

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) Pratter, Gene E.	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 07/25/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 10613 United States Courthouse Sixth & Market Streets Philadelphia, PA 19106-1723		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	University of Pennsylvania Law School (Adjunct Professor)	\$10,000.00
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Duane Morris LLC (Attorney)
2. 2017	Cohen, Placitella & Roth (Attorney)
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. Vanderbilt Law School	October 12-13, 2017	Nashville, TN	Law Review Symposium	Transportation, lodging, meals
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of America	Credit Card	K
2.	Bank of America	Credit Card	J
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. Leberthal Lisanti Small Growth - Retirement #5		None			Sold	04/28/17	J	C	
2. DFA US Small Cap Value - Retirement #5	A	Dividend			Sold	08/31/17	J	C	
3. DFA US Large Cap Value - Retirement #5	A	Dividend			Buy (add'l)	01/31/17	J		
4. DFA US Large Cap Value - Retirement #5		None			Sold	08/31/17	K	D	
5. Federated US Gov't Ultrashort - Retirement #5	A	Dividend			Sold	07/18/17	K	A	
6. First Eagle Overseas - Retirement #5		None			Buy (add'l)	04/28/17	J		
7. First Eagle Overseas - Retirement #5		None			Sold	08/31/17	K	D	
8. Janus Fund - Retirement #5		None			Sold	01/31/17	J	C	
9. Schwab Money Market Fund - Retirement #5	A	Dividend	J	T					
10. William Blair Int'l Small Growth - Retirement #5		None			Sold	07/20/17	J	C	
11. William Blair International Growth - Retirement #5		None			Sold	07/27/17	J	A	
12. BlackRock Low Duration - Retirement #5	A	Dividend	K	T	Buy	07/18/17	K		
13. BlackRock Low Duration - Retirement #5		None			Buy (add'l)	08/31/17	K		
14. DFA Global Equity - Retirement #5	B	Dividend	L	T	Buy	07/20/17	J		
15. DFA Global Equity - Retirement #5		None			Buy (add'l)	07/27/17	J		
16. DFA Global Equity - Retirement #5		None			Buy (add'l)	08/31/17	L		
17. Federated Gov't Ultrashort - Retirement #6	A	Dividend			Buy (add'l)	01/31/17	K		

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

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18. Federated Gov't Ultrashort - Retirement #6		None			Sold	07/18/17	K	A	
19. Baron Growth - Retirement #6		None			Sold	01/31/17	J	A	
20. First Eagle Overseas - Retirement #6		None			Sold	08/31/17	J	A	
21. Royce Opportunity - Retirement #6		None			Sold	08/31/17	J	C	
22. Schwab Money Market Fund - Retirement #6	A	Dividend	J	T					
23. Janus Fund - Retirement #6		None			Sold	01/31/17	J	B	
24. DFA International Large Growth - Retirement #6	A	Dividend			Sold	08/31/17	J	B	
25. BlackRock Low Duration - Retirement #6	A	Dividend	K	T	Buy	07/18/17	K		
26. DFA Global Equity - Retirement #6	A	Dividend	K	T	Buy	08/31/17	L		
27. Baron Growth - Retirement #7		None			Sold	01/31/17	K	E	
28. DFA US Micro Cap - Retirement #7	C	Dividend	L	T					
29. DFA Emerging Markets Core Equity - Retirement #7	C	Dividend	M	T	Sold (part)	09/07/17	K	B	
30. DFA International Small Value - Retirement #7	D	Dividend	M	T					
31. DFA International Value - Retirement #7	D	Dividend	M	T					
32. DFA One Year Fixed - Retirement #7	C	Dividend	N	T					
33. DFA US Small Cap Value - Retirement #7	D	Dividend	M	T					
34. DFA US Large Cap Value - Retirement #7	E	Dividend	N	T	Buy (add'l)	01/31/17	K		

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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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)

35. Dodge & Cox Stock - Retirement #7	E	Dividend	N	T	Buy (add'l)	01/31/17	M		
36. Federated Gov't Ultrashort - Retirement #7	B	Dividend			Sold	07/18/17	N	A	
37. First Eagle Overseas - Retirement #7	D	Dividend	M	T	Buy (add'l)	07/27/17	L		
38. Hotchkis & Wiley Mid Value - Retirement #7	D	Dividend	M	T	Sold (part)	01/31/17	L	D	
39. Morgan Stanley International Equity - Retirement #7	C	Dividend	M	T	Sold (part)	04/28/17	J	A	
40. Morgan Stanley Emerging Markets - Retirement #7	A	Dividend	M	T	Sold (part)	09/07/17	K	B	
41. Royce Opportunity - Retirement #7	D	Dividend	M	T	Sold (part)	01/31/17	J	A	
42. Schwab Money Market Fund - Retirement #7	A	Dividend	K	T					
43. Westcore Intl Small Cap - Retirement #7	A	Dividend	L	T					
44. Westcore Mid Cap Value - Retirement #7	D	Dividend	M	T	Sold (part)	04/28/17	J	B	
45. William Blair International Growth - Retirement #7		None			Sold	07/27/17	M	E	
46. Janus Fund - Retirement #7		None			Sold	01/31/17	M	D	
47. Hotchkis & Wiley Large Cap Value - Retirement #7		None			Sold	01/31/17	L	E	
48. William Blair Large Growth - Retirement #7	B	Dividend	N	T	Buy (add'l)	07/20/17	L		
49. William Blair Large Growth - Retirement #7		None			Buy (add'l)	07/27/17	K		
50. Leberthal Lisanti Small Growth - Retirement #7		None			Sold	04/28/17	K	E	
51. William Blair Int'l Small Growth - Retirement #7		None			Sold	07/20/17	L	E	

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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)
52. Metropolitan West Total Return - Retirement #7	D	Dividend	N	T					
53. BlackRock Low Duration - Retirement #7	D	Dividend	N	T					
54. Ivy Mid Growth - Retirement #7	E	Dividend	M	T	Buy (add'l)	01/31/17	K		
55. Ivy Mid Growth - Retirement #7		None			Buy (add'l)	07/20/17	K		
56. William Blair Mid Cap Growth - Retirement #7		None			Sold	07/20/17	L	A	
57. DFA Global Real Estate - Retirement #7	C	Dividend	M	T	Buy (add'l)	01/20/17	L		
58. Victory Global Natural Resources - Retirement #7		None	L	T					
59. EII Global Property - Retirement #7		None			Sold	01/19/17	K	A	
60. MainGate MLP - Retirement #7	D	Dividend	M	T					
61. William Blair Small Growth - Retirement #7	D	Dividend	L	T	Buy (add'l)	04/28/17	K		
62. Morgan Stanley AIP - Retirement #7	E	Dividend	N	T					
63. DFA International Large Growth - Retirement #7	B	Dividend	M	T					
64. DFA Short Term Gov't - Retirement #7	B	Dividend	N	T	Buy	08/18/17	N		
65. DFA US Small Growth - Retirement #7	B	Dividend	L	T	Buy	01/31/17	L		
66. DFA US Small Growth - Retirement #7		None			Buy (add'l)	04/28/17	K		
67. DFA Intl Small Growth - Retirement #7	C	Dividend	L	T	Buy	07/20/17	L		
68. Schwab Money Market Fund - Trust #1	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
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69. Dodge & Cox Stock - Trust #1	C	Dividend	L	T	Buy (add'l)	01/31/17	K		
70. Baron Growth - Trust #1		None			Sold	01/31/17	K	D	
71. Federated Short Term Muni - Trust #1	A	Dividend			Buy (add'l)	01/31/17	J		
72. Federated Short Term Muni - Trust #1		None			Sold	07/18/17	K	A	
73. First Eagle Overseas - Trust #1	B	Dividend	K	T					
74. Hotchkis & Wiley Large Cap Value - Trust #1		None			Sold	01/31/17	K	D	
75. Hotchkis & Wiley Mid Cap Value - Trust #1	B	Dividend	K	T	Sold (part)	01/31/17	J	B	
76. Janus Fund - Trust #1		None			Sold	01/31/17	K	D	
77. Morgan Stanley International Equity - Trust #1	A	Dividend	K	T					
78. Royce Opportunity - Trust #1	C	Dividend	K	T	Sold (part)	04/27/17	J	A	
79. Westcore Mid Cap Value - Trust #1	B	Dividend	K	T	Sold (part)	04/12/17	J	A	
80. DFA Tax Managed Marketwide Value - Trust #1	C	Dividend	L	T	Buy (add'l)	01/31/17	J		
81. DFA US Micro Cap - Trust #1	B	Dividend	K	T					
82. DFA Intl Small Cap Value - Trust #1	B	Dividend	K	T					
83. Westcore Intl Small Cap - Trust #1	A	Dividend	K	T					
84. DFA Int'l Value - Trust #1	A	Dividend	K	T					
85. DFA US Small Value - Trust #1	B	Dividend	K	T					

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86. William Blair Mid Growth - Trust #1		None			Sold	07/20/17	K	D	
87. DFA Short Term Muni - Trust #1	A	Dividend	K	T	Buy (add'l)	07/18/17	K		
88. Metropolitan West Total Return - Trust #1	A	Dividend	K	T					
89. William Blair Small Cap Growth - Trust #1	C	Dividend	K	T	Buy (add'l)	01/31/17	J		
90. DFA Global Real Estate - Trust #1	B	Dividend	K	T	Buy (add'l)	01/20/17	J		
91. EII Global Property - Trust #1		None			Sold	01/19/17	J	A	
92. MainGate MLP - Trust #1	B	Dividend	K	T					
93. Victory Global Resources - Trust #1		None	J	T					
94. William Blair International Growth - Trust #1		None			Sold	07/27/17	K	C	
95. DFA Emerging Markets - Trust #1	B	Dividend	L	T					
96. DFA International Large Growth - Trust #1	A	Dividend	K	T					
97. Ivy Mid Growth - Trust #1	C	Dividend	K	T	Buy (add'l)	01/31/17	J		
98. Ivy Mid Growth - Trust #1		None			Buy (add'l)	07/20/17	J		
99. William Blair Large Growth - Trust #1	A	Dividend	L	T	Buy (add'l)	04/12/17	J		
100. William Blair Large Growth - Trust #1		None			Buy (add'l)	07/20/17	K		
101. William Blair Large Growth - Trust #1		None			Buy (add'l)	07/27/17	K		
102. Thornburg Limited Term Muni - Trust #1	A	Dividend	K	T	Buy	07/18/17	K		

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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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. DFA US Small Growth - Trust #1	A	Dividend	K	T	Buy	01/31/17	K		
104. Baron Growth - Brokerage #1		None			Sold	01/31/17	J	C	
105. DFA Tax Mgd US Marketwide Value - Brokerage #1	B	Dividend	K	T	Buy (add'l)	01/31/17	J		
106. DFA US Small Value - Brokerage #1	A	Dividend	J	T					
107. DFA Emerging Markets Core Equity - Brokerage #1	A	Dividend	K	T	Sold (part)	09/12/17	J	A	
108. DFA Tax Mgd International Value - Brokerage #1	A	Dividend	K	T					
109. Federated Short Term Muni - Brokerage #1	A	Dividend			Buy (add'l)	01/31/17	J		
110. Federated Short Term Muni - Brokerage #1		None			Sold	07/18/17	K	B	
111. First Eagle Overseas - Brokerage #1	A	Dividend	J	T					
112. Janus Fund - Brokerage #1		None			Sold	01/31/17	J	D	
113. Morgan Stanley International Equity - Brokerage #1	A	Dividend	J	T	Sold (part)	09/12/17	J	B	
114. Schwab Money Market Fund - Brokerage #1	A	Dividend	J	T					
115. Hothckis & Wiley Large Cap Value - Brokerage #1		None			Sold	01/31/17	J	C	
116. Hothckis & Wiley Mid Cap Value Brokerage #1	A	Dividend	J	T	Sold (part)	09/12/17	J	B	
117. William Blair Int'l Small Growth - Brokerage #1		None			Sold	07/20/17	J	D	
118. William Blair Large Growth - Brokerage #1	A	Dividend	K	T	Buy (add'l)	07/20/17	J		
119. William Blair Large Growth - Brokerage #1		None			Buy (add'l)	07/27/17	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 = \$250,001 - \$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

Pratter, Gene E.

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)
120. William Blair Mid Cap Growth - Brokerage #1		None			Sold	07/20/17	J	C	
121. William Blair Small Cap Growth - Brokerage #1	B	Dividend	K	T	Buy (add'l)	01/31/17	J		
122. Westcore Mid Cap Value - Brokerage #1	A	Dividend	J	T					
123. DFA Int'l Small Value - Brokerage #1	A	Dividend	J	T					
124. DFA Short Term Muni - Brokerage #1	A	Dividend	J	T	Buy (add'l)	04/26/17	J		
125. DFA Short Term Muni - Brokerage #1		None			Buy (add'l)	07/18/17	J		
126. DFA Short Term Muni - Brokerage #1		None			Sold (part)	12/18/17	K	A	
127. Metropolitan West Total Return - Brokerage #1	A	Dividend	K	T	Buy (add'l)	04/26/17	J		
128. Metropolitan West Total Return - Brokerage #1		None			Buy (add'l)	07/18/17	J		
129. William Blair Int'l Growth - Brokerage #1		None			Sold	07/27/17	J	B	
130. Thornburg Limitd Term Municipal - Brokerage #1	A	Dividend	K	T	Buy (add'l)	07/18/17	J		
131. DFA Global Real Estate - Brokerage #1	A	Dividend	K	T	Buy (add'l)	01/31/17	J		
132. Dodge & Cox Stock - Brokerage #1	B	Dividend	J	T					
133. MainGate MLP - Brokerage #1	A	Dividend	J	T					
134. Royce Opportunity - Brokerage #1	B	Dividend	J	T	Sold (part)	11/06/17	J	A	
135. DFA US Micro Cap - Brokerage #1	A	Dividend	J	T					
136. DFA Int'l Large Growth - Brokerage #1	A	Dividend	J	T	Sold (part)	11/06/17	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 \$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)
137. Ivy Mid Growth - Brokerage #1	B	Dividend	K	T	Buy (add'l)	01/31/17	J		
138. Ivy Mid Growth - Brokerage #1		None			Buy (add'l)	07/20/17	J		
139. DFA Intl Small Growth - Brokerage #1	A	Dividend	J	T	Buy	07/20/17	J		
140. Baron Growth - Brokerage #2		None			Sold	01/31/17	K	D	
141. DFA US Micro Cap - Brokerage #2	A	Dividend	J	T					
142. DFA Tax Mgd Marketwide Value - Brokerage #2	B	Dividend	K	T	Buy (add'l)	01/31/17	J		
143. DFA US Small Value - Brokerage #2	A	Dividend	K	T					
144. Dodge & Cox Stock - Brokerage #2	B	Dividend	J	T	Buy (add'l)	01/31/17	K		
145. Federated Short Term Muni - Brokerage #2	A	Dividend			Sold	07/18/17	L	B	
146. First Eagle Overseas - Brokerage #2	A	Dividend	K	T					
147. Hotchkis & Wiley Large Cap Value - Brokerage #2		None			Sold	01/31/17	J	C	
148. Hotchkis & Wiley Mid Cap Value - Brokerage #2	B	Dividend	K	T					
149. Janus Fund - Brokerage #2		None			Sold	01/31/17	K	C	
150. Morgan Stanley International Equity - Brokerage #2	A	Dividend	K	T					
151. Royce Opportunity - Brokerage #2	B	Dividend	K	T					
152. Schwab Money Market Fund - Brokerage #2	A	Dividend	J	T					
153. Westcore Mid Cap Value - Brokerage #2	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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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. Westcore International Small Cap - Brokerage #2	A	Dividend	J	T					
155. Metropolitan West Total Return - Brokerage #2	B	Dividend	L	T	Buy (add'l)	01/31/17	J		
156. Metropolitan West Total Return - Brokerage #2		None			Buy (add'l)	07/18/17	K		
157. DFA Short Term Muni - Brokerage #2	A	Dividend	M	T	Buy (add'l)	07/18/17	K		
158. DFA Global Real Estate - Brokerage #2	A	Dividend	K	T					
159. MainGate MLP - Brokerage #2	B	Dividend	K	T					
160. DFA Intl Small Cap Value - Brokerage #2	B	Dividend	K	T					
161. William Blair International Growth - Brokerage #2		None			Sold	07/27/17	J	A	
162. DFA Emerging Markets Core Equity - Brokerage #2	A	Dividend	K	T					
163. DFA International Value - Brokerage #2	A	Dividend	K	T					
164. Ivy Mid Cap Growth - Brokerage #2	B	Dividend	K	T					
165. DFA Int'l Large Growth - Brokerage #2	A	Dividend	K	T					
166. William Large Growth - Brokerage #2	A	Dividend	K	T	Buy (add'l)	07/27/17	J		
167. Thornburg Limited Term Muni - Brokerage #2	A	Dividend	K	T	Buy	07/18/17	K		
168. DFA US Small Growth - Brokerage #2	A	Dividend	K	T	Buy	01/31/17	K		
169. DFA One Year Fixed - Retirement #8	C	Dividend	N	T					
170. Federated Gov't Ultrashort - Retirement #8	A	Dividend			Sold	07/18/17	M	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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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. Leberthal Lisanti Small Growth - Retirement #8		None			Sold	04/28/17	K	D	
172. Baron Growth - Retirement #8		None			Sold	01/31/17	K	D	
173. DFA Emerging Markets Core Equity - Retirement #8	B	Dividend	M	T					
174. DFA International Value - Retirement #8	C	Dividend	M	T					
175. DFA US Large Value - Retirement #8	D	Dividend	M	T	Buy (add'l)	01/31/17	K		
176. DFA US Small Value - Retirement #8	C	Dividend	L	T					
177. DFA US Micro Cap - Retirement #8	C	Dividend	L	T					
178. Dodge & Cox Stock - Retirement #8	D	Dividend	M	T	Buy (add'l)	01/31/17	L		
179. DFA Int'l Small Cap Value - Retirement #8	D	Dividend	M	T					
180. First Eagle Overseas - Retirement #8	C	Dividend	M	T	Buy (add'l)	07/27/17	L		
181. Hotchkis & Wiley Large Cap Value - Retirement #8		None			Sold	01/31/17	L	E	
182. Hotchkis & Wiley Mid Cap Value - Retirement #8	D	Dividend	M	T					
183. Janus Fund - Retirement #8		None			Sold	01/31/17	L	D	
184. Morgan Stanley Emerging Markets - Retirement #8	A	Dividend	M	T					
185. Morgan Stanley International Equity - Retirement #8	B	Dividend	M	T					
186. Royce Opportunity - Retirement #8	D	Dividend	L	T					
187. Schwab Money Market Fund - Retirement #8	A	Dividend	L	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 \$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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Name of Person Reporting

Pratter, Gene E.

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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. Westcore Intl Small Cap - Retirement #8	A	Dividend	M	T					
189. Westcore Mid Cap Value - Retirement #8	D	Dividend	M	T					
190. William Blair International Growth - Retirement #8		None			Sold	07/27/17	L	E	
191. William Blair Large Cap Growth - Retirement #8	B	Dividend	M	T	Buy (add'l)	07/20/17	L		
192. William Blair Large Cap Growth - Retirement #8		None			Buy (add'l)	07/27/17	K		
193. William Blair Intl Small Growth - Retirement #8		None			Sold	07/20/17	K	E	
194. BlackRock Low Duration - Retirement #8	D	Dividend	N	T					
195. Metropolitan West Total return - Retirement #8	C	Dividend	M	T					
196. William Blair Small Growth - Retirement #8	D	Dividend	L	T	Buy (add'l)	04/28/17	J		
197. William Blair Mid Growth - Retirement #8		None			Sold	07/20/17	L	A	
198. Ivy Mid Growth - Retirement #8	D	Dividend	M	T	Buy (add'l)	01/31/17	K		
199. Ivy Mid Growth - Retirement #8		None			Buy (add'l)	07/20/17	K		
200. DFA Global Real Estate - Retirement #8	C	Dividend	M	T	Buy (add'l)	01/20/17	L		
201. EII Global Property - Retirement #8		None			Sold	01/19/17	K	A	
202. MainGate MLP - Retirement #8	D	Dividend	M	T					
203. Victory Global Resources - Retirement #8		None	K	T					
204. Morgan Stanley AIP - Retirement #8	D	Dividend	M	T					

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

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Name of Person Reporting

Pratter, Gene E.

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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. DFA International Large Growth - Retirement #8	B	Dividend	L	T					
206. DFA Short Term Govt - Retirement #8	B	Dividend	M	T	Buy	07/18/17	M		
207. DFA US Small Growth - Retirement #8	A	Dividend	L	T	Buy	01/31/17	K		
208. DFA US Small Growth - Retirement #8		None			Buy (add'l)	04/28/17	J		
209. DFA Intl Small Growht - Retirement #8	B	Dividend	K	T	Buy	07/20/17	K		
210. Equitable Variable Life - Alliance Common Stock		None	M	T					
211. Equitable Variable Life - Alliance International		None	K	T					
212. PNC Bank Accounts	A	Interest	J	T					
213. Nantucket Bank Account	A	Interest	J	T					
214. 401K Plan - John Hancock Balanced		None	J	T	Buy (add'l)	01/31/17	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

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

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

Signature: **s/ Gene E. Pratter**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544