



FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Dean Phillips
Status: Member
State/District: MN03

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2019
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SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- 100 University Family Limited Partnership ⇒ Artwork [CO]		\$100,001 - \$250,000	None		<input type="checkbox"/>
DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- 100 University Family Limited Partnership ⇒ Commercial Property [RP]		\$5,000,001 - \$25,000,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US					
- Cash Accounts ⇒ Cash in JP Morgan checking accounts [BA]		\$250,001 - \$500,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Cash Accounts ⇒ Cash in JP Morgan investment accounts [BA]		\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
- Cash Accounts ⇒ Cash in U.S. Bank checking accounts [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Fialko, LLC ⇒ AIF VI Private Investors LLC [HE]		\$50,001 - \$100,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ AP Europe VII (APAX) Private Investors Onshore LLC		\$50,001 - \$100,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[HE]					
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Carlyle Asia Partners II Private Investors LLC [HE]		\$1,001 - \$15,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Cash in JP Morgan checking account [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Fialko, LLC ⇒ Cash in JP Morgan investment account [BA]		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
- Fialko, LLC ⇒ Euro Principal Currency [OT]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Currency					
- Fialko, LLC ⇒ Highbridge Mezzanine Partners, LP [HE]		\$50,001 - \$100,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan Alternative Property Fund Domestic 1 LP [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan India Property Fund, LP [HE]		\$50,001 - \$100,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX) [MF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Fialko, LLC ⇒ KKR 2006 Private Investors, LLC (Onshore) [HE]		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Outsell, Inc. [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US					
DESCRIPTION: Developer of consumer engagement technologies for the automotive industry.					
- Fialko, LLC ⇒ Penny's Coffee LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Fialko, LLC ⇒ Rational Energies LLC [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Fialko, LLC ⇒ Residential Property [RP]		None	None		<input type="checkbox"/>
LOCATION: Minnetonka/Hennepin, MN, US					
- Phillips Family Properties, LLC ⇒ Cash in JP Morgan checking account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Artwork [OL]					
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Commercial Property [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Commercial Property					
- Privately-Held Business Entities ⇒ DTP, LLC [OL]		None	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of philanthropic giving platforms for individuals and organizations.					
- Privately-Held Business Entities ⇒ Geniecast, LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: St.Louis/St. Louis, MO, US DESCRIPTION: Developer of a live, two-way video conferencing portal connecting people, ideas and inspiration.					
- Privately-Held Business Entities ⇒ MyMeds, Inc. [OL]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: C-Corp - MyMeds, Inc. is a developer of solutions to address the human and economic costs of medication non-adherence.					
- Privately-Held Business Entities ⇒ Penny's Coffee LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Privately-Held Business Entities ⇒ Rational Energies LLC [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Plymouth / Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Privately-Held Business Entities ⇒ Spark Boulder 24, LLC [OL]		\$250,001 - \$500,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Boulder / Boulder, CO, US DESCRIPTION: LEED Platinum Neighborhood Development Community in Boulder, Colorado.					
- Retirement Account 1 ⇒ Fidelity Freedom K 2035 Fund (FSNUX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: EIF					
- Retirement Account 2 ⇒ Fidelity Target Date 2035 Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Amer Funds T/E BND Am-F3 (TFEBX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Blackstone Partners Investment Fund LP Class B [HE]		\$250,001 - \$500,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Carlyle Asia Partners II Private Investors LLC [HE]		\$1,001 - \$15,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: EIF					
- Trust 1 ⇒ Cash in JP Morgan investment account [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sold for a loss					
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Chubb Limited (CB) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Corbin Capital Partners - Pinehurst Partners LP [HE]		\$250,001 - \$500,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sold for a loss					
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒		None	Capital Gains,	\$5,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
eBay Inc. (EBAY) [ST]			Dividends	\$15,000	
- Trust 1 ⇒ Eton Park Fund, LP Class E - New Issue Ineligible Non-Self Dealing [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Appreciated over \$1,000					
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019 for a loss					
- Trust 1 ⇒ Fox Corporation - Class B (FOX) [ST]		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Twenty-First Century Fox, Inc. - Class B (FOX)					
- Trust 1 ⇒ Franklin Resources, Inc. (BEN) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Final sales transactions were less than \$1,000					
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Highbridge Mezzanine Partners LP [HE]		\$15,001 - \$50,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ HPS Mezzanine Private Investors II LLC [HE]		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares 7-10 Year Treasury Bond (IEF) [EF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY)		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[EF]					
- Trust 1 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI Japan New (EWJ) [EF]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
- Trust 1 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPM Tax Free MMkt Inst Sweep Fd [BA]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Matthews Pacific Tiger - Inst (MIPTX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ National Oilwell Varco, Inc. (NOV) [ST]		None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles International Unconstrained Equity Fund		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(CIUEX) [MF]					
- Trust 1 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Smith & Nephew SNATS, Inc. (SNN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Unilever PLC (UL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ Cash in JP Morgan investment account [BA]		\$1 - \$1,000	None		<input type="checkbox"/>
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 2 ⇒ JPMorgan Invest Balance Fd - CI I (OIBFX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Investor Grow Fd - CI I (ONIFX) [MF]		\$500,001 - \$1,000,000	Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 3 ⇒ Met Life / New England Financial Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		<input type="checkbox"/>
- Trust 4 ⇒ Amer Funds T/E Bnd Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF] DESCRIPTION: Sold for a loss		None	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ Dodge & Cox Income Fund (DODIX) [MF] DESCRIPTION: Sold for a loss		None	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 4 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares 3-7 Year Treasury (IEI) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares 7-10 Year Treasury (IEF) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
- Trust 4 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒		\$15,001 - \$50,000	Capital Gains,	\$2,501 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
iShares S&P 500 Growth Index (IVW) [EF]			Dividends	\$5,000	
- Trust 4 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 4 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 4 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
- Trust 4 ⇒ PIMCO Short-Term Fund - Instl (PTSHX) [MF]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sold for a loss					
- Trust 4 ⇒ Rational Energies LLC [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Plymouth/Hennepin, MN, US					
DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Trust 4 ⇒ Six Circles International Unconstrained Equity Fund		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(CIUEX) [MF]					
- Trust 4 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 4 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF]		None	None		<input checked="" type="checkbox"/>
- Trust 5 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		None	None		<input checked="" type="checkbox"/>
- Trust 5 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares 7-10 Year Treasury (IEF) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares Barclays 1-3 Year Treasury Bond (SHY) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 5 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF] DESCRIPTION: EIF		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF] COMMENTS: Mutual fund capital gain distribution		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Interm T/F Bnd- R6 (JITZX) [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 5 ⇒ MFS Intl Value - R6 (MINJX) [MF] COMMENTS: Mutual fund capital gain distribution		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 5 ⇒ Pimco Short-Term Fund - Instl (PTSHX) [MF] DESCRIPTION: Sold for a loss		None	None		<input checked="" type="checkbox"/>
- Trust 5 ⇒ Rational Energies LLC [OL] LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$15,001 - \$50,000	None		<input type="checkbox"/>
- Trust 5 ⇒		\$1,001 - \$15,000	Dividends	\$201 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Six Circles International Unconstrained Equity Fund (CIUEX) [MF]				\$1,000	
- Trust 5 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 5 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ SPDR S&P ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 6 ⇒ Cash in JP Morgan investment account [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
- Trust 6 ⇒ Midland National Life insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
- Trust 6 ⇒ North American Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		<input type="checkbox"/>
- Trust 7 ⇒ John Hancock Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
3M Company (MMM) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
A.O. Smith Corporation (AOS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Abbott Laboratories (ABT) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
AbbVie Inc. (ABBV) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
ABIOMED, Inc. (ABMD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Accenture plc Class A Ordinary Shares (ACN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Activision Blizzard, Inc (ATVI) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Adobe Systems Incorporated (ADBE) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Aercap Holdings NV Var Rt 10/10/2079; dtd 10/10/2019 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security					
Affiliated Managers Group, Inc. (AMG) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
AFLAC Incorporated (AFL) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Agilent Technologies, Inc. (A) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Albemarle Corporation (ALB) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Alexion Pharmaceuticals, Inc. (ALXN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Align Technology, Inc. (ALGN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Alliance Data Systems Corporation (ADS) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Allstate Corp PFD 5.1% [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Allstate Corporation (ALL) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Alpharetta GA Dev Auth 5.0% 5/01/2023 dtd 5/03/2016 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American Airlines Group, Inc. (AAL) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
American Express Company (AXP) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
American International Group, Inc. New (AIG) [ST]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
American Intl Group VAR RT 04/01/48 [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Corporate Bond					
American Tower Corporation (AMT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
American United Life Insurance Company - Policy 1 [WU]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Whole Life Insurance Policy					
American United Life Insurance Company - Policy 2 [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Whole Life Insurance Policy					
American Water Works Company, Inc. (AWK) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
AmerisourceBergen Corporation (ABC) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
AMG MG Pictet Intl - Z (APCZX) [EF]		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Amgen Inc. (AMGN) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Amphenol Corporation (APH) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Analog Devices, Inc. (ADI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Anthem, Inc. (ANTM) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Aon plc Class A Ordinary Shares (AON) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Apollo EPF III Private Investors, LLC (Onshore) [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		<input type="checkbox"/>
Apple Inc. (AAPL) [ST]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Applied Materials, Inc. (AMAT) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Arconic Inc. (ARNC) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Arista Networks, Inc. (ANET) [ST] DESCRIPTION: Purchased and sold in 2019		None	None		<input checked="" type="checkbox"/>
AT&T Inc. (T) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Athene Holding Ltd PFD (ATHPA) [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Automatic Data Processing, Inc. (ADP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
AvalonBay Communities, Inc. (AVB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Bank of America Corp Var Rt 03/05/2166 dtd 09/05/2014 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Capital Gains, Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Bank of America Corp Var Rt 09/15/2166 [CS] DESCRIPTION: Preferred security		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Bank of America Corporation (BAC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Bank of New York Mellon Corporation (BK) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bank of NY Mellon Corp 03/20/2166 dtd 08/01/2016 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Bank of NY Mellon Corp Var Rt 12/20/2165 dtd 04/28/2015 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Baxter International Inc. (BAX) [ST] DESCRIPTION: Purchased and sold in 2019		None	None		<input checked="" type="checkbox"/>
BB&T Corporation 5.85% PFD [CS] DESCRIPTION: Purchased and sold in 2019		None	None		<input checked="" type="checkbox"/>
Becton, Dickinson and Company (BDX) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Benefit Street Partners IV LLC (Providence Onshore) [HE] DESCRIPTION: EIF		\$500,001 - \$1,000,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
Berkshire Hathaway Inc. New (BRK.B) [ST]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Biogen Inc. (BIIB) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
BlackRock, Inc. (BLK) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Blackstone Commercial Real Estate Debt Fund - NQ L.P. [HE] DESCRIPTION: EIF		\$1 - \$1,000	None		<input type="checkbox"/>
Blackstone Commercial Real Estate Debt Fund LP [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	None		<input type="checkbox"/>
Bloom Tree Fund QP, LP Series E [HE] DESCRIPTION: EIF		None	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
Booking Holdings Inc. (BKNG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Boston Scientific Corporation (BSX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
BP Midstream Partners LP Common Units representing Limited Partner Interests (BPMP) [ST]		\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
Brighthouse Financial, Inc. (BHF) [ST]		None	None		<input checked="" type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares received in exchange for Celgene Corp (CELG) shares as a result of merger.					
Broadcom Limited - Ordinary Shares (AVGO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Brown Forman Inc Class B (BF.B) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
C.H. Robinson Worldwide, Inc. (CHRW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Capital One Financial CO PFD 5.00% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [PS]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Capital One Financial Corporation (COF) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Cardinal Health, Inc. (CAH) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
CarMax Inc (KMX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Caterpillar, Inc. (CAT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
CBRE Group Inc Common Stock Class A (CBG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
CD&R Fund X Private Investors, Cayman LP [HE]		\$250,001 - \$500,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Celgene Corporation (CELG) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Centerpoint Energy Inc SR NTS VAR RT Perp Mat dtd 08/22/2018 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
CenterPoint Energy, Inc (CNP) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
CenturyLink, Inc. (CTL) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Cerberus VI Private Investors, LLC [HE]		\$500,001 - \$1,000,000	Partnership Income	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: EIF					
Charles Schwab Corp 03/01/2166 dtd 10/31/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Charles Schwab Corporation (SCHW) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Charles Schwab Corporation PFD 5.95% [PS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Charter Communications, Inc. - Class A (CHTR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Chesterfield Cnty VA Cops Ref 5.0%; Due 11/01/21 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Chipotle Mexican Grill, Inc. (CMG) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Chubb Limited (CB) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Cigna Corporation (CI) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Cincinnati Financial Corporation (CINF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Cisco Systems, Inc. (CSCO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Cit Group Inc. PFD 5.625% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Citigroup Capital XIII PFD 7.875% [CS]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
CitiGroup Inc 02/15/2166 dtd 04/25/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015 [CS]		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 11/15/2165 dtd 04/24/2015 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Citigroup Inc Var RT Prep Mat DTD 09/12/2019 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Citigroup, Inc. (C) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Citizens Financial Group PFD 6.35% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Citizens Financial Group, Inc. (CFG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Citizens Finl Group Var Rt Prep Mat Dtd 05/24/18 [CS]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security					
Clark County NV Limited Tax-Flood Control Ltd 5%; Due 11/1/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Clarksville TN Wtr Swr & Gas Rev Ref 5.0%; Due 02/01/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CMS Energy Corp PFD 5.875% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
CMS Energy Corporation (CMS) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Coca-Cola Company (KO) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]		None	None		<input checked="" type="checkbox"/>
Colgate-Palmolive Company (CL) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Comcast Corporation - Class A (CMCSA) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
ConAgra Brands, Inc. (CAG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Consolidated Edison, Inc. (ED) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Constellation Brands, Inc. (STZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Corteva, Inc. (CTVA) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Costco Wholesale Corporation (COST) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Coty Inc. Class A (COTY) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Crown Castle International Corp. (REIT) (CCI) [RE]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
CSX Corporation (CSX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Cummins Inc. (CMI) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Cushing MLP Opportunity Fund 1 LP [HE]		\$15,001 - \$50,000	None		<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Danaher Corporation (DHR) [ST]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DaVita Inc. (DVA) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Deere & Company (DE) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Delta Air Lines, Inc. (DAL) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DENTSPLY SIRONA Inc. (XRAY) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Deutsche X-Trackers MSCI EAF (DBEF) [EF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Digital Realty Trust Inc PFD 6.35% [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Digital Realty Trust PFD 6.625% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Digital Realty Trust, Inc. (DLR) [ST]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
DISH Network Corporation - Class A (DISH) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Dollar General Corporation (DG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Dollar Tree, Inc. (DLTR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Dominion Energy Inc Var Rt Perp Mat dtd 12/13/2019 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Dow Inc. (DOW) [ST] DESCRIPTION: Purchased and sold in 2019		None	None		<input checked="" type="checkbox"/>
Duke Energy Corp PFD (DUK PA) [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Duke Energy Corp SR NTS Var RT Perp Mat DTD 09/12/2019 [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DuPont de Nemours, Inc. (DD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DXC Technology Company (DXC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate Bond		None	None		<input checked="" type="checkbox"/>
Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
eBay Inc. (EBAY) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Ecolab Inc. (ECL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Edwards Lifesciences Corporation (EW) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Emerson Electric Company (EMR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Equifax, Inc. (EFX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Equinix, Inc. (EQIX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Equity Residential Common Shares of Beneficial Interest (EQR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Eversource Energy (ES) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Extra Space Storage Inc (EXR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Fastenal Company (FAST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
FedEx Corporation (FDX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Fifth Third Bancorp 09/30/2165 DTD 06/05/2014 [CS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bond					
Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Fiserv, Inc. (FISV) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Ford Motor Company (F) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Fortive Corporation (FTV) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Fox Corporation - Class A (FOXA) [ST]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Franklin Resources, Inc. (BEN) [ST]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Gap, Inc. (GPS) [ST]		None	None		<input checked="" type="checkbox"/>
General Mills, Inc. (GIS) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sold for a loss					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
General Motors Company (GM) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Genuine Parts Company (GPC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
GIF IV Private Investors Onshore LLC Class A [HE]		\$15,001 - \$50,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Gilead Sciences, Inc. (GILD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Goldman Sachs Capital II 5.793% Dec 03 2165 dtd 05/08/2007 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group Inc. Var Rt Perp Mat dtd 6/17/2019 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc Var Rt 05/10/2166 dtd 11/01/2017 [CS]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security; full sale transaction was less than \$1,000					
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 [CS]		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 07/27/2016 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security					
Goldman Sachs Group, Inc. (GS) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
GSO Private Investors II, LLC Class B [HE]		\$15,001 - \$50,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 08/15/2028 dtd 05/14/2009 [GS]		None	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Hartford Financial Services Group, Inc. (HIG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
HCA Healthcare, Inc. (HCA) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Hewlett Packard Enterprise Company (HPE) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
HI St Prerefdded-Ser DZ Unlimited Tax 5% 12/01/2019 dtd 12/07/2011 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Home Depot, Inc. (HD) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Honolulu City & Cnty HI Wstwtr Sys Rev 5% A Jul 01 2025 Dtd [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Host Hotels & Resorts, Inc. (HST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
HP Inc. (HPQ) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
HPS Mezzanine Private Investors III LLC Onshore [HE]		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
Humana Inc. (HUM) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Huntington Bancshares VAR RT 07/15/2167 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
IA St Fin Auth Rev Ref-Green Bond 5.0%; Due 08/01/23 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Illinois Tool Works Inc. (ITW) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Illumina, Inc. (ILMN) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Incyte Corporation (INCY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Ingersoll-Rand plc (IR) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Intel Corporation (INTC) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Intercontinental Exchange Inc. (ICE) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Internationa Flavors & Fragrances, Inc. (IFF) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
International Business Machines Corporation (IBM) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
International Paper Company (IP) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Interpublic Group of Companies, Inc. (IPG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Intuit Inc. (INTU) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Intuitive Surgical, Inc. (ISRG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Invesco Ltd (IVZ) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sold for a loss					
IPG Photonics Corporation (IPGP) [ST]		None	None		<input checked="" type="checkbox"/>
iShares 3-7 Year Treasury Bond (IEI) [EF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
iShares 7-10 Year Treasury Bond (IEF) [EF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
Ishares MSCI EAFE Index Fund (EFA) [EF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
iShares S&P 500 Growth Index Fund (IVW) [EF]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
iShares S&P 500 Value Index Fund (IVE) [EF]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
iShares Short Treasury Bond ETF (SHV) [EF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
J.B. Hunt Transport Services, Inc. (JBHT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Jacksonville Florida Special Rev Jacksonville 5% B-1A Oct 01 2024 Dtd [GS]		None	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Jana Partners Qualified, LP Class A [HE]		None	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Johnson Controls International plc Ordinary Share (JCI) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
JP Morgan Alternative Property Fd Domestic 1 LP [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
JP Morgan Chase & Co Var Rt 10/30/2165 dtd 03/10/2014 [PS]		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
JPM Tax Free MMkt Inst Sweep Fd [MF]		\$1,000,001 - \$5,000,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
JPM US Real Estate Income & Growth Direct LP [HE]		None	Partnership Income	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$500,001 - \$1,000,000	Dividends	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JPMorgan US L/C Core PI - R6 (JLPYX) [MF]		None	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Kansas City Southern (KSU) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Kellogg Company (K) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
KeyCorp (KEY) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
KeyCorp Var Rt 12/15/2165 dtd 09/09/2016 [SA]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
KLA-Tencor Corporation (KLAC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Kohl's Corporation (KSS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
KS St. Dept of Transprtn Hwy Rev Ser C 5.0%; Due 09/01/20 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
L Brands, Inc. (LB) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased and sold in 2019					
LA St Gas & Fuels Tax Revenue 4.0%; Due 05/01/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Liberty Mutual Group Inc 7.8% 03/15/2037 dtd 03/07/2007 [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Lincoln CNTY NC REF Unlimited Tax 5.0%; Due 6/01/2024 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Lincoln National Corporation (LNC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Linde plc Ordinary Share (LIN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Louisville & Jefferson Cnty KY Met Gov't-Ser A Unltd Tax 5%; Due 12/1/2024; dtd 12/1/2015 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Lowe's Companies, Inc. (LOW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
M&T Bank Corporation (MTB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
M&T Bank Corporation 05/01/2166 dtd 10/28/2016 [SA] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
M&T BK Corp VAR RT Perp Mat DTD 07/30/19 [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Mackay Municipal Strategic Opportunities Fd, LP Cl A Interests 03-17 [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	Partnership Income	\$100,001 - \$1,000,000	<input type="checkbox"/>
Macy's Inc (M) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Madison AL Prerefunded-Warrants Unltd Tax 5.15% 02/01/2039 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Managed Futures LLC 04-15 [HE] DESCRIPTION: EIF		None	Partnership Income	\$201 - \$1,000	<input type="checkbox"/>
Marriott International - Class A (MAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Marsh & McLennan Companies, Inc. (MMC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Mastercard Incorporated (MA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Mattel, Inc. (MAT) [ST]		None	None		<input checked="" type="checkbox"/>
McCormick & Company, Incorporated (MKC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
McDonald's Corporation (MCD) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
McKesson Corporation (MCK) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Memphis TN REF- GEN IMPT SER B [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 [CS]		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
MetLife, Inc. (MET) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Metropolitan West T/R BD-PLN (MWTSX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
MFS Intl Value - R6 (MINJX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Micron Technology, Inc. (MU) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Microsoft Corporation (MSFT) [ST]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
MN St Gen Fd Rev 5% 03/01/2022 dtd 11/21/2012 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
MN St Ref - Ser D Unlimited Tax 5.0%; Due 8/01/2024; dtd 8/11/2016 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
MO St Hwys & Trnst Ref-1st Lien-Ser A 5% 05/01/2021 dtd 06/03/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Mohawk Industries, Inc. (MHK) [ST]		None	None		<input checked="" type="checkbox"/>
Molson Coors Beverage Company Class B (TAP) [ST]		None	None		<input checked="" type="checkbox"/>
Mondelez International, Inc. - Class A (MDLZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Monster Beverage Corporation (MNST) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Morgan Stanley (MS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Morgan Stanley PFD 5.85% [CS]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Morgan Stanley PFD 6.375% [PS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Morgan Stanley Var Rt 07/15/2165 dtd 03/19/2015 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Mosaic Company (MOS) [ST]		None	None		<input checked="" type="checkbox"/>
MPLX LP Common Units Representing Limited Partner Interests (MPLX) [ST]		\$15,001 - \$50,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>
MS St Dev BK SPL OBLG Pearl Public School Dist 4.0%; Due 04/01/21 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
NetApp, Inc. (NTAP) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Netflix, Inc. (NFLX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Newell Brands Inc. (NWL) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Newmont Mining Corporation (NEM) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
News Corporation - Class A (NWSA) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
NextEra Energy Cap Var Rt 5/01/2079; dtd 4/04/2019 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Nielsen N.V. Ordinary Shares (NLSN) [ST]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Purchased and sold in 2019					
Nike, Inc. (NKE) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
NiSource Inc (NI) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Nisource Inc PFD 6.5% [CS]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Nordstrom, Inc. (JWN) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Northern AZ Univ Ref-Sys 5.0%; Due 06/01/19 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Note Receivable from Glick Gallery, Minneapolis, MN [DO]		\$100,001 - \$250,000	None		<input type="checkbox"/>
NVIDIA Corporation (NVDA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
NY Community Bancorp Inc PFD 6.375% [CS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
NY St Dorm Auth St Personal Inc Tax Rev Ref-Ser E 5.0%; Due 03/15/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Ohio St Ref-Ser A Ltd Tax 5.0%; Due 09/01/23 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Optum Bank - HSA Account [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
O'Reilly Automotive, Inc. (ORLY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
PACCAR Inc. (PCAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Palm Beach Cnty Fl Ref-Rec & Cultural Facs Unltd Tax 5% [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Parker-Hannifin Corporation (PH) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Paychex, Inc. (PAYX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
PayPal Holdings, Inc. (PYPL) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
PEG Secondary Private Equity Investors III LP [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$201 - \$1,000	<input type="checkbox"/>
Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
PGIM Total Return Bond Fund (PDBAX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Phillips Adam Smith Partners, LLC (f/k/a Adam Smith Fund, LLC) [OL] LOCATION: Minnetonka/Hennepin, MN, US DESCRIPTION: Private equity investment fund. Fund manager letter on file with the Committee on Ethics.		\$100,001 - \$250,000	None		<input type="checkbox"/>
Phoenix AZ Ref Unlimited Tax 4% 07/01/2021 dtd 06/24/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
PNC Financial Services 6 3/4% 02/01/2166 dtd 07/27/2011 [PS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
PNC Financial Services Group, Inc. (PNC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS] DESCRIPTION: Preferred Security		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
PPG Industries, Inc. (PPG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Principal Financial Group Inc (PFG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Procter & Gamble Company (PG) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Progressive Corporation (PGR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
ProLogis, Inc. (PLD) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Prudential Financial, Inc. (PRU) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
PS Business Parks Inc. PFD [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Public Storage (PSA) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Public Storage PFD 5.6% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
PulteGroup, Inc. (PHM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Putnam Cnty TN Ref Unlimited Tax 5%; Due 4/01/2024; Dtd 2/17/2017 [GS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
PVH Corp. (PVH) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
QUALCOMM Incorporated (QCOM) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Quest Diagnostics Incorporated (DGX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Raleigh NC Comb Enterprise Sys Rev 5% Mar 01 2021 dtd 02/10/2011 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Red Hat, Inc. (RHT) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Cash merger. Acquired by IBM in exchange for cash.					
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Regions Financial Corp PFD 5.7% [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Regions Financial Corporation (RF) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Republic Services, Inc. (RSG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Rockwell Automation, Inc. (ROK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Roper Technologies, Inc. (ROP) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Ross Stores, Inc. (ROST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
S&P Global Inc. (SPGI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Salesforce.com Inc (CRM) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
SC ST Jobs-Econ Dev Auth Hosp Rev-Palmetto Hlth-Ser A 5%; Due 8/1/28 [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
SD St BRD of Rghts HSG & Auxillary Fac Sys Rev 5.0%; Due 04/01/19 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Seagate Technology PLC - Ordinary Shares (STX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Sherwin-Williams Company (SHW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Simon Property Group, Inc. (SPG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Six Circles International Unconstrained Equity Fund (CIUEX) [MF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SLM Corp Var Rate PFD [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Southwest Airlines Company (LUV) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SPDR Euro STOXX 50 ETF (FEZ) [EF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
SPDR S&P 500 ETF Trust (SPY) [EF]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Starwood SOF XI Private Investors [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	None		<input type="checkbox"/>
State Street Corp Var Rt 09/15/2165 dtd 05/21/2015 [SA] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
State Street Corporation (STT) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel Financial Corporation PFD 6.25% [CS] DESCRIPTION: Preferred security		\$1 - \$1,000	None		<input type="checkbox"/>
Stryker Corporation (SYK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
SVB Financial Group PFD [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Symantec Corporation (SYMC) [ST] DESCRIPTION: sold for a loss		None	None		<input type="checkbox"/>
Synchrony Financial (SYF) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Synovus Financial Corp PFD 6.3% [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Sysco Corporation (SYY) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
T Rowe Price Summit Muni Inc (PRINX) [MF]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
T. Rowe Price Group, Inc. (TROW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Target Corporation (TGT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
TCF Financial Co. PFD [CS]		None	None		<input type="checkbox"/>
DESCRIPTION: Preferred Security; sold for a loss					
TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: sold for a loss					
Texas Instruments Incorporated (TXN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Textron Financial Corp VAR RT 02/15/2067 DTD 02/08/2007 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bond					
The Kraft Heinz Company (KHC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Thermo Fisher Scientific Inc (TMO) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Three Rivers MN PK Dist Ser A Unlimited Tax 5.0% 02/01/2025 dtd 12/12/2019 [GS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Tiffany & Co. (TIF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
TJX Companies, Inc. (TJX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Truist Financial 12/15/2165 dtd 05/02/2017 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security; f/k/a Suntrust Banks Inc 12/15/2165 dtd 05/02/2017					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Truist Financial Corporation (TFC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Formerly known as BB&T Corporation (BBT)					
Truist Financial Var Rt 06/15/2166 dtd 11/07/2014 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security; f/k/a SunTrust Banks, Inc. Var Rt 06/15/2166 dtd 11/07/2014					
Twenty-First Century Fox, Inc. - Class A (FOXA) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
U.S. Bancorp (USB) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
U.S. Bancorp PFD 5.5% [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
U.S. Bancorp Var Rt 01/15/2166 dtd 11/23/2015 [SA]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Union Pacific Corporation (UNP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
United Continental Holdings (UAL) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
United Parcel Service, Inc. (UPS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Universal Health Services, Inc. (UHS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Unum Group (UNM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
US Bank - Checking [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
V.F. Corporation (VFC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
VA St Pub Sch Auth Sch Technology & Sec NTS Ser V 5.0&; Due 04/15/20 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Vanguard Intm Trm T/E - ADM (VWIUX) [MF]		\$1,000,001 - \$5,000,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Varian Medical Systems, Inc. (VAR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Vertex Pharmaceuticals Incorporated (VRTX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Visa Inc. (V) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Vodafone Group PLC Var Rt 04/04/2079; dtd 04/04/2019 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Voya Financial Inc VAR RT Perp Mat dtd 09/12/2018 [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Corporate Bond					
Voya Financial Inc. PFD 5.35% [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
W.W. Grainger, Inc. (GWW) [ST]		None	None		<input checked="" type="checkbox"/>
WA St Refunding Motor Vehicle Fuel Series R D [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Wachovia Cap Trust III Var Rt Mar 15 2166 dtd 2/1/2006 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Walgreens Boots Alliance, Inc. (WBA) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Wal-Mart Stores, Inc. (WMT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Walt Disney Company (DIS) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Waste Management, Inc. (WM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Waters Corporation (WAT) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008 [CS]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Wells Fargo & Company Var Rt 06/15/2166 dtd 01/23/2015 [CS]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Wells Fargo & Company VAR RT 12/15/2165 dtd 04/22/2014 [CS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security					
Welltower Inc. (HCN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Western Digital Corporation (WDC) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Westinghouse Air Brake Technologies Corporation (WAB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Wabtec Corporation					
Westrock Company (WRK) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Weyerhaeuser Company (WY) [ST]		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
WI St Clean Water Revenue Refunding Series 1 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
WV St Ser A Unltd Tax 5.0%; Due 12/01/23 [GS]		\$15,001 - \$50,000	Interest	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$1,000	
Wynn Resorts, Limited (WYNN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Xerox Corporation (XRX) [ST]		None	None		<input checked="" type="checkbox"/>
Yum China Holdings, Inc. (YUMC) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Appreciated over \$1,000					
Yum! Brands, Inc. (YUM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Privately-Held Business Entities ⇒ MyMeds, Inc. [OL]		01/26/2019	P	\$1,001 - \$15,000	
LOCATION: Minneapolis, MN, US DESCRIPTION: Medication non-adherence solutions developer					
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		05/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Amer Funds T/E BND Am-F3 (TFEBX) [MF]		08/27/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		04/5/2019	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		02/21/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒		08/16/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Bank of New York Mellon Corporation (BK) [ST]			(partial)		
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		08/19/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		08/21/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		08/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		08/28/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		08/29/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		09/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		09/4/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		04/4/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		10/24/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		06/5/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		06/6/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		06/7/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		11/12/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]	05/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]	05/21/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]	05/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]	05/30/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	03/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	06/11/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	07/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	08/1/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]	08/2/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	08/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	08/14/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	08/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	08/19/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	10/2/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]	10/3/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Chubb Limited (CB) [ST]	03/27/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Chubb Limited (CB) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Chubb Limited (CB) [ST]	05/2/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Chubb Limited (CB) [ST]	08/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]	12/26/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]	12/27/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]	12/30/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dodge & Cox (DODIX) [MF]	02/12/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]	04/5/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]	02/21/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]	01/14/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]	01/16/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]	01/18/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]	01/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]	01/14/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]	01/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]	02/12/2019	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	11/22/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	12/2/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	12/3/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	08/20/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	08/21/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	08/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	08/23/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/1/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/5/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/6/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/8/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/12/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/14/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/15/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]	11/18/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]	03/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]	03/21/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]	03/25/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]	03/26/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒	04/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fox Corporation - Class A (FOXA) [ST]			(partial)		
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]		10/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]		10/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class A (FOXA) [ST]		10/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class B (FOX) [ST]		03/20/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Twenty-First Century Fox, Inc. - Class B (FOX)					
- Trust 1 ⇒ Fox Corporation - Class B (FOX) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class B (FOX) [ST]		10/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Fox Corporation - Class B (FOX) [ST]		11/1/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Franklin Resources, Inc. (BEN) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		06/3/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		06/20/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		07/25/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		04/4/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		08/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]		09/20/2019	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ iShares 7-10 Year Treasury Bond (IEF) [EF]		09/20/2019	P	\$50,001 - \$100,000	
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		06/7/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		06/6/2019	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		03/7/2019	P	\$50,001 - \$100,000	
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		03/7/2019	P	\$15,001 - \$50,000	
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		02/21/2019	P	\$100,001 - \$250,000	
- Trust 1 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		02/12/2019	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		11/21/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI Japan ETF New (EWJ) [EF]		08/27/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI Japan ETF New (EWJ) [EF]		03/7/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		04/8/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		03/7/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		09/20/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
- Trust 1 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		06/7/2019	P	\$15,001 - \$50,000	
- Trust 1 ⇒		06/6/2019	P	\$100,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
iShares Short Treasury Bond ETF (SHV) [EF]				\$250,000	
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		04/4/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		08/12/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		04/5/2019	P	\$50,001 - \$100,000	
- Trust 1 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		03/7/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		04/12/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		01/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		02/21/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		06/11/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		08/14/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		08/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		08/19/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒		08/23/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Northern Trust Corporation (NTRS) [ST]					
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		10/28/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		10/25/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		05/3/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		05/7/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		08/20/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		02/12/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		02/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		05/2/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		05/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		06/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		06/5/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]	08/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]	06/7/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]	02/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]	02/14/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]	03/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]	05/3/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]	07/31/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]	08/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Six Circles International Unconstrained Equity Fund (CIUEX) [MF]	04/5/2019	P	\$100,001 - \$250,000	
- Trust 1 ⇒	04/5/2019	P	\$50,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]				\$100,000	
- Trust 1 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		08/27/2019	P	\$50,001 - \$100,000	
- Trust 1 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		04/5/2019	P	\$250,001 - \$500,000	
- Trust 1 ⇒ Smith & Nephew SNATS, Inc. (SNN) [ST]		04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		09/11/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		09/13/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		09/17/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		09/18/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		09/24/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		10/25/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		11/21/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		02/21/2019	P	\$15,001 - \$50,000	
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		05/16/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		05/21/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		05/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]	05/23/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]	05/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]	09/12/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]	09/16/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. Corp Unit 2013 (SWH) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]	03/18/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]	03/26/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Unilever PLC (UL) [ST]	03/15/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Unilever PLC (UL) [ST]	03/18/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Unilever PLC (UL) [ST]	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH)	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
[ST]				
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	06/7/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	09/24/2019	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]	11/22/2019	P	\$100,001 - \$250,000	
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]	08/27/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]	04/5/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]	02/12/2019	P	\$250,001 - \$500,000	
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]	07/25/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]	09/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]	01/24/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]	08/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]	12/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]	12/24/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Investor Grow Fd - Cl I (ONIFX) [MF]	04/17/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 2 ⇒	04/17/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
JPMorgan Investor Grow Fd - Cl I (ONIFX) [MF]			(partial)		
- Trust 4 ⇒ Amer Funds T/E Bnd Fund Am-F3 (TFEBX) [MF]		03/8/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		02/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		04/3/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ Dodge & Cox (DODIX) [MF]		01/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		04/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		11/25/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares 3-7 Year Treasury (IEI) [EF]		09/19/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares 7-10 Year Treasury (IEF) [EF]		09/19/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		01/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		06/6/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		06/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		02/14/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]		03/8/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares Russell 1000 Growth (IWF) [EF]		03/8/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 4 ⇒ iShares Russell 1000 Growth (IWF) [EF]		04/3/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares S&P 500 Growth (IVW) [EF]		01/4/2019	P	\$15,001 - \$50,000	
- Trust 4 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		04/3/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares S&P 500 Value Index (IVE) [EF]		04/3/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 4 ⇒ iShares S&P 500 Value Index (IVE) [EF]		01/4/2019	P	\$15,001 - \$50,000	
- Trust 4 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		06/6/2019	P	\$15,001 - \$50,000	
- Trust 4 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		06/7/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		09/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		04/3/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		01/4/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		03/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		01/4/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		03/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 4 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]	08/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]	01/4/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	01/31/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	04/3/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ Pimco Short-Term Fund - Instl (PTSHX) [MF]	04/9/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 4 ⇒ Six Circles International Unconstrained Equity Fund (CIUEX) [MF]	04/3/2019	P	\$15,001 - \$50,000	
- Trust 4 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]	04/9/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]	04/3/2019	P	\$15,001 - \$50,000	
- Trust 4 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]	08/28/2019	P	\$1,001 - \$15,000	
- Trust 4 ⇒ SPDR S&P 500 ETF Trust (SPY) [MF]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]	03/8/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 5 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]	02/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]	04/3/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Dodge & Cox Income Fund (DODIX) [MF]	01/31/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]	04/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Doubleline Total Ret Bnd - I (DBLTX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]	09/19/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ iShares 7-10 Year Treasury (IEF) [EF]	09/19/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	01/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	06/6/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	06/7/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	03/8/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	02/14/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF) [EF]	03/8/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF) [EF]	04/3/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares S&P 500 Growth Index (IVW) [EF]	04/3/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 5 ⇒ iShares S&P 500 Growth Index (IVW) [EF]	01/4/2019	P	\$15,001 - \$50,000	
- Trust 5 ⇒ iShares S&P 500 Value Index (IVE) [EF]	04/3/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 5 ⇒ iShares S&P 500 Value Index (IVE) [EF]	01/4/2019	P	\$15,001 - \$50,000	
- Trust 5 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]	09/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]	06/7/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]	06/6/2019	P	\$15,001 - \$50,000	
- Trust 5 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]	04/3/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]	08/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]	01/4/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]	03/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]	01/4/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]	03/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]	08/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]	01/4/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 5 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	04/3/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]	01/31/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Pimco Short-Term Fund - Instl (PTSHX) [MF]	04/9/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 5 ⇒ Six Circles International Unconstrained Equity Fund (CIUEX) [MF]	04/3/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]	11/25/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]	04/9/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]	08/28/2019	P	\$1,001 - \$15,000	
- Trust 5 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]	04/3/2019	P	\$15,001 - \$50,000	
- Trust 5 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
3M Company (MMM) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
3M Company (MMM) [ST]	03/6/2019	P	\$1,001 - \$15,000	
3M Company (MMM) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
3M Company (MMM) [ST]	06/20/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
3M Company (MMM) [ST]	08/13/2019	P	\$1,001 - \$15,000	
A.O. Smith Corporation (AOS) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Abbott Laboratories (ABT) [ST]	06/20/2019	P	\$1,001 - \$15,000	
AbbVie Inc. (ABBV) [ST]	01/4/2019	P	\$1,001 - \$15,000	
AbbVie Inc. (ABBV) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
AbbVie Inc. (ABBV) [ST]	08/13/2019	P	\$1,001 - \$15,000	
ABIOMED, Inc. (ABMD) [ST]	05/13/2019	P	\$1,001 - \$15,000	
ABIOMED, Inc. (ABMD) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
ABIOMED, Inc. (ABMD) [ST]	11/22/2019	P	\$1,001 - \$15,000	
Activision Blizzard, Inc (ATVI) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Activision Blizzard, Inc (ATVI) [ST]	03/6/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Activision Blizzard, Inc (ATVI) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Aercap Holdings NV Var RT 10/10/2079 Dtd 10/10/2019 [CS]	10/3/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Corporate Bond				
Affiliated Managers Group, Inc. (AMG) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Albemarle Corporation (ALB) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Albemarle Corporation (ALB) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Albemarle Corporation (ALB) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alexion Pharmaceuticals, Inc. (ALXN) [ST]	01/4/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Align Technology, Inc. (ALGN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Align Technology, Inc. (ALGN) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Align Technology, Inc. (ALGN) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Alliance Data Systems Corporation (ADS) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Alliance Data Systems Corporation (ADS) [ST]	09/11/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Allstate Corp PFD 5.1% [CS] DESCRIPTION: Preferred Security	08/1/2019	P	\$15,001 - \$50,000	
Alpharetta GA Dev Auth 5.0% 5/01/2023 dtd 5/03/2016 [GS]	08/22/2019	P	\$15,001 - \$50,000	
Amazon.com, Inc. (AMZN) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
American Airlines Group, Inc. (AAL) [ST]	01/4/2019	P	\$1,001 - \$15,000	
American Airlines Group, Inc. (AAL) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
American International Group, Inc. New (AIG) [ST]	01/4/2019	P	\$15,001 - \$50,000	
American International Group, Inc. New (AIG) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
AMG MG Pictet Intl - Z (APCZX) [EF]	01/20/2019	P	\$250,001 - \$500,000	
AMG MG Pictet Intl - Z (APCZX) [EF]	04/4/2019	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Apple Inc. (AAPL) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Apple Inc. (AAPL) [ST]	02/4/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Applied Materials, Inc. (AMAT) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Arconic Inc. (ARNC) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Arconic Inc. (ARNC) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Arista Networks, Inc. (ANET) [ST]	09/11/2019	P	\$1,001 - \$15,000	
Arista Networks, Inc. (ANET) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
AT&T Inc. (T) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
AT&T Inc. (T) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Athene Holding Ltd PFD 6.35% [CS] DESCRIPTION: Preferred Security	06/5/2019	P	\$15,001 - \$50,000	
Bank of America Corp Var RT 03/05/2166 dtd 09/05/2014 [CS] DESCRIPTION: Preferred security	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Bank of America Corp Var Rt 09/15/2166 [CS] DESCRIPTION: Preferred security	11/7/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Bank of America Corporation (BAC) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Baxter International Inc. (BAX) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Baxter International Inc. (BAX) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Baxter International Inc. (BAX) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
BB&T Corporation 5.85% [CS] DESCRIPTION: Preferred security	08/2/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
BB&T Corporation 5.85% PFD [CS]	01/9/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Preferred security				
Becton, Dickinson and Company (BDX) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Biogen Inc. (BIIB) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Biogen Inc. (BIIB) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Biogen Inc. (BIIB) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Biogen Inc. (BIIB) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
BlackRock, Inc. (BLK) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Brighthouse Financial, Inc. (BHF) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	11/21/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	11/21/2019	P	\$1,001 - \$15,000	
Bristol-Myers Squibb Company (BMY) [ST]	11/20/2019	E	\$1,001 - \$15,000	
DESCRIPTION: Bristol Myers (BMY) shares received in exchange for Celgene Corp (CELG) shares as a result of merger.				
Brown Forman Inc Class B (BF.B) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Brown Forman Inc Class B (BF.B) [ST]	03/6/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Capital One Financial CO PFD 5.00% [CS]	09/4/2019	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security				
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [CS]	01/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security				
Capital One Financial Co Var Rt 12/01/2165 dtd	01/18/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
05/14/2015 [CS] DESCRIPTION: Preferred security		(partial)		
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [CS] DESCRIPTION: Preferred security	09/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Cardinal Health, Inc. (CAH) [ST]	02/4/2019	P	\$1,001 - \$15,000	
Cardinal Health, Inc. (CAH) [ST]	06/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Caterpillar, Inc. (CAT) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Caterpillar, Inc. (CAT) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Celgene Corporation (CELG) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Centerpoint Energy Inc. SR Nts VAR RT DTD 8/22/18 [CS] DESCRIPTION: Corporate Bond	02/22/2019	P	\$1,001 - \$15,000	
CenterPoint Energy, Inc (CNP) [ST]	01/4/2019	P	\$1,001 - \$15,000	
CenterPoint Energy, Inc (CNP) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
CenturyLink, Inc. (CTL) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
CenturyLink, Inc. (CTL) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Charles Schwab Corp 03/01/2166 dtd 10/31/2016 [CS] DESCRIPTION: Preferred security	06/6/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab Corp PFD 5.95% [CS] DESCRIPTION: Preferred Security	06/17/2019	P	\$1,001 - \$15,000	
Charles Schwab Corporation (SCHW) [ST]	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Cigna Corporation (CI) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Cigna Corporation (CI) [ST]	03/6/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Cit Group Inc. PFD 5.625% [CS] DESCRIPTION: Preferred security	11/7/2019	P	\$1,001 - \$15,000	
Citigroup Capital XIII PFD 7.875% [CS] DESCRIPTION: Preferred security	09/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Citigroup Inc Var RT 05/15/2166 dtd 11/13/2015 [CS] DESCRIPTION: Preferred security	09/5/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015 [CS] DESCRIPTION: Preferred security	12/2/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Citigroup Inc Var RT Prep Mat DTD 09/12/2019 [CS] DESCRIPTION: Preferred security	09/5/2019	P	\$15,001 - \$50,000	
Citigroup, Inc. (C) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Citizens Financial Group PFD 6.35% [CS] DESCRIPTION: Preferred security	01/22/2019	P	\$1,001 - \$15,000	
Citizens Finl Group Var Rt Prep Mat Dtd 05/24/18 [CS] DESCRIPTION: Preferred security	07/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
CMS Energy Corp PFD 5.875% [CS] DESCRIPTION: Corporate Bond	02/6/2019	P	\$1,001 - \$15,000	
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
ConAgra Brands, Inc. (CAG) [ST]	03/6/2019	P	\$1,001 - \$15,000	
Corteva, Inc. (CTVA) [ST]	08/13/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Corteva, Inc. (CTVA) [ST]	09/11/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Coty Inc. Class A (COTY) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Coty Inc. Class A (COTY) [ST]	02/4/2019	P	\$1,001 - \$15,000	
Coty Inc. Class A (COTY) [ST]	03/6/2019	P	\$1,001 - \$15,000	
Coty Inc. Class A (COTY) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Cummins Inc. (CMI) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	05/13/2019	P	\$1,001 - \$15,000	
CVS Health Corporation (CVS) [ST]	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Danaher Corporation (DHR) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Danaher Corporation (DHR) [ST]	03/6/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DaVita Inc. (DVA) [ST]	02/4/2019	P	\$1,001 - \$15,000	
DaVita Inc. (DVA) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DENTSPLY SIRONA Inc. (XRAY) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Digital Realty Trust, Inc. (DLR) [ST]	03/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS]	08/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bond				
Discover Financial Svs Var Rt 04/30/2166 DTD	08/29/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
10/31/2017 [CS] DESCRIPTION: Corporate Bond		(partial)		
DISH Network Corporation - Class A (DISH) [ST]	02/4/2019	P	\$1,001 - \$15,000	
Dodge & Cox Intl Stock Fund (DODFX) [MF]	01/4/2019	P	\$250,001 - \$500,000	
Dominion Energy Inc Var Rt Perp Mat dtd 12/13/2019 [CS] DESCRIPTION: Preferred security	12/2/2019	P	\$15,001 - \$50,000	
Dow Inc. (DOW) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Dow Inc. (DOW) [ST]	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Dow Inc. (DOW) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Duke Energy Corp PFD (DUK PA) [CS] DESCRIPTION: Preferred Security	03/25/2019	P	\$1,001 - \$15,000	
Duke Energy Corp SR NTS Var RT Perp Mat DTD 09/12/2019 [CS] DESCRIPTION: Preferred security	09/9/2019	P	\$1,001 - \$15,000	
DuPont de Nemours, Inc. (DD) [ST]	11/22/2019	P	\$1,001 - \$15,000	
DXC Technology Company (DXC) [ST]	06/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DXC Technology Company (DXC) [ST]	11/22/2019	P	\$1,001 - \$15,000	
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Preferred security	04/23/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Preferred security	04/23/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate Bond	06/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate Bond	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate bond	07/15/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
E*TRADE Financial Corporation (ETFC) [ST]	05/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
eBay Inc. (EBAY) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Ecolab Inc. (ECL) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Emerson Electric Company (EMR) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Facebook, Inc. - Class A (FB) [ST]	05/13/2019	P	\$1,001 - \$15,000	
FedEx Corporation (FDX) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
FedEx Corporation (FDX) [ST]	02/4/2019	P	\$1,001 - \$15,000	
FedEx Corporation (FDX) [ST]	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
FedEx Corporation (FDX) [ST]	08/13/2019	P	\$1,001 - \$15,000	
FedEx Corporation (FDX) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS] DESCRIPTION: Corporate Bond	09/9/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Ford Motor Company (F) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Ford Motor Company (F) [ST]	02/4/2019	P	\$1,001 - \$15,000	
Ford Motor Company (F) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Fortive Corporation (FTV) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Fox Corporation - Class A (FOXA) [ST]	03/19/2019	P	\$1,001 - \$15,000	
Fox Corporation - Class A (FOXA) [ST]	03/19/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Twenty-First Century Fox-A (FOXA).				
Fox Corporation - Class A (FOXA) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Fox Corporation - Class A (FOXA) [ST]	09/11/2019	P	\$1,001 - \$15,000	
Franklin Resources, Inc. (BEN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Franklin Resources, Inc. (BEN) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Franklin Resources, Inc. (BEN) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Gap, Inc. (GPS) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Gap, Inc. (GPS) [ST]	06/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Gap, Inc. (GPS) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Gap, Inc. (GPS) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
General Mills, Inc. (GIS) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
General Motors Company (GM) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Gilead Sciences, Inc. (GILD) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Gilead Sciences, Inc. (GILD) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Goldman Sachs Group Inc Var RT 05/10/2166 dtd 11/01/2017 [CS] DESCRIPTION: Preferred security	04/9/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Goldman Sachs Group Inc Var RT 05/10/2166 DTD 11/01/2017 [CS] DESCRIPTION: Corporate Bond	03/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Goldman Sachs Group Inc Var RT 11/10/2165 dtd 7/27/2016 [CS] DESCRIPTION: Preferred security	01/4/2019	P	\$1,001 - \$15,000	
Goldman Sachs Group Inc Var RT 11/10/2165 dtd 7/27/2016 [CS] DESCRIPTION: Preferred Security	06/12/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Goldman Sachs Group Inc Var RT Perp Mat dtd 06/17/2019 [CS] DESCRIPTION: Preferred Security	06/12/2019	P	\$1,001 - \$15,000	
Goldman Sachs Group, Inc Var Rt 05/10/2166 dtd 11/01/2017 [CS] DESCRIPTION: Preferred Security	06/5/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Goldman Sachs Group, Inc Var Tr 05/10/2166 dtd 11/01/2017 [CS] DESCRIPTION: Preferred security	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 8/15/2028 dtd 05/14/2009 [GS]	08/15/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Hewlett Packard Enterprise Company (HPE) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
HI St Prerefunded - Ser DZ Unlimited Tax 5% 12/01/2019 dtd 12/07/2011 [GS]	12/2/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Home Depot, Inc. (HD) [ST]	01/4/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
HP Inc. (HPQ) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
HP Inc. (HPQ) [ST]	11/22/2019	P	\$1,001 - \$15,000	
Huntington Bancshares VAR RT 07/15/2167 [CS]	07/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security				
Huntington Bancshares VAR RT 07/15/2167 [CS]	07/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security				
Huntington Bancshares VAR RT 07/15/2167 [CS]	09/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security				
Illinois Tool Works Inc. (ITW) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Ingersoll-Rand plc (IR) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Intel Corporation (INTC) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Internationa Flavors & Fragrances, Inc. (IFF) [ST]	11/22/2019	P	\$1,001 - \$15,000	
International Business Machines Corporation (IBM) [ST]	01/4/2019	P	\$1,001 - \$15,000	
International Business Machines Corporation (IBM) [ST]	02/4/2019	P	\$1,001 - \$15,000	
International Business Machines Corporation (IBM) [ST]	11/22/2019	P	\$1,001 - \$15,000	
International Paper Company (IP) [ST]	01/4/2019	P	\$1,001 - \$15,000	
International Paper Company (IP) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Intuit Inc. (INTU) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Invesco Ltd (IVZ) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
IPG Photonics Corporation (IPGP) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	02/26/2019	P	\$250,001 - \$500,000	
iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	03/7/2019	P	\$50,001 - \$100,000	
iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	06/6/2019	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
iShares Barclays 1-3 Treasury Bond Fund (SHY) [EF]	06/7/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Ishares MSCI EAFE Index Fund (EFA) [EF]	02/26/2019	P	\$250,001 - \$500,000	
iShares S&P 500 Growth Index Fund (IVW) [EF]	04/4/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
iShares S&P 500 Value Index Fund (IVE) [EF]	04/4/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
iShares Short Treasury Bond ETF (SHV) [EF]	03/7/2019	P	\$100,001 - \$250,000	
iShares Short Treasury Bond ETF (SHV) [EF]	09/20/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Jacksonville Florida Special Rev Jacksonville 5% B-1A Oct 1 2024 Dtd [GS]	10/1/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Johnson Controls International plc Ordinary Share (JCI) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Johnson Controls International plc Ordinary Share (JCI) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
JP Morgan Chase & Co. (JPM) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
JPMorgan Betabuilders Canada ETF (BBCA) [EF]	04/3/2019	P	\$250,001 - \$500,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
JPMorgan Betabuilders Japan ETF (BBJP) [EF]	03/7/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
JPMorgan US L/C Core PI - R6 (JLPYX) [EF]	04/4/2019	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Kellogg Company (K) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Kohl's Corporation (KSS) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Kohl's Corporation (KSS) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
L Brands, Inc. (LB) [ST]	06/20/2019	P	\$1,001 - \$15,000	
L Brands, Inc. (LB) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln CNTY NC REF Unlimited Tax 5.0%; Due 06/01/24 [GS]	06/20/2019	P	\$15,001 - \$50,000	
Lincoln National Corporation (LNC) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Linde plc Ordinary Share (LIN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Linde plc Ordinary Share (LIN) [ST]	06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Louisville & Jefferson County KY Met Gov Ser A [GS] DESCRIPTION: Coupon Rate 5%; Matures 12/01/2024	04/4/2019	P	\$15,001 - \$50,000	
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]	02/4/2019	P	\$1,001 - \$15,000	
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]	03/6/2019	P	\$1,001 - \$15,000	
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
M&T BK Corp VAR RT Perp Mat DTD 07/30/19 [CS] DESCRIPTION: Preferred security		07/23/2019	P	\$1,001 - \$15,000	
Macy's Inc (M) [ST]		01/4/2019	P	\$1,001 - \$15,000	
Macy's Inc (M) [ST]		02/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Macy's Inc (M) [ST]		06/20/2019	P	\$1,001 - \$15,000	
Macy's Inc (M) [ST]		08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Macy's Inc (M) [ST]		11/22/2019	P	\$1,001 - \$15,000	
Madison AL Prerefunded- Warrants Unltd Tax 5.15% 02/01/2039 [GS]		02/1/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Mattel, Inc. (MAT) [ST]		01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Mattel, Inc. (MAT) [ST]		02/4/2019	P	\$1,001 - \$15,000	
Mattel, Inc. (MAT) [ST]		05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
McKesson Corporation (MCK) [ST]		01/4/2019	P	\$1,001 - \$15,000	
McKesson Corporation (MCK) [ST]		05/13/2019	P	\$1,001 - \$15,000	
Medtronic plc. Ordinary Shares (MDT) [ST]		05/13/2019	P	\$1,001 - \$15,000	
Medtronic plc. Ordinary Shares (MDT) [ST]		06/20/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
MetLife, Inc. (MET) [ST]		01/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
MFS Intl Value - R6 (MINJX) [EF]		01/4/2019	P	\$100,001 - \$250,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
MFS Intl Value - R6 (MINJX) [EF]	02/26/2019	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Micron Technology, Inc. (MU) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
MN St Ref- Ser D Unlimited Tax 5.0% 08/01/2024 dtd 08/11/2016 [GS]	02/5/2019	P	\$15,001 - \$50,000	
Mohawk Industries, Inc. (MHK) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Mohawk Industries, Inc. (MHK) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Molson Coors Brewing Company Class B (TAP) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Mondelez International, Inc. - Class A (MDLZ) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Morgan Stanley (MS) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Morgan Stanley Var Rt 07/15/2165 dtd 03/19/2015 [CS]	11/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security				
Mosaic Company (MOS) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Mosaic Company (MOS) [ST]	03/6/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Mosaic Company (MOS) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Mosaic Company (MOS) [ST]	11/22/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
NetApp, Inc. (NTAP) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
NetApp, Inc. (NTAP) [ST]	08/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Newell Brands Inc. (NWL) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Newell Brands Inc. (NWL) [ST]	05/13/2019	P	\$1,001 - \$15,000	
Newell Brands Inc. (NWL) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Newell Brands Inc. (NWL) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Newmont Goldcorp Corporation (NEM) [ST]	06/20/2019	P	\$1,001 - \$15,000	
Newmont Goldcorp Corporation (NEM) [ST]	09/11/2019	P	\$1,001 - \$15,000	
Nextera Energy Capital VAR RT 05/01/2079 DTD 04/04/2019 [CS] DESCRIPTION: Preferred security	04/4/2019	P	\$1,001 - \$15,000	
Nielsen N.V. Ordinary Shares (NLSN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Nielsen N.V. Ordinary Shares (NLSN) [ST]	08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
NiSource Inc (NI) [ST]	05/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Nisource Inc PFD 6.5% [CS] DESCRIPTION: Preferred Security	03/11/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Nisource Inc PFD 6.5% [CS] DESCRIPTION: Preferred security	04/5/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Nisource Inc PFD 6.5% [CS] DESCRIPTION: Preferred Security	06/5/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Nisource Inc. PFD 6.5% [CS] DESCRIPTION: Preferred security	04/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Nordstrom, Inc. (JWN) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Northern AZ Univ Ref-Sys 5.0%; Due 06/01/19 [GS]	06/20/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NVIDIA Corporation (NVDA) [ST]		02/4/2019	P	\$1,001 - \$15,000	
NVIDIA Corporation (NVDA) [ST]		03/6/2019	P	\$1,001 - \$15,000	
Oracle Corporation (ORCL) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
PACCAR Inc. (PCAR) [ST]		01/4/2019	P	\$1,001 - \$15,000	
Pepsico, Inc. (PEP) [ST]		01/4/2019	P	\$1,001 - \$15,000	
Philip Morris International Inc (PM) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		03/6/2019	P	\$1,001 - \$15,000	
Philip Morris International Inc (PM) [ST]		05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		06/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		08/13/2019	P	\$1,001 - \$15,000	
Philip Morris International Inc (PM) [ST]		09/11/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		11/22/2019	P	\$1,001 - \$15,000	
PNC Financial Services Group, Inc. (PNC) [ST]		01/4/2019	P	\$1,001 - \$15,000	
PNC Financial Services VAR RT [CS]		03/14/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bond Dated 05/07/2013; Maturity Date 12/31/2049					
PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS]		06/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred Security					
PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS]		08/27/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred Security					

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
PPG Industries, Inc. (PPG) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Prudential Financial, Inc. (PRU) [ST]	01/4/2019	P	\$1,001 - \$15,000	
PS Business Parks Inc. [CS] DESCRIPTION: Corporate Bond	10/24/2019	P	\$1,001 - \$15,000	
Public Storage PFD 5.6% [CS] DESCRIPTION: Corporate Bond	02/28/2019	P	\$1,001 - \$15,000	
Putnam Cnty TN Ref Unl TD Tax 5% 04/01/2024 Dtd 02/17/2017 [GS]	10/2/2019	P	\$15,001 - \$50,000	
QUALCOMM Incorporated (QCOM) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Quest Diagnostics Incorporated (DGX) [ST]	02/4/2019	P	\$1,001 - \$15,000	
Red Hat, Inc. (RHT) [ST] DESCRIPTION: Cash merger. Acquired by IBM in exchange for cash.	07/10/2019	E	\$1,001 - \$15,000	
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	09/11/2019	P	\$1,001 - \$15,000	
Regions Financial Corp PFD 5.7% [CS] DESCRIPTION: Preferred security	04/23/2019	P	\$15,001 - \$50,000	
Roper Technologies, Inc. (ROP) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Seagate Technology PLC - Ordinary Shares (STX) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Six Circles International Unconstrained Equity Fund (CIUEX) [MF]	04/3/2019	P	\$100,001 - \$250,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]	04/9/2019	P	\$100,001 - \$250,000	
Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]	04/3/2019	P	\$250,001 - \$500,000	
SLM Corp Var Rate PFD [CS] DESCRIPTION: Preferred security	04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SPDR S&P 500 ETF Trust (SPY) [EF]	04/4/2019	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
State Street Corp Var Rt 09/15/2165 dtd 05/21/2015 [CS] DESCRIPTION: Preferred security	12/2/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
State Street Corporation (STT) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
State Street Corporation (STT) [ST]	08/13/2019	P	\$1,001 - \$15,000	
State Street Corporation (STT) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
State Street Corporation (STT) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Stryker Corporation (SYK) [ST]	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SVB Financial Group PFD [CS] DESCRIPTION: Preferred security	12/2/2019	P	\$1,001 - \$15,000	
Synchrony Financial (SYF) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Synchrony Financial (SYF) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Synchrony Financial [CS] DESCRIPTION: Corporate Bond	11/6/2019	P	\$15,001 - \$50,000	
Synovus Financial Corp PFD 6.3% [CS]	01/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)		
DESCRIPTION: Preferred security					
The Kraft Heinz Company (KHC) [ST]		01/4/2019	P	\$15,001 - \$50,000	
The Kraft Heinz Company (KHC) [ST]		03/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
The Kraft Heinz Company (KHC) [ST]		05/13/2019	P	\$15,001 - \$50,000	
The Kraft Heinz Company (KHC) [ST]		06/20/2019	P	\$1,001 - \$15,000	
The Kraft Heinz Company (KHC) [ST]		08/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
The Kraft Heinz Company (KHC) [ST]		11/22/2019	P	\$1,001 - \$15,000	
Three Rivers MN PK Dist Ser A Unlimited Tax 5.0% 02/01/2025 dtd 12/12/2019 [GS]		12/3/2019	P	\$15,001 - \$50,000	
TJX Companies, Inc. (TJX) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		08/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Twenty-First Century Fox, Inc. - Class A (TFCFA) [ST]		03/19/2019	P	\$1,001 - \$15,000	
U.S. Bancorp (USB) [ST]		01/4/2019	P	\$1,001 - \$15,000	
Union Pacific Corporation (UNP) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
United Parcel Service, Inc. (UPS) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		05/13/2019	P	\$1,001 - \$15,000	
UnitedHealth Group Incorporated Common Stock (UNH)		09/11/2019	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
[ST]				
UnitedHealth Group Incorporated Common Stock (UNH) [ST]	11/22/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Unum Group (UNM) [ST]	11/22/2019	P	\$1,001 - \$15,000	
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS] DESCRIPTION: Corporate Bond	11/15/2019	P	\$1,001 - \$15,000	
Vodafone Group PLC VAR RT 04/04/2079 DTD 04/04/2019 [CS] DESCRIPTION: Preferred security	04/4/2019	P	\$1,001 - \$15,000	
Voya Financial Inc PFD 5.35% [CS] DESCRIPTION: Preferred Security	06/11/2019	P	\$1,001 - \$15,000	
Voya Financial Inc PFD 5.35% [CS] DESCRIPTION: Preferred Security	06/19/2019	P	\$1,001 - \$15,000	
W.W. Grainger, Inc. (GWW) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wachovia Cap TR III Var Rt Perp Mat dtd 02/01/2006 [CS] DESCRIPTION: Corporate Bond	11/1/2019	P	\$1,001 - \$15,000	
Wachovia Capital Trust III Var Rate Mar 15 2165 Dtd 2/1/2006 [CS] DESCRIPTION: Corporate Bond	10/1/2019	P	\$1,001 - \$15,000	
Walgreens Boots Alliance, Inc. (WBA) [ST]	05/13/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Walgreens Boots Alliance, Inc. (WBA) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Walt Disney Company (DIS) [ST] DESCRIPTION: Shares received in exchange for Twenty-First Century Fox, Inc. Class A (TFCFA) as a result of merger.	03/20/2019	E	\$1,001 - \$15,000	
Walt Disney Company (DIS) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Wells Fargo & Company (WFC) [ST]	01/4/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo & Company (WFC) [ST]	05/13/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008 [CS] DESCRIPTION: Preferred security	09/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008 [CS] DESCRIPTION: Preferred security	11/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company Var RT 12/15/2165 DTD 04/22/2014 [CS] DESCRIPTION: Corporate Bond	03/26/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Western Digital Corporation (WDC) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Western Digital Corporation (WDC) [ST]	02/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Western Digital Corporation (WDC) [ST]	09/11/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Westinghouse Air Brake Technologies Corporation (WAB) [ST] DESCRIPTION: Formerly known as Wabtec Corporation	08/13/2019	P	\$1,001 - \$15,000	
Westrock Company (WRK) [ST]	03/6/2019	P	\$1,001 - \$15,000	
Westrock Company (WRK) [ST]	06/20/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Westrock Company (WRK) [ST]	08/13/2019	P	\$1,001 - \$15,000	
Weyerhaeuser Company (WY) [ST]	01/4/2019	P	\$1,001 - \$15,000	
Weyerhaeuser Company (WY) [ST]	03/6/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Xerox Corporation (XRX) [ST]	01/4/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Twentieth Century Fox Film Corp	Referral	\$353.00
COMMENTS: CONFIRM DESCRIPTION		

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan	September 2010	Balance on line of credit	\$1,000,001 - \$5,000,000
COMMENTS: Current balance: \$0				
	JP Morgan	October 2018	Mortgage	\$1,000,001 - \$5,000,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Advisory Council	Humphrey School of Public Affairs
Co-Chair	The Jay & Rose Phillips Family Foundation of Minnesota
Chairman, Co-Founder & Member	Penny's Coffee LLC
Limited Partner	100 University Family Limited Partnership
Governor, President, Treasurer, Secretary, & Chief Manager	Phillips Family Properties, LLC
Chief Manager, Vice President, & Treasurer	Fialko, LLC
President, Secretary, Treasurer, Governor, Member, & Tax Matters Member	DHJ LLC
Member	Geniecast, LLC
Co- Chair	Edward J. Phillips Family Foundation

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- - 100 University Family Limited Partnership
LOCATION: Minneapolis/Hennepin, MN, US
- - Cash Accounts
LOCATION: US
- - Fialko, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership
LOCATION: US
- - Privately-Held Business Entities
LOCATION: US
- - Retirement Account 1
- - Retirement Account 2
- - Trust 1 (100% Interest)
- - Trust 2 (100% Interest)
- - Trust 3 (100% Interest)
- - Trust 4 (100% Interest)
- - Trust 5 (100% Interest)
- - Trust 6 (90% Interest)
- - Trust 7 (25% Interest)

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

- Yes No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

- Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

- Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Dean Phillips , 08/13/2020