

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) PRATT, ROBERT W.	2. Court or Organization US DISTRICT COURT - SO IOWA	3. Date of Report 05/08/2018
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 01/01/2017 to 12/31/2017
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Constitution Society	September 6-9, 2017	Nashville, TN	Speaker	Transportation, hotel
2.				
3.				
4.				
5.				

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

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

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
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. BROKERAGE ACCOUNT #1 (H)									
3. MORGAN STANLEY BANK (CASH)	A	Interest	K	T					3
4. BRISTOL MYERS SQUIBB CO (BMY)	A	Dividend	J	T					88
5. GOLDMAN SACHS GRP INC (GS.J)	B	Dividend	K	T					89
6. KKR & CO LP (KKR.B)	B	Int./Div.	K	T					90
7. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					91
8. WELLS FARGO & CO SER-X (WFC.X)	B	Dividend	K	T					92
9. MS EMERGING MKTS DOMESTIC DEBT	C	Dividend	L	T					4
10. INDIANAPOLIS IN WATER WORKS (4552852N5)	B	Interest	K	T					20
11. WYLIE CITY TEX COMB TAX REV	B	Interest	K	T	Redeemed (part)	02/15/17	K		12
12. ALASKA MUN BND BK REV-1	B	Interest	K	T					57
13. ALASKA MUN BD BK ALASKA MUN BD BK AUTH REV (01179RPK3) (X)	A	Interest	J	T					
14. NEW YORK N Y CIT HSG DEV (64970M8K2)	A	Interest	K	T					21
15. CLIVE IOWA GENL OBLIG-C (188864ZC9)	A	Interest	K	T					22
16. LONG ISLAND PWR AUTH N Y ELEC SYS REV SER A OY (542690NR9)		None	J	T					27
17. IOWA ST PRISON INFRASTRUCTURE FUND OBLIG (46257TBK4)	C	Interest	M	T					23

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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18. IOWA ST UNIV ACADEMIC BLDG (462582WR4)	C	Interest	M	T					85
19. NEVADA STATE HIGHER EDUC (641496DL5)	B	Interest	K	T					24
20. IOWA STUDENT LOAN LIQUIDITY CORP STUDENT LOAN REV-I (462590HE3)	A	Interest	J	T					25
21. COLLEGE CHARLESTON SC HIGHER ED FACS REV REF-A (194208FB5)	A	Interest	K	T					26
22. MARION IOWA URBAN RENWAL A (569611SH0)	A	Interest	K	T					28
23. HONOLULU HAWAII CITY WASTE ZERO COUPON (438701AX2)		None	J	T					29
24. IOWA FIN AUTH SINGLE FAMILY MTG REV SER-I (462467MF5)	B	Interest	K	T	Redeemed (part)	12/04/17	J		30
25.					Redeemed (part)	12/28/17	J		
26. WATERLOO IOWA COMNTY SCH DIST SCH INFRAS SALES & SVCS REV (941660AL6)	A	Interest	K	T					37
27. CONNECTICUT HSNG FIN AUTH MORTG REV B-I	B	Interest	L	T					31
28. FLORIDA HIGHER ED FACS FIN AUTH (34073TEA1)	A	Interest	J	T					32
29. HOUSTON TEX WTR & SWR SYS REV SER A		None	L	T					33
30. WALKER CNTY ALA BRD ED -A (931541GG5)	A	Interest	K	T					35
31. ORANGE BEACH ALA WTR SWR & FIRE (68407LFR5)	A	Interest	K	T					36
32. VIRGINIA ST RES AUTH WTR & SWR ZERO COUPON (928181HR0)		None	J	T					38
33. MISSOURI ST HEALTH & EDL FACS AUTH (60637AC59)	A	Interest	K	T					39

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34. HAMILTON CNTY OHIO SALES TAX ZERO COUPON (407287KH3)		None	J	T					40
35. VIRGINIA ST HSG DEV AUTH COMWL (92812UF60)	A	Interest	K	T					41
36. CARSON CITY NEV CAP IMPT REF A (1458076H1)	A	Interest	K	T					42
37. CLARK CNTY NEV SCH DIST SER A (181059RH1)	B	Interest	L	T					43
38. METRO WA D C ARPTS AUTH DULLES TOLL RD REV-B (592643AP5)		None	K	T					44
39. NORTHBROOK ILL GENL OBLIG SER 1 (663821TK2)	A	Interest	K	T					46
40. LOUDOUN CNTY VA INDL DEV AUTH PUB SAFETY (54589NBC8)	A	Interest	K	T					48
41. DAVENPORT IOWA COPR REF-A (238388MV1)	B	Interest	L	T					49
42. SHARON MASS MUN PURP LN (819649XB5)	A	Interest	K	T					51
43. PIMA COUNTY ARIZ GENERAL OBLIGATION (721663XD9)	B	Interest	L	T					52
44. KINGSPORT TENN BE (496443NL2)	A	Interest	J	T					53
45. DES MOINES IOWA WTR REV REF B (250152GQ2)	B	Interest	L	T					54
46. IOWA STUDENT LOAN LIQUIDITY CO RP STUDENT LOAN REV SEN (462590JG6)	B	Interest	K	T					55
47. JANESVILLE WI GENL BE (470844X22)	A	Interest	K	T					56
48. COLLIER CNTY FLA GAS TAX REV (19463PDG6)	A	Interest	K	T					58
49. STATE UNIV IOWA ATHLETIC FACS REV (8575355M6)	B	Interest	L	T					59

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50. FORT BEND CNTY TEX WTR CTL & IMPT DIST NO 2 (346820SZ7)	A	Interest	K	T					60
51. MONTGOMERY CO MD HSG OPP (6133492E8)	B	Interest	K	T					61
52. AMES IOWA CMNTY SCH DIST	C	Interest	M	T					62
53. DESCHUTES CNTY ORE ADMIN SCH DIST NO-1 (250325SA6)	A	Interest	K	T					63
54. TOMPKINS CNTY NY IMPT GENL OBLIG (890091UM1)	B	Interest	L	T					64
55. JEA FLA WTR & SWR SYS SUB (46613PW44)	C	Interest	M	T					65
56. PATCHOGUE-MEDFORD NY UN FREE SCH DIST (703023PJ4)	A	Interest	J	T					66
57. BROOKHAVEN NY PUB IMPT-B (113152TF9)	B	Interest	K	T					67
58. TENNESSEE ENERGY ACQUISITION CORP GAS REV (880443ED4)	B	Interest	K	T					68
59. LINCOLN CNTY KY SCH DIST FIN BE (533206KQ0)	B	Interest	K	T					69
60. ARLINGTON TEX FOR ISSUES DATED BE (041796KY8)	B	Interest	L	T					70
61. GRAND FORKS N D WTR BE (385514HX5)	A	Interest	J	T					71
62. TRUMBULL CONN GENLT OBLIG (898116P51)	A	Interest	J	T					72
63. FSU FINL ASSISTANCE INC FLA BE (302644DY2)	A	Interest	J	T					73
64. HILLSBOROUGH CNTY FLA CMNTY INVT TAX BE (43231YFS0)	A	Interest	K	T					74
65. RUSHFORD MINN BE (782021HR3)	A	Interest	K	T					75
66. ABERDENN TWP N J BE (003269DW4)	A	Interest	J	T					76

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67. CITY OF HOUSTON TX COMBINED UTIL BE (442435N66)	A	Interest	J	T					77
68. SOUTHEAST POLK IOWA CMNTY SCH DIST REV (841485BE4)	A	Interest	J	T					82
69. NEW YORK STATE HSG FIN AGY BE (64986UQS9)	A	Interest	K	T					78
70. FLOWER MOUND TX BE (343487U44)	B	Interest	K	T					79
71. MAINE ST TPK AUTH SPL BE (560543BW9)	B	Interest	K	T					80
72. IOWA ST SPL OBLIG (46257TDP1)	B	Interest	K	T					84
73. CLARK CNTY NEV GEN OBLIG (180848AV5)	A	Interest			Redeemed	11/01/17	K	A	9
74. OHIO ST HOSP CLEVE CLINIC (677561GC0)	A	Interest			Redeemed	01/03/17	K		11
75. AUSTIN TEX UTIL SYS REV ZERO COUPON (052474AK9)		None			Redeemed	05/15/17	K		13
76. UNIVERSITY N C CHAPEL HILL REV REF STUDENT FEE UTILS OY (914713TU6)		None			Redeemed	08/01/17	K		14
77. ST CLAIR CNTY ILL GEN OBLIG ZERO (788244CQ2)		None			Redeemed	10/02/17	K		15
78. NEW YORK ST MTG AGY HOMEOWNER MTG (649883WD3)	A	Interest			Redeemed	10/02/17	K		17
79. TAMPA FLA UTIL TAX OY (875287DH4)		None			Redeemed	10/02/17	J		18
80. COVINA CALIF PUB FIN WASTEWATER (223051AG8)	A	Interest			Redeemed	10/02/17	J		19
81. POWERSHIEK IOWA WTR ASSN WTR REV	B	Interest			Redeemed	12/04/17	K		47
82. CLARK CNTY NEV SCH DIST BLDG-B (181059NQ5)	A	Interest			Redeemed	07/10/17	J		50

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83. UNIVERSITY WASH UNIV REV (91523NFG6)	B	Interest			Redeemed	12/01/17	K		81
84. COLUMBUS OHIO SWR REV (199561FP1)	B	Interest			Redeemed	12/01/17	K	C	83
85. GOLDMAN SACHS (36161TVU6)	A	Interest	K	T					86
86. AMERICAN EXPRESS (0258M0EC9)	B	Dividend	L	T	Buy	03/01/17	L		
87. ROYAL BNK OF CANADA (78012KRK5)	A	Dividend	L	T	Buy	03/01/17	L		
88. SYNCHRONY DRAPER UT CD (87164YQH0)	B	Dividend	L	T	Buy	05/17/17	L		
89. XEROX CORP (984121CH4)	B	Dividend	K	T	Buy	10/20/17	L		
90. BMW SALT LAKE CITY UT CD (05580AKX1)	A	Int./Div.	K	T	Buy	10/20/17	K		
91. WALGREENS BOOTS ALLIANCE (931427AQ1)	A	Dividend	L	T	Buy	12/05/17	L		
92. AT & T INC (00206REM0)	A	Dividend	L	T	Buy	12/05/17	L		
93. QUALCOMM INC (747525AU7)	A	Dividend	K	T	Buy	12/05/17	K		
94. ABBOTT LABORATORIES (002824BC3)	B	Dividend	M	T					93
95. IRA #1 (H)									
96. MORGAN STANLEY BANK	A	Interest	M	T					95
97. MS MARKET LINKED NOTE DJIA		None	K	T					96
98. JPMORGAN CHASE & CO BB (JPM.H)	B	Dividend	K	T					131
99. KKR & CO LP (KKR.B)	B	Int./Div.	K	T					132

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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)

100. PUBLIC STORAGE (PSA.D)	B	Dividend	K	T					133
101. WELLS FARGO & CO (WFC.W)	B	Dividend	K	T					134
102. MS EMERGING MKTS DOMESTIC DEBT (EDD)	A	Dividend	J	T					98
103. WESTERN ASSET HIGH YIELD (HYI)	B	Dividend	K	T					101
104. STATE UNIV IOWA UNIV REV (857536DM5)	A	Interest	K	T					97
105. ASSURANT INC (04621XAE8)	A	Interest	K	T					110
106. MORGAN STANLEY	B	Interest	L	T	Buy (add'l)	06/23/17	L		113, 116
107. DOW CHEMICAL COMPANY (26054LXM0)	A	Interest	K	T					112
108. ROYAL BANK OF CANADA (78012KRR5)	A	Dividend	K	T	Buy	03/01/17	K		
109. ASTRAZENECA PLC (046353AF5)	A	Interest	K	T					114
110. AMERICAN EXPRESS (0258M0EC9)	A	Dividend	K	T	Buy	03/01/17	K		
111. GENERAL ELECTRIC CAPITAL CORP	A	Dividend	J	T	Redeemed (part)	05/30/17	K		118, 120
112. AVON PRODUCTS INC (054303AX0)	B	Interest	K	T					130
113. TEVA PHARMA FIN IV LLC (88166HAD9)	A	Interest	J	T					119
114. SAFEWAY INC (786514BS7)	B	Interest	K	T					121
115. XEROX CORPORATION (984121CM3)	A	Interest	L	T					122
116. ALLERGAN, INC. (018490AN2)	A	Interest	K	T					123

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)
117. ARCONIC INC (013817AV3)	A	Interest	J	T					124
118. SOUTHERN CO (842587CS4)		None	K	T	Buy	12/05/17	K		
119. FORD MOTOR CREDIT COMPANY, LLC (34540TGZ9)	A	Interest	K	T					125
120. CITIGROUP INC (14042RGD7)		None	L	T	Buy	12/05/17	K		
121. HJ HEINZ CO (423074AM5)	A	Interest	J	T					126
122. GOLDMAN SACHS GROUP (38145GAG5)		None	K	T	Buy	12/05/17	K		
123. ICAHN ENTERPRISES FIN (451102BF3)	B	Interest	K	T					127
124. BMC SOFTWARE INC (055921AB6)	A	Interest	K	T					128
125. NEWMONT MINING CORP (651639AN6)	A	Interest	J	T					129
126. AT&T INC (00026RBN1)	A	Dividend	M	T	Buy	10/23/17	L		
127.					Buy (add'l)	12/06/17	L		
128. MURPHY OIL CORP	A	Interest	K	T	Redeemed (part)	09/05/17	K	A	107
129. QUALCOMM INC (747525AR4)		None	L	T	Buy	12/05/17	K		
130.					Buy (add'l)	12/06/17	L		
131. EXPRESS SCRIPTS HOLDING (30219GAQ1)		None	K	T	Buy	12/05/17	K		
132. TRANS-CANADA PIPELINES FIXED (89352HAC3)	A	Interest	J	T					102
133. CAPITAL ONE NA MCLEAN VA CD (14042RGD7)	A	Dividend	L	T	Buy	06/01/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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.)

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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)
134. COMPASS BK CD BIRMINGHAM AL (20451PTN6)		None	L	T	Buy	12/05/17	L		
135. CENTURYLINK INC (156700AQ9)	A	Interest			Redeemed	06/15/17	K		105
136. DUN & BRADSTREET CORP (26483EAF7)	A	Interest			Redeemed	12/01/17	K		106
137. STAPLES INC (855030AL6)	A	Interest			Redeemed	10/12/17	J		108
138. PITNEY BOWES INC (72447WAA7)	A	Interest			Redeemed	10/13/17	K	A	111
139. IRA #2 (H)									
140. MORGAN STANLEY BANK (CASH)	A	Interest	L	T					
141. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
142. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
143. ARCONIC INC (AA)	A	Dividend			Sold	03/02/17	K	D	
144. ALTRIA GROUP INC (MO)	B	Dividend	K	T					
145. AT&T INC (T)	B	Dividend	K	T					
146. BOEING CO (BA)	B	Dividend	L	T					
147. CISCO SYSTEMS (CSCO)	A	Dividend	K	T					
148. COCA COLA CO (KO)	A	Dividend	K	T					
149. GENERAL ELECTRIC CO (GE)	A	Dividend	J	T					
150. ISHARES S&P 100 INDEX FD (OEF)	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 \$50,000,000	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				
	(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)
151. JOHNSON & JOHNSON (JNJ)	B	Dividend	L	T					
152. PHILIP MORRIS INTL INC (PM)	A	Dividend	K	T					
153. PROCTOR & GAMBLE (PG)	A	Dividend	K	T					
154. QUALCOMM INC	A	Dividend			Sold	10/31/17	J	A	
155. W.P. CAREY INC COM (WPC)	B	Dividend	K	T					
156. SPDR S&P MIDCAP 400 ETF TRUST (MDY)	B	Dividend	M	T					
157. ML PFD CAPITAL TRUST III (MER.P)	A	Interest	J	T					
158. INTEL CORP (INTC)	A	Dividend	K	T					
159. PEPSICO INC NC (PEP)	B	Dividend	L	T					
160. APPLE, INC. (AAPL)	A	Dividend	K	T					
161. INTL BUSINESS MACHINES CORP (IBM)	A	Dividend	J	T					
162. IRA #3 (H)									
163. MORGAN STANLEY BANK (Y)									
164. ALLIANCE BERNSTEIN SMALL CAP GROWTH (QUASX)	B	Dividend	J	T					
165. STARBUCKS CORP WASHINGTON (SBUX)	A	Dividend	J	T	Buy	10/20/17	J		
166. WALGREEN BOOTS ALL INC (WBA)	A	Dividend	J	T					161
167. PITNEY BOWES INC	A	Interest			Sold (part)	10/13/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
168.					Sold	10/17/17	J		
169. BANK PRINCETON NEW JERSEY CD (064520AE9)	A	Dividend	J	T	Buy	08/14/17	J		
170. COMENITY BANK SALT LASKE CITY UT CD (20033AVV5)	A	Dividend	J	T	Buy	08/14/17	J		
171. IRA #4 (H)									
172. MORGAN STANLEY BANK (Y)									
173. DEUTSCHE X-TRACKERS MSCI EAF	A	Dividend			Sold	07/07/17	J		
174. ISHARES CORE MSCI EAFE ETF (IEAF)	A	Dividend	K	T	Buy (add'l)	07/07/17	J		
175. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	J	T					
176. ISHARES RUSSELL 1000 GR (IWF)	A	Dividend	K	T					172
177. ISHARES RUSSELL 1000 VALUE (IWD)	A	Dividend	K	T	Sold (part)	07/07/17	J	A	174
178. ISHARES 2000 VALUE FD (IWN)	A	Dividend	J	T					
179. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T					
180. ISHARES RUSSELL MIDCAP G (IWP)	A	Dividend	J	T	Buy (add'l)	07/07/17	J		178
181. ISHARES RUSSELL MIDCAP V (IWS)	A	Dividend	J	T					179
182. ISHARES IBOX \$ H/Y COR BD ETF (HYG)	A	Dividend			Sold	07/07/17	J	A	
183. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
184. VANGUARD SHORT TERM BND (BSV)	A	Dividend	J	T	Buy (add'l)	07/07/17	J		

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

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185. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	J	T	Buy (add'l)	07/07/17	J		
186. WISDOMTREE TRUST JAPAN HEDGE EQ (DXJ)	A	Dividend	J	T					
187. COLLEGE SAVINGS PLAN #1 (H)									
188. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
189. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
190. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
191. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
192. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
193. COLLEGE SAVINGS PLAN #2 (H)									
194. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
195. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
196. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
197. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
198. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
199. COLLEGE SAVINGS PLAN #3 (H)									
200. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
201. VOYA 529 LARGE CAP GW OPT A (FGIOA)		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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202. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
203. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
204. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
205. COLLEGE SAVINGS PLAN #4 (H)									
206. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
207. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
208. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
209. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
210. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
211. COLLEGE SAVINGS PLAN #5 (H)									
212. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		None	J	T					
213. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
214. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
215. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
216. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
217. COLLEGE SAVINGS PLAN #6 (H)									
218. VOYA 529 INTERMEDIATE BD OPT A (DCBPA)		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	
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219. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
220. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
221. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
222. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
223. COLLEGE SAVINGS PLAN #7 (H)									
224. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					
225. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
226. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
227. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
228. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
229. COLLEGE SAVINGS PLAN #8 (H)									
230. VOYA 529 INTERMEDIATE BD OPT A (DCBPA) (X)		None	J	T					
231. VOYA 529 LARGE CAP GW OPT A (FGIOA)		None	J	T					
232. VOYA 529 LARGE CAP VALUE OP A (ACLCA)		None	J	T					
233. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
234. VOYA 529 SMALL COMPANY OPT A (CMCVA)		None	J	T					
235. COLLEGE SAVINGS PLAN #9 (H)									

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 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)

236. VOYA 529 LARGE CAP GW OPT A (FGIOA) (X)		None	J	T					
237. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
238. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
239. COLLEGE SAVINGS PLAN #10 (H)									
240. VOYA 529 LARGE CAP GW OPT A (FGIOA) (X)		None	J	T					
241. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
242. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
243. COLLEGE SAVINGS PLAN #11 (H)									
244. VOYA 529 LARGE CAP GW OPT A (FGIOA) (X)		None	J	T					
245. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
246. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		
247. COLLEGE SAVINGS PLAN #12 (H)									
248. VOYA 529 LARGE CAP GW OPT A (FGIOA) (X)		None	J	T					
249. VOYA 529 LARGE CAP VALUE OP A (ACLCA) (X)		None	J	T					
250. VOYA 529 MLT-MNGR INTL EQ OP A (INGAB)		None	J	T	Buy (add'l)	10/23/17	J		

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

In Part VII, the assets within Brokerage Account #1 and IRA #1 have been reorganized to assist the filer in the reporting process. Additionally, various assets have undergone changes in names or symbols, and duplicate entries have been consolidated. For ease of review of such items, Column D(5) includes line references to the corresponding lines of the 2016 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/ **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
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