

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Duncan, Allyson K.	2. Court or Organization US Court of Appeals, 4th Circuit	3. Date of Report 04/16/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Glenlake One Building 1440 Parklake Avenue, Suite 250 Raleigh, NC 27612		
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.	

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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. 2018	State Employees Retirement System of NC	\$18,040.00
2. 2018	Consolidated Judicial Retirement System of NC	\$2,574.00
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. 2018	National Center for State Courts - Wages
2. 2018	Self-Employed Attorney
3. 2018	Ameriprise Retirement
4. 2018	Prudential Retirement

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. FJA	5/7/18-5/8/18	Washington, DC	FJA Meeting	Travel, lodging, meals
2. FJA	10/13/18-10/19/18	Marrakech, Morocco	IAJ Meeting	Travel, lodging, meals
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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. North State Bank Accounts	A	Interest	L	T					
2. Dupree NC Tax Free Short to Medium Series (NTSMX)	B	Dividend	M	T					
3. AFLAC Common	A	Dividend	K	T					
4. Riversource Life Insurance Co-Immediate Annuity (fixed)		None			Redeemed (part)	01/28/18	J		
5.					Redeemed (part)	02/28/18	J		
6.					Redeemed (part)	03/28/18	J		
7.					Redeemed (part)	04/28/18	J		
8.					Redeemed (part)	05/28/18	J		
9.					Redeemed (part)	06/28/18	J		
10.					Redeemed (part)	07/28/18	J		
11.					Redeemed	08/28/18	J		
12. BROKERAGE #1 (H)									
13. Ameriprise MM (cash)	A	Interest	J	T					
14. Applied Materials (AMAT)		None	K	T	Buy	12/04/18	K		
15. Agilent Technologies (A)	A	Dividend			Buy	01/11/18	K		
16.					Sold	04/04/18	K		
17. American Tower Corp (AMT)	A	Dividend			Buy	04/04/18	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	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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☐ NONE (No reportable income, assets, or transactions.)

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	(1) Amount Code I (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.					Sold	08/27/18	K	A	
19. Fluor Corp (FLR)	A	Dividend			Buy	08/27/18	K		
20.					Buy (add'l)	10/30/18	J		
21.					Sold	11/26/18	K		
22. Kaman Corp (KAMN)	A	Dividend			Buy	05/21/18	K		
23.					Sold	08/27/18	K		
24. Ligand Pharmaceuticals Inc (LGND)		None	K	T	Buy	12/04/18	K		
25. Mosaic Company (MOS)		None			Buy	04/23/18	K		
26.					Sold	06/04/18	K	B	
27. Nvidia Corp (NVDA)	A	Dividend			Buy	01/11/18	K		
28.					Buy (add'l)	10/30/18	J		
29.					Sold	12/04/18	K		
30. Ollies Bargain Outlet Holdings (OLLI)		None			Buy	08/28/18	J		
31.					Buy (add'l)	10/30/18	J		
32.					Sold	12/21/18	J		
33. Ritchie Brothers Auctioneers Inc (RBA)	A	Dividend	K	T	Buy	06/04/18	K		
34.					Buy (add'l)	10/30/18	J		

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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	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	
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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				
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35. Stryker Corp (SYK)	A	Dividend			Buy	05/02/18	K		
36.					Sold	12/21/18	K		
37. Invesco DB Base Metals Fund ETF (DBB)	A	Dividend	K	T	Buy	10/02/18	K		
38. IShares S&P GSCI Commodity Indexed Trust (GSG)		None			Buy	03/05/18	K		
39.					Buy (add'l)	04/04/18	J		
40.					Sold (part)	10/30/18	J	A	
41.					Sold	12/21/18	J		
42. IShares Core US Aggregate Bond ETF (AGG)	B	Dividend			Sold (part)	01/11/18	J		
43.					Sold (part)	04/04/18	J		
44.					Sold (part)	10/02/18	K		
45.					Sold (part)	10/30/18	J		
46.					Sold	12/04/18	K		
47. IShares IBOXX Investment Grade Corp Bond ETF (LQD)	A	Dividend			Buy	04/04/18	K		
48.					Sold	10/02/18	K		
49. IShares S&P Mid Cap 400 Value ETF (IJJ)	A	Dividend			Buy	06/04/18	K		
50.					Buy (add'l)	10/30/18	J		
51.					Sold	12/17/18	K		

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52. IShares 1-3 Yr Credit Bond ETF (CSJ)	A	Dividend	K	T	Buy	04/04/18	K		
53.					Sold	05/21/18	K		
54.					Buy	12/21/18	K		
55. IShares Inc MSCI Taiwan ETF (EWT)		None			Buy	04/04/18	K		
56.					Sold	05/02/18	K		
57. IShares Edge MSCI Min Vol Emg Mkts ETF (EEMV)		None			Sold	01/11/18	J	B	
58. EOG Resources Inc (EOG)	A	Dividend			Sold (part)	01/11/18	J	A	
59.					Sold	03/15/18	K		
60. IShares MSCI Japan ETF (EWJ)		None			Buy (add'l)	01/11/18	J		
61.					Sold	06/04/18	K	A	
62. IShares 7-10 Yr Treas Bond ETF (IEF)		None			Sold	01/11/18	K		
63. IShares Core S&P Small Cap ETF (IJR)	A	Dividend			Sold	01/11/18	K	D	
64.					Buy	05/21/18	K		
65.					Buy (add'l)	10/30/18	J		
66.					Sold	12/17/18	K		
67. IShares Short Treasury Bond ETF (SHV)	A	Dividend	L	T	Buy	10/02/18	K		
68.					Sold (part)	10/30/18	J	A	

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69.					Buy (add'l)	11/26/18	K		
70.					Sold (part)	12/04/18	K	A	
71. SPDR Bloomberg Barclays Inv't Grade Fltg Rate (FLRN)		None	J	T	Buy	12/21/18	J		
72. SPDR Series Trust S&P Biotech ETF (XBI)	A	Dividend			Buy	06/04/18	K		
73.					Sold	10/30/18	J		
74. SPDR Bloomberg Barclays High Yield Bond ETF (JNK)		None			Sold	01/11/18	J	A	
75.									
76. SPDR S&P Bank (KBE)	A	Dividend			Sold (part)	01/11/18	J	A	
77.					Sold	06/04/18	K	B	
78. Select Utilities Select Sector SPDR ETF (XLU)		None			Buy	05/02/18	K		
79.					Sold	05/21/18	K		
80. Sector Materials Select Sector SPDR ETF (XLB)	A	Dividend			Buy	01/11/18	K		
81.					Sold	04/04/18	K		
82. Consumer Discretionary Select Sector SPDR ETF (XLY)	A	Dividend	K	T	Buy	01/11/18	K		
83.					Buy (add'l)	10/30/18	J		
84. Powershares Emerg Mkts Sov Debt ETF (PCY)	A	Dividend			Buy (add'l)	01/11/18	K		
85.					Sold	04/04/18	K		

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86. Powershares S&P 500 Low Volatility ETF (SPLV)		None			Sold	01/11/18	L	D	
87. Vanguard FTSE Developed Mkts ETF (VEA)		None			Sold	01/11/18	K	C	
88. Vanguard Total Stock Market ETF (VTI)		None			Sold	01/11/18	J	C	
89. Vanguard FTSE Emerg Mkts ETF (VWO)	A	Dividend			Buy (add'l)	01/11/18	J		
90.					Sold	05/02/18	K	A	
91. Vanguard FTSE Europe ETF (VGK)		None			Sold	01/11/18	K	C	
92. Sector Energy Select SPDR ETF (XLE)		None			Buy (add'l)	01/11/18	J		
93.					Sold	03/05/18	K		
94. Taiwan Semiconductor Mfg Co Ltd (TSM)		None			Buy	01/11/18	K		
95.					Sold (part)	04/04/18	J		
96.					Sold	04/23/18	K	A	
97. Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend	K	T	Buy	12/04/18	K		
98. Vanguard Total Intl Bond Index ETF (BNDX)	B	Dividend	K	T	Buy (add'l)	01/11/18	K		
99.					Sold (part)	04/04/18	J	A	
100.					Sold (part)	10/30/18	J		
101. Vanguard Information Technology ETF (VGT)	A	Dividend	K	T	Buy	01/11/18	K		
102.					Buy (add'l)	10/30/18	J		

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103. IRA #1 (H)									
104. Dreyfus Govt Cash Management Fund	A	Dividend	M	T					
105. Agilent Technologies (A)	A	Dividend			Buy	01/11/18	K		
106.					Sold	04/04/18	K		
107. Fluor Corp (FLR)	A	Dividend			Buy	08/27/18	K		
108.					Buy (add'l)	10/30/18	J		
109.					Sold	11/26/18	K		
110. Ligand Pharmaceuticals (LGND)		None	K	T	Buy	12/04/18	K		
111. American Tower Corp (AMT)	A	Dividend			Buy	04/04/18	K		
112.					Sold	08/27/18	K		
113. Kaman Corp (KAMN)	A	Dividend			Buy	05/21/18	K		
114.					Sold	08/27/18	K		
115. Mosaic Company (MOS)		None			Buy	04/23/18	K		
116.					Sold	06/04/18	K		
117. Ollies Bargain Outlet Hldgs (OLLI)		None			Buy	08/28/18	K		
118.					Buy (add'l)	10/30/18	J		
119.					Sold	12/21/18	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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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. IShares S&P GSCI Commodity Indexed Trust (GSG)		None			Buy	03/29/18	K		
121.					Buy (add'l)	04/04/18	J		
122.					Sold	12/21/18	K		
123. Stryker Corp (SYK)	A	Dividend			Buy	05/02/18	K		
124.					Sold	12/21/18	K		
125. Ritchie Brothers Auctioneers (RBA)	A	Dividend	K	T	Buy	06/04/18	K		
126.					Buy (add'l)	10/30/18	J		
127. EOG Resources Inc (EOG)	A	Dividend			Sold (part)	01/11/18	J	A	
128.					Sold	03/15/18	K		
129. Invesco DB Base Metals Fund (DBB)	A	Dividend	K	T	Buy	10/02/18	K		
130.					Sold (part)	10/30/18	J		
131. IShares Core US Aggregate Bond (AGG)	B	Dividend	K	T	Sold (part)	01/11/18	L		
132.					Sold (part)	04/04/18	J		
133.					Buy (add'l)	04/11/18	J		
134.					Sold (part)	10/02/18	K		
135. IShares IBOX Investment Grade Corp Bond (LQD)	B	Dividend			Buy	04/04/18	L		
136.					Buy (add'l)	04/11/18	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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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.					Sold	10/02/18	L		
138. iShares S&P Mid Cap 400 Value (IJJ)	A	Dividend			Buy	06/04/18	K		
139.					Buy (add'l)	10/30/18	J		
140.					Sold	12/17/18	K		
141. iShares 1-3 Yr Credit Bond (CSJ)	A	Dividend			Buy	04/04/18	K		
142.					Sold	05/21/18	K		
143. iShares Inc MSCI Taiwan (EWT)		None			Buy	04/04/18	K		
144.					Sold	05/02/18	K		
145. iShares MSCI Japan (EWJ)		None			Buy (add'l)	01/11/18	J		
146.					Sold	06/04/18	K		
147. Nvidia Corp (NVDA)	A	Distribution			Buy	01/11/18	K		
148.					Buy (add'l)	10/30/18	J		
149.					Sold	12/21/18	K		
150. Powershares Emerging Markets Sovereign Debt (PCY)	A	Dividend			Buy (add'l)	01/11/18	K		
151.					Sold	04/04/18	L		
152. SPDR S&P Bank (KBE)	A	Dividend			Sold (part)	01/11/18	J	B	
153.					Sold	06/04/18	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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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. Sector Materials Select Sector SPDR (XLB)	A	Dividend			Buy	01/11/18	K		
155.					Sold	04/04/18	K		
156. iShares 1-3 Yr Treasury Bond (SHY)		None	K	T	Buy	12/21/18	K		
157. iShares Short Treasury Bond (SHV)	A	Dividend	L	T	Buy	10/02/18	L		
158.					Sold (part)	10/30/18	J		
159.					Buy (add'l)	11/26/18	K		
160.					Sold (part)	12/04/18	K		
161.					Buy (add'l)	12/21/18	K		
162. SPDR Bloomberg Barclays Investment Grade Fltg Rate (FLRN)		None	K	T	Buy	12/31/18	K		
163. Consumer Discretionary Select Sector SPDR (XLY)	A	Dividend	K	T	Buy	01/11/18	K		
164.					Buy (add'l)	10/30/18	J		
165. Sector Energy Select Sector SPDR (XLE)		None			Buy (add'l)	01/11/18	K		
166.					Sold	03/05/18	K	A	
167. Taiwan Semiconductor Mfg Co (TSM)		None			Buy	01/11/18	K		
168.					Sold (part)	04/04/18	J		
169.					Sold	04/23/18	K		
170. iShares Edge MSCI Min Vol Emerg Mkts (EEMV)		None			Sold	01/11/18	K	C	

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

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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. iShares 7-10 Yr Treasury Bond (IEF)		None			Sold	01/11/18	K		
172. iShares Core S&P Small Cap (IJR)	A	Dividend			Sold	01/11/18	L	D	
173.					Buy	05/21/18	K		
174.					Buy (add'l)	10/30/18	J		
175.					Sold	12/17/18	K		
176. SPDR Series Trust S&P Biotech (XBI)	A	Dividend			Buy	06/04/18	K		
177.					Sold	10/30/18	K		
178. SPDR Bloomberg Barclays High Yield Bond (JNK)		None			Sold	01/11/18	K	A	
179. Select Utilities Select Sector SPDR (XLU)		None			Buy	05/02/18	K		
180.					Sold	05/21/18	K		
181. Powershares S&P 500 Low Volatility (SPLV)		None			Sold	01/11/18	L	E	
182. Vanguard FTSE Developed Mkts (VEA)		None			Sold	01/11/18	K	D	
183. Vanguard FTSE Europe (VGK)		None			Sold	01/11/18	K	C	
184. Vanguard Total Stock Market (VTI)		None			Sold	01/11/18	K	D	
185. Vanguard Total Intl Bond Index (BNDX)	B	Dividend	L	T	Buy (add'l)	01/11/18	L		
186.					Sold (part)	04/04/18	J		
187.					Buy (add'l)	04/11/18	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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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.					Sold (part)	10/30/18	J		
189. Vanguard Information Technology (VGT)	A	Dividend	K	T	Buy	01/11/18	K		
190.					Buy (add'l)	10/30/18	J		
191. Vanguard FTSE Emerging Markets (VWO)	A	Dividend			Buy (add'l)	01/11/18	J		
192.					Sold	05/02/18	K		
193. IRA #2 (H)									
194. Dreyfus Govt Cash MGMT (cash)	A	Int./Div.	J	T	Open	05/01/18	M		
195. Ligand Pharmaceuticals (LGND)		None	J	T	Buy	12/04/18	J		
196. Fluor Corp (FLR)	A	Dividend			Buy	08/27/18	J		
197.					Sold	11/26/18	J		
198. American Tower Corp (AMT)		None			Buy	06/26/18	J		
199.					Sold	08/27/18	J		
200. Kaman Corp (KAMN)		None			Buy	06/26/18	J		
201.					Sold	08/27/18	J		
202. Nvidia Corp (NVDA)	A	Dividend			Buy	06/26/18	J		
203.					Sold	12/21/18	J		
204. Ollies Bargain Outlet Holdings Inc (OLLI)		None			Buy	08/28/18	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)
205.					Sold	12/21/18	J		
206. Ritchie Brothers Auctioneers (RBA)	A	Dividend	J	T	Buy	06/26/18	J		
207. Stryker Corp (SYK)	A	Dividend			Buy	06/26/18	J		
208.					Sold	12/21/18	J		
209. Invesco DB Base Metals Fund (DBB)	A	Dividend	J	T	Buy	10/02/18	J		
210. iShares S&P GSCI Commodity Indexed Tr (GSG)		None			Buy	06/26/18	J		
211.					Sold	12/21/18	J		
212. iShares Core US Aggregate Bond (AGG)	A	Dividend			Buy	06/26/18	J		
213.					Sold	10/02/18	J		
214. iShares iBOXX Invest Grade Corp Bond (LQD)	A	Dividend			Buy	06/26/18	J		
215.					Sold	10/02/18	J		
216. iShares S&P Mid Cap 400 Value (IJJ)	A	Dividend			Buy	06/26/18	J		
217.					Sold	12/17/18	J		
218. iShares Core S&P Small Cap (IJR)	A	Dividend			Buy	06/26/18	J		
219.					Sold	12/17/18	J		
220. iShares 1-3 Yr Treasury Bond (SHY)		None	J	T	Buy	12/21/18	J		
221. iShares Short Treasury Bond (SHV)	A	Dividend	J	T	Buy	10/02/18	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)
222.					Buy (add'l)	11/26/18	J		
223.					Sold (part)	12/04/18	J		
224.					Buy (add'l)	12/21/18	J		
225. SPDR Bloomberg Barclays Inv't Grade Flt'g Rate (FLRN)		None	J	T	Buy	12/21/18	J		
226. SPDR Series Trust S&P Biotech (XBI)		None			Buy	06/26/18	J		
227.					Sold	10/30/18	J		
228. Consumer Disc Select Sector SPDR (XLY)	A	Dividend	J	T	Buy	06/26/18	J		
229. Vanguard Total Intl Bond Index (BNDX)	A	Dividend	J	T	Buy	06/26/18	J		
230. Vanguard Information Technology (VGT)	A	Dividend	J	T	Buy	06/26/18	J		
231. BROKERAGE #2 (H)									
232. Sirius XM Holdings (SIRI)	A	Dividend	J	T					
233. Nokia Corp (NOK)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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.)*

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

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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/ Allyson K. Duncan**

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