

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) PRATT, ROBERT W.	2. Court or Organization US DISTRICT COURT - SO IOWA	3. Date of Report 05/3/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT COURT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address US COURTHOUSE 123 E. WALNUT STREET DES MOINES, IA 50309		
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. 2014

IOWA LEGISLATURE - SALARIED EMPLOYEE

2. _____

3. _____

4. _____

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

1. _____

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.)*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.

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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. BANKERS TRUST COMPANY	A	Interest	K	T					
2. MORGAN STANLEY DEAN WITTER MARKETABLE SECURITIES:									
3. MORGAN STANLEY BANK	A	Interest	J	T					
4. MS EMERGING MKTS DOMESTIC DEBT	D	Dividend	L	T	Buy (add'l)	01/03/14	J		
5. MS EMERGING MKTS DOMESTIC DEBTDEBT	A	Dividend			Buy (add'l)	04/15/14	J		
6. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend			Buy (add'l)	07/15/14	J		
7. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend			Buy (add'l)	10/15/14	J		
8. BENSON ARIZ EXCISE TAX & ST SHARED REV OBLIGS 2500	A	Interest			Redeemed	07/01/14	K		
9. WA STATE CERTIFICATES OF PARTICIPATION SER-B 2000	A	Interest			Redeemed	08/01/14	M		
10. FLORIDA ST BRD ED FL INTL UNIV 3750	A	Interest			Redeemed	01/01/14	J		
11. WALLA WALLA WASH WATER & WASTE 3625	C	Interest			Redeemed	08/01/14	M		
12. POMWAY CALIF UNI SCH DIST SPL TAX 4000	B	Interest			Redeemed	10/01/14	K		
13. SIOUX CITY IOWA CMNTY SCH DIST SCH INFRASTRUCTURE LOC OPT-B	A	Interest			Redeemed	10/01/14	J		
14. OGLE & WINNEBAGO CNTYS SCH DIST ZERO	A	Interest			Redeemed	10/01/14	J		
15. INDIANAPOLIS GAS UTIL DIST SYS 3500	A	Interest	K	T					
16. PUERTO RICO PUB IMPR ZERO	A	Interest	K	T					
17. STATE UNIV IOWA REC FACS 4000	B	Interest	K	T					

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

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18. WINNEBAGO BOONE ETC CNTYS ILL ZERO	A	Interest	J	T					
19. SOUTH JEFSEY PORT CORP N 3.000	A	Interest	K	T					
20. ANKENY IOWA CMNTY SCH DIST 4.000	A	Interest	J	T					
21. OSCEOLA CNTY FL SCH BOARD 3500	A	Interest			Redeemed	12/15/14	J		
22. BENSON ARIZ EXCISE TAX & ST SHARED REV OBLIGS 3000	B	Interest	K	T					
23. WYANDOTTE CNTY KANS CITY GOVT OID 3.000	A	Interest	K	T					
24. POLK CNTY FLA SCH DIST SALES TAX 3.750	A	Interest	J	T					
25. STATE UNIV IOWA UTIL SYS 4000	B	Interest	K	T					
26. CLARK CNTY NEV GEN OBLIG 3500	B	Interest	K	T					
27. WASHINGTON ST GENL OBLIG MTR VEHICLE FUEL TAX	A	Interest	J	T					
28. OHIO ST HOSP CLEVE CLINIC 3750	B	Interest	K	T					
29. WYLIE CITY TEX COMB TAX REV 4000	B	Interest	K	T					
30. AUSTIN TEX UTIL SYS REV 6.6 ZERO COUPON	A	Interest	K	T					
31. ANKENY IA COMM SCH DIST 4000	B	Interest	L	T					
32. BETTENDORF IOWA GNEL OBLIG SER-A	A	Interest			Redeemed	06/02/14	K		
33. UNIVERSITY N C CHAPEL HILL REV REF STUDENT FEE UTILS OY 5.45	A	Interest	K	T					
34. ST CLAIR CNTY ILL GEN OBLIG ZERO	A	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
35. DELTONA FLA TRANS CAP IMPT 4375	A	Interest	J	T					
36. NEW YORK ST MTG AGY HOMEOWNER MTG 1.650	A	Interest	K	T					
37. TAMPA FLA UTIL TAX OY 6.15	A	Interest	J	T					
38. COVINA CALIF PUB FIN WASTEWATER 3500	A	Interest	J	T					
39. CLARK CNTY NEV GEN OBLIG 3500	B	Interest	K	T					
40. INDIANAPOLIS IN WATER WORKS 4000	B	Interest	K	T					
41. WYLIE CITY TEX COMB TAX REV 4000	A	Interest	K	T					
42. NEW YORK N Y CIT HSG DEV 3.300	A	Interest	K	T					
43. CLIVE IOWA GENL OBLIG-C 2.000	A	Interest	K	T					
44. LONG ISLAND PWR AUTH N Y ELEC SYS 5.81 ZERO COUPON	A	Interest	J	T					
45. IOWA ST PRISON INFRASTRUCTURE FUND OBLIG 3250	C	Interest	M	T					
46. NEVADA STATE HIGHER EDUC 3400	B	Interest	K	T					
47. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-I	A	Interest	J	T					
48. COLLEGE CHARLESSTON SC HIGHER ED FACS REV REF-A 2.500	A	Interest	K	T					
49. LONG ISLAND PWR AUTH N Y ELEC SYS REV SER A OY 5.83	A	Interest	K	T					
50. MARION IOWA URBAN RENWAL A 2.000	A	Interest	K	T					
51. HONOLULU HAWAII CITY WASTE ZERO COUPON	A	Interest	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		
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52. RENO CITY NEVADA GEN OBLIG 4500	B	Interest			Redeemed	06/02/14	K		
53. IOWA FIN AUTH SINGLE FAMILY MTG REV SER-I	B	Interest	K	T					
54. CONNECTICUT HSN FIN AUTH MORTG REV B-1 2.350	A	Interest	K	T					
55. FLORIDA HIGHER ED FACS FIN AUTH 2.350	A	Interest	J	T					
56. HOUSTON TEX WTR & SWR SYS REV SER A	A	Interest	K	T					
57. SHELBY CNTY ALA BRD 4.125	A	Interest	J	T					
58. WALKER CNTY ALA BRD ED -A 3.000	A	Interest	K	T					
59. ORANGE BEACH ALA WTR SWR & FIRE 2.250	A	Interest	K	T					
60. DAVENPORT IOWA 3.000	A	Interest	L	T					
61. IOWA ST UNIV SCIENCE & TECH 4000	A	Interest			Redeemed	07/01/14	J		
62. FLORIDA ST DEPT ENVIRONMENTAL PROTN PRES 5000	C	Interest	L	T					
63. WATERLOO IOWA COMNTY SCH DIST SCH INFRAS SALES & SVCS REV	B	Interest	K	T					
64. VIRGINIA ST RES AUTH WTR & SWR 5.06 ZERO COUPON	A	Interest	J	T					
65. CONNECTICUT HSN FIN AUTH MORT REV B-1 2.700	A	Interest	K	T					
66. MISSOURI ST HEALTH & EDL FACS AUTH 3.000	A	Interest	K	T					
67. HAMILTON CNTY OHIO SALES TAX 5.75 ZERO COUPON	A	Interest	J	T					
68. VIRGINIA ST HSG DEV AUTH COMWL 2.000	A	Interest	L	T					

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69. CARSON CITY NEV CAP IMPT REF A 3,000	A	Interest	K	T					
70. CLARK CNTY NEV SCH DIST SER A 3,000	B	Interest	L	T					
71. PIMA COUNTY ARIZ GENERAL OBLIG 2,500	B	Interest	L	T					
72. METRO ARPTS - B BE 0000	A	Interest	K	T	Buy	06/24/14	K		
73. CLARK CNTY NEV BOND BK 5000	C	Interest	L	T					
74. HOUSTON TEX WTR & SWR SYS REV SER A (25,000)	A	Interest	K	T					
75. HOUSTON TEX WTR & SWR SYS REV SER A (5,000)	A	Interest	J	T					
76. NORTHBROOK ILL GENL OBLIG SER 1 3,000	A	Interest	K	T					
77. POWSHIEK IOWA WTR ASSN WTR REV	B	Interest	K	T					
78. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY 2,000	A	Interest	K	T					
79. DAVENPORT IOWA COPR REF-A 3,000	B	Interest	L	T					
80. CLARK CNTY NEV SCH DIST BLDG-B 3,000	A	Interest	J	T					
81. SHARON MASS MUN PURP LN 2,500	B	Interest	K	T					
82. PIMA COUNTY ARIZ GENERAL OBLIGATION 3,000	B	Interest	L	T					
83. KINGSPORT TENN BE 2000	A	Interest	K	T	Buy	11/03/14	L		
84. ALASKA ST INTL ARPTS SYS 5000	A	Interest			Redeemed	06/18/14	J		
85. DES MOINES IOWA WTR REV REF B 3,000	B	Interest	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. IOWA STUDENT LOAN LIQUIDITY CO RP STUDENT LOAN REV SENIOR A1	C	Interest	K	T					
87. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-I	A	Interest	J	T					
88. JANESVILLE WI GENL BE 2000	A	Interest	J	T	Buy	09/10/14	J		
89. ALASKA MUN BND BK SER-I 4500	B	Interest	K	T					
90. COLLIER CNTY FLA GAS TAX REV 3.000	A	Interest	K	T					
91. STATE UNIV IOWA ATHLETIC FACS REV 3000	B	Interest	L	T					
92. MONTGOMERY CO MD HSG OPP 3.050	B	Interest	K	T					
93. AMES IOWA CMNTY SCH DIST 3.750	B	Interest	L	T					
94. JEA FLA WTR & SWR SYS SUB 3.75	C	Interest	M	T					
95. BROOKHAVEN NY PUB IMPT-B 2250	A	Interest	L	T	Buy	06/26/14	K		
96. TENNESSEE ENERGY ACQUISITION CORP GAS REV 5000	B	Interest	K	T					
97. AMES IOWA CMNTY SCH DIST 3.000 (25,000)	A	Interest	K	T					
98. AMES IOWA CMNTY SCH DIST 3.000 (25,000)	A	Interest	K	T					
99. LINCOLN CNTY KY SCH DIST FIN BE 2375	A	Interest	K	T	Buy	09/10/14	K		
100. ARLINGTON TEX FOR ISSUES DATED BE 2375	A	Interest	L	T	Buy	06/26/14	L		
101. GRAND FORKS N D WTR BE 2375	A	Interest	J	T	Buy	04/30/14	J		
102. TRUMBULL CONN GENLT OBLIG 2.500%	A	Interest	J	T	Buy	09/10/14	J		

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103. FSU FINL ASSISTANCE INC FLA BE 3125	A	Interest	J	T	Buy	04/30/14	J		
104. HILLSBOROUGH CNTY FLA CMNTY INVT TAX BE 3000	A	Interest	J	T	Buy	04/30/14	J		
105. RUSHFORD MINN BE 2400	A	Interest	K	T	Buy	09/10/14	K		
106. ABERDENN TWP N J BE 3000	A	Interest	J	T	Buy	04/29/14	J		
107. CITY OF HOUSTON TX OMBINED UTIL BE 3000	A	Interest	J	T	Buy	04/29/14	J		
108. NEW YORK STATE HSG FIN AGY BE 3100	A	Interest	K	T	Buy	07/25/14	K		
109. FLOWER MOUND TX BE 3000	A	Interest	K	T	Buy	07/25/14	K		
110. MAINE ST TPK AUTH SPL BE 3250	A	Interest	K	T	Buy	07/25/14	K		
111. UNIVERSITY WASH UNIV REV 4500	B	Interest	K	T					
112. SOUTHEAST POLK IOWA CMNTY SCH DIST REV	A	Interest	J	T					
113. COLUMBUS OHIO SWR REV 4500	B	Interest	L	T					
114. IOWA ST SPL OBLIG	B	Interest	K	T					
115. IOWA ST UNIV ACADEMIC BLDG 4375	D	Interest	M	T					
116. DOW CHEMICAL COMPANY	A	Interest	K	T					
117. GE CAP BK CD SALE LAKE CITY 2.200	A	Interest	K	T					
118. RHODE ISLAND H BE 1150	A	Interest	K	T					
119. MORGAN STANLEY DEAN WITTER IRA #1:									

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

05/3/2015

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. MS MARKET LINKED NOTE DJIA	A	Interest	K	T	Buy	01/14/14	K		
121. MORGAN STANLEY BANK	A	Interest	J	T					
122. STATE UNIV IOWA UNIV REV 3.000	A	Interest	K	T					
123. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend	J	T					
124. DB CAPITAL FUNFING X 7350	A	Dividend			Redeemed	03/17/14	J		
125. MS HYBRID PARTICIPATION COMMODITY COUPON	A	Interest			Redeemed	07/01/14	J		
126. HEWLETT-PACKARD CO 1.794	A	Interest			Redeemed	09/09/14	K		
127. SOUTHWEST AIRLINES CO 5250	B	Interest			Redeemed	10/01/14	K		
128. INTL PAPER CO 5250	A	Interest	K	T					
129. PROLOGIS TRUST 5625	A	Interest			Redeemed	06/16/14	J		
130. SOUTHWEST AIRLINES CO 5750	A	Interest	J	T					
131. GMAC 7375	B	Interest			Redeemed	03/14/14	K		
132. WELLS FARGO CAPITAL XII 7875	A	Interest			Redeemed	04/30/14	J		
133. WESTERN ASSET HIGH YIELD (HYI)	B	Dividend	K	T	Buy (add'l)	01/01/14	J		
134. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	01/31/14	J		
135. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	02/28/14	J		
136. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	03/02/14	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

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)
137. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	04/25/14	J		
138. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	05/26/14	J		
139. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	06/27/14	J		
140. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	07/25/14	J		
141. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	08/29/14	J		
142. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	09/26/14	J		
143. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	10/31/14	J		
144. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	11/28/14	J		
145. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	12/26/14	J		
146. TRANS-CANADA PIPELINES 6.350% FIXED	A	Interest	J	T					
147. HCP INC 3750	A	Interest	K	T					
148. DOW CHEMICAL CO/THE 2500	B	Interest	L	T					
149. HEWLETT PACKARD CO 2650	A	Interest	K	T					
150. CENTURYLINK INC 5150	B	Interest	K	T					
151. DUN & BRADSTREET CORP 3.250	A	Interest	K	T					
152. MURPHY OIL CORP 2.500	A	Interest	K	T					
153. STAPLES INC 2.750	A	Interest	J	T					

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

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

05/3/2015

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. CLIFFS NATURAL RESOURCES 3.950	A	Interest	J	T					
155. ASSURANT INC 2.500	A	Interest	K	T					
156. PITNEY BOWES INC 4750	A	Interest	K	T					
157. DOW CHEMICAL COMPANY 2.250%	A	Interest	K	T	Buy	06/26/14	K		
158. MORGAN STANLEY 2.375	A	Interest	K	T	Buy	09/24/14	K		
159. ASTRAZENECA PLC	A	Interest	J	T					
160. DOW CHEMICAL COMPANY 2.550	A	Interest	K	T	Buy	11/04/14	K		
161. MORGAN STANLEY 5000	A	Interest	J	T					
162. COMPUTER SCIENCE 6500	A	Interest	J	T					
163. MORGAN STANLEY 2.125	A	Interest	K	T					
164. BEST BUY CO INC 3750	A	Interest	J	T					
165. GENERAL ELECTRIC CAPITAL CORP 2.100	A	Interest	J	T					
166. TEVA PHARMA FIN IV LLC 3.1250	A	Interest	J	T					
167. GECC 1500	A	Interest	L	T					
168. SAFEWAY INC 3950	B	Interest	K	T					
169. ALLERGAN, INC. 3.375	A	Interest	K	T	Buy	06/19/14	K		
170. ALCOA INC 5.4000	A	Interest	J	T					

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

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Name of Person Reporting

PRATT, ROBERT W.

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05/3/2015

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. FORD MOTOR CREDIT COMPANY, LLC	A	Interest	K	T	Buy	06/26/14	K		
172. HJ HEINZ CO 3.125	A	Interest	J	T					
173. ICAHN ENTERPRISES FIN 5.875	B	Interest	K	T	Buy	03/25/14	K		
174. BMC SOFTWARE INC 4.250	A	Interest	J	T					
175. NEWMONT MINING CORP 3.500	A	Interest	J	T					
176. MURPHY OIL CORP 3.700	A	Interest	J	T					
177. AVON PRODUCTS INC 4600	B	Interest	K	T					
178. MORGAN STANLEY DEAN WITTER IRA #2:									
179. MORGAN STANLEY BANK	A	Interest	K	T					
180. ABBOTT LABORATORIES	A	Dividend	K	T					
181. ABBVIE INC COM (ABBV)	A	Dividend	K	T					
182. ALCOA INC (AA)	A	Dividend	K	T					
183. ALTRIA GROUP INC	B	Dividend	K	T					
184. AT&T INC	B	Dividend	K	T					
185. BOEING CO	A	Dividend	K	T					
186. CISCO SYSTEMS (CSCO)	A	Dividend	J	T					
187. COCA COLA CO	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 \$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

PRATT, ROBERT W.

Date of Report

05/3/2015

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. GENERAL ELECTRIC CO	A	Dividend	K	T					
189. ISHARES S&P 100 INDEX FD	A	Dividend	K	T					
190. JOHNSON & JOHNSON	B	Dividend	K	T					
191. PHILIP MORRIS INTL INC (PM)	A	Dividend	J	T					
192. PROCTOR & GAMBLE	A	Dividend	K	T					
193. W.P. CAREY INC COM (WPC)	A	Dividend	K	T	Buy	07/01/14	J		
194. W.P. CAREY INC COM (WPC)					Buy (add'l)	07/25/14	J		
195. SPDR S&P MIDCAP 400 ETF TRUST	B	Dividend	M	T					
196. AEGON NV 7250	B	Dividend			Redeemed	06/16/14	K		
197. ML PFD CAPITAL TRUST III 7375	A	Interest	J	T					
198. INTEL CORP	A	Dividend	K	T					
199. PEPSICO INC NC (PEP)	B	Dividend	K	T					
200. APPLE, INC.	A	Dividend	K	T					
201. INTL BUSINESS MACHINES CORP	A	Dividend			Sold	12/18/14	K		
202. MORGAN STANLEY DEAN WITTER IRA #3:									
203. ALLIANCE BERNSTEIN SMALL CAP GROWTH		None	J	T	Buy (add'l)	12/17/14	J		
204. WALGREEN CO	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		

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Name of Person Reporting

PRATT, ROBERT W.

Date of Report

05/3/2015

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. MORGAN STANLEY BANK	A	Interest	J	T					
206. PITNEY BOWES INC 4750	A	Interest	J	T					
207. GOLDMAN SACHS GRO 3625	A	Interest	J	T					
208. MORGAN STANLEY DEAN WITTER IRA #4:									
209. MORGAN STANLEY BANK	A	Interest	J	T					
210. ISHARES RUSSELL 1000 GR INDEX	A	Dividend	J	T	Sold (part)	04/11/14	J		
211. ISHARES RUSSELL 1000 GR INDEX					Buy (add'l)	08/15/14	J		
212. ISHARES RUSSELL 1000 VALUE IDX	A	Dividend	J	T	Buy (add'l)	04/11/14	J		
213. ISHARES RUSSELL 1000 VALUE IDX					Sold (part)	08/15/14	J		
214. VANGUARD FTSE DEV MKTS (VEA)	A	Dividend	K	T	Buy (add'l)	04/11/14	J		
215. VANGUARD FTSE DEV MKTS (VEA))					Buy (add'l)	08/15/14	J		
216. ISHARES 2000 VALUE FD	A	Dividend	J	T	Buy (add'l)	04/11/14	J		
217. ISHARES 2000 VALUE FD					Sold (part)	08/15/14	J		
218. ISHARES RUSSELL 2000 GROWTH	A	Dividend	J	T	Sold (part)	04/11/14	J		
219. ISHARES RUSSELL 2000 GROWTH					Buy (add'l)	08/15/14	J		
220. ISHARES RUSSELL MIDCAP G IN	A	Dividend	J	T	Sold (part)	04/11/14	J		
221. ISHARES RUSSELL MIDCAP G IN					Buy (add'l)	08/15/14	J		

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

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Name of Person Reporting

PRATT, ROBERT W.

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05/3/2015

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

222. ISHARES RUSSELL MIDCAP V IN	A	Dividend	J	T	Sold (part)	08/15/14	J		
223. ISHARES RUSSELL MIDCAP V IN					Buy (add'l)	04/11/14	J		
224. VANGUARD MSCI EMERGING MKTS	A	Dividend	J	T	Buy (add'l)	04/11/14	J		
225. VANGUARD MSCI EMERGING MKTS					Buy (add'l)	08/15/14	J		
226.									

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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PRATT, ROBERT W.

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

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PRATT, ROBERT W.

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05/3/2015

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/ **ROBERT W. PRATT**

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