

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 7/19/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 21800 Oxnard Street Suite 1140 Woodland Hills, Ca 91367		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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. 2016	State of California Judge's Retirement System	\$18,509.00
2. 2016	Raymond James & Assoc - IRA	\$98.00
3. 2016	Judicial Retirees & Survivors	\$212,675.00
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. 2016	CA Public Employees Retirement System
2. 2016	CA State Teachers Retirement System
3. 2016	First Clearing, LLC IRA
4. 2016	State Street Retiree Services for Calstrs Pension

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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. Lot 59, Oxnard Shores, CA (1964)		None	O	W					
2. Lot 60, Oxnard Shores, CA (1964)		None	O	W					
3. Lot 88, Woodland Hills, CA		None	O	W					
4. Ltd Partnership Interest-Penn Cal Investors, Pittsburgh,PA	E	Rent	K	U					
5. Chase cash accounts	A	Interest	M	T					
6.									
7. Wells Fargo Joint (H)									
8. Wells Fargo Money Market	A	Interest	L	T	Buy (add'l)	12/09/16	L		
9. Bank of Baroda	A	Interest			Matured	01/19/16	M	A	
10. Synchrony Bank	C	Interest	M	T					
11. Discover Bank	C	Interest	M	T					
12. Comenity Bank due 3/30/21	C	Interest	M	T	Buy	03/22/16	M		
13. Wells Fargo due 7/20/21	B	Interest	M	T	Buy	07/15/16	M		
14.									
15. Northern Trust (H)									
16. MFB Northern Fds Stk Index	D	Dividend	O	T					
17. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)

18. - MFB NTHN CA Mun Money Mkt	A	Interest	O	T					
19.									
20. Raymond James (H)									
21. - Microsoft Coporation Stock	B	Dividend	L	T					
22. - Seadrill Limited Corporate Stock	A	Dividend	J	T					
23. American Express Centurion	A	Interest			Closed	03/01/16	M		
24. Citibank	A	Interest			Closed	01/02/16	J		
25. Goldman Sachs Bank USA	A	Interest	M	T	Open	10/01/16	M		
26. Raymond James Money Market	A	Interest			Closed	02/01/16	M		
27. Wells Fargo Bank	A	Interest	M	T	Open	09/01/16	M		
28. Raymond James IRA #2: Raymond James Bank	A	Interest			Closed	01/01/16	M		
29. Raymone James IRA #2: Seadrill Ltd Stock	A	Dividend	J	T					
30. Capital One (was Ing Direct - Orange Savings)	A	Interest	M	T					
31.									
32. City National Bank (H)									
33. CD/Money Market	A	Interest	N	T					
34. - Checking Accts	A	Interest	P1	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)

35. Janus Money Market Fund D	A	Int./Div.	M	T					
36. Wells Fargo Bank cash account	A	Interest	N	T					
37.									
38. Chase (H)									
39. JP Morgan Trust II Liquid Assets	A	Dividend	J	T					
40. PIMCO Total Return Fund Instn'l	A	Dividend	J	T	Buy	07/20/16	J		
41.					Buy (add'l)	11/01/16	J		
42. SPDR S&P 500 ETF TR	A	Dividend	K	T	Buy (add'l)	03/16/16	J		
43.					Sold (part)	04/07/16	J	A	
44.					Buy (add'l)	07/20/16	J		
45. Blackrock Funds II US	A	Dividend	J	T					
46. Blackrock Funds High Yield Bond Port	A	Dividend			Sold (part)	01/15/16	J	A	
47.					Sold	04/07/16	J	A	
48. Blackrock International NOW Blackrock Int'l Index	A	Dividend	J	T	Buy (add'l)	02/05/16	J		
49.					Sold (part)	04/07/16	J	A	
50.					Sold (part)	07/20/16	J	A	
51.					Buy (add'l)	09/26/16	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		

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)

52. Brown Advisory Funds	A	Dividend	J	T					
53. Deutsche X Trackers MSCI	A	Dividend			Sold (part)	07/20/16	J	A	
54.					Sold	09/26/16	J	A	
55. Dodge & Cox Funds	A	Dividend	J	T					
56. Dodge & Cox Income Fund	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
57. Federated Institutional High Yield Bond Fund	A	Dividend	J	T	Sold (part)	01/15/16	J	A	
58. Ishares MSCI Japan	A	Dividend	J	T	Buy	07/20/16	J		
59. John Hancock Income Fund	A	Dividend	J	T	Buy (add'l)	04/07/16	J		
60. Oakmark Fund	A	Dividend	J	T	Sold (part)	02/05/16	J	A	
61.					Sold (part)	07/20/16	J	A	
62. Ishares MSCI EAFE (X)	A	Dividend			Sold	03/03/16	J	A	
63. JP Morgan Trust I US Equity Fund Select C1	A	Dividend	J	T	Sold (part)	03/16/16	J	A	
64. JP Morgan Trust II Core Bond Fund Select C1	A	Dividend	J	T					
65. JP Morgan Trust I MidCap Equity Fund Select C1	A	Dividend			Sold	02/05/16	J	A	
66. JP Morgan Trust II High Yield Select C1	A	Dividend	J	T	Sold (part)	01/15/16	J	A	
67. JP Morgan Short Duration Bond Fund Select C1	A	Dividend			Buy (add'l)	04/07/16	J		
68.					Sold (part)	11/1/16	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)
69.					Sold	12/07/16	K	A	
70. Lord Abbett Short Duration Income	A	Dividend	J	T	Buy	03/03/16	J		
71.					Buy (add'l)	04/07/16	J		
72. Mainstay High Yield Corp Bond Fund	A	Dividend	J	T	Sold (part)	04/07/16	J	A	
73. MFS Ser Tr X Emerging Market Debt Fund Class I	A	Dividend	J	T	Buy	07/20/16	J		
74. MFS Research International Fund	A	Dividend	J	T					
75. Massachusetts Investors Trust	A	Dividend	J	T	Sold (part)	03/16/16	J	A	
76. PIMCO Fds Pac Invnt Mgmt	A	Dividend	J	T	Buy	07/20/16	J		
77. PIMCO Short Term Fund Institutional	A	Dividend			Sold (part)	03/03/16	J	A	
78.					Sold (part)	07/20/16	J	A	
79.					Sold	11/01/16	J	A	
80. T Rowe Price New Income Fund Inc	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
81. Vanguard Bond Index Fund	A	Dividend	J	T					
82. Vanguard 500 Index Fund	A	Dividend	J	T	Buy	09/26/16	J		
83. Vanguard Total Bond Market Index Fund	A	Dividend	J	T	Buy	11/01/16	J		
84. Vanguard Charlotte FDS	A	Dividend	K	T	Buy	12/07/16	K		
85. Vanguard Fixed Income Inter Term	A	Dividend	J	T	Buy	03/03/16	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)
86. Wisdomtree Japan Hedged Equity	A	Dividend			Sold	07/20/16	J	A	
87.									
88. Wells Fargo IRA (H)									
89. Energy Select Sector SPDR	A	Dividend	J	T	Sold (part)	12/06/16	J	A	
90. Financial Select Sector SPDR	A	Dividend	K	T	Buy (add'l)	06/07/16	J		
91.					Buy (add'l)	12/15/16	J		
92. Industrial Select Sector SPDR	A	Dividend	K	T	Buy (add'l)	03/07/16	J		
93.					Sold (part)	06/07/16	J	B	
94.					Sold (part)	12/06/16	J	A	
95. Ishares Core US Aggregate Bond	A	Dividend	K	T	Buy	12/06/16	K		
96. Ishares Core S&P Midcap	B	Dividend	M	T	Sold (part)	02/05/16	K	B	
97.					Sold (part)	03/07/16	J	A	
98.					Buy (add'l)	06/07/16	J		
99.					Sold (part)	12/06/16	J	C	
100.					Buy (add'l)	12/15/16	J		
101. Ishares Core S&P Smallcap	B	Dividend	L	T	Sold (part)	02/05/16	J	A	
102.					Sold (part)	03/07/16	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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)
103.					Sold (part)	06/07/16	K	D	
104.					Sold (part)	12/06/16	J	D	
105.					Buy (add'l)	12/15/16	J		
106. Ishares IBOXXS HighYield Corp Bond Fund	A	Dividend	J	T	Buy	12/06/16	J		
107. Ishares MSCI Germany	A	Dividend			Sold	03/07/16	K	A	
108. Ishares MSCI Eafe Index Fund	A	Dividend			Sold (part)	02/05/16	J	A	
109.					Sold	03/07/16	J	A	
110. Ishares MSCI Mexico Capped Investable Market Fund	A	Dividend			Sold	03/07/16	J	A	
111. Ishares MSCI United Kingdom Index Fund	B	Dividend			Sold	03/07/16	J	A	
112. Ishares S&P North America Tech. Networking Index	A	Dividend			Sold	02/05/16	J	A	
113. Powershares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy (add'l)	02/05/16	J		
114.					Sold (part)	12/06/16	J	A	
115. Powershares EM Mar ETF Sov DE PT	A	Dividend	J	T	Buy	12/06/16	J		
116. Select Sector SPDR Real Estate (spin off from Select Financial)	A	Dividend	J	T	Buy	09/22/16	J		
117. Select Sector SPDR Consumer Staples	A	Dividend	J	T	Sold (part)	06/07/16	J	A	
118.					Sold (part)	12/06/16	J	A	
119. Select Sector SPDR Fd. Materials	A	Dividend	J	T	Sold (part)	12/06/16	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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. Select Sector SPDR Fd Health Care	A	Dividend	K	T	Buy (add'l)	06/07/16	J		
121.					Buy (add'l)	12/06/16	J		
122. Select Sector SPDR Fd Consumer Discretionary	A	Dividend	K	T	Sold (part)	12/06/16	J	B	
123. SPDR Euro StoXX50	A	Dividend			Sold	03/07/16	K	A	
124. SPODR S&P 500 Trust	A	Dividend			Sold	03/07/16	J	A	
125. SPDR S&P Retail	A	Dividend	J	T	Sold (part)	03/07/16	J	B	
126. Vanguard Telecommunications Svc	A	Dividend	J	T	Sold (part)	06/07/16	J	A	
127.					Buy (add'l)	12/06/16	J		
128. Vanguard Info. Technology	A	Dividend	K	T	Sold (part)	03/07/16	J	A	
129.					Sold (part)	12/06/16	J	C	
130.					Sold (part)	12/15/16	J	A	
131. Vanguard International Equity Index Funds Emerging Markets	B	Dividend	L	T	Buy (add'l)	02/05/16	J		
132.					Buy (add'l)	03/07/16	K		
133.					Buy (add'l)	12/06/16	J		
134.					Buy (add'l)	12/15/16	K		
135. Vanguard Developed markets	C	Dividend	L	T	Buy (add'l)	02/05/16	J		
136.					Buy (add'l)	03/07/16	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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.					Buy (add'l)	06/14/16	K		
138.					Sold (part)	12/06/16	K	A	
139.					Buy (add'l)	12/15/16	J		
140. Vanguard FTSE European	A	Dividend			Buy	03/07/16	K		
141.					Sold	06/14/16	K	A	
142. Vanguard REIT	B	Dividend	K	T	Buy (add'l)	02/05/16	J		
143.					Sold (part)	12/06/16	J	B	
144. Egshares Emerging Markets Consumer name change to Columbus Emerging Mk	A	Dividend	J	T					
145. Wells Fargo cash	A	Interest	J	T					
146.									
147. Wells Fargo Joint Account (H)									
148. Energy Select Sector SPDR	A	Dividend	J	T	Buy	02/05/16	J		
149.					Sold (part)	12/14/16	J	C	
150. Egshares Emery MarketsJune 26, 2017	A	Dividend	J	T					
151. Financial Select Sector SPDR	C	Dividend	K	T	Buy (add'l)	12/14/16	J		
152. Industrial Select Sector SPDR	A	Dividend	K	T	Buy (add'l)	03/07/16	J		
153.					Sold (part)	06/07/16	J	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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. Ishares IBOXX\$	A	Dividend	J	T	Buy	12/14/16	J		
155. Ishares Core Aggregate Bond Fd	A	Dividend	K	T	Buy	12/14/16	K		
156. Ishares Core S& P Midcap	B	Dividend	M	T	Sold (part)	02/05/16	J	B	
157.					Sold (part)	03/07/16	J	A	
158.					Buy (add'l)	06/07/16	J		
159. Ishares Core S&P Smallcap	B	Dividend	L	T	Sold (part)	02/05/16	J	A	
160.					Sold (part)	03/07/16	J	A	
161.					Sold (part)	06/07/16	K	D	
162.					Sold (part)	12/14/16	J	C	
163. Ishares MSCI Emerging Markets	A	Dividend			Sold	02/05/16	K	A	
164. Ishares MSCI Germany	A	Dividend			Sold	03/07/16	K	A	
165. Ishares MSCI EAFE Index Fund	A	Dividend			Sold	03/07/16	J	A	
166. Ishares MSCI Mexico Capped	A	Dividend			Sold	03/07/16	J	A	
167. Ishares MSCI United Kingdom Index Fund	A	Dividend			Sold	03/07/16	J	A	
168. Ishares S&P N. Am. Tech.	A	Dividend			Sold	02/05/16	J	A	
169. Powershares DB Commodity Index Tracking	A	Dividend	J	T	Buy (add'l)	02/05/16	J		
170.					Sold (part)	12/14/16	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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. Powershares EM Mar ETF Sov De	A	Dividend	J	T	Buy	12/14/16	J		
172. Select Sector SPDR TR Consumer Staples	A	Dividend	J	T	Sold (part)	06/07/16	J	A	
173. Select Sector SPD Fd Materials	A	Dividend	J	T					
174. Select Sector SPDR Fd Health Care	A	Dividend	K	T	Buy (add'l)	03/07/16	J		
175.					Buy (add'l)	06/07/16	J		
176.					Buy (add'l)	12/14/16	J		
177. Select Sector SPDR Fd Consumer Discretionary	A	Dividend	K	T	Sold (part)	12/14/16	J	A	
178. SPDR Euro StoXX 50	A	Dividend			Buy (add'l)	02/05/16	K		
179.					Sold	03/07/16	K	B	
180. Select Sector Reasl Estate Spinoff	A	Dividend	J	T	Buy	09/22/16	J		
181. SPDR S&P 500 Trust	A	Dividend			Sold	03/07/16	J	A	
182. SPDR S&P Retail	A	Dividend	J	T	Sold (part)	03/07/16	J	B	
183. Vanguard Energy	A	Dividend			Sold	02/05/16	J	A	
184. Vanguard FTSE European	A	Dividend			Sold (part)	02/05/16	K	A	
185.					Buy (add'l)	03/07/16	K		
186.					Sold	06/07/16	K	A	
187. Vanguard Telecommunication Services	A	Dividend	J	T	Sold (part)	06/07/16	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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.					Buy (add'l)	12/14/16	J		
189. Vanguard Information Technology	A	Dividend	K	T	Sold (part)	03/07/16	J	A	
190.					Sold (part)	12/14/16	J	C	
191. Vanguard International Equity Index Fd Emerging	B	Dividend	L	T	Buy (add'l)	02/05/16	K		
192.					Buy (add'l)	03/07/16	K		
193.					Buy (add'l)	12/14/16	K		
194. Vanguard Developed Markets	C	Dividend	L	T	Buy (add'l)	02/05/16	J		
195.					Buy (add'l)	03/07/16	K		
196.					Buy (add'l)	06/07/16	K		
197.					Sold (part)	12/14/16	K	A	
198. Vanguard REIT	B	Dividend	K	T	Buy (add'l)	02/05/16	J		
199.					Buy (add'l)	03/07/16	J		
200.					Buy (add'l)	06/07/16	J		
201.					Sold (part)	12/14/16	J	B	
202. Wells Fargo Money Market	A	Dividend	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Pregerson, Harry

Date of Report

7/19/2017

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/ **Harry Pregerson**

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