

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 12/10/2014
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 01/01/2013 to 12/31/2013
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

Page 2 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2013

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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	K	T					
4. MS EMERGING MKTS DOMESTIC DEBT	D	Dividend	L	T	Buy (add'l)	01/04/13	J		
5. MS EMERGING MKTS DOMESTIC DEBTDEBT	A	Dividend			Buy (add'l)	04/15/13	J		
6. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend			Buy (add'l)	07/15/13	J		
7. MS EMERGING MKTS DOMESTIC DEBT	A	Dividend			Buy (add'l)	10/15/13	J		
8. WASH CTY UTAH SCH DIST 4000	A	Interest			Redeemed	03/01/13	J		
9. WRIGHT ST UNIV 3500	A	Interest			Redeemed	05/01/13	J		
10. WASH ST GEN OBLIG MOTOR VEH FUEL TAX ZERO	B	Interest			Redeemed	06/03/13	K		
11. IOWA CIT IOWA SWR REV REF CAP LN NTS-C 3250	B	Interest			Redeemed	07/01/13	L		
12. LOUISIANA ST GO GULF OPP 4000	A	Interest			Redeemed	07/15/13	J		
13. E-470 PUB HWY AUTH COLO ZERO	A	Interest			Redeemed	09/03/13	M		
14. ALASKA ST INTL AIRPORTS 4000	B	Interest			Redeemed	10/01/13	K		
15. METRO WASH DC AIRPORT AUTH 4125	A	Interest			Redeemed	10/01/13	J		
16. MODESTO CA IRR DIST 4000	A	Interest			Redeemed	10/01/13	K		
17. WILL CNTY ILL SCH DIST NO 122 ZERO	A	Interest			Redeemed	11/01/13	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. FAYETTE CNTY KY SCH DIST 3375	A	Interest			Redeemed	12/02/13	J		
19. LAKE CNTY ILL CMNTY SCH DIST NO 050 ZERO	A	Interest			Redeemed	12/02/13	L		
20. BENSON ARIZ EXCISE TAX & ST SHARED REV OBLIGS 2500	A	Interest	K	T					
21. DENVER CO CONV CTR HOTEL 4000	A	Interest			Redeemed	12/02/13	K		
22. WA STATE CERTIFICATES OF PARTICIPATION SER-B 2000	A	Interest	K	T					
23. FLORIDA ST BRD ED FL INTL UNIV 3750	A	Interest	J	T					
24. WALLA WALLA WASH WATER & WASTE 3625	C	Interest	M	T					
25. VIRGINIA HSG DEV COMWLTH SER A 4250	B	Interest			Redeemed	01/02/13	K		
26. POMWAY CALIF UNI SCH DIST SPL TAX 4000	B	Interest	L	T					
27. SIOUX CITY IOWA CMNTY SCH DIST SCH INFRASTRUCTURE LOC OPT-B	A	Interest	J	T					
28. OGLE & WINNEBAGO CNTYS SCH DIST ZERO	A	Interest	J	T					
29. INDIANAPOLIS GAS UTIL DIST SYS 3500	B	Interest	K	T					
30. PUERTO RICO PUB IMPR ZERO	A	Interest	K	T					
31. STATE UNIV IOWA REC FACS 4000	B	Interest	K	T					
32. WINNEBAGO BOONE ETC CNTYS ILL ZERO	A	Interest	J	T					
33. SOUTH JEFSEY PORT CORP N 3.000	A	Interest	K	T	Buy	02/21/13	K		
34. ANKENY IOWA CMNTY SCH DIST 4.000	A	Interest	J	T	Buy	01/25/13	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. OSCEOLA CNTY FL SCH BOARD 3500	A	Interest	J	T					
36. WAUKEE IOWA CMNTY SCH DIST 4000	A	Interest			Redeemed	06/03/13	J		
37. BENSON ARIZ EXCISE TAX & ST SHARED REV OBLIGS 3000	B	Interest	K	T					
38. WYANDOTTE CNTY KANS CITY GOVT OID 3.000	A	Interest	K	T	Buy	02/21/13	J		
39. POLK CNTY FLA SCH DIST SALES TAX 3.750	A	Interest	J	T	Buy	02/21/13	J		
40. MIAMI DADE CNTY FL EXPWY AUTH TOLL SYS 4250	A	Interest			Redeemed	04/23/13	J		
41. STATE UNIV IOWA UTIL SYS 4000	A	Interest	K	T					
42. CLARK CNTY NEV GEN OBLIG 3500	B	Interest	K	T					
43. WASHINGTON ST GENL OBLIG MTR VEHICLE FUEL TAX	B	Interest	K	T					
44. OHIO ST HOSP CLEVE CLINIC 3750	B	Interest	K	T					
45. WYLIE CITY TEX COMB TAX REV 4000	B	Interest	K	T					
46. AUSTIN TEX UTIL SYS REV 6.6 ZERO COUPON	A	Interest	K	T	Buy	02/21/13	J		
47. AUSTIN TEX UTIL SYS REV 6.6 ZERO COUPON	A	Interest			Buy (add'l)	09/05/13	K		
48. ANKENY IA COMM SCH DIST 4000	B	Interest	L	T					
49. BETTENDORF IOWA GNEL OBLIG SER-A	A	Interest	K	T					
50. UNIVERSITY N C CHAPEL HILL REV REF STUDENT FEE UTILS OY 5.45	A	Interest	K	T					
51. 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	
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 7 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. DELTONA FLA TRANS CAP IMPT 4375	A	Interest	J	T					
53. NEW YORK ST MTG AGY HOMEOWNER MTG 1.650	A	Interest	K	T	Buy	07/11/13	K		
54. TAMPA FLA UTIL TAX OY 6.15	A	Interest	J	T					
55. COVINA CALIF PUB FIN WASTEWATER 3500	A	Interest	J	T					
56. CLARK CNTY NEV GEN OBLIG 3500	A	Interest	K	T					
57. INDIANAPOLIS IN WATER WORKS 4000	B	Interest	K	T					
58. WYLIE CITY TEX COMB TAX REV 4000	A	Interest	K	T					
59. NEW YORK N Y CIT HSG DEV 3.300	A	Interest	K	T	Buy	02/21/13	K		
60. CLIVE IOWA GENL OBLIG-C 2.000	A	Interest	K	T	Buy	06/14/13	K		
61. LONG ISLAND PWR AUTH N Y ELEC SYS 5.81 ZERO COUPON	A	Interest	J	T	Buy	02/21/13	J		
62. IOWA ST PRISON INFRASTRUCTURE FUND OBLIG 3250	C	Interest	M	T					
63. NEVADA STATE HIGHER EDUC 3400	B	Interest	K	T					
64. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-1	A	Interest	J	T					
65. COLLEGE CHARLESSTON SC HIGHER ED FACS REV REF-A 2.500	A	Interest	K	T	Buy	02/21/13	K		
66. LONG ISLAND PWR AUTH N Y ELEC SYS REV SER A OY 5.83	A	Interest	K	T					
67. MARION IOWA URBAN RENWAL A 2.000	A	Interest	K	T	Buy	06/17/13	K		
68. HONOLULU HAWAII CITY WASTE ZERO COUPON	A	Interest	J	T	Buy	02/21/13	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 8 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. RENO CITY NEVADA GEN OBLIG 4500	B	Interest	L	T					
70. IOWA FIN AUTH SINGLE FAMILY MTG REV SER-1	B	Interest	K	T					
71. CONNECTICUT HSN FIN AUTH MORTG REV B-1 2.350	A	Interest	K	T	Buy	10/11/13	K		
72. FLORIDA HIGHER ED FACS FIN AUTH 2.350	A	Interest	J	T	Buy	02/21/13	J		
73. HOUSTON TEX WTR & SWR SYS REV SER A	A	Interest	K	T					
74. SHELBY CNTY ALA BRD 4.125	A	Interest	J	T	Buy	02/22/13	J		
75. WALKER CNTY ALA BRD ED -A 3.000	A	Interest	J	T	Buy	02/22/13	J		
76. ORANGE BEACH ALA WTR SWR & FIRE 2.250	A	Interest	K	T	Buy	09/05/13	K		
77. DAVENPORT IOWA 3.000	A	Interest	L	T	Buy	08/05/13	K		
78. IOWA ST UNIV SCIENCE & TECH 4000	A	Interest	J	T					
79. FLORIDA ST DEPT ENVIRONMENTAL PROTN PRES 5000	C	Interest	L	T					
80. WATERLOO IOWA COMNTY SCH DIST SCH INFRAS SALES & SVCS REV	B	Interest	K	T					
81. VIRGINIA ST RES AUTH WTR & SWR 5.06 ZERO COUPON	A	Interest	J	T	Buy	10/01/13	J		
82. CONNECTICUT HSN FIN AUTH MORT REV B-1 2.700	A	Interest	K	T	Buy	10/11/13	K		
83. MISSOURI ST HEALTH & EDL FACS AUTH 3.000	A	Interest	K	T	Buy	07/16/13	K		
84. HAMILTON CNTY OHIO SALES TAX 5.75 ZERO COUPON	A	Interest	J	T	Buy	10/28/13	J		
85. VIRGINIA ST HSG DEV AUTH COMWL 2.000	A	Interest	K	T	Buy	11/15/13	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 \$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 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. CARSON CITY NEV CAP IMPT REF A 3.000	A	Interest	K	T	Buy	07/16/13	K		
87. CLARK CNTY NEV SCH DIST SER A 3.000	A	Interest	L	T	Buy	09/05/13	K		
88. PIMA COUNTY ARIZ GENERAL OBLIG 2.500	B	Interest	K	T	Buy	05/22/13	K		
89. CLARK CNTY NEV BOND BK 5000	C	Interest	L	T					
90. HOUSTON TEX WTR & SWR SYS REV SER A	A	Interest	K	T	Buy	11/04/13	K		
91. HOUSTON TEX WTR & SWR SYS REV SER A	A	Interest	J	T	Buy	11/04/13	J		
92. NORTHBROOK ILL GENL OBLIG SER 1 3.000	A	Interest	K	T	Buy	09/05/13	K		
93. POWSHIEK IOWA WTR ASSN WTR REV	B	Interest	K	T					
94. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY 2.000	A	Interest	K	T	Buy	07/16/13	K		
95. DAVENPORT IOWA COPR REF-A 3.000	A	Interest	K	T	Buy	06/18/13	K		
96. CLARK CNTY NEV SCH DIST BLDG-B 3.000	A	Interest	J	T	Buy	12/02/13	J		
97. SHARON MASS MUN PURP LN 2.500	A	Interest	K	T	Buy	12/02/13	K		
98. PIMA COUNTY ARIZ GENERAL OBLIGATION 3.000	A	Interest	K	T	Buy	05/22/13	K		
99. ALASKA ST INTL ARPTS SYS 5000	A	Interest	J	T					
100. DES MOINES IOWA WTR REV REF B 3.000	A	Interest	L	T	Buy	06/19/13	K		
101. IOWA STUDENT LOAN LIQUIDITY CO RP STUDENT LOAN REV SENIOR A1	C	Interest	L	T					
102. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-1	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. ALASKA MUN BND BK SER-I 4500	B	Interest	K	T					
104. COLLIER CNTY FLA GAS TAX REV 3,000	A	Interest	K	T	Buy	10/25/13	K		
105. STATE UNIV IOWA ATHLETIC FACS REV 3000	B	Interest	L	T					
106. MONTGOMERY CO MD HSG OPP 3.050	A	Interest	K	T	Buy	05/31/13	K		
107. AMES IOWA CMNTY SCH DIST 3.750	A	Interest	K	T	Buy	05/08/13	K		
108. JEA FLA WTR & SWR SYS SUB 3.75	A	Interest	M	T	Buy	07/26/13	L		
109. STATE UNIV IOWA UNIV REV DORM REV SER S.U.I.	A	Interest			Redeemed	07/01/13	J		
110. TENNESSEE ENERGY ACQUISITION CORP GAS REV 5000	B	Interest	K	T					
111. AMES IOWA CMNTY SCH DIST 3.000 (25,000)	A	Interest	K	T	Buy	05/08/13	K		
112. AMES IOWA CMNTY SCH DIST 3.000 (25,000)	A	Interest	K	T	Buy	05/08/13	K		
113. UNIVERSITY WASH UNIV REV 4500	B	Interest	K	T					
114. SOUTHEAST POLK IOWA CMNTY SCH DIST REV	A	Interest	J	T					
115. COLUMBUS OHIO SWR REV 4500	B	Interest	L	T					
116. IOWA ST SPL OBLIG	B	Interest	K	T					
117. IOWA ST UNIV ACADEMIC BLDG 4375	D	Interest	M	T					
118. DOW CHEMICAL COMPANY	A	Interest	K	T					
119. GE CAP BK CD SALE LAKE CITY 2.200	A	Interest	K	T	Buy	11/05/13	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. RHODE ISLAND H BE 1150	A	Interest	K	T					
121. MORGAN STANLEY DEAN WITTER IRA #1:									
122. MORGAN STANLEY BANK	A	Interest	K	T					
123. STATE UNIV IOWA UNIV REV 3,000	A	Interest	K	T	Buy	08/22/13	K		
124. MS ERMERGING MKTS DOMESTIC DEBT	A	Dividend	J	T					
125. CREDIT SUISSE GU 79900	A	Dividend			Redeemed	03/28/13	J		
126. DB CAPITAL FUNFING X 7350	A	Dividend	J	T					
127. MS HYBRID PARTICIPATION COMMODITY COUPON	A	Interest	J	T					
128. HEWLETT-PACKARD CO 1.794	A	Interest	K	T	Buy	01/02/13	K		
129. SOUTHWEST AIRLINES CO 5250	B	Interest	K	T					
130. INTL PAPER CO 5250	A	Interest	K	T					
131. PROLOGIS TRUST 5625	A	Interest	J	T					
132. SOUTHWEST AIRLINES CO 5750	A	Interest	J	T					
133. GMAC 7375	B	Interest	K	T					
134. AMERICAN INTL GROUP 7700	A	Interest			Redeemed	03/08/13	J		
135. WELLS FARGO CAPITAL XII 7875	A	Interest	J	T					
136. WELLS FARGO BK ZERO CPN	A	Interest			Redeemed	03/05/13	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. [REDACTED] MS STEP UP 5000	A	Interest			Redeemed	09/23/13	J		
138. WESTERN ASSET HIGH YIELD (HYI)	B	Dividend	K	T	Buy (add'l)	01/25/13	J		
139. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	02/22/13	J		
140. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	04/26/13	J		
141. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	05/31/13	J		
142. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	06/28/13	J		
143. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	07/26/13	J		
144. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	08/30/13	J		
145. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	09/27/13	J		
146. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	10/25/13	J		
147. WESTERN ASSET HIGH YIELD (HYI)					Buy (add'l)	11/29/13	J		
148. TRANS-CANADA PIPELINES 6.350% FIXED	A	Interest	K	T					
149. FORD MOTOR CREDIT CO 3000	A	Interest			Redeemed	06/20/13	K		
150. HCP INC 3750	A	Interest	K	T					
151. DOW CHEMICAL CO/THE 2500	B	Interest	L	T					
152. ARCELORMITTAL 3750	A	Interest			Sold	11/26/13	J		
153. HEWLETT PACKARD CO 2650	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	
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 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. CENTURYLINK INC 5150	B	Interest	K	T					
155. DUN & BRADSTREET CORP 3.250	A	Interest	J	T	Buy	02/04/13	J		
156. DUN & BRADSTREET CORP 3.250					Buy (add'l)	05/02/13	J		
157. MURPHY OIL CORP 2.500	A	Interest	K	T	Buy	09/08/13	J		
158. STAPLES INC 2.750	A	Interest	J	T	Buy	01/14/13	J		
159. CLIFFS NATURAL RESOURCES 3.950	A	Interest	J	T	Buy	01/15/13	J		
160. ASSURANT INC 2.500	A	Interest	K	T	Buy	04/25/13	K		
161. PITNEY BOWES INC 4750	A	Interest	K	T					
162. ASTRAZENECA PLC	A	Interest	J	T	Buy	10/04/13	J		
163. MORGAN STANLEY 5000	A	Interest	K	T					
164. COMPUTER SCIENCE 6500	A	Interest	J	T					
165. MORGAN STANLEY 2.125	A	Interest	K	T	Buy	09/10/13	K		
166. BEST BUY CO INC 3750	A	Interest	J	T					
167. GENERAL ELECTRIC CAPITAL CORP 2.100	A	Interest	J	T					
168. AVON PRODUCTS INC 5625	A	Interest			Sold	03/22/13	K		
169. TEVA PHARMA FIN IV LLC 3.1250	A	Interest	J	T	Buy	08/16/13	J		
170. GECC 1500	A	Interest	K	T	Buy (add'l)	10/04/13	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. SAFEWAY INC 3950	B	Interest	K	T	Buy (add'l)	08/13/13	K		
172. BANK O FAMERICA 8.20%	A	Int./Div.			Redeemed	05/01/13	K		
173. ALCOA INC 5.4000	A	Interest	J	T	Buy	04/26/13	J		
174. HJ HEINZ CO 3.125	A	Interest	J	T	Buy	05/07/13	J		
175. BMC SOFTWARE INC 4.250	A	Interest	J	T	Buy	04/26/13	J		
176. BMC SOFTWARE INC 4.250					Buy (add'l)	05/07/13	J		
177. NEWMONT MINING CORP 3.500	A	Interest	J	T	Buy	05/07/13	J		
178. MURPHY OIL CORP 3.700	A	Interest	J	T	Buy	05/07/13	J		
179. AVON PRODUCTS INC 4600	A	Interest	K	T	Buy	03/22/13	K		
180. GENWORTH FINANCIAL	A	Interest			Buy	01/28/13	K		
181. GENWORTH FINANCIAL					Redeemed	09/16/13	K		
182. MORGAN STANLEY DEAN WITTER IRA #2:									
183. MORGAN STANLEY BANK	A	Interest	K	T					
184. ABBOTT LABORATORIES	A	Dividend	K	T					
185. ABBVIE INC COM (ABBV)	A	Dividend	K	T	Spinoff (from line 184)	01/01/13	J		
186. ALCOA INC (AA)	A	Dividend	J	T	Buy	04/17/13	J		
187. ALTRIA GROUP INC	A	Dividend	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 \$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 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. AT&T INC	B	Dividend	K	T					
189. BOEING CO	A	Dividend	K	T					
190. CISCO SYSTEMS (CSCO)	A	Dividend	J	T	Buy	09/10/13	J		
191. CISCO SYSTEMS (CSCO)					Buy (add'l)	11/19/13	J		
192. COCA COLA CO	A	Dividend	J	T	Buy (add'l)	10/04/13	J		
193. GENERAL ELECTRIC CO	A	Dividend	K	T					
194. ISHARES S&P 100 INDEX FD	A	Dividend	K	T					
195. JOHNSON & JOHNSON	B	Dividend	K	T					
196. PHILIP MORRIS INTL INC (PM)	A	Dividend	J	T	Buy	09/11/13	J		
197. PHILIP MORRIS INTL INC (PM)					Buy (add'l)	10/15/13	J		
198. PROCTOR & GAMBLE	A	Dividend	K	T					
199. SPDR S&P MIDCAP 400 ETF TRUST	B	Dividend	M	T					
200. AEGON NV 7250	B	Dividend	K	T					
201. ROYAL BK SCOTLAND GP 7250	A	Dividend			Sold	10/11/13	J		
202. ML PFD CAPITAL TRUST III 7375	A	Interest	J	T					
203. INTEL CORP	A	Dividend	K	T					
204. PEPSICO INC NC (PEP)	B	Dividend	K	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 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. APPLE, INC.	A	Dividend	K	T	Buy (add'l)	04/17/13	J		
206. INTL BUSINESS MACHINES CORP	A	Dividend	K	T	Buy (add'l)	10/11/13	J		
207. MORGAN STANLEY DEAN WITTER IRA #3;									
208. ALLIANCE BERNSTEIN SMALL CAP GROWTH		None	J	T					
209. WALGREEN CO	A	Dividend	J	T					
210. MORGAN STANLEY BANK	A	Interest	J	T					
211. PITNEY BOWES INC 4750	A	Interest	J	T					
212. GOLDMAN SACHS GRO 3625	A	Interest	J	T					
213. MORGAN STANLEY DEAN WITTER IRA #4;									
214. MORGAN STANLEY BANK	A	Interest	J	T					
215. ISHARES BARCLAYS SHORT TREAS	A	Dividend			Sold	03/13/13	J		
216. ISHARES RUSSELL 1000 GR INDEX	A	Dividend	J	T	Sold (part)	03/13/13	J		
217. ISHARES RUSSELL 1000 GR INDEX					Sold (part)	09/18/13	J		
218. ISHARES RUSSELL 1000 GR INDEX					Buy (add'l)	10/07/13	J		
219. ISHARES RUSSELL 1000 GR INDEX					Buy (add'l)	11/14/13	J		
220. ISHARES RUSSELL 1000 VALUE IDX	A	Dividend	J	T	Buy (add'l)	10/07/13	J		
221. ISHARES RUSSELL 1000 VALUE IDX					Buy (add'l)	11/14/13	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 17 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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. ISHARES RUSSELL 1000 VALUE IDX					Sold (part)	03/13/13	J		
223. ISHARES RUSSELL 1000 VALUE IDX					Sold (part)	09/18/13	J		
224. SPDR BARCLAYS CAPITAL HIGH YIE	A	Dividend			Buy (add'l)	03/13/13	J		
225. SPDR BARCLAYS CAPITAL HIGH YIE					Buy (add'l)	09/18/13	J		
226. SPDR BARCLAYS CAPITAL HIGH YIE					Sold	10/07/13	J		
227. SPDR BARCLAYS CAPITAL INERNAT	A	Dividend			Buy (add'l)	09/18/13	J		
228. SPDR BARCLAYS CAPITAL INERNAT					Sold (part)	03/13/13	J		
229. SPDR BARCLAYS CAPITAL INERNAT					Sold	10/07/13	J		
230. VANGUARD FTSE DEV MKTS (VEA)	A	Dividend	K	T	Buy (add'l)	03/13/13	J		
231. VANGUARD FTSE DEV MKTS (VEA))					Buy (add'l)	09/18/13	J		
232. VANGUARD FTSE DEV MKTS (VEA)					Buy (add'l)	10/07/13	J		
233. VANGUARD FTSE DEV MKTS (VEA)					Buy (add'l)	11/14/13	J		
234. VANGUARD TOTAL BOND MARKET	A	Dividend			Buy (add'l)	09/18/13	J		
235. VANGUARD TOTAL BOND MARKET					Sold (part)	03/13/13	K		
236. VANGUARD TOTAL BOND MARKET					Sold	10/07/13	J		
237. ISHARES 2000 VALUE FD	A	Dividend	J	T	Buy (add'l)	10/07/13	J		
238. ISHARES 2000 VALUE FD					Sold (part)	09/18/13	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 18 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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

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

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

239. ISHARES BARCLAYS TIPS BD FD	A	Dividend			Sold	03/13/13	J		
240. ISHARES RUSSELL 2000 GROWTH	A	Dividend	J	T	Sold (part)	09/18/13	J		
241. ISHARES RUSSELL 2000 GROWTH					Buy (add'l)	10/07/13	J		
242. ISHARES RUSSELL 2000 GROWTH					Buy (add'l)	11/14/13	J		
243. ISHARES RUSSELL MIDCAP G IN	A	Dividend	J	T	Buy (add'l)	03/13/13	J		
244. ISHARES RUSSELL MIDCAP G IN					Sold (part)	09/18/13	J		
245. ISHARES RUSSELL MIDCAP G IN					Buy (add'l)	10/07/13	J		
246. ISHARES RUSSELL MIDCAP G IN					Buy (add'l)	11/14/13	J		
247. ISHARES RUSSELL MIDCAP V IN	A	Dividend	J	T	Sold (part)	09/18/13	J		
248. ISHARES RUSSELL MIDCAP V IN					Buy (add'l)	10/07/13	J		
249. VANGUARD MSCI EMERGING MKTS	A	Dividend	J	T	Buy (add'l)	03/13/13	J		
250. VANGUARD MSCI EMERGING MKTS					Buy (add'l)	09/18/13	J		
251. VANGUARD MSCI EMERGING MKTS					Buy (add'l)	10/07/13	J		
252. VANGUARD MSCI EMERGING MKTS					Sold (part)	11/14/13	J		
253. VANGUARD SHORT TERM BOND	A	Dividend			Buy	03/13/13	K		
254. VANGUARD SHORT TERM BOND					Buy (add'l)	09/18/13	J		
255. VANGUARD SHORT TERM BOND					Sold	10/07/13	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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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)

256. INVESCO PREMIER INST	A	Dividend			Buy	03/13/13	K		
257. INVESCO PREMIER INST					Sold (part)	09/18/13	J		
258. INVESCO PREMIER INST					Sold (part)	10/07/13	J		
259. INVESCO PREMIER INST					Sold	11/14/13	J		
260. ISHARES JP MORGAN EM BOND FD	A	Dividend			Buy	03/13/13	J		
261. INVESCO PREMIER INST					Sold	10/07/13	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 20 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

PRATT, ROBERT W.

Date of Report

12/10/2014

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