dependent child because they meet all		liabilities of a spouse or your	ned" income, transactions, or ted with the Committee on El	EXEMPTION – Have you excluded from this report any other assets, "uneamed" income, transactions, or liabilities of a spouse or your three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	EXEMPTION - Hathree tests for exe
be disclosed. Have you excluded from Yes	젍	her "excepted trusts" need	ittee on Ethics and certain ot it child?	TRUSTS – Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need this report details of such a trust that benefits you, your apouse, or dependent child?	TRUSTS - Details this report details
uestion, please contact Yes No X	wered "yes" to this qu	porting period? If you ans	Public Offering during the re	IPO – Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.	IPO - Did you pun the Committee on
ER EACH OF THESE QUESTIONS	_	ORMATION - ANSW	DEPENDENT, OR TRUST INFORMATION	IPO AND EXCLUSION OF SPOUSE, DEPENDEN	IPO AND EX
ESPONDING SCHEDULE IF YOU ANSWER "YES"		ATTACH THE CORR	Yes No X	E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	E. Did you hold an the current calend
or article during the	rganization make a d speech, appearance,	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yos X	D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	D. Did you, your s liability (more than
your dependent child receive any sements for travel totaling more than source during the reporting period?		H. Did you, your spouse, or reportable travel or relimbur \$390 in value from a single:	Yes X	C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	C. Did you or your honoraria, or pens reporting period?
your dependent child receive any re than \$390 in value from a single Yes No X period?	s, or your dependent of more than \$390 in viting period?	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$390 in value from a single source during the reporting period?	X No	B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?	B. Did you, your s exchange any sec exceeding \$1,000
r arrangement with an ${f Yes}$ No ${f X}$	ortable agreement or reporting period or in e of filing?	F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?	Yes X No	A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or b. Receive more than \$200 in unearned income from any reportable asset during the reporting period? 	A. Did you, your s a. Own any rep and of the re b. Receive mon esset during
			THESE QUESTIONS	PRELIMINARY INFORMATION - ANSWER EACH OF T	PRELIMINAR
mination:	Termination Date of Termination:		Amendment	X 2017 Annuel (Due: May 15, 2018)	REPORT
e: Staff Filer Type: (If Applicable) Shared Principal Assistant	or Employing Office:	Officer or Employee	TN	Member of the U.S. State:	FILER
A \$200 period until property of against any individual who files more truth at difference.	3571	hone: 202-225-357	_ Daytime Telephone:	ırles J. Fleischmann	Name: Charles J.
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LEGISLATIVE RESOURCE CENTER	and Employees	Form A For Use by Members, Officers, and		UNITED STATES HOUSE OF REPRESENTATIVES 2017 FINANCIAL DISCLOSURE STATEMENT	UNITED ST

SCHEDULE A -- ASSETS & "UNEARNED INCOME"

Name
: Charles J. Fleischmann
Page 2 of 10

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F	S	Š	Pi	_			Example	\top		If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with snyone (JT), in the optional column on the far left.	If you report a privately-traded fund that is an Excepted investment Fund, please check the "EIF" box.	Ezalude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and say francisal interest in, or income derived from, a federal rethernext program, including the Thirth Savings Plan.	For an ownership interest in a privately-hald busin that is not publicly traded, state the name of business, the nature of its activities, and geographic location in Block A.	For rental and other real property held for investment, provide a complete address or description, e.g., rental property," and a city and state.	For bark and other cash accounts, total the amount in all interest-beeing accounts, if the total is over \$5,000, last every financial institution where there is more than \$1,000 in interest-bearing accounts.	For all WAAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the expount that access the reporting treasholds.	Provide complete names of stocks and mutual funds (do not use only ticker symbols).	exceeding \$1,000 as the end of the reporting shroot, and (b) any other reportable steet or source of income that generated more than \$200 in 'unearned' income during the year.	identity (a) each asset held for investment or production of income and with a fair market value	}	
First Bank Savings	SmartBank	Congressional	Pinnacle	Benjamin Edwards	Bank of America	<u> </u>	<u>}</u>	160	detailed mts. pleas	option and a second	my a	four progra	t publication	A Company	and of				9 E	Assets and/or income Sources	ı
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SCHEDULE B - TRANSACTIONS

Name:	
Charles J. Fleischmann	
Page 4	
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Report any purchase, sale, or exchange transactions that auceaded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent chief for reventment of the production of income. Include transactions that resulted in a capital bas. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal readerson, unless it generated tental income. If only	Capital Gains: if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A. "Column X is for exsets solely hald by your spouse or dependent child.	SP, DC, JT	₩.	JT																	L
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SCHEDULE C - EARNED INCOME

Name: Charles J. Fleischmann Page 5 of 10

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below. EXCLUDE: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Approved Feeding Fee Lagstables Pennion Spouse Specifi Spouse Stalary Spouse Stalary	\$6,000. III acumun	Source (include date of receipt for honoraria) Type Amount	Type	Amount
Charles Courty Board of Escusion (Supplementary)		Keene State	Approved Teaching Fee	\$8,000
Column Court Private of Columns (Court Private of Court Private	Examples:	State of Haryland	Legislative Pension	\$18,000
	-	Ontario County Board of Education	Spouse Salary	N/A

SCHEDULE D - LIABILITIES

Name: Charles J. Fleischmann Page 6 of 10

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you rent it out or are a Member), loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, perent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. "Column K is for liabilities held solely by your spouse or dependent child."

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				Екапрів			
				First Bank of Wilmington, DE	Creditor		
				5/15	Date Liability Incurred MOYR		
				Mortgage on Rental Property, Dover, DE	Type of Liability		
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SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions held in any religious, social, fratemal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature

			Position Name of Org
			Name of Organization

SCHEDULE F - AGREEMENTS

Charles J. Fleischmann 잋 10

identify the de continuation of	ate, parties to, and general terms of any agreement or arrangement that you hav or deferral of payments by a former or current employer other than the U.S. gove	Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.
Date	Parties to Agreement	Terms of Agreement

SCHEDULE G - GIFTS

Report the source (by name), a brief description, and the value of all gifts totaling more than \$390 received by you, your spouse, or your dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality from an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$156 or less need not be added towards the \$390 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule and some gifts require prior approval of the Committee on Ethics.

	Source	Description	Value
Example:	Mr. Joseph Smith, Arlington, VA	Silver Platter (prior determination of personal friendship received from the Committee on Ethics)	\$400

SCHEDULE H - TRAVEL PAYMENTS and REIMBURSEMENTS

Name:	
Charles J	
Charles J. Fleischmann	
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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$390 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

EXCLUDE: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

Examples: Abdrall for Humanly (of any fundament) May 541 OC-Seleging, Chine SCC		Source	Deta(s)	City of Departure-Destination-City of Return	Lodging? (Y/N)	Food? (V/N)
Habitat for Harmanthy (climathy fundament) May 34.		Government of Chana (MECCEA)	Aug. 6-11	DC-Beijung, Chima-DC	٧	
	Examples:	Habitat for Humaniky (charity functioner)	Mar. 3-4	DC-Boaton-DC	٧	

Name:	
Charles J	
Name: Charles J. Fleischmann	
Page 9 of 10	

SCHEDULE I - PAYMENIS MADE TO CHARITY IN	Name: Charles J. Fleischmann		Page 9 of 10
List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.		ization in lieu of paying	charitable organization in lieu of paying an honorarium to you. A
Source	Activity	Date	Amount
Examples: Association of American Associations, Washington, DC	Speech	Feb, 2, 2017	\$2,000
	Algon	AUg. 13, 2017	9000

NOTE
NOTES

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ATTACHMENT 1

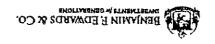
Charles J. Fleischmann December 31, 2017

Summary of Brokerage Accounts Held Through Benjamin Edwards & Co.

Totals	*****1695	*****5005	*****9133	*****3890	Account #			
\$ 1,281,413.95 \$ 29,257.59 \$ - \$ 5,114.89 \$ 42,827.17 \$ 424,914.20	243,268.20	107,931.37	11,143.85	919,070.53	Value			
\$ 29,257.59	6,125.90	2,038.11	•	21,093.58	Interest	Dividends and Capital Gain Investment		
\$		•		•	Distributions	Capital Gain		
\$ 5,114.89		8,454.69	\$ 1.	(3,339.80)	Sale	Investment	on	Gain/(Loss)
\$ 42,827.17	6,125.90	10,492.80	8,454.69	17,753.78	Total Income			
\$ 424,914.20	ę	252,972.47	ì	171,941.73	Sales **	Investment	Proceeds from	
	Details on Attachment 5	252,972.47 Details on Attachment 4	Details on Attachment 3	171,941.73 Details on Attachment 2	-			

^{**} Gross sales proceeds from transactions reported on Schedule IV

Attachment 2



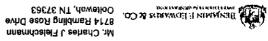
Report Package 3 01/01/2017-12/31/2017 Chuck & Brenda Pleischman # 1

Prepared For Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TM 37363

Prepared By
Ward Petty
Benjamin F. Edwards & Co.
1101 Broad Street, Suite 105
Chattanoogs, TN 37402

Account Reviewed By

Creeted: 01/11/2018 Chuck & Brenda Fleischman # 1 Ward Pelty Benjamin F. Edwards & Co. 1101 Broad Streel, Sulte 105 Chatlancoga, TN 37402 423-668-5411

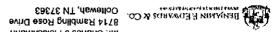


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Created: 01/11/2018 Period: 12/31/2017 Chuck & Brenda Fleischman # 1

453-668-5411 1101 Broad Street, Suite 105 Chattanooge, TN 37402 Benjamin F. Edwards & Co. Ward Petty

Mr. Charles J Fleischmann



Charles J Fleischmann Gain/Loss by Investor

8117-68676 Acc! Name: CHARLES J FLEISCHMANN BRENDA M FLEISCHMANN JT TEN 8714 RAMBLING ROSE DR OOLTEWAH TN

\$19,266.62	\$8.862,81\$	\$243,268.20	\$225,001.38		rtfollo Total:	od .
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Start Date: 01/11/2018 Chuck & Brends Fleischman # 1
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Ward Petty Benjamin II: Edwards & Co. 1101 Broad Street, Suite 105 Chattancoge, TN 37402

Mr. Charles J Figlechmann 8714 Rambling Rora Orlva Oollawan, Tit 37363



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The IRRS is neighed to the time-value of money or present value formule, it calculates the discount rate which will take the standard value and ell cash flows to result in the studing market value. The Internal Rele of Return (IRR) is used to calculate the true, money-weighted rate of return. Like the Modified Dietz calculation, the portfolio or sead te valued at the starting and anding points of the period. And, cash flows are included based on their fining. Any benchmark return calculations included on this report were performed using a cest; slow adjusted calculation. ~ Keğ.re

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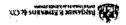
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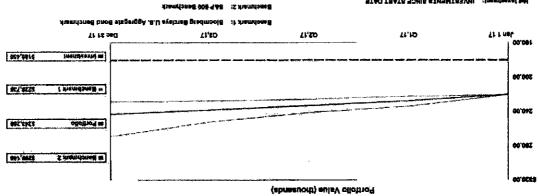
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Mr. Charles J. Flelechmenn 8714 Rembling Rose Drive Ooltewah, TN 37363



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Mr. Charles J Fielechmann 8714 Rembling Rose Drive Odlowsh, TN 37363



The internal Rete of Return (IRR) is used to celectate the true, money-weighted rate of return. Like the Modified Cletz calculation, the portfolt or assat is valued at the starting and ending market being the period. And, cash flows are included based on their finite forms.

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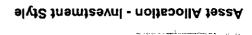
Negative dividends are dividends paid in cash. The number is negative because it represents money which is paid out either to the investor or deposited into the money market.

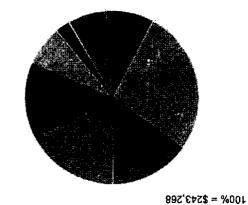
Created: 01/11/2018 Period: 12/31/2017 Chuck & Brenda Fleischman # 1

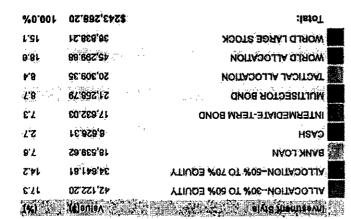
11142-899-624 Chattanooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

8714 Rambling Rose Drive Mr. Charles J Fleischmann







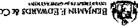


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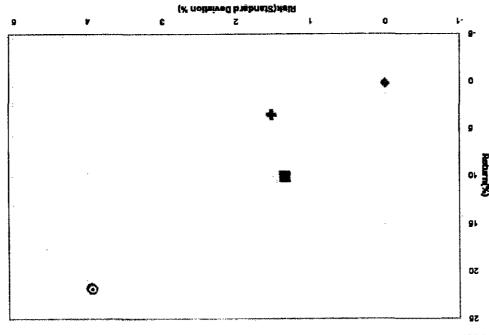
1142-668-6411 Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanooga, TN 37402 Ward Petty

evhQ esoR guildmsR +178 Mr. Charles J Flelschmann





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453-668-5411 Benjemin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattenooga, TN 37402 Ward Petty

Mr. Charles J Flelachmann

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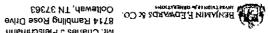
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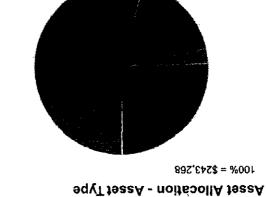
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Created: 01/11/2018 Period: 12/31/2017 Chuck & Brenda Fleischman # 1

1142-899-624 Chattanooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Pelly

Mr. Charles J Fleischmann

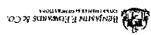




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Chuck & Brenda Fleischman # 1 Created: 01/11/2018 Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanooga, TN 37402 423-668-5411

Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TN 37363



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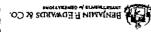
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Crested: 01/11/2018 Crested: 01/11/2018 Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanoogs, TN 37402 423-668-5411

Mr. Chartes J Flelschmann 8714 Rambling Rose Orlve Ooltewah, TN 37363



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(v) any other persons are any data included therein for any purpose, (iv) the merchantability or fitness for a particular purpose of the indices, or any data included therein for any purpose.

Each Index reflects the performance of notional investment positions in its constituents. There is no ectual portfolio of assets to which any person has any ownership interest. Each index merely identifies certain hypothetical investment positions, the performance of which are used as a reference point for the purpose of calculating the level of such index. The indices and the information contained herein see of which any person may represent any ownership interest. Each index are information contained the performance of dissembled in the properties of the person in the person is not any person in the person in the person in the person is not person in the person in the person in the person is not person in the person in the person in the person in the person is not person in the person in

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Pie chart silces iabeled as "other" may include securities classified as "other" by the provider of asset classification data, as well as securities that did not fit in the other alices displayed.

The return for this holding represents a partial period relative to the report period requested on the report. At some time during the reporting

The risk calculation was not performed as it was a partial period.

Performance calculations are performed using the Internal Rate of Return (IRR) Calculation method

The Internal Rate of Return (IRR) is used to calculate the frue, money-weighted rate of return, Like the Modified Dietz calculation, the portfolio or asset is valued at the starting and ending points of the pariod. And, cash flows are included based on their timing.

Created: 01/11/2018 Chuck & Brenda Fleischman # 1

453-660-5411 Challenooga, TN 37402 1101 Broad Street, Sulte 105 Benjamin F. Edwards & Co. Ward Pethy

evind eaos gnildmas A118 Mr. Charles J Flelschmann



flows to result in the ending market value. The IRR is related to the time-value of money or present value formule, it calculates the discount rate which will take the starting value and all cash

Performance returns for time periods longer than 365 days have been annualized.

reporting period. Furthermore, risk calculations are based off of a so called Alak Free Rate, and certain benchmarks. This report calculates risk based on generaly accepted formulae. Risk calculations may use a monthly sampling of periodic returns over the

This report shows the combined risk of all accounts in the portiolio.

notsevní edt This Rate of Return show the return on the entity for the time period shown. This aids in comparing the return realized with the level of risk taken by

The risk free rate shows the return of a risk free investment over the time period. It shows the return that could be realized while taking on no risk.

Portfolio Excess Return is the return of the portfolio less the return on the Risk Free Rate.

Risk is calculated as the Standard Deviation of monthly returns for the entity (Account, Manager or Portfolio).

The Benchmark Return shows the level of return that would be realized if monies were put in the banchmark rather than the entity.

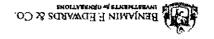
Benchmark Excess return shows how much the entity either outperformed or underperformed the benchmark during the time period.

additional risk. In a managed situation this is often called the value added by the manager. Regression Alpha is a measure of how much refurn is added to the entity (Account, Manager or Portfolio) that is not the result of laiding on

penchmark and a beta less than I means that the entity will be less votable than the benchmark. entity value will tend to move one for one with the benchmark, a beta greater than one indicates that the entity will be more votatile than the Bets is a measure of volatility or systematic risk of the entity (Account, Menager or Portfolio) in relation to the benchmark. A bets of 1 indicates the

according to the beta, penchinark. An R-Squared of 100 means that the entity has tended to follow market direction exactly, however the magnitude may still very R-Squared is the percentage that the movements in the value of the entity (Account, Manager or Portfolio) can be explained by movements in the

E frachment 3



Report Package 3 01/01/2017-12/31/2017 Chuck Fleischmann - SEP # 1

Prepared For Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TM 37363

Prepared By
Ward Petty

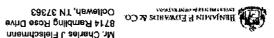
Ward Fety Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanooga, TN 37402

Account Reviewed By

Created: 01/11/2018 Chuck Fleischmann - SEP # 1

Chattenoogs, TN 37402 423-668-5411 Werd Pelly Benjamin F. Edwerds & Co. 1101 Broad Street, Sulle 105

Mr. Charles J Flelschmenn

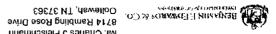


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8	*********	Portfolio Risk and Return
Z		Asset Allocation - Investment Style .
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l		Gain/Loss by Investor
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Crealed: 01/11/2018 Period: 12/31/2017 Chuck Fleischmann - SEP # 1

\$\$3-668-5411 1101 Broad Street, Suite 105 Chattanoogs, TN 37402 Benjamin F. Edwards & Co. Ward Petty

Mr. Charles J Fleischmann



Gain/Loss by Investor

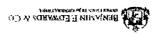
OOLTEWAH TN 37363-7118

Acct Name: SEP FBO CHARLES J FLEISCHMANN PERSHING LLC AS CUSTODIAN 8714 RAMBLING ROSE DR Charles J Fleischmann

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			££.752,8	56.732,3	££.732,∂		CASH RESERVES
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Chuck Fleischmann - SEP # 1 Period: 12/31/2017 Created: 01/11/2018 Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanooga, TN 37402 423-668-5411

Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TN 37363

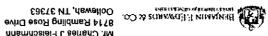


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ISA INC COM CLA	9102/80/80	150.00	81 966 11	17,103.00		5,106.52	S8.801,8
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OW CF V HE 184DE DESK INC	T102/22/80	100.00	5,003.00	4,573.00	,	00'064-	00.051-
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	12/21/2016	100.00	00.688,6	00.786,8		00,408,1	1,804,00
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Period: 12/31/2017 Created: 01/11/2018 Chuck Fleischmann - SEP # 1

423-668-5411 1101 Broad Street, Suite 105 Chattanooga, TN 37402 Ward Petty Benjamin F. Edwards & Co.

Mr. Charles J Fleischmann



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Ward Perty Benjamin F. Edwards & Co. 1101 Broad Street, Sulls 105 Chaltanoogs, TN 37402 423-668-5411

Start Date: 09/21/2018 Created: 01/11/2018

Period: 01/01/2017-12/31/2017

Mr. Chates J Fielschmann 8714 Rembling Rose Drive Oollewsh, TN 97363

ACA SURVEY RETURNED & CO.

Portfollo Performance

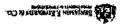
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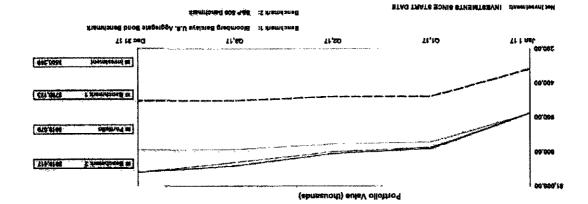
Performance returns for time periods longer than 365 days have been annualized. The IRR is related to the time-value of money or present value formats. It calculates the decount rate which will take the starting value and all cash flows to return in an analysis mether value.

Chuck Pholachman - 826 # 4 Patok birthalten Translation Stat Dake pater 18013 Cromata prestigate Ward Pelty Banjanin F. Edwards & Co. 11 Broad Streel, Sulls 105 Chattanooge, TN 37402 423-658-5411

Mr. Charles J Fleischmann 9714 Rambitog Rose Drive Oollewah, TN 37363

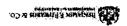


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Chuck Pheledmann - SEP # 1 Period: Othorizot-12/01/2017 Sieri Dade: Othorizota Station: Othorizota Ward Polly Benjamin F. Edwards & Co. 1101 Streed Street, Suits 105 Cheltencoge, 71 37402 423-668-5411

Mr. Charles J Fletechmenn 8714 Rembling Rose Drive Collewsh, TN 37963



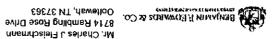
The internal Rate of Return (IRR) is used to calculate the true, money-weighted rate of return. Like the Modified Dietz calculation, the portfolio or assat is valued at the starting and ending points of the period, And, cash flows are included besed on their liming.

The IRR is related to the immediate or present value formula, it calculates the discount rate which will take the starting value and all cash flows to present value formula, it calculates the discount rate which will take the starting value and all cash flows to present value formula. It calculates the discount rate which will take the starting value and all cash. The number is negative because it represents money which is paid out alther to the investor or deposited into any market.

Created: 01/11/2018 Period: 12/31/2017 Chuck Fleischmann - SEP # 1

Chattanooga, TN 37402 423-668-5411 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

Mr. Charles J Fleischmann

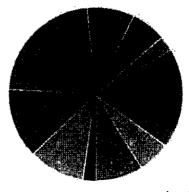


Asset Allocation - Investment Style

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LARGE CAP - GROWTH	18,502,802	22.3
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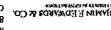
Note: Only the first 12 hearlest weighted classifications are displayed. Additional classifications from the Deen rolled into "Other".

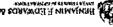


Sampling Frequency: Monthly Crested: 01/11/2018 Start Date: 09/21/2011 Period: 01/01/2017-12/31/2017 Chuck Fleischmann - SEP # 1

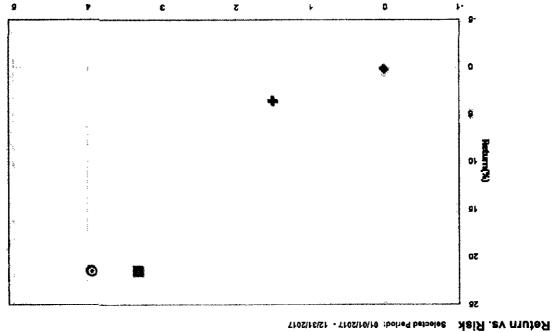
Challanooga, TN 37402 423-668-5411 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

BY14 Rambling Rose Drive Co. Ooleweh; TN 37363 Mr. Charles J Fleischmann





Portfollo Risk and Return



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Sampling Frequency: Monthly Created: 01/11/2018 Start Date: 09/21/2011 Бефоф: 01/04/2013-15/31/2013

Challanooga, TN 37402 423-668-5411 1101 Broad Street, Sulle 105 Ward Petty Benjamin F. Edwards & Co.

Mr. Charles J Fleischmann 8714 Rambling Rose Drive S714 Rambling Rose Drive Co. Ooltewah, TN 37363



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Rebout Package 3

Crealed: 01/11/2018 Period: 12/31/2017 Chuck Fleischmann - SEP # 1

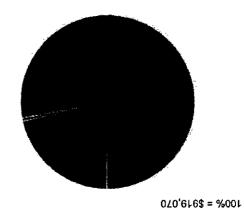
1179-899-624 Chattanooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

9714 Rambling Rose Drive Mr. Charles J Fleischmann



Asset Allocation - Asset Type

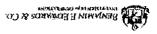
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Created: 01/11/2018

Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Challanooga, TN 37402 423-668-5411

Mr. Charles J Fleischmann 8714 Rambling Rose Drive Oollewah, TN 37363



Disclosure:

Securities offered through Benjamin F. Edwards & Co., Inc., member FINRA/SIPC. Benjamin F. Edwards & Co., Inc. and Benjamin F. Edwards & Co.

Securities and/or Advisory Services offered through Benjamin F. Edwards & Co., Inc. ("the Firm"), member SIPC/FINRA.

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Values are as of 12/31/2017. We believe the sources to be reliable, however, the accuracy and completeness of the information is not guaranteed. In

Data reflected within this report may reflect data held at various custodians and may not be covered under SIPC. The Firm's SIPC coverage only applies to those assets held at the Firm. In addition, certain other reported entities may be SIPC members that provide coverage for assets held at the Firm. In addition, certain other entity, or refer to the other entity's statement, regarding SIPC coverage. Assets reflected on this report that are not held at the Firm on your behalf are not part of the Firm's books and records.

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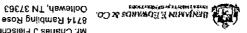
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453-668-5411 Chattanooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Pelty

evirO esoЯ gnildmeЯ Af78 Mr. Charles J Fleischmann



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did not fit in the other slices displayed. Pie chart slices labeled as "other" may include securilies dassified as "other" by the provider of asset classification data, as well as securifies that

* The return for this holding represents a partial period relative to the report period requested on the report. At some time during the reporting was not in the portfolio. The partial period asset will effect the lotal account's rate of return.

The tisk calculation was not performed as it was a partial period.

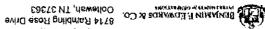
Performance calculations are performed using the internal Rate of Return (IRR) Calculation method

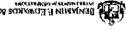
asset is valued at the starting and ending points of the period. And, cash flows are included based on their timing. The Internal Rate of Return (IRR) is used to calculate the true, money-weighted rate of return. Like the Modified Dietz calculation, the portfollo or

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1175-899-624 Chattenooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

Mr. Chatles J Fleischmann





flows to result in the ending market value. The IRR is related to the time-value of money or present value formula, it calculates the discount rate which will take the starting value and all cash

Performance returns for time periods longer than 365 days have been annualized.

reporting period. Furthermore, task calculations are based off of a so called Risk Free Rate, and certain benchmarks. This report calculates tisk based on generally accepted formulae. Risk calculations may use a monthly sampling of periodic returns over the

This report shows the combined risk of all accounts in the portfolio.

De investor. This state of Return show the return on the entity for the time period shown. This sids in comparing the return restized with the level of risk taken by

The risk free rate shows the return of a risk free investment over the time period. It shows the return that could be realized while taking on no risk.

Portfolio Excess Return is the return of the portfolio less the return on the Risk Free Rete.

The Benchmark Return shows the level of return that would be realized if monies were put in the benchmark rether than the entity. Risk is calculated as the Standerd Deviation of monthly returns for the entity (Account, Manager or Portfollo).

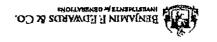
Benchmark Excess return shows how much the entity either outperformed or underperformed the benchmark during the firms period.

additional risk. In a managed althation this is often called the value added by the manager. Regression Alpha is a measure of how much return is added to the entity (Account, Manager or Portfolio) that is not the result of taiding on

penchmerk and a peta less than ‡ means the fully will be less volatile than the penchmark. entify value will tend to move one for one with the bestchmark, a beta greater then one indicates that the entify will be more volatile than the Beta is a messure of volatility or systematic risk of the entity (Account, Manager or Portfolio) in relation to the benchmark. A beta of 1 indicates the

according to the beta. penchimerk. An R-Squared of 100 means that the entity has tended to follow market direction exactly, however the magnitude may still very R-Squared is the percentage that the movements in the value of the entity (Account, Manager or Portfolio) can be explained by movements in the

Attachment 4



Report Package 3 01/01/2017-12/31/2017 Chuck & Brenda Fleischmann # 2

Prepared For Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TN 37363

Prepared By
Ward Petty
Benjamin F. Edwards & Co.
1101 Broad Street, Suite 105
Chattanoogs, TN 37402

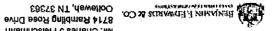
Account Reviewed By

Created: 01/11/2018 Chuck & Brenda Fleischmann # 2

Report Package 3

Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Sulte 105 Chattanoogs, TN 37402 423-868-5411

Mr. Charles J Fleischmann

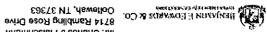


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3	Asset Allocation - notice of the seaf
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9	Asset Allocation - Investment Style and Allocation - Investment Style
3	Performance
Ī	Saln/Loss by Investor
	Sable of Contents

Created: 01/11/2018 Period: 12/31/2017 Chuck & Brenda Fleischmann # 2

Chaltanooga, TN 37402 423-666-5411 1101 Broad Street, Suite 105 Ward Petty Benjamin F. Edwards & Co.

Mr. Charles J Fleischmann



Charles J Fleischmann Gain/Loss by Investor

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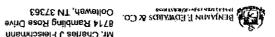
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Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanoogs, TN 37402 423-668-5411

Mr. Charles J Fleischmann



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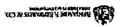
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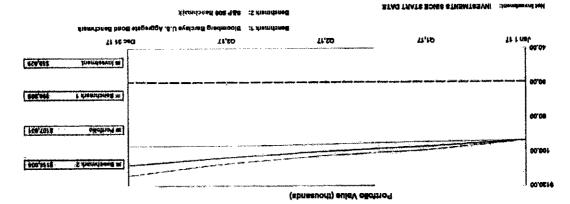
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Chuck & Brende Fieledmann # 2 Period 04/04/2017-12/31/2017 Stert Date: 02/21/2016 Created: 01/14/2016 Werd Peity Bonjamin F. Edwards & Co. 1101 Broad Street, Suits 105 Chattanooga, TN 37402 423-668-5411

Mr. Cherles J. Fleischmenn 8714 Rembing Roes Drive Collowsb, TM 37383

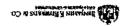


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M. Chanes J Fleischmann 6714 Rambleg Rose Drive Oolteweh, TN 57383



The Internal Rate of Return (IRR) is used to calculate the true, money-weighted rate or return. Like the Modified Dietz calculation, the portfolio or asset to result in the enting and serious an invertiming.

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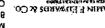
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Вероп Раскаде 3

Created: 01/11/2018 Period: 12/31/2017 Chuck & Brenda Fleischmann # 2

Chattanoogs, TN 37402 423-668-5411 1101 Broad Street, Suite 105 Ward Petty Benjamin F. Edwards & Co.

ВУТА Катырііл В Білулявта & Со. ООівмар, ТИ З7363 Mr. Charles J Fleischmann



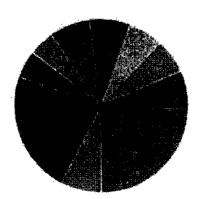


Asset Allocation - Investment Style

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Note: Only the first 12 heaviest weighted descriftcations are displayed. Additional describant have been rolled into "Other".



Sampling Frequency: Monthly Crested: 01/11/2018 Start Date: 09/21/2011 Period: 01/01/2017-12/31/2017 Chuck & Brenda Fleischmann # 2

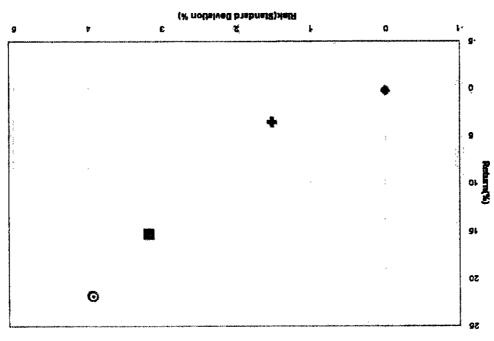
453-668-5411 Chettenooge, TN 37402 1101 Broad Street, Sulle 105 Benjamin F. Edwards & Co. Ward Petty

evird each galldmeR 4178 Mr. Charles J Fleischmann



Portfolio Risk and Return

Return vs. Risk selected Period: 01/01/2017 - 12/31/2017



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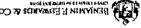
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Chuck & Brende Flelechmann # 2

Sampling Frequency: Monthly Start Date: 09/21/2011 Created: 01/11/2018 Period: 01/01/2017-12/31/2017 Chuck & Brenda Fleischmann # 2

1179-899-624 1101 Broad Street, Suite 105 Chattanoogs, TN 37402 Benjamin F. Edwards & Co. Ward Petty

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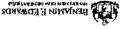
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Created: 01/11/2018 Pedod: 12/31/2017 Chuck & Brenda Fleischmann # 2

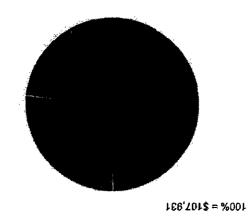
1142-898-524 Chellanooga, TN 37402 1101 Broad Street, Suite 105 Benjamin F. Edwards & Co. Ward Petty

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Asset Allocation - Asset Type

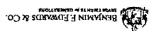
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Created: 01/11/2018

Ward Petty Benjamin F. Edwards & Co. 1101 Broad Streel, Suite 105 Chattanoogs, TN 37402

Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TN 37363



Disclosure:

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Securities and/or Advisory Services offered through Benjamin F. Edwards & Co., Inc. ("the Firm"), member SIPC/FINRA.

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Values are as of 12/31/2017. We believe the sources to be reliable, however, the accuracy and completeness of the information is not guaranteed. In the event of a discrepancy, the sponsor's valuation shall prevail.

Data reflected within this report may reflect data held at various custodians and may not be covered under SIPC. The Firm's SIPC coverage only applies to those assets held at the Firm. In addition, certain other reported entities may be SIPC members that provide coverage for assets their about contact your financial representative, or the other entity, or refer to the other entity's statement, regarding SIPC coverage. Assets reflected on this report that are not held at the Firm on your behalf are not part of the Firm's books and records.

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Cost basis information may be incomplete or may not accurately reflect the methodology used by a particular client. Clients should consult with

For fee-based accounts only: The data may or may not reflect the deduction of investment advisory fees. If the investment is being managed through a fee-based account or agreement, the returns may be reduced by those applicable advisory fees. The information contained in these reports is collected from sources believed to be reliable. However, you should always rely on the official statements received directly from the custodians. If you have any questions regarding this report, please call your representative.

The source data for the following accounts was provided by Pershing:

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Mr. Charles J Fleischmann 8714 Rambling Rose Drive Ooltewah, TN 37363 Ward Petty Benjamin F. Edwards & Co. 1101 Broad Street, Suite 105 Chattanooga, TN 37402 423-668-5411 Chuck & Brenda Fleischmann # 2 Created: 01/11/2018

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Each Index reflects the performance of notional investment positions in its constituents. There is no actual portfolio of assets to which any person is entitled or in which any person has any ownership interest. Each Index merely identifies certain hypothetical investment positions, the performance of which are used as a reference point for the purpose of calculating the level of such index. The indices and the information contained herein are Citindex's proprietary material. No person may reproduce or disseminate the information contained herein without the prior written consent of Citindex.

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Pie chart slices labeled as "other" may include securities classified as "other" by the provider of asset classification data, as well as securities that did not fit in the other slices displayed.

Performance calculations are performed using the Internal Rate of Return (IRR) Calculation method

The Internal Rate of Return (IRR) is used to calculate the true, money-weighted rate of return. Like the Modified Dietz calculation, the portfolio or asset is valued at the starting and ending points of the period. And, cash flows are included based on their timing.

⁶ The return for this holding represents a partial period relative to the report period requested on the report. At some time during the reporting period, the holding was not in the partial period asset will affect the total account's rate of return.

³⁶The risk calculation was not performed as it was a partial period.

Attachment 5

8714 PAMBLING FOSEDR OOLTEWAH TN 37363-7118 PERSHING LLC AS CUSTODIAN SEP TO CHAPLES JPLEISCHMANN

Your Financial Advisor Is: WARD RETTY

(423) 668-5411

Account Number: EBR-299133 April 1, 2018 - April 30, 2018

Didents Herest and Other Income 0.14 0.44 811.143.65 811.143.65 BEGINNING ACCOUNT VALUE Sindo Arud from \$11,143.71 This Period \$11,143.40 PEC-IO-PRE

The Bank Deposits in your account are FDIC insured bank deposits.

FDIC insured bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SPC). These bank deposits are covered by the Federal Deposit Insurance Corporation (FDIC), up to allowable limits.

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98% Alternative Investments 10,925.00 10,925.00 10,925.00 10,975.00 10,775 Account Total \$11,143.40 \$11,143.71	2% Cash, Money Funds, and Bank Deposits 218.40 218.71	
10,925,00 \$11,143.71	218.71	

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Rease review your allocation periodically with your Financial Advisor.

See the Assel Summary Disclosure and Footnotes section for important information regarding your Asset Summary.

Note: Unpriced securities are not included in the Total Account Value.

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Chering Strough Persning LLC, a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon)

Page tot 9

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but not tax documents, simply click the "Go Paperless" icon when you log in. Electronic delivery of account communications can make managing your linancial information easier-and tax documents are no exception. With anywhere, anytime access and the ability to download, then e- mail tax documents to your accountant, e-delivery is the convenient way to approach tax season! Enroll today- and if you're enrolled for account statements,

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t you currently have online access to your accounts through Net Xinvestor, you can sign up for e-delivery of your statements and confirms, as well as Mutual Fund, ETF and UIT prospect us, by clicking on the Go Paperless button when you log in. If you do not have on-line access, please contact your financial advisor and the process can be expedited for you.

This convenient e-delivery service is available even if you don't desire access to daily positions, values, balances and quotes. Contact your financial advisor and we can set up e-delivery

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Your Financial Advisor Is COO

WARD FELL I 1018FOAD STREET, SUITE 105 CHATTANOOGA TN 37402-2943

Telephone Number: (423) 668-5411

Fax Number: (423) 668-5412

INVESTMENT OBJECTIVE

Investment Objective: MODEFATEGROWTH

Please review your investment objective. If you wish to make a change or have any questions please contact your financial Advisor.

RETIREMENT INFORMATION

Year-End Fair Market Value (12/31/2017): \$11,143.40. (Includes the fair market value of hard-to-value assets)

Year-End Fair Market Value of Hard-To-Value Assets (12/31/2017):\$10,925.00.

The fair market value for hard-to-value assets has been provided for Individual Petirement Accounts, based on Internal Pevenue Service (IPS) reporting requirements. Hard-to-value assets for tax reporting purposes are generally defined as assets that are not readily tradable. IRS Classifications for hard-to-value assets within your account E= Ownership interest in a partnership, trust, or similar entity (unless the entity is traded on an established securities market)

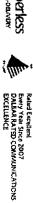
valuation adjustments made after 12/31/2017. The year-end fair market value is furnished to the Internal Revenue Service for Individual Retirement Accounts. Your fair market value may change based on transaction or asset

Rease verify this information, and if you have any changes, and/or questions, please contact your tax professional or financial Advisor.

Page 2 of 9

Account Number: EBR-299133 Accostations







AURITADOS APOTOS 2018 SEPTEMBERANTES UPLESCO

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Default Method for Mutual Funds: TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Stocks in a Dividend Reinvestment Plan:

BOND AMORTIZATION ELECTIONS

Include market discount in income annually. Accrual market discount method for all other bond types: Amortize premium on taxable bonds based on Constant Yield Method:

First in First Out First in First Out First in First Out 8

Constant Yield Method

You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Financial Advisor for

more information.

BECTRONIC DELIVERY

Beneficiary Name

Disclosures and Other Information: HOUR BOLLINA ANTE OF THE OWNER OWNER may Only

The beneficiary information displayed is a summary of information you have provided and should accurately reflect the most recent beneficiary information received. An agreement you executed to designate any beneficiaries displayed controls distribution to such parties. If differences exist between information here, and the signed beneficiary agreement, the agreement will control. Please contact your Financial Advisor to update your beneficiary information if necessary or to review more detailed information concerning your designations.

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Relationship to Account Hides (s)

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04/13/18 Deposit INTEREST CREDITED 0.14 APY 0.85%	Activity Ending: 04/30/18 Opening Balance 218.71	DEJTSCHEBANK INS DEPOSIT E	Sweep FDIC Insured Bank Deposits	Date Activity Type Description Balance
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218.85	218.71			Barne

Page 3 of 8

Account Number: EBR-299133 **COORTECTED**

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Rated Excedent
Every Year Since 2007
DALBAR RATED COMMUNICATIONS
EXCELLENCE

Pershinx LLC, member TNRA, NYSE SIPC

Date Activity Type	Description Description Bears	ene en
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04/30/18 Closing Balance	0430/18 Closing Balance \$216.85	10 10 10 10 10 10 10 10
Total FDIC Insured Bank Deposits		885

accounts. Please review this in connection with other deposits you may have at each respective bank. The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement

\$0.00			\$10,925.00		\$10,925.00		TOTAL ALTERNATIVE INVESTMENTS
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						of Portfolio	TS 98.00%
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рец рек	This Year	Income	Balance	Belance	ലയു	Number	Opening Date Quantity
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Valuation Codes:

B= This is an estimate of the value of the security.

G= The source of this information is the manager or the administrator of the program.

V = The market price of N/ A is displayed because the investment does not have a per unit value. The investment value is an estimated value provided by the sponsor or the sponsor's V = The market price of N/ A is displayed because the investment does not have a per unit value. The investment value is an estimated value provided by the sponsor or the sponsor's V = The market price of N/ A is displayed because the investment does not have a per unit value. pricing agent and may not include all fees and/ or charges. Please contact your investment professional or financial organization for additional information.

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Clearing through Pershing LLC, a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon)
Pershing LLC, member FINRA, NYSE SIPC

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Noncovered under the cost basis rules as defined below.

subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed. Generally, securities acquired before 20 ft, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially

Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 10998, the cost basis will not be reported to the IRS

- 3 Gither all or a portion of the cost basis of this security has been provided to us by you or your introducing firm and Fershing makes no representation as to the accuracy of this information
- 1 This security has been denoted as a hard-to-value asset. Hard-to-value assets for tax reporting purposes are generally defined as assets that are not readily tradable.

administrator of the Atternative Investment product, may not reflect recent activity or current values and may not reflect an independent evaluation of the Atternative Investment share estimate value provided in your account statement. Please note the estimated product values for Alternative Investments, which are provided by the manager or the guaranteed, provided for informational purposes only and are intended to reflect an estimate of the interest in the Alternative Investment represented by the units or shares described funds, fund of funds, private equity, real estate and managed future have been provided by the manager or the administrator of the Alternative Investment product. The values are not The estimated values, where indicated of Alternative Investments, including limited partnerships, real estate investment trusts (RBTs), direct participation programs (DPPs), neage above. Alternative investment securities are not listed on a securities exchange, generally illiquid, and if you are able to sell the securities, the price received may be less than the per

Where no value is indicated, please note that

Alternative investment securities are generally illiquid

Accurate valuation information is not available The value of the security may be different from its purchase price

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THEAS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE

Estimated Annual Figures

may be included in the figures for certain securities, thereby overstating them. Perer to www.pershing.com/ disclosures for specific details as to formulas used to calculate the figures. investment, trading, or tax decisions. These figures assume that the position quartities, interest and dividend rates, and prices remain constant. A capital gain or return of principal and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest

Account Number: EBR 299133 A0020122-2009





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Accrued interest represents interest earned but not yet received

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, Pershing acts as your including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

Option Disclosure

information regarding this procedure is available upon written request to your introducing firm. current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished

Foreign Currency Transactions

identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Important Message Regarding Your Portfolio Holdings

HARD TO VALUEPOSITIONS

expect that the fair market value for hard-to-value assets reflects the amount you would actually receive in the event of a sale. because there are multiple ways that "value" may be ascertained by issuers and valuation services, and because the value shown is only a point-in-time assessment, you should not Positions identified on your statements as "hard-to-value" may show a "fair market value" amount for IRS purposes. Because hard-to-value assets are not readily tradeable, and

MESSAGE REGARDING ROLLED: UP TAX LOTS

While your tax lots have been rolled up, all of the lots are still maintained. If you would like to receive the details of your tax lots, please contact your financial advisor

		FDIC Insured Bank Deposits	Dividends and Interest	Oedis This Period Debis This Period Nat This Period Oedis	
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FDIC Insured Bank Deposits

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fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospect us or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Pule 10b-10\(\beta\) (3) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual

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a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement. For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as Disclosure Satement, please contact your financial institution.

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rights, including your rights under the Securities Investor Protection Act. receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your

Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department One Pershing Haza, Jersey City, New Jersey 07399; (201) 4 13-3330. Errors and Omissions excepted.

Important Arbitration Disclosures

All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which

Arbitration awards are generally final and binding: a party's ability to have a court reverse or modify an arbitration award is very limited.

The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.

The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.

The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement

Important Arbitration Agreement

class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class

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(III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the externt stated herein. The laws of the State of New York govern. Important Arbitration Agreement (continued)

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 4 13-3330.

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