester Fund Muni	A	Int./Div.			Sold	03/06/17	J		loss see Part VIII
132. Oppen Steel Path Select 40	B	Int./Div.	K	T	Buy (add'l)	01/03/17	J		
133.					Buy (add'l)	02/15/17	J		
134.					Sold (part)	07/31/17	J		loss see Part VIII
135.					Sold (part)	08/02/17	J		loss see Part VIII
136.					Sold (part)	12/28/17	J		loss see Part VIII

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. DELETED									
138. DELETED									
139. Oppen Portfolio Series Eq Inv.	A	Int./Div.	J	T					
140. DELETED									
141. Opp Rochester Short Term Muni	A	Int./Div.			Sold	02/09/17	J		loss see Part VIII
142. Opp Roch High Yield Munis	A	Int./Div.			Sold	12/15/17	J		loss see Part VIII
143. Opp Equity Fund	A	Int./Div.			Sold (part)	02/01/17	J		see Part VIII
144.					Sold	03/16/17	J		see Part VIII
145. Blackrock Gbl Allocation MALOX AmPrise (A IRA)	A	Int./Div.	K	T	Merged (with line 57)				
146. COL VP Bal Fund AmPrise (annuity)	A	Int./Div.	L	T					
147. COL VP Growth AmPrise (annuity)	A	Int./Div.	K	T					
148. Lord Abbott Sec Growth Leaders AmPrise	A	Int./Div.	J	T					
149. DELETED									
150. NEW Oppenheimer Rising Dividend (both)	A	Int./Div.	J	T	Sold (part)	05/30/17	J		see Part VIII
151. NEW Oppenheimer Small Cap Value (L)	A	Int./Div.			Sold	05/30/17	J		see Part VIII
152. NEW Oppenheimer Real Estate Fund (A)	A	Int./Div.	J	T	Sold (part)	03/13/17	J		see Part VIII
153.					Sold	7/25/17	J		see Part VIII

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)
154. AmPrise ALNAX AC Alt Inc. (A IRA)	A	Int./Div.	K	T	Sold (part)	9/25/17	J	A	see Part VIII
155. PPIAX Deutsche Short Duration (A SPS IRA)	A	Int./Div.	J	T	Buy	3/24/17	J		
156. GSGIX Goldman Sachs Global Inc. (A SPS IRA)	A	Int./Div.	J	T					
157. MFBFX MFS Corp Bond (A SPS IRA)	A	Int./Div.	J	T	Sold (part)	03/24/17	J	A	see Part VIII
158.					Sold (part)	03/24/17	J		see Part VIII
159. HFXAX Catlyst Hedged Futures	A	Int./Div.	J	T	Sold (part)	09/25/17	J		see Part VIII
160. NEW WFGBX Wells Growth Balanced (A SPS IRA)	A	Int./Div.	J	T					
161. NEW SSTHX Wells Short Term High Yield (A SPS IRA)	A	Int./Div.	J	T					
162. NEW Aprise iShares (A IRA)	B	Int./Div.	K	T	Buy	09/25/17	K		
163.									
164. NEW BHYAX Blackrock High Yield Bond	A	Int./Div.	J	T					
165. JP Morgan Growth Adv (L IRA)	A	Int./Div.	J	T					
166.									
167. NEW Hartford Mid Cap (APrise. (A))	A	Int./Div.	J	T	Buy	04/11/17	J		
168.					Buy (add'l)	05/16/17	J		
169. NEW ACITX AM CENT INFL ADJ (AIRA SPS)	A	Int./Div.	J	T	Buy	03/24/17	J		
170. NEW Opp Macquarie Gloab Infr (both)	A	Int./Div.	K	T	Buy	01/26/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	01/30/17	J		
172.					Buy (add'l)	01/30/17	J		
173.					Buy (add'l)	02/09/17	J		
174.					Buy (add'l)	07/25/17	J		
175.					Buy (add'l)	08/31/17	J		
176. NEW Opp Int'l Growth (A)	A	Int./Div.	J	T	Buy	02/19/17	J		
177.					Buy (add'l)	03/13/17	J		
178. NEW ML OPGIX Opp Global (A from Opp)		None	L	T		07/18/17	L		from line 31; see VIII
179.					Sold (part)	10/11/17	J		see part VIII
180. NEW ML MSIGX Main St (A from Opp)	A	Int./Div.	L	T		08/08/17	L		from line 38; see VIII
181.					Sold (part)	10/11/17	J		see Part VIII
182. NEW ML OPMSX Main Street MidCap (A from Opp)	A	Int./Div.	K	T		08/08/17	L		from line 42, see VIII
183.					Sold (part)	10/11/17	J		see Part VIII
184. NEW ML IShares S&P Small Cap IJR	B	Int./Div.	J	T	Buy	08/02/17			
185. NEW ML Artisan Gbl ARTRX	A	Int./Div.	J	T	Buy	08/15/17			
186. NEWML Carillon Scout Small UMBHX	B	Int./Div.	J	T	Buy	08/14/17			
187. NEW ML Commerce MidCap CFAGX	B	Int./Div.	J	T	Buy	08/15/17			

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

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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)
188. NEW ML Janus Henderson JACTX	A	Int./Div.	J	T	Buy	08/28/17			
189. NEW ML Nicholas Fund II NNTWX	A	Int./Div.	J	T	Buy	08/21/17			
190. NEW ML T Rowe Global PRGSX	A	Int./Div.	J	T	Buy	08/28/17			
191. NEW AMD		None	J	T	Buy	09/25/17	J		
192.					Buy (add'l)	12/04/17	J		
193.					Buy (add'l)	12/22/17	J		
194. NEW BMRN		None	J	T	Buy	10/19/17	J		
195.					Buy (add'l)	10/26/17	J		
196. NEW CVS	A	Int./Div.	J	T	Buy	07/26/17	J		
197.					Buy (add'l)	08/08/17	J		
198.					Buy (add'l)	10/16/17	J		
199. NEW CY	A	Int./Div.	J	T	Buy	12/20/17	J		
200.					Buy (add'l)	12/26/17	J		
201.					Buy (add'l)	12/27/17	J		
202. NEW DTEGY	A	Int./Div.	J	T	Buy	10/26/17	J		
203.					Buy (add'l)	10/27/17	J		
204. NEW DIS	A	Int./Div.	J	T	Buy	08/02/17	J		

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

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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) 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)
205. NEW EXEL		None	J	T	Buy	10/16/17	J		
206. NEW GE	A	Int./Div.	J	T	Buy	08/31/17	J		
207.					Buy (add'l)	09/07/17	J		
208.					Buy (add'l)	10/06/17	J		
209.					Buy (add'l)	11/14/17	J		
210.					Buy (add'l)	12/05/17	J		
211. NEW GIS	A	Int./Div.	J	T	Buy	09/20/17	J		
212. NEW HD	A	Int./Div.	J	T	Buy	08/31/17	J		
213. NEW JNPR	A	Int./Div.	J	T	Buy	08/17/17	J		
214.					Buy (add'l)	10/25/17	J		
215. NEW MDLZ	A	Int./Div.	J	T	Buy	07/24/17	J		
216. NEW NTGR		None	J	T	Buy	07/31/17	J		
217.					Buy (add'l)	08/04/17	J		
218. NEW ORCL	A	Int./Div.	J	T	Buy	09/19/17	J		
219.					Buy (add'l)	10/06/17	J		
220. NEW RIO	A	Int./Div.	J	T	Buy	09/25/17	J		
221. NEW TI		None	J	T	Buy	10/16/17	J		

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

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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) 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)
222. NEW L ML Opp Cap App OPTFX	A	Int./Div.				06/19/17	J		from line 24; see VIII
223.					Sold	07/31/17	K		See Part VIII
224. NEW L ML Amer Cent. TWMIX	A	Int./Div.	J	T	Buy	07/27/17	J		
225.					Buy (add'l)	12/04/17	J		
226. NEW L ML ISAHRES IJH	A	Int./Div.	J	T	Buy	08/15/17	J		
227. NEW Wells Fargo checking acct	A	Interest	J	T					
228. NEW NY 529 (L/G) Conservative Age Based Portfolio		None			Buy	12/01/17	J		
229.					Sold	12/05/17	J		see Part VIII
230. NEW NY 529 L/G Moderate Age Based Fund		None			Buy	12/01/17	J		
231.					Sold	12/5/17	J		
232. NEW NY 529 L/G Aggressive Ager Based Portfolio		None			Buy	12/01/17	J		
233.					Sold	12/05/17	J		
234. NEW NY 529 L/G Growth Port.		None	J	T	Buy	12/05/17	J		
235. NEW NY 529 L/G Small Cap Port.		None	J	T	Buy	12/05/17	J		
236. NEW NY 529 L/G Aggressive Growth Port.		None	J	T	Buy	12/05/17	J		
237. NEW NY 529 L/G Mid Cap Port.		None	J	T	Buy	12/05/17	J		
238. NEW NY L/G Bond Mkt Index Port.		None	J	T	Buy	12/05/17	J		

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

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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. NEW Vanguard (L) Fin ETF	A	Int./Div.	J	T	Buy	05/02/17	J		
240. NEW Vanguard (I) Mid Cap ETF	A	Int./Div.	J	T	Buy	05/02/17	J		
241. NEW Vanugard (L) Extended Mut ETF	A	Int./Div.	J	T	Buy	05/02/17	J		
242. NEW Vanguard (L) cash mgt	A	Int./Div.	J	T	Buy	05/02/17	J		
243. NEW Vanguard (L) S&P 500 Index	A	Int./Div.	J	T	Buy	05/22/17	J		
244.									
245.									
246.									
247.									

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.)*

as of 9.9.18

Lines 2, 4-12, 15, 16, 20,21, 23, and 82-95 -- based on information provided by the fund manager(s), no income or reinvested dividends, taxable or otherwise, was paid or attributed to any of these investments during the reporting period.

Losses were suffered for sales in lines 103 - 105, 131, 134-136, and 142-143 -- therefore no Gain code in D(4).

Sales in lines 14 -16, 20-21, 23, 27-31, 46, 54, 57, 58, 62, 63, 67, 68, 73-77, 107-109, 111, 112, 116-118, 143, 144, 150-159, 179, 181, 183 and 223 were exchanges within an IRA or annuity for which no gain or loss was reported and I was unable to ascertain a gain or loss with certainty.

Lines 228, 230 and 232 were exchanged into lines 234-238 within a few days of the accounts being opened. and no gains or losses were reported.

The assets in line 178, 180 and 182 are shown as spin offs from lines 31, 38 and 42 respectively, and these same assets in lines 36, 41 and 42 show the transaction as merged with lines 178, 180 and 182 respectively, but this does not appear on printed form for acquisitions on lines 178, 180 and 182. Also the asset on line 222 is a spin off from line 24 asset at line 27; however this does not show on the printed form.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544