

**UNITED STATES HOUSE OF REPRESENTATIVES****2021 FINANCIAL DISCLOSURE STATEMENT**Form A  
For Use by Members, Officers, and Employees**HAND DELIVERED**LEGISLATIVE RESOURCE CENTER  
(Office Use Only)

1022 MAY 12 PM 1:25

MC

Name: Charles J. Fleischmann

Daytime Telephone: \_\_\_\_\_

<b>FILER STATUS</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>TN</u> District: <u>03</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____	Staff Filer Type: (If Applicable) <input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant
<b>REPORT TYPE</b>	<input checked="" type="checkbox"/> 2021 Annual (Due: May 16, 2022)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: _____	

**PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS**

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? <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$415 in value from a single source during the reporting period? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$415 in value from a single source during the reporting period? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		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? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		<b>ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"</b>

**IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS**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.  Yes  No TRUSTS – Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "exempted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits 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 your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.  Yes  No

# SCHEDULE A – ASSETS & “UNEARNED INCOME”

Name: Charles J. Fleischmann

Page 2 of 10

<b>BLOCK A</b>												
<b>Assets and/or Income Sources</b>												
Identify (a) each asset held for investment or production of income and with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than \$200 in unearned income during the year.												
Provide complete names of stocks and mutual funds (do not use only ticker symbols).												
For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.												
For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts.												
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 an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.												
Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.												
If you report a privately-traded fund that is an Expected Investment Fund, please check the "EIF" box.												
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 anyone (JT). In the optional column on the left, for a detailed discussion of Schedule A requirements, please refer to the instruction booklet.												
<b>BLOCK B</b>												
<b>Value of Asset</b>												
Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.												
If an asset was sold during the reporting period and because it generated income, the value should be "None." If it was sold during the reporting period and did not generate any income, the value should be "Over \$5,000."												
If an asset was sold during the reporting period and because it generated income, the value should be "None." If it was sold during the reporting period and did not generate any income, the value should be "Over \$5,000."												
<b>BLOCK C</b>												
<b>Type of Income</b>												
Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax-Deferred" category of income by checking the appropriate box below. Purchases (P), dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if the asset generated no income during the reporting period.												
Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax-Deferred" category of income by checking the appropriate box below. Purchases (P), dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if the asset generated no income during the reporting period.												
<b>BLOCK D</b>												
<b>Amount of Income</b>												
Check all columns that apply. For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the asset had dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if income was earned or generated, but no interest was earned or generated during the reporting period.												
Check all columns that apply. For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the asset had dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if income was earned or generated, but no interest was earned or generated during the reporting period.												
<b>BLOCK E</b>												
<b>Transaction</b>												
Indicate if the asset had sales (S), purchases (P), exchanges (E) in the reporting period.												
Indicate if the asset had sales (S), purchases (P), exchanges (E) in the reporting period.												
A	B	C	D	E	F	G	H	I	J	K	L	M
I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	XIII
None												
\$1-\$1,000												
\$1,001-\$15,000												
\$15,001-\$50,000												
\$50,001-\$100,000												
\$100,001-\$250,000												
\$250,001-\$500,000												
\$500,001-\$1,000,000												
\$1,000,001-\$5,000,000												
\$5,000,001-\$25,000,000												
\$25,000,001-\$50,000,000												
Over \$50,000,000												
Spouse/DC Asset over \$1,000,000*												
NONE												
DIVIDENDS												
RENT												
INTEREST												
CAPITAL GAINS												
EXCEPTED/BLIND TRUST												
TAX-DEFERRED												
Other Type of Income (Specify: e.g., Partnership Income or Farm Income)												
None												
\$1-\$200												
\$201-\$1,000												
\$1,001-\$2,500												
\$2,501-\$5,000												
\$5,001-\$15,000												
\$15,001-\$50,000												
\$50,001-\$100,000												
\$100,001-\$1,000,000												
\$1,000,001-\$5,000,000												
Over \$5,000,000												
Spouse/DC Asset with Income over \$1,000,000*												
P, S, S[part], or E												
S[part]												
SP, DC, JT	SP Simon & Schuster	ABC Help Fund	Royalties	Partnership Income	S[part]							
JT	Benjamin F. Edwards & Co.	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT
JT	Flannery Bank	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT
JT	Congregational Federal	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT
JT	Stratford	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT
JT	First Horizon Bank	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT
JT	First Bank	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT	JT

Use additional sheets if more space is required.

**SCHEDULE A – ASSETS & “UNEARNED INCOME”**

Name: Charles J. Fleischmann

Page 3 of 10

BLOCK A Assets and/or Income Sources	BLOCK B Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
PC, JT	ASSET NAME	EF		
			None	
			\$1-\$1,000	
			\$1,001-\$15,000	
			\$15,001-\$50,000	
		X	\$50,001-\$100,000	
			\$100,001-\$250,000	
			\$250,001-\$500,000	
			\$500,001-\$1,000,000	
			\$1,000,001-\$5,000,000	
			\$5,000,001-\$25,000,000	
			\$25,000,001-\$50,000,000	
			Over \$50,000,000	
			Spouse/DC Asset over \$1,000,000*	
			NONE	
			DIVIDENDS	
			RENT	
		X	INTEREST	
			CAPITAL GAINS	
			EXCEPTED/BLIND TRUST	
			TAX-DEFERRED	
			Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	
			None	
			\$1-\$200	
		X	\$201-\$1,000	
			\$1,001-\$2,500	
			\$2,501-\$5,000	
			\$5,001-\$15,000	
			\$15,001-\$50,000	
			\$50,001-\$100,000	
			\$100,001-\$1,000,000	
			\$1,000,001-\$5,000,000	
			Over \$5,000,000	
			Spouse/DC Asset with Income over \$1,000,000*	
			P, S, Sipser3, or E	

## SCHEDULE B – TRANSACTIONS

Name: Charles J. Fleischmann

Page 4 of 10

Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income, include transactions that resulted in a capital loss. 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 residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

**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 describe the capital gain income on Schedule A.

\*Column K is for assets solely held by your spouse or dependent child.

SP, DC, IT	Asset	Type of Transaction		Date	Amount of Transaction												
		Purchase	Sale		Partial Sale	Exchange											
		Check Box if Capital Gain Exceeded \$200															
		(MONTHLY) or Quarterly					A	B	C	D	E	F	G	H	I	J	K
		Monthly, or Bi- Weekly, if Applicable					\$1,001- \$15,000										
SP	Mega Corp. Stock	X	X	3/2/21	X		\$15,001- \$50,000										
IT	Benjamin F. Edwards & Co. - Attachments 1, 2, 3, 4, & 5	X	X		X		\$50,001- \$100,000										
							\$100,001- \$250,000										
							\$250,001- \$500,000										
							\$500,001- \$1,000,000										
							\$1,000,001- \$5,000,000										
							\$5,000,001- \$25,000,000										
							\$25,000,001- \$50,000,000										
							Over \$50,000,000										
							Over \$1,000,000* (Spouse/DC Asset)										

**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.

**INCOME LIMITS and PROHIBITED INCOME:** The 2021 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$29,595. The 2022 limit is \$29,885. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

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Example:

Source (include date of receipt for honoraria)	Type	Amount
Keene State	Approved Teaching Fee	\$6,000
State of Maryland	Legislative Pension	\$18,000
Civil War Roundtable (Oct. 2)	Spouse Speech	\$1,000
Ontario County Board of Education	Spouse Salary	N/A

**Use additional sheets if more space is required.**

## 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. Members: Members are required to report all liabilities secured by real property including mortgages on their 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, parent, 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.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Amount of Liability									
			A	B	C	D	E	F	G	H	I	J
Example	First Bank of Wilmington, DE	9/20	\$10,001-\$15,000									
			\$15,001-\$50,000									
			\$50,001-\$100,000									
			\$100,001-\$250,000	X								
			\$250,001-\$500,000									
			\$500,001-\$1,000,000									
			\$1,000,001-\$5,000,000									
			\$5,000,001-\$25,000,000									
			\$25,000,001-\$50,000,000									
			Over \$50,000,000									
			Over \$1,000,000* (Spouse/DC Liability)									

## 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, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

### Name of Organization

### Position

## SCHEDULE F – AGREEMENTS

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 \$415 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 (which may not include a registered lobbyist or foreign agent), 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 \$366 or less need not be added towards the \$415 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.**

## **SCHEDULE H – TRAVEL PAYMENTS and REIMBURSEMENTS**

Name: Charles J. Fleischmann

Page 8 of 10

Identify the sources and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$415 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.

Source	Date(s)	City of Departure-Destination-City of Return	Lodging? (Y/N)	Food? (Y/N)	Family Member Included? (Y/N)
Government of China (MECEA)	Aug. 8-11	DC-Beijing, China-DC	Y	Y	N
Habitat for Humanity (Charity Fundraiser)	Mar. 3-4	DC-Boston-DC	Y	Y	Y

**Use additional sheets if more space is required.**

**SCHEDULE I – PAYMENTS MADE TO CHARITY IN  
LIEU OF HONORARIA**

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 charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.

Examples:	<b>Association of American Associations, Washington</b> <b>XYZ Magazine</b>
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Name: Charles J. Fleischmann

Page 9 of 10

**FILER NOTES  
(Optional)**

Name: Charles J. Fleischmann

Page 10 of 10

NOTE NUMBER	NOTES

**Attachment**

**ATTACHMENT 1**

Charles J. Fleischmann  
December 31, 2021

**Summary of Brokerage Accounts Held Through Benjamin Edwards & Co.**

Account #	Value	Dividends and Interest	Capital Gain Distributions	Gain/(Loss) on Investment Sale	Total Income	Proceeds from Investment Sales	Comments
*****3890	1,723,436	-	57,334	18,929	76,263	76,364	Details on Attachment 2
*****9133	-	-	-	(2,308)	(2,308)	-	Details on Attachment 3
*****5005	173,916	4,326	-	19,166	23,492	94,927	Details on Attachment 4
*****1695	294,538	7,704	9,807	-	17,511	-	Details on Attachment 5
Totals	<u>2,191,890</u>	<u>12,030</u>	<u>67,141</u>	<u>35,787</u>	<u>114,958</u>	<u>171,292</u>	

# Attachment

# 2



BENJAMIN F. EDWARDS & CO.  
INVESTIGATIVE CONTRACTORS

One N. Brentwood Blvd., Suite 660  
St. Louis, MO 63116

On file XLR/MS

CHARLES AND BRENDA FLEISCHMAN  
8714 RAMBLING ROSE DR  
OLTEWAH, TN 37363-7118



Notice to Inspectors: Regarding Custodian Assisted Statements: You are encouraged to read the statements you receive from the custodians and compare the information on those statements to this report. Please see page 2 of this report for an explanation of differences you may find.

**Portfolio Summary Report  
Charter Ending December 31, 2021**

**Prepared For**

**Charles and Brenda Fleischman**

**RECORD DATE: February**

**Charles J Fleischmann Brenda M Fleischmann JT Ten  
Charles J Fleischmann Brenda M Fleischmann JT Ten  
Charles J Fleischmann SEP**

**ACCOUNT NUMBER:**

**Benjamin F. Edwards Advisory Portfolios  
Benjamin F. Edwards Private Portfolios  
Benjamin F. Edwards Private Portfolios**

**ETF-Q0500  
EPP-Q116X  
EPP-Q038X**

**Your Financial Advisor**

**WARD PETTY**

**Benjamin F. Edwards & Company**

**1101 Broad Street  
Suite 105  
Chattanooga, TN 37402**

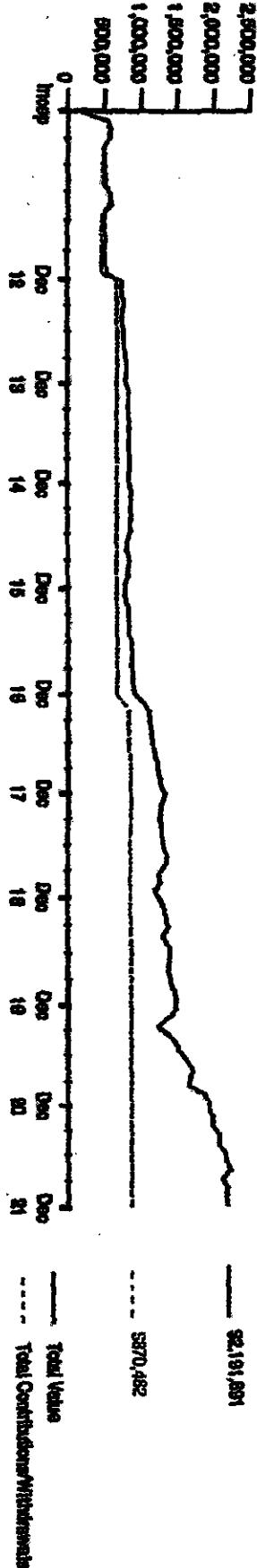
**423-698-6411**

**Notice: Recurring Portfolio Accounting Differences:** Please note that the data shown on this report is for informational purposes and does not constitute an official document. The data shown on this report may differ from the data on reports generated by other sources. These differences can be explained by a number of factors, including, but not limited to, the use of trade date versus settlement date for reporting purposes, the treatment of accrued income on securities, the security pricing source utilized and reports generated by different reporting systems for the same account. Please refer to your 1099 form in all instances for tax reporting purposes. If you have any questions, please feel free to contact your financial representative. Please refer to the end of the document for important information regarding this report.

Charles and Brenda Fleischman		Portfolio Change	Inception (08/28/2011)	Since YTD	Current GTR	Taxable Account Information	
Beginning Market Value	\$144,158	\$1,918,777	\$1,918,777	\$2,108,851	\$0	Income Received	\$10,682
Net Contributions/Withdrawals	\$728,324	\$0	\$0	\$0	\$0	Net Gain or Loss	\$0
Gain/Loss + Income Earned	\$1,321,469	\$273,114	\$32,850	\$32,850	\$0	Realized	\$13,262
Ending Market Value	\$2,101,891	\$2,101,891	\$2,101,891	\$2,101,891	\$0	Unrealized	\$2,412
Year Ending 12/31/2021						Capital Gain	\$1,469
Investment in Blue Chip Fund Shares (08/28/2011)							\$0,607
Your Portfolio	100.0%	10.22% <sup>1</sup>	14.23%	3.80%	\$1,101,726	\$1,105	\$2,101,891
S&P 500 Total Return		17.39% <sup>1</sup>	28.71%	11.06%			
Bloomberg Government Credit		3.06% <sup>1</sup>	-1.76%	0.16%			
MSCI EAFE Net Total		8.60% <sup>1</sup>	11.28%	2.88%			
Benjamin F. Edwards Advisory Portfolios	7.9%	10.88% <sup>1</sup>	17.15%	5.17%	\$173,916	\$0	\$173,916
Benjamin F. Edwards Private Portfolios (BPP-011805)	13.5%	4.05% <sup>1</sup>	6.55%	1.73%	\$204,538	\$0	\$204,538
Benjamin F. Edwards Private Portfolios (BPP-003800)	70.6%	12.00% <sup>1</sup>	15.37%	4.19%	\$1,728,271	\$105	\$1,728,486



## Portfolio Growth



- 68.7% - Equity
- 78.6% - Moderate Growth
- 13.5% - Conservative Income
- 7.9% - Income Growth & Income
- 3.3% - Cash<sup>1</sup>

<sup>1</sup>Unaudited Return - Cash, Money Funds, and Bank Deposits  
Historical portfolio returns include the impact of dividends, account fees, and quarterly yield.

Fees are important characteristics regarding performance, fees, and benefits/costs at the end of this report.

**Charles J Fleischmann Brenda M****Fleischmann J/T Ten****Benjamin F. Edwards Advisory****Portfolios**

**Confidence Growth & Income**  
**Inception Date 08/27/2011**  
**Quarter Ending 12/31/2021**  
**Year Ending 12/21/2021**

Account & Benchmark Returns (%)	Since Inception	Fiscal YTD	Current QTR
Your Account	10.88% <sup>1</sup> 9.88%	17.16% 12.64%	5.11% 4.52%
Benchmark Index <sup>2</sup>			
Account & Benchmark Returns (%)	10.88% <sup>1</sup> 9.88%	17.16% 12.64%	5.11% 4.52%
	10.88% <sup>1</sup>	17.16%	5.11%
	9.88%	12.64%	4.52%

**Inception Date 08/27/2011****Quarter Ending 12/31/2021****Year Ending 12/21/2021**

According to Bloomberg, December 21, 2021. Geometric Average.

According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



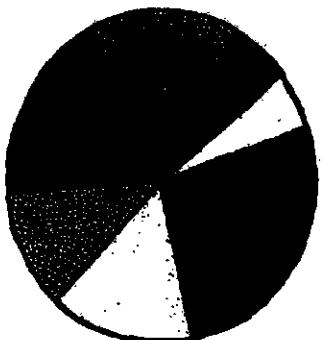
According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.



According to Bloomberg, December 21, 2021. Geometric Average.

<sup>1</sup>Annualized Return<sup>2</sup>Please see Important Disclosures regarding performance, fees, and limitations at the end of this report.

**Charles J Fleischmann Bonds II**  
**Fleischmann JT Trr**  
**Benjamin F. Edwards Private Portfolios**  
**Conservative Income**

**Account Change**  
**Beginning Market Value**  
**Net Contributions/Withdrawals**  
**Gain/Loss + Income Earned**  
**Ending Market Value**

**Since  
Inception**  
**\$205,427**  
**\$1,557**  
**\$87,454**  
**\$254,538**

**Fiscal  
YTD**  
**\$276,430**  
**\$0**  
**\$18,108**  
**\$284,538**

**Current  
MTR**  
**\$280,521**  
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**\$6,017**  
**\$284,538**

**Beginning Market  
Value**  
**\$284,538**  
**Ending Market  
Value**  
**\$284,538**

**Inception Date 02/08/2013**  
**Quarter Ending 12/31/2021**  
**Year Ending 12/31/2022**  
**1**

**Your Account**  
**S&P 500 Total Return**  
**Bloomberg Government Credit**  
**Bloomberg Municipal**  
**MSCI EAFE Net Total**  
**2022 P500BDAxCr<sup>2</sup>**

**4.05%<sup>1</sup>**  
**16.04%<sup>1</sup>**  
**3.00%<sup>1</sup>**  
**3.37%<sup>1</sup>**  
**6.66%<sup>1</sup>**  
**5.84%<sup>1</sup>**

**6.58%<sup>1</sup>**  
**22.71%**  
**-1.76%**  
**1.02%**  
**11.28%**  
**3.07%**

**1.78%**  
**4.00%<sup>1</sup>**  
**0.18%**  
**0.72%**  
**2.86%**  
**2.22%**

**0.35%**  
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**Accrued Current Earnings Received & Collected**

**400,000**

**300,000**

**200,000**

**100,000**

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**Annual Report**  
**December 31, 2021**

**For Charles and Brenda Fieldman**

Reporting Period (Month Year(s))	Beginning Balance	Change (Dollars)	Ending Balance	Percent Change	Value Per Share	Value Per Share Change
08/22/2011	144,159	-14,842	110,348	-14%	530,664	-4%
08/30/2011 12/31/2011	530,664	-74,703	456,961	-4%	486,661	-4%
03/31/2012	486,661	26,268	513,929	5%	513,929	5%
08/30/2012	513,929	-12,074	501,854	-2%	501,854	-2%
08/30/2012 12/31/2012	501,854	21,688	522,542	4%	513,761	5%
12/31/2012	513,761	8,179	522,940	2%	522,940	2%
03/31/2013	522,940	18,704	205,379	747,683	747,683	13%
08/30/2013	747,683	-8,689	741,395	-1%	741,395	-12%
09/30/2013 12/31/2013	741,395	29,725	771,121	4%	771,121	16%
03/31/2014	771,121	38,670	809,791	5%	809,791	22%
08/30/2014	809,791	12,659	822,450	2%	822,450	2%
09/30/2014 12/31/2014	822,450	29,112	851,562	4%	851,562	24%
12/31/2014	851,562	-17,276	834,286	-2%	834,286	-26%
03/31/2015	834,286	10,068	844,354	1%	844,354	26%
08/30/2015	844,354	13,455	967,797	2%	967,797	30%
09/30/2015 12/31/2015	967,797	-3,107	964,690	0%	964,690	28%
12/31/2015	964,690	-57,302	707,388	-7%	707,388	20%
03/31/2016	707,388	33,382	830,780	4%	830,780	25%
08/30/2016	830,780	2,104	832,884	0%	832,884	26%
08/30/2016 12/31/2016	832,884	7,851	840,635	1%	840,635	27%
12/31/2016	840,635	42,026	882,661	5%	882,661	33%
03/31/2017	882,661	8,101	890,862	1%	890,862	35%
08/30/2017 08/30/2017	890,862	57,612	1,111,073	5%	1,111,073	43%
08/30/2017	1,111,073	34,709	1,145,782	3%	1,145,782	47%

Historical portfolio returns include the impact of terminated accounts previously held.  
Please see important disclosures regarding performance, risk, and beneficiaries at the end of this report.

**Portfolio History Report**

December 31, 2021

For Charles and Brenda Fleischman

Period ended Date	Beginning Value(\$)	Changes in Value(\$)	Ending Value(\$)	Per cent Change	Year to Date Per cent Change
09/30/2017	1,145,782		53,984	26,000	1,224,778
12/31/2017	1,224,778	-45,740	1,270,518	5%	54%
09/30/2018	1,270,518	-6,011	1,264,505	0%	50%
09/30/2018	1,264,505	22,389	1,286,894	2%	62%
09/30/2018	1,286,894	65,786	1,352,680	5%	70%
12/31/2018	1,352,680	-161,824	1,190,786	-12%	50%
09/30/2019	1,190,786	162,551	1,353,337	13%	69%
09/30/2019	1,353,337	32,279	1,384,450	2%	75%
09/30/2019	1,384,450	-1,056	1,383,447	0%	75%
12/31/2019	1,383,447	101,360	1,485,023	7%	86%
09/30/2020	1,485,023	-251,467	1,233,552	-17%	54%
09/30/2020	1,233,552	285,550	1,529,112	24%	81%
09/30/2020	1,529,112	140,667	1,669,779	9%	106%
12/31/2020	1,669,779	248,973	1,918,777	16%	140%
09/30/2021	1,918,777	62,823	1,981,600	3%	149%
09/30/2021	1,981,600	176,634	2,150,237	9%	170%
09/30/2021	2,150,237	-51,276	2,108,961	-2%	164%
12/31/2021	2,108,961	82,920	2,191,881	4%	174%
Totals		1,321,498	726,324		

## Unappraised Assets Summary Report

January 1, 2021 - December 31, 2021

For Charles and Brenda Fleischman

Account Number

**Net Realized Gains or Losses****Account Tax Status**

ETF-005005	Benjamin F. Edwards Advisory Portfolios	Taxable	\$13,261.56	\$5,784.64
EPP-011685	Benjamin F. Edwards Private Portfolios	Taxable	\$0.00	\$0.00
EPP-003880	Benjamin F. Edwards Private Portfolios	Tax Deferred/Exempt	\$2,082.15	\$21,011.05

**Total Taxable Realized****Total Tax Deferred/Exempt Realized****Unrealized Gains or Losses****Account Tax Status**

ETF-005005	Benjamin F. Edwards Advisory Portfolios	Taxable	\$2,855.00	\$22,821.93
EPP-011685	Benjamin F. Edwards Private Portfolios	Taxable	\$164.37	\$30,498.57
EPP-003880	Benjamin F. Edwards Private Portfolios	Tax Deferred/Exempt	\$3,040.34	\$887,222.02

**Total Taxable Unrealized****Total Tax Deferred/Exempt Unrealized**

Unrealized Total

Capital Gains Detail Report Taxable Accounts

January 1, 2023 - December 31, 2023

For Charles J. Hedges, William Hedges, and John Hedges

January 1, 2021 - December 31, 2021

For Charles J Fleischmann Bonds II Fleischmann JT Ten

Account Number: ETF-006006

Shares Units	Description	Purchase Date	Sale Date	Gross Proceeds	Commission	Charges/Com-
<b>Realized Gains or Losses</b>						

3	ISHARES IBONDS DEC 2027 TERM TREASURY ETF	10/22/2020	01/21/2021	76.89	76.04	.06
44	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	04/01/2020	01/21/2021	1,168.64	1,145.79	-.22
9	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	07/23/2020	01/21/2021	240.98	234.36	-.62
3	ISHARES IBONDS DEC 2028 TERM TREASURY ETF	10/22/2020	01/21/2021	78.02	78.12	.10
44	ISHARES IBONDS DEC 2029 TERM TREASURY ETF	04/01/2020	01/21/2021	1,172.19	1,169.98	-.21
9	ISHARES IBONDS DEC 2029 TERM TREASURY ETF	07/23/2020	01/21/2021	241.09	238.12	-.17
3	ISHARES IBONDS DEC 2029 TERM TREASURY ETF	10/22/2020	01/21/2021	78.93	77.71	-.12
46	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	04/01/2020	01/21/2021	209.98	209.89	-.09
8	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	07/23/2020	01/21/2021	1,140.14	1,208.54	66.40
3	ISHARES TR IBONDS DEC 2023 CORPORATE ETF	10/22/2020	01/21/2021	78.71	78.99	.28
36	ISHARES TR IBOXX USD INV GRADE CORP BD ETF	04/01/2020	01/21/2021	4,386.61	4,880.72	504.11
3	ISHARES TR MBS USD INV GRADE CORP BD ETF	10/22/2020	01/21/2021	402.50	407.56	.76
15	ISHARES TR MBS ETF	07/23/2020	01/21/2021	1,880.72	1,827.57	-.53
1	ISHARES TR MBS ETF	10/22/2020	01/21/2021	110.19	108.51	-.18
19	ISHARES TR MBS ETF	01/21/2021	07/22/2021	2,088.88	2,061.71	-.27
3	ISHARES TR MBS ETF	04/22/2021	07/22/2021	326.51	325.53	-.08
48	ISHARES 10+ YEARS CREDIT BOND ETF	04/22/2021	07/22/2021	3,261.08	3,430.57	169.49
51	SPDR SERIES TRUST BACLY'S INTER ETF	07/22/2020	01/21/2021	1,886.52	1,878.80	-.12
					\$803.16	

Total Realized Gains or Losses

\$30,886.64

\$13,251.35

**Long-Term**

Mutual Fund / ETF – Equity						
0.5000	ISHARES GOLD TR ISHARES NEW	04/18/2019	05/24/2021	12.17	17.94	5.77
67	ISHARES GOLD TRUST ISHARES	04/18/2018	01/21/2021	661.36	1,180.26	328.90
31	ISHARES GOLD TRUST ISHARES	07/20/2018	01/21/2021	384.51	550.72	166.11
20	ISHARES GOLD TRUST ISHARES	04/18/2019	01/21/2021	243.43	365.30	111.87
45	SPDR SER TR D/WILSHIRE MID	04/01/2020	04/22/2021	1,487.15	3,057.32	1,560.17
33	SPDR SER TR D/WILSHIRE MD CAP	04/01/2020	04/22/2021	1,330.47	2,630.86	1,261.41
4	SPDR SER TR D/WILSHIRE SMALL CAP	04/01/2020	10/25/2021	152.82	344.44	191.62
27	SPDR SER TR S&P 500 GROWTH ETF	04/01/2020	04/22/2021	928.56	1,628.78	700.20
10	SPDR SER TR S&P 500 GROWTH ETF	04/01/2020	07/22/2021	243.91	646.97	403.06

## Capital Gains Detail Report: Taxable Accounts

January 1, 2001 - December 31, 2004

Fortschritte der Fleischforschung während des Ersten Weltkrieges

Accident Number: E1-FJ0008

12	SPDR S&P 600 SMALL CAP GROWTH ETF	04/01/2020	04/22/2021	517.52	1,048.18	577.34
82	VANGUARD INDEX FDS VANGUARD REIT ETF	10/17/2019	04/22/2021	5,808.61	6,071.61	288.20
3	VANGUARD INDEX FDS VANGUARD REIT ETF	01/23/2020	04/22/2021	288.58	298.80	7.22
10	VANGUARD INDEX FDS VANGUARD REIT ETF	04/01/2020	04/22/2021	84.54	970.32	334.76
				\$5,784.84		

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Wesleyan Wealth Update Report: Taxable Accounts

January 1, 2021 - December 31, 2021

For Charles J Fleischmann Brenda M Fleischmann JT Ten

Account Number: EPP-JT1663

Date	Sub Account	Description
12/22/2021	2,069.32	DODGE & COX GLOBAL STOCK FUND
12/22/2021	1,251.14	FIRST EAGLE GLOBAL CLASS I
12/22/2021	3,688.43	TROWME PRICE BALANCED
12/14/2021	2,276.68	THE OAKMARK GLOBAL FUND INVESTOR CLASS
12/17/2021	246.52	BLACKROCK MULTI - ASSET INCOME INSTL
12/23/2021	128.51	DODGE & COX INCOME FUND
12/20/2021	160.88	DODGE & COX INCOME FUND
12/23/2021	40.40	HARBOR BOND FUND INSTITUTIONAL CLASS
12/21/2021	1,453.86	VANGUARD WELLESLEY INCOME FUND INVESTOR SHS

Capital Gains Distribution

Date	Amount
12/22/2021	2,069.32
12/22/2021	1,251.14
12/22/2021	3,688.43
12/14/2021	2,276.68
12/17/2021	246.52
12/23/2021	128.51
12/20/2021	160.88
12/23/2021	40.40
12/21/2021	1,453.86

\$16,352.61



January 1, 2021 - December 31, 2021

For Charles J Flabermann SEP

Account Number: EPP-000000

Classifications

Date

Proceeds

**Capital Gains Distribution**

ALGER SPECTRA FUND CLASS 2	12/16/2021	11,319.37
AMERICAN NEW WORLD FUND CL. P2	12/17/2021	1,944.28
AMG YACKTMAN FUND SERVICE CLASS	12/16/2021	1,181.07
DFA REAL ESTATE SEC PRTF INSTL	12/14/2021	313.83
FIDELITY INTERNATIONAL GROWTH FUND	12/06/2021	584.29
PARNASSUS MID-CAP FUND	11/19/2021	4,014.87
PRIMECAP ODYSSEY GROWTH FUND	12/18/2021	9,035.17
T ROWE PRICE BLUE CHIP GROWTH	12/15/2021	3,803.75
T ROWE PRICE GLOBAL TECHNOLOGY	12/17/2021	15,248.66
T ROWE PRICE HEALTH SCIENCES	12/18/2021	3,589.55
VANGUARD INT'L GROWTH PORT INV CL	12/16/2021	2,688.50
WILLIAM BLAIR LARGE CAP GROWTH FUND CLASS I	12/17/2021	2,662.26

Total Capital Gains Distribution

\$55,398.31

## DISCLOSURES

This document provides personalized investment information and is not intended to meet the objectives of anyone other than the individual specified in this document. The performance data quoted represents past performance and does not guarantee future results. Current performance may be lower or higher than the performance data quoted. The investment return and principal value of an investment will fluctuate, so that an investor's shares, when redeemed, may be worth more or less than their original cost. Call your financial professional for performance current to the most recent month-end.

All returns through December 31, 2017 were calculated using the Modified Dietz method. All returns thereafter are calculated using a Daily Time Weighted Rate of Return. All returns are presented on a time-weighted basis unless indicated otherwise. All returns are presented net of fees, including the consultant's fee, manager fee, program fee and transaction costs, except individual mutual fund returns, which are net of all internal fund expenses and transaction costs. If you elected to have quarterly fees deducted from an account other than the one shown on this report, the performance data provided would not reflect the deduction of these fees. Performance returns are annualized for periods greater than one year. A dollar-weighted version of the returns is available upon request. Please contact your financial advisor with this request.

If you requested that historical data (performance history or cost basis) which predates your Program Sponsor relationship be included in this report, that data is included on a "best efforts" basis as an accommodation to you, and is collected from information provided by you or your financial advisor. It may be incomplete, or inaccurate. Accordingly, Lockheed can make no representation as to the accuracy of that historical information or any calculations based on it.

The rate of return for the current manager on accounts which have undergone a manager change begins at the month end following the actual change date. Rates of return for the account in its entirety (including all previous managers) are also provided on the Account Summary.

If non-managed or custodian custodial accounts are included in this composite report, information on these accounts is included only in the Portfolio Summary and Capital Gains reports.

**Net Contributions/Withdrawals** consist of all receipts and deliveries of securities to the account for the specified period. Accrued amount indicates income that has been applied to the total value of the account, but is not reflected on your custodial statement.

### Blended Index Details:

Account # ETF-005008

**Blended Index:** 2% Bloomberg 1-3 Year Government / 38% Bloomberg Aggregate Bond / 30% S&P 500 Price Only / 15% Russell Mid Cap / 10% Russell 2000 / 5% MSCI EAFE  
Net Taxes

Account # EPP-011625  
20% S&P 500 GovCr: 20% S&P 500 Total Return / 80% Bloomberg Government Credit

Account # EPP-005000  
80% S&P 500 GovCr: 80% S&P 500 Total Return / 20% Bloomberg Government Credit

### Benchmark Definitions:

## DISCLOSURES

The Bloomberg U.S. Aggregate Index represents securities that are SEC-registered, taxable, and dollar denominated. The index covers the U.S. investment grade fixed rate bond market, with index components for government and corporate securities, mortgage pass-through securities, and asset-backed securities. These major sectors are subdivided into more specific indices that are calculated and reported on a regular basis. Securities must have at least one year to final maturity regardless of call features and must have at least \$250 million par amount outstanding.

The Bloomberg GovernmentCredit Bond Index is an unmanaged index of Treasury securities and other securities issued or guaranteed by the U.S. government or its agencies or instrumentalities, including U.S. Agency mortgage securities and investment-grade corporate debt securities, in each case with maturities of not less than one year.

The Bloomberg Municipal Bond Index is a market-value-weighted index engineered for the long-term tax-exempt bond market. It is comprised of fixed rate bonds that have a dated-date after December 31, 1980, must be at least one year from their maturity date, must have an outstanding par value of at least \$7 million and be issued as part of a transaction of at least \$75 million. Included bonds must be rated investment-grade (Baa/BBB- or higher) by at least two of the following ratings agencies: Moody's, S&P, Fitch. If only two of the three agencies rate the security, the lower rating is used to determine index eligibility. If only one of the three agencies rates a security, the rating must be investment-grade. Reminited issues, taxable municipal bonds, bonds with floating rates, and derivatives, are excluded from the index.

The Bloomberg 1-3 Year Government Index represents securities that are U.S. domestic, taxable, and dollar denominated. Securities included in the index are U.S. Government securities (U.S. Treasury and Agency securities) with a maturity from 1 year.

The MSCI EAFE® (Europe, Australasia and Far East) Index (net of taxes) is a free-float-adjusted market-capitalization weighted index that is designed to measure developed market equity performance, excluding the United States and Canada. As of May 31, 2021, the MSCI EAFE Index consisted of the following 21 developed market country indexes: Australia, Austria, Belgium, Denmark, Finland, France, Germany, Hong Kong, Ireland, Israel, Italy, Japan, the Netherlands, New Zealand, Norway, Portugal, Singapore, Spain, Sweden, Switzerland and the United Kingdom. The index is not because dividends are reinvested after deducting a withholding tax from dividend distributions. Since taxes are withheld from the MSCI EAFE Index (net of taxes), the performance of the MSCI EAFE Index (net of taxes) will generally be lower than that of the MSCI EAFE Index (gross of taxes).

The Russell Midcap® Index is an unmanaged index that measures the performance of the mid-cap segment of the U.S. equity market. It includes approximately 800 of the smallest companies in the Russell 1000® Index, and represents approximately 31% of the total market capitalization of the Russell 1000 Index. Frank Russell Company is the source and owner of the Russell Index data contained or reflected in this material and all trademarks and copyrights related thereto. Frank Russell Company is not responsible for the formatting or configuration of this material or for any inaccuracy in the presentation thereof.

The Russell 2000® Index is an unmanaged index that measures the performance of the small-cap segment of the U.S. equity market. It is a subset of the Russell 3000® Index, and includes approximately 2,000 of the smallest securities based on a combination of their market cap and current index membership. The Russell 2000 Index represents approximately 10% of the total market capitalization of the Russell 3000 Index. Frank Russell Company is the source and owner of the Russell Index data contained or reflected in this material and all trademarks and copyrights related thereto. Frank Russell Company is not responsible for the formatting or configuration of this material or for any inaccuracy in the presentation thereof.

The S&P 500 Price Index is not a total return index as it excludes dividends. The index includes 500 of the largest stocks, (in terms of stock market value) in the U.S.; prior to March 1957, it consisted of 90 of the largest stocks. Although the S&P 500 focuses on the large-cap segment of the market, with approximately 80% coverage of U.S. equities, it is also used as a reliable proxy for the total U.S. equity market.

## DISCLOSURES

The S&P 500 Index, an unmanaged index, includes 500 of the largest stocks (in terms of stock market value) in the United States; prior to March 1957, it consisted of 90 of the largest stocks. Although the S&P 500 focuses on the large-cap segment of the market, with approximately 80% coverage of U.S. equities, it is also used as a proxy for the total U.S. equity market.

Cash/ Benchmark values are not available on a daily basis. As a result, benchmark returns will not be included in the Performance Summary if the daily values were not available on the date of this report.

The information on indices is presented for illustrative purposes only and is not intended to imply the potential performance of any fund or investment. Indices are not available for direct investment. Index performance assumes the reinvestment of all distributions but does not assume any transaction costs, taxes, management fees or other expenses. An investment advisory disclosure document that describes our firm's investment advisory services and those of any investment advisors managing your account is available to you at no cost. Please contact your financial advisor or Program Sponsor to request these documents.

Please update your financial advisor if your investment objectives have changed or if the personal or financial information initially provided in your application has changed.

The Global Industry Classification (GICS®) was developed by and is the exclusive property of Morgan Stanley Capital International Inc. and Standard & Poor's. GICS is a service mark of MSCI and S&P and has been licensed for use by Lockwood and its affiliates.

### Additional Definitions for Your Portfolio Summary Report

**Number of Holdings:** The number of positions held in the Equity or the Fixed Income asset class. Preferred stocks are counted as fixed income.

**Average Market Cap:** The weighted (by market value held) average market capitalization of all stocks held. Market capitalization is the price of a stock times the number of outstanding shares for that stock.

**Average Dividend Yield:** The weighted (by market value held) average dividend yield of all stocks held. Dividend yield is a financial ratio that provides an indication of how much a company has paid out in dividends (based on the most recent dividend paid) relative to its share price. The ratio is not a projection of the annual dividend payout that might be achieved.

**Earnings Growth Rate:** [Field not currently used]

**Average Yield to Worst:** The weighted (by market value held) average yield based on the lower of a bond's yield to call or yield to maturity, for all bonds held.

**Average Bond Duration:** The weighted (by market value held) average duration of all bonds held. Bond duration is the measure of price sensitivity of a fixed income security to an interest rate change of 1%. A higher duration indicates greater relative price sensitivity to changes in interest rates.

**Average Coupon:** The weighted (by market value held) average of the annual coupon interest rate of all bonds held. The coupon interest rate is a bond's stated interest rate.

## **DISCLOSURES**

If you have any questions or need assistance in understanding your Portfolio Summary Report, please contact your Benjamin F. Edwards & Co. financial advisor.

# Attachment<sup>3</sup>

**Attachment 3**

Charles J. Fleischmann  
December 31, 2021

**Additional information regarding Benjamin F. Edwards & Co. account ending in 9133**

On December 31, 2021, the Benjamin F. Edwards & Co. investment by Charles J. Fleischmann with account number ending in 9133 no longer existed. The account balance as of December 31, 2020 was \$2,308. The broker for Benjamin F. Edwards & Co., Ward Petty, indicated that the account had been liquidated over time and the remaining value in the account at the end of 2020 had been lost on or before May 31, 2021. Consequently, this asset was disclosed for the year ended December 31, 2021, despite the zero value for full transparency, in particular, to appropriately disclose the loss of value in the account.

This account will not be included in the financial disclosure report for 2022 or subsequent years as the full value was liquidated in 2021 and prior years.

# Attachment 4

**DANJAMIN F. EDWARDS & CO.**

INVESTMENTS FOR OCEANARKING

One North Beaconsfield Blvd., Suite 890  
Seal Beach, CA 90740  
314-722-6800

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2023  
Mailed by 03/15/2023

**Customer Name and Address**

0021484 CS AB 048608 X56811A08 TR 00130

**CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
874 RAMBLING ROSE DR  
OOLTEWAH TN 37363-7118**



**Your Financial Advisor**

**WARD PETTY  
101 BROAD STREET, SUITE 105  
CHATTANOOGA TN 37402-2943  
(423) 668-5411  
ED. CPO**

**Account Holder Information**

**Account Number: ETI-005005**

**General Information**

The following information may be included in this tax statement based on the investments and activity in your account.

**Reportable Information:** IRS Forms 1099-B, 1099-DIV, 1099-INT, 1099-MISC and 1099-OID.

**Cost Basis Service:** Realized gains and losses may be displayed on your investments.

**Non-Reportable Information:** Non-reportable information may be provided based on the activity within your account. This additional information is provided to assist you with your tax preparation but it is not reported to the IRS.

**What's New**

**Regulatory Changes**

- IRS Form 1099-DIV has been redesigned to support new reporting requirements for Section 877 Ordinary Dividends (Box 2a) and Capital Gains (Box 2b). As part of the redesign, we will now summarize federal and state income tax withholding for Dividends and Distributions and Capital Gain Distributions in a separate section.
- IRS Form 1099-MISC has been renamed to Miscellaneous Information in accordance with the IRS change.

**Mail Dates:** You and members of your household may receive tax statements at different times based on the activity and/or holdings within your account. If final tax information is pending from an issuer or pending processing when tax statements are prepared, impacted tax statements will be held until the information is complete. Tax statement mailings are scheduled to occur in four phases this year: January 31, February 15, February 28 and March 15.

**This Tax Information May Be Revised:** You may receive a corrected tax statement. Some issuers provide new information about their securities after we prepare and mail your tax statement. If your tax information needs to be updated, we may be required by the IRS to send you a corrected 1099. Please plan your tax preparation accordingly.

Visit [www.irs.gov](http://www.irs.gov) for IRS Forms, Publications and other resources or you may call (800) 829-1040 (Individuals) or (800) 829-4933 (Businesses).

Visit <http://www.oceanarking.com/resources> for information and a reference guide to this 1099 tax statement.

**Cheat Sheet/Service Information**

**Customer Information**  
Dunham (423)668-5411  
Fax (423)668-5412

2020 Statement

**Go paperless**



Send emails  
to [ETI-005005@oceanarking.com](mailto:ETI-005005@oceanarking.com)

Charter Financial LLC, a wholly-owned subsidiary of The Bank of New York Mellon  
Bank and Trust Company N.A.  
Corporate (New York)



**Customer's Name and Address**

CHARLES J FLEISCHMANN  
 BRENDAM FLEISCHMANN JT TEN  
 8714 RAMBLING ROSE DR  
 OLTENWAH TN 37363-7118

**Your Financial Advisor Is**

WARD PETTY  
 WIBBLED STREET, SUITE 05  
 CHATTANOOGA, TN 37402-2943  
 (423) 688-5411  
 DR. CPO

**Table of Contents**

This tax statement may include the following IRS forms: 1099-B, 1099-INT, 1099-DIV, 1099-MISC and 1099-OID. Only the forms that pertain to the activity in this account are included in this tax statement. Please retain this document for tax preparation purposes.

<b>1099 Form or Tax Statement Section</b>	<b>Page</b>	<b>1099 Form or Tax Statement Section</b>	<b>Page</b>
Summary of Form 1099-B.....	1	Short-Term Capital Transactions.....	2
1099-B/T Form: Interest Income .....	1	Long-Term Capital Transactions.....	6
1099-DIV Form: Distributions .....	1	.....	7
Summary of Form 1099-INT .....	1	Distributions and Distributions (Details of Form 1099-DIV)	10
1099-B Form: Proceeds from Broker and Dealer Exchange Transactions .....	2	Widely Held Mortgage Trusts and Widely Held Fixed Investment Trusts .....	15



**Recipients Name and Address**

**CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN**

**Pershing LLC  
ONE PERSHING PLAZA  
NEW YORK, NY 10020**

**Payer's Federal Identification Number B-2746723**

**Account Number BTR-000005****YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 04/15/2022**

This is important tax information and is being furnished to the Internal Revenue Service (unless so indicated). If you are required to file a return, a negligence penalty or other penalties may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

**Summary of Form 1099-B**

Details are reported to the IRS. Refer to the 1099 section of this statement for those details.

Box	Amount
1	\$14,927.37
2	\$75,733.73
3	\$0.00
4	\$0.00
5	\$0.00
6	\$0.00
7	\$0.00
8	\$0.00
9	\$0.00
10	\$0.00
11	\$0.00
12	\$0.00
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385	

Recipient Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 111-0000005

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Filed by 03/15/2022

**2021 Form 1099-B**

**PROCEEDS FROM BROKER AND BARRIER EXCHANGE TRANSACTIONS**

(Report details on Form 8949 or Schedule D)

OMB No. 1545-0715

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Disposition Transaction	Quantity Box 12)	Date Box 12)	Brokered Or Direct Box 12)	Proceeds Box 12)	Cost or Other Basis Box 12)	Brokered Or Direct Box 12)
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**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 12)**

Description (Box 12) INVEST ACTIVELY MANAGED EXCHANGE-TRADED COMMODITY FD (OPTML)

SELL	18	01/21/2021	04/22/2021	325.30	206.49	38.62
SELL	20	01/21/2021	07/22/2021	395.69	318.53	77.35
SELL	23	01/21/2021	10/25/2021	516.71	368.31	152.40
<b>SECURITY TOTAL</b>	<b>39</b>			<b>1,239.69</b>	<b>971.52</b>	<b>268.37</b>

Description (Box 12) ISHARES TR BOX BX USD INT GRADE CORP BD ETF

SELL	36	04/01/2020	01/21/2021	4,890.72	4,386.11	504.11
SELL	3	10/22/2020	01/21/2021	407.56	402.80	4.76
<b>SALE DATE TOTAL</b>	<b>39</b>	<b>VARIOUS</b>	<b>01/21/2021</b>	<b>5,298.28</b>	<b>4,798.41</b>	<b>508.67</b>

CUSIP: 46428572Z

Description (Box 12) ISHARES TR D+ YR INT GRADE CORPORATE BD ETF

SELL	48	04/22/2021	07/22/2021	3,430.57	3,261.08	169.49
<b>DISPOSITION (Box 12) ISHARES TR D+ YR INT GRADE CORPORATE BD ETF</b>				<b>CUSIP: 46428572Z</b>		
SELL	5	10/22/2020	01/21/2021	335.83	275.61	60.22
SELL	69	10/22/2020	07/22/2021	4,483.53	3,903.45	680.08
SELL	56	04/22/2021	07/22/2021	3,638.81	3,666.59	(27.59)
<b>SALE DATE TOTAL</b>	<b>125</b>	<b>VARIOUS</b>	<b>07/22/2021</b>	<b>8,122.34</b>	<b>7,469.64</b>	<b>652.50</b>

Seq#057427001

Recipient's Identification  
Number: 111-00005

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AIA/ABR/CEW



Broker/Dealer  
Buy/Sell Agent/Debt Placement  
Distributor/Contractor  
Insurer

Chartered Financial Planning (CFP), a service mark  
of the National Planning Association, Inc.  
Member FINRA, NYSE, SIPC

Page 2 of 10

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 611-005005

Recipient's Identification  
Number: 000-00-1056

2021 TAX and  
YEAR-END STATEMENT  
As of 04/04/2022  
Mailed by 05/05/2022

**2021 Form 1099-B**

**PROCEEDS FROM BROKER AND BANKER EXCHANGE TRANSACTIONS  
(Report details on Form 8949 or Schedule D)**

**OMB No. 1545-0718 (continued)**

Description (Box 1a); ISHARES INC ASX ETN BEING ACTS EX-CHINA ETF	Quantity	Date Sold or Disposed (Box 1b)	Sale Price (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Profit or Loss (Box 1f)
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>						
<b>General (Box 1c) (continued)</b>						

Description (Box 1a)

Disposition (Box 1b)

**SECURITY TOTAL**

CUSIP: 463465B3 (continued)

Description (Box 1a); ISHARES 100 BONDS DEC 2023 TERM TREASURY ET

SELL

SELL

SELL

SELL

SELL DATE TOTAL

CUSIP: 463465B3

92.17

712.72

Description (Box 1a); ISHARES 100 BONDS DEC 2023 TERM TREASURY ET F	Quantity	Date Sold or Disposed (Box 1b)	Sale Price (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Profit or Loss (Box 1f)
<b>Sale Date Total</b>						
<b>DESCRIPTION (Box 1a)</b>						

Description (Box 1a); ISHARES 100 BONDS DEC 2023 TERM TREASURY ET F

SELL

SELL

SELL

SELL

SELL DATE TOTAL

CUSIP: 463465B3

(32.50)

(7.50)

(1.22)

(61.70)

(29.77)

Description (Box 1a); ISHARES 100 BONDS DEC 2023 TERM TREASURY ET F	Quantity	Date Sold or Disposed (Box 1b)	Sale Price (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Profit or Loss (Box 1f)
<b>Sale Date Total</b>						
<b>DESCRIPTION (Box 1a)</b>						

Description (Box 1a); ISHARES 100 BONDS DEC 2023 TERM TREASURY ET F

SELL

SELL

SELL

SELL

SELL DATE TOTAL

(17.52)

(4.74)

(0.99)

(0.65)



Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 611-00005

Recipient's Identification  
Number: "000-000-006

YEAR-END STATEMENT  
As of 04/04/2022  
Mailed by 04/15/2022

2021 Form 1099-B

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS  
(Report details on Form 8949 or Schedule D)

OMB No. 1545-0715 (continued)

Reporting  
Transactions  
Quantity  
(Box 1b)  
Description  
(Box 1c)

Reporting Transactions Quantity (Box 1b)	Date Acquired (Box 1b)	Date Sold (Box 1d)	Proceeds (Box 1e)	Cost of Other Books (Box 1g)	Description Books (10 or more from the total value of the books sold)	Number (Box 1f)
<b>Short-Term Transactions for Which Books Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>						
<b>Concessed (Box 1D) (continued)</b>						
Description (Box 1a)						

SALE DATE TOTAL

57

VARIOUS

01/01/2021

1,482.85

1,506.06

(23.21)

Description (Box 1a): ISHARES 100% TERM TREASURY ETF

SELL	44	04/01/2020	01/12/2021	1,146.74	1,135.48	(8.74)
SELL	10	07/23/2020	01/21/2021	260.42	262.52	(2.90)
SELL	3	10/22/2020	01/12/2021	78.19	78.51	(0.32)
Sale Date Total	57	VARIOUS	01/12/2021	1,485.55	1,497.51	(11.96)

Description (Box 1a): ISHARES 100% TERM TREASURY ETF

SELL	215	01/21/2021	01/22/2021	5,514.77	5,529.78	(15.01)
SELL	15	04/22/2021	01/22/2021	384.75	385.12	(0.37)
Sale Date Total	230	VARIOUS	01/22/2021	5,899.52	5,914.90	(15.38)
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 500 GROWTH ETF

SELL	171	04/01/2020	01/12/2021	9,712.55	5,880.87	3,831.68
					CUSIP: 784644009	

Description (Box 1a): SPDR PORTFOLIO S&P 500 VALUE ETF

SELL	133	04/01/2020	01/12/2021	4,691.63	3,306.35	1,385.28
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 500 MID CAP VALUE ETF

SELL	51	07/23/2020	01/12/2021	1,676.60	1,696.52	(19.92)
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 MID CAP GROWTH ETF

SELL	64	04/01/2020	01/12/2021	6,237.02	3,409.55	2,827.47
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 MID CAP VALUE ETF

SELL	40	04/01/2020	01/12/2021	3,513.60	1,996.20	1,517.40
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P HOME BUILDERS ETF

SELL	3	10/22/2020	04/22/2021	221.38	164.18	57.20
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	2	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Description (Box 1a): SPDR S&P 400 HOME BUILDERS ETF

SELL	1	04/01/2020	04/01/2020	1,000.00	1,000.00	0.00
					CUSIP: 784644009	

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number Ent-00488

Recipient's Identification  
Number: "—"1066

YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/05/2022

**2021 Form 1099-B**

**PROCEEDS FROM BROKER AND LENDER EXCHANGE TRANSACTIONS  
(Report details on Form 8949 or Schedule D)**

**OMB No. 1545-0715 (continued)**

Description	Date	Symbol (Box B)	Rate (Box B)	Precious Metal (Box B)	Color Other Than Black (Box B)	Product Description (Box B)	Product Description (Box B)
Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 1099, Part I, with Box A checked.							

Covered (Box B) (continued)

Description (Box B): SELECT SECTOR SPDR TR INDEX

SELL	1	10/22/2020	04/22/2021	81.97	65.13	16.84
Description (Box B): SELECT SECTOR SPDR TR CONSUMER DISCRETIONARY						

SELL 21 04/01/2020 01/21/2021 3,590.09

1,984.08

Q420, 83367165

Q420, 83367165

1,506.01

SELL 7 01/21/2021 04/22/2021 244.16 214.50 29.46

324.87

245.14

79.73

859.64

109.39

SELL 9 01/21/2021 10/25/2021 569.03

569.03

459.64

109.39

Q420, 83367164

109.39

41.38

22.91

64.29

SELL 1 10/22/2020 04/22/2021 202.06 160.49

103.25

80.34

241.02

160.49

Q420, 83367163

41.38

22.91

64.29

SELL 14 VARIOUS 04/22/2021 1,371.96 1,124.02

305.71

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Recipient Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: ETP-0000000000000000

2021 TAX and  
YEAR-END STATEMENT

As of 03/04/2022  
Mailed by 03/15/2022

2021 Form 1099-B

PROCEEDS FROM BROKER AND BARRIER EXCHANGES TRANSACTIONS

(Report details on Form 8949 or Schedule D)

OMB No. 1545-0715 (continued)

Recipient's Identification  
Number: 000-00-0000

Description (Box 1a): LONG-TERM TRANSACTIONS for Which Basis Is Reported to the IRS - Report on Form 8949, Part II, with Box D checked.

General (Box 22)

Description (Box 1a): SHARES GOLD TRSHARES

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	67	04/19/2018	01/21/2021	1,190.26	659.03	331.23
SELL	31	07/20/2018	01/21/2021	550.72	363.54	187.18
SELL	20	04/19/2019	01/21/2021	355.29	242.74	112.55
	118			2,096.27	1,465.31	630.96

Description (Box 1a): CASH IN UED

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	12	04/01/2020	04/22/2021	1,045.16	517.82	527.34

Description (Box 1a): SPDR SER TR S&P 600 SMALL CAP GROWTH ETF

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	4	04/01/2020	10/25/2021	344.44	152.82	191.62

Description (Box 1a): SPDR SER TR S&P 500 GROWTH ETF

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	27	04/01/2020	04/22/2021	1,628.76	928.56	700.20
SELL	10	04/01/2020	07/22/2021	649.97	343.91	306.06
				2,278.73	1,272.47	1,006.26

Description (Box 1a): SECURITY TOTAL

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	45	04/01/2020	04/22/2021	3,057.32	1,497.15	1,261.41

Description (Box 1a): VANGUARD INDEX FDS R RE ESTATE INDEX FD ETF

Disposition Transaction	Quantity (Box 1a)	Date Acquired (Box 1a)	Date Sold or Exchanged (Box 1a)	Proceeds (Box 1a)	Cost or Other Basis (Box 1a)	Method of Accounting (Box 1a)
SELL	62	10/17/2019	04/22/2021	6,071.51	5,711.51	360.30
SELL	3	01/23/2020	04/22/2021	293.80	261.87	11.93
SELL	10	04/01/2020	04/22/2021	979.32	631.59	347.73



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 817-00008  
Recipient's Identification  
Number: " ", -1066

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/15/2022

2021 Form 8949-S

PROCEEDS FROM STOCK AND BAKTER EXCHANGE TRANSACTIONS  
(Report details on Form 8949 or Schedule D)

OMB No. 1545-0715 (continued)

Description Transaction Date (Box 1) Description (Box 1a)	Quantity (Box 2)	Date Acquired (Box 3)	Date Sold or Exchanged (Box 4)	Proceeds (Box 5)	Cost or Other Basis (Box 6)	Capital Gains or Losses or Other Income (Box 7)	Capital Losses or Other Income (Box 8)
<b>Long-Term Transactions for Which Basis Is Not Reported to the IRS - Report on Form 8949, Part II, with Box D checked.</b>							
<b>Covered Total</b>							
<b>Noncovered Total</b>							
TRUST SALE	75	VARIOUS	04/22/2021	7,344.93	6,124.87		719.96
TRUST SALE				\$18,788.67	\$12,822.14		\$1,966.53
TRUST SALE				\$94,918.61	\$75,731.73		\$19,181.88
<b>SECURITY TOTAL</b>							
<b>Description (Box 1a) ISSUES GO'D TRUSTS NEW</b>							
TRUST SALE		07/31/2021	07/31/2021	0.04	2.43	(2.79)	
TRUST SALE		08/31/2021	08/31/2021	0.04	2.82	(2.76)	
TRUST SALE		09/30/2021	09/30/2021	0.13	2.79	(2.76)	
TRUST SALE		10/31/2021	10/31/2021	0.14	2.93	(2.79)	
TRUST SALE		11/30/2021	11/30/2021	0.14	2.90	(2.76)	
TRUST SALE		12/31/2021	12/31/2021	0.14	2.93	(2.79)	
SECURITY TOTAL				0.53	17.30	(14.67)	
<b>Long-Term Noncovered Total</b>							
<b>Noncovered Total</b>							

**2021 TAX and  
YEAR-END STATEMENT**  
*As of 03/04/2022*  
*Mailed by 03/18/2022*
**2021 Form 1099-B****PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

(Report details on Form 8949 or Schedule D)

OMB No. 1545-0715 (continued)

Disposition Transaction	Quantity (Box 1)	Value (Box 2)	Acquired Basis (Box 3)	Proceeds (Box 10)	Cost or Other Basis (Box 10)	Proceeds Basis (Box 10)	Capital Gain or Loss (Box 10)	Interest (Box 10)
Total				594,977.37	575,761.04			519,166.33

**TAX LOT DEFAULT DISPOSITION METHOD**

Default Method for all Other Securities: FIRST IN FIRST OUT

Default Method for Mutual Funds: FIRST IN FIRST OUT

Default Method for Stocks in a Dividend Reinvestment Plan: FIRST IN FIRST OUT

Unless otherwise noted by an asterisk (\*), all dispositions reported on this 1099-B were in accordance to the default disposition methods assigned to this account as of 12/31/2021.

**IRS Form 1099-B—Proceeds from Broker and Barter Exchange Transactions**

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, covered options, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949 for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (short-term or long-term), whether any loss is disallowed due to a wash sale, and market discount for both covered and noncovered securities transactions will be displayed when available. Such detail for noncovered transactions is not reported to the IRS.

**Box 2—Type of Gain or Loss.** The section headings within the 1099-B indicate the type of gain or loss for the transaction, short-term or long-term. An asterisk will denote when your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the non-contingent bond method generally is treated as ordinary interest income rather than as a capital gain. See the instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security.

**Box 12—Covered or Box 5—Noncovered Security.** The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program. For tax return reporting purposes, you may need to make adjustments to your cost basis information on IRS Form 8949 and Schedule D of IRS Form 1040. You may also need to take into account tax reporting rules that a reporting financial organization is not required to use when preparing your Form 1099-B, such as when reporting wash sales. As a result, you must take into account all applicable tax return reporting rules and be able to verify, from your own records, all cost basis information that is reported on your tax return. The IRS requires you to maintain all such records in case you are asked to produce them. For gifted shares where the original cost is greater than the fair market value to the average calculation, include these shares in the average calculation, you must instruct your investment professional in writing to move these shares from fair market value to the average calculation.

**Box 1a—Description and Quantity.** Shows a brief description of the item or service for which the proceeds are being reported, as well as the number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places.

**CUSIP.** Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported.

**Box 3—Qualified Opportunity Fund (QOF).** This indicator will be displayed next to the CUSIP if the proceeds are from the disposition of a QOF.

**Disposition Transaction.** This column will denote the type of transaction; for example, SELI.

**Tax Lot Default Disposition Method.** The method used to select which lot will be disposed. The default method assigned to this account as of December 31, 2021, will display below the 1099-B detail section.

Superseded

Go Paperless



Not Required  
By Most Reporting Participants  
Online Payments Available  
Excluded

Choosing Direct Payroll, LLC, a wholly owned  
subsidiary of The Bank of New York Mellon  
Corporation (BNY Mellon)  
Pension LLC member FDIC. NCUA insur-

Recipient's Identification  
Number: 111-111111**IRS Form 1099-B—Proceeds from Broker and Dealer Exchange Transactions (continued)**

**Box 1b—Date Acquired.** This box represents the date you acquired the security or, for short sales, the date you opened the short sale. You may see the word VARIOUS displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

**Box 1c—Proceeds.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale.  
**Box 1d—Proceeds.** The proceeds amount from transactions involving stocks, bonds, and other debt obligations are reported in Box 1d. These amounts do not reflect net profits and are net of transaction costs. The proceeds amount may also be increased by an option premium received or decreased by an option premium paid. Report the proceeds from each transaction separately on IRS Form 8949 (Sales and Other Dispositions of Capital Assets) and IRS Form 1040, Schedule D (Capital Gains and Losses). This box does not include proceeds from regulated futures or foreign currency forward contracts.

**Box 1e—Cost or Other Basis.** This box shows the original cost, or adjusted cost basis, due to a corporate action, gifted or inherited cost basis. The IRS provides a detailed description of cost or other basis reporting in the instructions for Form 1099-B available at [irs.gov](http://irs.gov).

**Basis on Bonds.** Pending is providing you with two different cost figures (when available) on debt instrument investments, the original cost of the bonds (which may have been provided by you or a third party) and a projection of where the adjusted current cost could be if the bonds had been amortized or accreted over the time you held the bonds. The adjusted cost for noncovered bonds was calculated without consideration of your elections and may not be the same method you chose when deciding to amortize or accrete. You or your tax professional should verify the amounts that have been previously calculated to adjust the cost basis of the bond and reported throughout the life of the bond starting with the original purchase price.

**Adjustments.** The adjustment column may display one or more of codes D, O or W.

**Box 1f—D = Accrued Market Discount.** An adjustment code (D) will be displayed next to an amount for accrued market discount. A market discount condition exists when the purchase cost of a bond is below the adjusted issue price of an original issue discount bond (OID bond) or below the redemption value of a non-OID bond. For details on market discount, see Schedule D (Form 1040) Instructions, Instructions for Form 8949 and Pub. 550.

**O = Option Premium (Not Reportable to the IRS).** An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustment column. When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium.

**Box 1g—W = Wash Sale Loss Disallowed.** An adjustment code (W) will be displayed next to an amount for a disallowed wash sale loss within the Adjustments column. This loss is being reported as disallowed because the sale of the covered security has been adjusted under the broker wash sale rule. This occurs when you re-purchase the identical security, as determined by CUSIP number, in the same account within the 30-day period preceding or following the date of the original loss. The wash sale loss is displayed within Box 1g as a positive amount as required by the IRS. For details on wash sales, see Schedule D (Form 1040) Instructions, Instructions for Form 8949 and Pub. 550.

**Realized Gain or (Loss).** The realized gain or loss for the transaction may be displayed. It is not reported to the IRS.

**Sale Date Totals.** If you have multiple lots with the same date sold or disposed of, you may see a line item with SALE DATE TOTAL noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or disposed dates are the same. For these totals, the word VARIOUS will be displayed in the Date of Acquisition column, since the total includes multiple lots with different acquisition dates. These total amounts are included to assist you with the completion of IRS Form(s) 8949.

**Income Tax Withholding.** If federal or state income taxes were withheld from your proceeds amounts, they will be reported and displayed in this section.

**Disposition Transaction.** This column is for reference purposes only. The type of transaction is denoted; for example, SELL.

**Quantity.** This quantity is for reference purposes only and is the total number of shares that may have been split and reported in earlier 1099-B sections.

**Proceeds.** This amount is for reference purposes only. It represents the total proceeds for a sale or exchange. If a sale or exchange included multiple lots, the proceeds amounts are reported at the lot level in the appropriate 1099-B section.

**Date Sold or Disposed.** This box shows the trade date of the sale or exchange.

**Box 4—Federal Income Tax Withheld.** Federal income tax withheld is 24% of gross proceeds. See the Additional Information section of these instructions.

**Box 14—State.** Displays the two-letter postal abbreviation of the state(s) for which state income taxes have been withheld.



Broker/Dealer and Advisor

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number ETR-0000000

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/15/2022

Recipient's Identification  
Number: "—"1056

IRS Form 1099-B—Proceeds from Broker and Dealer Exchange Transactions (continued)

Box 15—State ID Number. Displays the payer's state identification number(s).

Box 16—State Tax Withheld. Displays the amount of state (income taxes) withheld.

Foreign Tax Paid. This box shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your IRS Form 1040. See the Additional Information section of these Instructions. This amount is not reported to the IRS.

FATCA Filing Requirement. If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You may also have a filing requirement. See the instructions to Form 8938. For 2021, this box will not be displayed.

The IRS requires us to remind taxpayers that you are ultimately responsible for the accuracy of your tax return.

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2022, at <https://tinyurl.com/taxresources>.

Description	Total Ordinary Distributions (Box 1)	Qualified Dividends (Box 10)	Total Capital Gain Distributions (Box 2)	Section 637 Corporate Distributions (Box 20)	Qualified Dividends (Box 3)	Interest Payments (Box 4)	Investment Income (Box 5)	Foreign Tax Paid (Box 7)
INVEST ACTIVELY MANAGED	12/31/2021 12/31/2021	1,234.31 402.44	—	—	—	—	—	—
EXCHANGE-TRADED COMMODITY ETF	—	—	1,636.75	—	—	—	—	—
DNFS COMMODITY STRATEGY ND ETN	—	—	—	—	—	—	—	—
CSHARE TR MBS ETF CUSIP: 464288SE8	02/05/2021 03/05/2021	6.88 6.56	6.70	—	—	—	—	—
ISHARES TR D+ TR CUSIP: 464288SE8	05/07/2021 06/07/2021 07/08/2021	9.12 8.88 9.06	28.08	—	—	—	—	—
IVWT GRADE CORPORATE ETF CUSIP: 464288SE1	06/07/2021 07/08/2021	8.88	—	—	—	—	—	—

See page 62 for details

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Page 10 of 19

Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 511-000005

Recipient's Identification  
Number: "—"056

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/15/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

	Total Ordinary Distributions (\$000) Date	Total Capital Distributions (\$000) Date	Interest (\$000) Date	Dividends (\$000) Date	Rental Income (\$000) Date	Rent (\$000) Date
ISHARES INC CORE MSCI EMERGING MKTS ETF	06/16/2021	62.73	—	32.12	—	—
FOREIGN % 76.8899 CISIP: 46346103 FOREIGN CORP. OTHER	—	—	27.06	—	—	3.91
ISHARES TR BONDS DEC 2024 TERM	08/06/2021	14.70	—	—	—	—
CORPORATE ETT	09/08/2021	14.24	—	—	—	—
CISIP: 46334V8A	10/07/2021	14.96	—	—	—	—
—	11/05/2021	14.81	—	—	—	—
—	12/07/2021	14.42	—	—	—	—
—	12/22/2021	15.12	—	—	—	—
—	—	—	88.25	—	—	—
SHARES TRMSQ UTD KINGDOMETT NEW	04/16/2021	114.21	114.21	0.37	—	—
FOREIGN % 94.9660	12/17/2021	160.98	160.98	0.59	—	—
—	—	—	—	—	—	—
CISIP: 46335G84 FOREIGN CORP. OTHER	2/25/19	295.19	295.19	0.95	—	—
ISHARES BONDS DEC 2022 TERM	02/05/2021	4.69	—	—	—	—
TREASURY ETT	03/05/2021	0.39	—	—	—	—
CISIP: 46362009	04/08/2021	0.36	—	—	—	—
—	05/07/2021	0.21	—	—	—	—
—	06/07/2021	0.16	—	—	—	—
—	07/08/2021	0.16	—	—	—	—
—	12/07/2021	0.59	—	—	—	—
—	12/22/2021	1.40	—	—	—	—
—	—	—	7.95	—	—	—

See Form 1099.

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Office Registration. The Recycle  
Symbol is a registered trademark  
of The Paper Recycling Corporation, Inc. (New York)



Recipient's Name and Address  
CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 611-035005

Recipient's Identification  
Number: " - 1056

2021 TAX and  
YEAR-END STATEMENT  
As of 03/04/2022  
Mailed by 03/16/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Dividends	Total Distributions (\$000)	Total Capital Distributions (\$000)	Interest (\$000)	Other Income (\$000)	Losses (\$000)	Dividends (\$000)	Interest (\$000)	Other Income (\$000)	Losses (\$000)	Dividends (\$000)	Interest (\$000)	Other Income (\$000)
SPIRER TR S&P 500 MD CAP GROWTH ETF CUSIP: 784644821	03/25/2021 06/24/2021 09/23/2021 12/23/2021	71.65 112.01 99.16 90.52 125.31 — 421.00	71.62 100.57 89.43 81.27 112.51 — 362.38									
SPIRER TR S&P 400 MD CAP VALUE ETF CUSIP: 784644829	03/25/2021 06/24/2021 09/23/2021 12/23/2021	7.42 5.60 26.32 — 39.34	5.67 4.28 20.11 — 30.06									
SPIRER TR S&P 400 MD CAP VALUE ETF CUSIP: 784644829	03/25/2021 06/24/2021 09/23/2021 12/23/2021	4.60 34.94 31.64 87.07 — 201.65	33.61 25.53 24.58 63.42 — 147.34									
SPIRER TR S&P HOMEBUILDS ETF CUSIP: 784644888	03/25/2021 06/24/2021 09/23/2021 12/23/2021	4.22 3.15 2.98 4.32 — 14.67	4.22 3.15 2.98 4.32 — 14.67									
SELECT SECTOR SPDR TR MORTS CUSIP: 88497100	03/05/2021 06/24/2021 09/23/2021 12/23/2021	12.77 13.25 13.44 16.76 — 56.24	12.77 13.25 13.44 16.76 — 56.24									

Signature)

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**Recipient Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Annual Report TIR-005005

Recipient's Identification  
Number: 100-4256

**YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/16/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Dividends	Date Recd	Total Ordinary Dividends (\$000)	Capital Distributions (\$000)	Total Dividends (\$000)	Interest (\$000)	Dividends (\$000)	Foreign Tax Credit (\$000)
<b>SELECT SECTOR SPDR</b>							
TR INDL	03/25/2021	15.12	15.12	15.12			
06/24/2021	12.95	12.95					
09/23/2021	15.07	15.07					
12/23/2021	15.67	15.67					
		<b>58.81</b>		<b>58.81</b>			
<b>VANGUARD INDEX FDS</b>							
<b>REAL ESTATE INDEX FD</b>	03/30/2021	30.91		30.91			
<b>ETF</b>							
QSPR: 922908553							
<b>Dividends - U.S. Corporations .....</b>		<b>\$2,164.20</b>		<b>\$2,164.20</b>			
<b>Dividends - Foreign Corporations .....</b>							
<b>Other</b>		1,174.41	864.36	2,038.77		15.93	27.01
<b>Total I.</b>		<b>\$4,338.61</b>	<b>\$1,998.36</b>	<b>\$6,336.97</b>	<b>\$20.00</b>	<b>\$22.43</b>	<b>\$45.86</b>
<b>IRS Form 1099-DIV—Dividends and Distributions</b>							
Dividends and other distributions from corporations, mutual funds, Exchange Traded Funds (ETF) (treated as mutual funds for tax purposes), Unit Investment Trusts (UIT), and Real Estate Investment Trusts (REIT) are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.							
<b>Box 1a—Total Ordinary Dividends.</b> Ordinary dividends, which include any net short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds, and certain UITs are included in this section of your Tax Information Statement. Subtotals for U.S. and foreign-source ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is comprised in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040. Also report them on IRS Form 1040 Schedule B, if required.							
<b>Box 1b—Qualified Dividends.</b> This shows the portion of the amount in Box 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions for how to determine this amount. Report the eligible amount as a dividend on IRS Form 1040.							

See GTR 6273

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CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

**2021 TAX and  
YEAR-END STATEMENT**  
As of 03/04/2022  
Mailed by 03/15/2022

Recipient's Identification  
Number: " " -056

**IRS Form 8995-DIV—Distributions and Distributions (continued)**

**Box 2a—Total Capital Gain Distributions.** This shows total capital gain distributions (long-term) from a regulated investment company (RIC) or REIT. Report the amounts shown in Box 2a on Schedule D (Form 1040). But, if no amount is shown in Boxes 2b, 2c, 2d and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on IRS Form 1040 rather than Schedule D. See IRS Form 1040 Instructions.

**Box 2b—Unrecaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is an Unrecaptured Section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

**Box 2c—Section 1202 Gain.** This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to 50% exclusion. See the Schedule D (IRS Form 1040) Instructions.

**Box 2d—Collectibles (25%) Gain.** This shows the 25% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 25% Rate Gain Worksheet in the instructions for Schedule D (IRS Form 1040).

**Box 2e—Section 897 Ordinary Dividends.** Shows the portion of the amount in box 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

**Note:** Boxes 2a and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to is direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

**Box 3—Nondividend Distributions.** This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (Including Capital and Losses).

**Box 5—Section 199A Dividends.** This shows the portion of the amount in Box 2a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 8995 and Form 8995-A.

**Box 6—Investment Expenses.** Your share of a UFIT's or a WHFI's expenses are reported in Box 6. These expenses are included in Box 1a.  
**Box 7—Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 Instructions and the Foreign Tax Paid section of these instructions.

**ADDITIONAL WRITTEN STATEMENT - WIDELY HELD MORTGAGE TRUSTS (WHMTs) AND WIDELY HELD FIXED INVESTMENT TRUSTS (WHFITs)**

Period	Period	Period	Period	Period	Period	Period	Period	Period
<i>Period of Periodic Payment</i>								
SHRS 60,071.755	PERIODIC PAYMENTS	MONTHS OF PERIODIC PAYMENTS	NUMBER OF PAYMENTS	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT
EFF 05/22/2021								
CASH INCOME 2021								
4442615	01/31/2021	776						
	01/31/2021			2.94				.0021
	02/28/2021	776						
	02/28/2021			2.50				.0021
	03/31/2021	776						
	03/31/2021			2.72				

PERIOD	PERIOD	PERIOD	PERIOD	PERIOD	PERIOD	PERIOD	PERIOD	PERIOD
PERIOD OF PAYMENT	PERIOD OF PAYMENT	MONTHS OF PERIODIC PAYMENT	NUMBER OF PAYMENTS	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT
SHRS 60,071.755	PERIODIC PAYMENTS	MONTHS OF PERIODIC PAYMENTS	NUMBER OF PAYMENTS	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT
EFF 05/22/2021								
CASH INCOME 2021								
4442615	01/31/2021	776						
	01/31/2021			2.94				.0021
	02/28/2021	776						
	02/28/2021			2.50				.0021
	03/31/2021	776						
	03/31/2021			2.72				

Schedule 4200





**Recipient's Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
Number: 33-1306

**Account Number EIN-000005****YEAR-END STATEMENT**

As of 03/04/2022

Mailed by 03/15/2022

**Additional Written Statement—Wholly Held Fixed Investment Trusts (WHFITs) and Wholly Held Mortgage Trusts (WHMTs) (continued):**

**Cost/Purchase Price.** This represents the cost of a purchase (the amount paid for the units, including brokers' commissions for the fair market value of such units on the date they were distributed) net of accrued interest.

**Gross Interest.** This represents the amount of interest distributed to you or received as accrued interest on sales.

**Investment Expenses.** This amount represents your share of investment expenses paid by the trust.

**Market Discount Fraction.** This is the ratio used to compute your market discount income or premium amortization for the year. Amortization of bond premiums is deductible on IRS Form 1040, Schedule A. If you claim a deduction for amortization of premiums for bonds acquired after October 22, 1986, but before January 1, 1988, the deduction is treated as an interest expense and is subject to the investment interest limitations. Use IRS Form 4952 (Investment Interest Expense Deduction) to compute the allowable deduction. For taxable bonds acquired after 1987, you can elect to amortize the bond premium over the life of the bond. See IRS Publication 550 for more information.

**Income Adjustment.** You must increase or decrease your taxable income by the amount of this premium or discount on purchases for your account.

**Adjusted Basis Percentage.** This represents the ratio of the principal distribution over the principal balance at the start of the year. Use this ratio to determine the portion of your adjusted basis that represents return of principal. It should be used to compute gain or loss on Schedule D of IRS Form 1040.

**Original Cost Basis.** This represents the amount that you originally paid for the units, including brokers' commissions or the fair market value of such units on the date they were distributed. The amount should be used to compute gain or loss on IRS Form 1040, Schedule D.

**Cost Basis Factor.** Use the Cost Basis Allocation Factor provided to allocate a portion of your cost basis in the WHFIT (what you paid for the WHFIT, less any reinvested dividend or capital gains distributions) to each sale or disposition to determine any attributable and reportable sales proceeds and realized gains or losses on Schedule D of IRS Form 1040. Please refer to Pershing's Tax Guide at [tinyurl.com/taxresources](http://tinyurl.com/taxresources) for additional information regarding WHFITs and WHMTs and consult your tax professional regarding the proper reporting of income and expenses for WHFITs and WHMTs.

**Tax Information Statement Instructions**

The Tax Information Statement provides a detailed summary of your account transactions during 2021. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement and to view the Tax Guide, please visit [tinyurl.com/taxresources](http://tinyurl.com/taxresources). If your account was transferred to our firm during 2021, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are investors for tax purposes.

**Additional Information**

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN) or employer identification number (EIN). However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state or local governments.

**Account Number.** A unique number the plan assigned to distinguish your account.

**FATCA Filing Requirement.** If the FATCA filing requirement box is checked, the plan is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the instructions to Form 8938. For 2021, this box has been intentionally left blank.

**Electronic Delivery.** The IRS allows for the electronic delivery (eDelivery) of 1099 forms, and Pershing offers electronic delivery of this Tax Information Statement. If you would like to receive eDelivery, speak to your advisor or financial organization for more information.



**Recipient's Name and Address**

**CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN**

**Account Number ETR-00505****2021 TAX and  
YEAR-END STATEMENT**

As of 03/04/2022  
Mailed by 03/15/2022

Recipient's Identification  
Number: 13-274729

**Tax Information Statement Instructions (continued):**

**Nominees Recipients.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1096 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS center in your area. List yourself as the payer on IRS Form 1099 and as the filer on IRS Form 1096. List the other owner(s) as the recipient(s) on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nominees return to show amounts owned by their spouse.

**Payer.** The payer for all transactions on your Tax Information Statement is Publishing LLC (Taxpayer Identification Number 13-274729). This name and Taxpayer Identification Number should be listed wherever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your advisor or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June. If an income correction is made to your account after issuing your tax statement and the correction is an increase or decrease of less than \$100, please contact your investment professional.

**Federal Income Tax Withheld.** Federal income tax withheld is 24% of interest, dividends and proceeds from broker and barter exchange transactions, and could be reported in any of these sections of your Tax Information Statement. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. We report information to California, Connecticut, Massachusetts, Minnesota, New York and Rhode Island concerning municipal bond interest income earned by state residents from bonds not issued by these states. We report certain 1099 information directly to Delaware, District of Columbia, Maine, Massachusetts, Mississippi, Montana, Oregon and Rhode Island. For 2021, we withhold, remit and report state income tax for California, Maine and Vermont according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Important Note Concerning Cost Basis.** Your original cost basis for each security affects much of the reporting in this document. You should pay special attention to the basis of any item where we received the basis from you or a third party. If the original basis shown in this tax document is not correct, then the results of our calculations will likewise produce incorrect results. This IRS requires us to remind you that the taxpayer is ultimately responsible for the accuracy of your tax return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2021. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return, if you are eligible to do so. A foreign tax credit can be claimed either on IRS Form 1116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, Schedule A (Itemized Deductions). See instructions for both IRS Form 1116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-INT and Form 1099-DIV sections of your Tax Information Statement. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.



Recipient's Name and Address

CHARLES J FLEISCHMANN  
• BRENDAM FLEISCHMANN JT TEN

Access Number INT-00005

**2021 TAX and  
YEAR-END STATEMENT**

As of 03/04/2022

Mailed by 03/15/2022

Recipient's Identification  
Number: " " - 056

**Tax Information Statement Instructions (continued)**

IRS Publications. IRS publications are available through your local IRS office, by calling the IRS Forms Distribution Center at (800) TAX-FORM, or visiting the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 550 and IRS Publication 172 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement and the Tax Guide, including illustrations on how to report your income, visit [irs.gov/taxresources](http://irs.gov/taxresources). The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income statement and should not be interpreted or relied upon as tax advice.

Trademark(s) belong to their respective owners.



# Attachment



Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number 809-01655

**YOUR TAX INFORMATION STATEMENT**  
As of 02/04/2022  
Mailed by 02/15/2022

2021

Customer Identification  
Number: 777-7856

**Electronic Delivery**

Our eDelivery solution provides access to your account information electronically - statements, trade confirmations, account notifications, shareholder communications and tax documents. Benefits of eDelivery include:

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- Less mail and paper to manage

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- = Enrolled

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Trade Confirmations

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Prospectus

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CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
ONE PERSHING PLAZA  
NEW YORK, NY 10036

## YOUR TAX INFORMATION STATEMENT

As of 02/04/2022

Mailed by 02/15/2022

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

**Summary of Form 1099-B**

Details are reported to the IRS. Refer to the 1099-B section of this statement for those details.

Box	Description	Amount
1	Gross Proceeds (Covered and Noncovered Transactions)	\$0.00
2	Cost or Other Basis (Covered Transactions Only)	\$0.00
3	Federal Tax Withheld - Proceeds	\$0.00
4	State Tax Withheld - Proceeds	\$0.00
5	Aggregate Profits and Foreign Currency Forward Contracts	\$0.00
6	Profit or (Loss) Realized in 2021	\$0.00
7	Unrealized Profit or (Loss) on Open Contracts - 12/31/2020	\$0.00
8	Unrealized Profit or (Loss) on Open Contracts - 12/31/2021	\$0.00
9	Aggregate Profit or (Loss)	\$0.00
10	Fed. Tax Withheld - Reg. Profits and Foreign Curr. Forward Contracts	\$0.00
11	State Tax Withheld - Reg. Profits and Foreign Curr. Forward Contracts	\$0.00

**2021 1099-DIV**

Details are reported to the IRS. Refer to the 1099-DIV section of this statement for those details.

Box	Description	Amount
1	Total Ordinary Dividends	\$7,703.97
2	Qualified Dividends (Included in Box 1)	\$2,420.01
3	Uncapitalized Section 1250 Gain (Included in Box 2a)	\$0.00
4	Section 1202 Gain (Included in Box 2a)	\$0.00
5	Collectibles (20%) Gain (Included in Box 2a)	\$0.00
6	Section 807 Ordinary Dividends (Included in Box 2a)	\$0.00
7	Section 807 Capital Gain (Included in Box 2a)	\$0.00
8	Nondividend Distributions	\$0.00
9	Federal Income Tax Withheld	\$218.95
10	Section 1201 Dividends (Included in Box 1)	\$0.00
11	Noncash Liquidation Distributions	\$18.23
12	Specified Private Activity Bond Interest Dividends (Included in Box 1)	\$0.00
13	State/Local/Other State Tax Withheld	\$0.00
14	FATCA Filing Requirement	\$0.00

**2021 1099-CID**

Details are reported to the IRS. Refer to the 1099-CID section of this statement for those details.

Box	Description	Amount
1	Interest Income	\$0.00
2	Interest on U.S. Savings Bonds & Treasury Obligation	\$0.00
3	Federal Income Tax Withheld	\$0.00
4	Investment Expenses	\$0.00
5	Foreign Tax Paid	\$0.00
6	Tax-Exempt Interest	\$0.00
7	Specified Private Activity Bond Interest (Included in Box 8)	\$0.00
8	Market Discount (Covered Transactions Only)	\$0.00
9	Bond Premium (Covered Transactions Only)	\$0.00
10	Bond Premium on Treasury Obligation (Covered Transactions Only)	\$0.00
11	Bond Premium on Tax-Exempt Bond (Covered Transactions Only)	\$0.00
12	Tax-Exempt and Tax Credit Bond CUSIP Number	\$0.00
13	State/Local/Other State Tax Withheld	\$0.00
14	FATCA Filing Requirement	\$0.00

Box	Description	OMB No. 1148-0012
1	Interest Income	\$0.00
2	Interest on U.S. Savings Bonds & Treasury Obligation	\$0.00
3	Federal Income Tax Withheld	\$0.00
4	Investment Expenses	\$0.00
5	Foreign Tax Paid	\$0.00
6	Tax-Exempt Interest	\$0.00
7	Specified Private Activity Bond Interest (Included in Box 8)	\$0.00
8	Market Discount (Covered Transactions Only)	\$0.00
9	Accretion Premium (Covered Transactions Only)	\$0.00
10	Original Issue Discount on U.S. Treasury Obligations	\$0.00
11	Investment Expenses	\$0.00
12	Bond Premium (Covered Transactions Only)	\$0.00
13	Tax-Exempt OID Specified Private Activity Bonds (Covered Transactions Only)	\$0.00
14	State/Local/Other State Tax Withheld	\$0.00
15	FATCA Filing Requirement	\$0.00

See OMB 1148-0012

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Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Account Number: EPY-00005

2021

**YOUR TAX INFORMATION STATEMENT**

As of 02/04/2022

Mailed by 02/15/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2022, at <http://tiny.mn/taxresources>.

Description	Date Recd.	Pmt. Period	Original Distribution Date	Qualified Dividends (Box 10)	"Total Gain" (Box 12)	Section 1097 Distributions (Box 13)	Section 1094 Distributions (Box 14)	Section 1095 Distributions (Box 15)	Section 1096 Distributions (Box 16)	Section 1097B Distributions (Box 17)	Investment Income (Box 18)		Foreign Tax Paid (Box 27)
											State Income Tax	Federal Tax	
BLACKROCK MULT-ASSET INCOME PORTFOLIO FD INST CL CUSIP: 02561336	02/01/2021	02/01/2021	68.52	9.30	—	—	—	—	—	—	—	0.38	0.36
	03/01/2021	03/01/2021	64.93	9.28	—	—	—	—	—	—	—	0.41	0.40
	04/01/2021	04/01/2021	74.25	10.62	—	—	—	—	—	—	—	0.42	0.42
	05/03/2021	05/03/2021	72.99	10.44	—	—	—	—	—	—	—	0.44	0.44
	06/01/2021	06/01/2021	76.76	10.98	—	—	—	—	—	—	—	0.39	0.39
	07/01/2021	07/01/2021	80.35	11.49	—	—	—	—	—	—	—	0.37	0.37
	08/02/2021	08/02/2021	71.57	10.23	—	—	—	—	—	—	—	0.49	0.49
	09/01/2021	09/01/2021	68.19	9.75	—	—	—	—	—	—	—	0.34	0.34
	10/01/2021	10/01/2021	89.95	12.86	—	—	—	—	—	—	—	0.35	0.35
	11/01/2021	11/01/2021	62.53	9.00	—	—	—	—	—	—	—	1.35	1.35
	12/01/2021	12/01/2021	83.95	11.26	—	—	—	—	—	—	—	—	—
	12/23/2021	12/23/2021	246.52	47.65	—	—	—	—	—	—	—	—	—
	01/03/2022	01/03/2022	72.95	14.29	—	—	—	—	—	—	—	—	—
			—	—	1,114.86	177.65	—	—	—	—	6.11	—	—
DODGE & COX GLOBAL STOCK FUND S- FRAC-0030	12/22/2021	12/22/2021	424.82	400.02	—	—	—	—	—	—	—	30.04	30.04
FOREIGN % 57.58174 CUSIP: 25620202 FOREIGN Curr. Other	—	—	207.04	131.78	1,932.74	—	—	—	—	—	—	—	—
DODGE & COX INCOME FUND S- FRAC-8890	03/30/2021	03/30/2021	190.32	86.79	—	39.72	—	—	—	—	—	—	—
	04/29/2021	04/29/2021	103.46	94.72	—	—	—	—	—	—	—	—	—
	09/29/2021	09/29/2021	84.36	10.36	—	140.60	—	—	—	—	—	—	—
	12/22/2021	12/22/2021	—	—	490.15	180.32	—	—	—	—	—	—	—

1099-DIV (Rev. 2004)

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Page 2 of 8

Beneficiary Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Annual Statement of Dividends

Recipient's Identification  
Number: 444-4066

2021

**YOUR TAX INFORMATION STATEMENT**

As of 02/04/2022

Mailed by 02/15/2022

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Description	Date Paid	Total Dividend Amount Gross	Dividend Amount Net of Commission	Interest Amount Gross	Interest Amount Net of Commission	Capital Gain Amount Gross	Capital Gain Amount Net of Commission	Rental Tax Amount Gross	
FLOATING RATE HIGH INCOME FUND CUSIP: 31696783	02/01/2021 03/01/2021 04/01/2021 05/01/2021 06/01/2021 07/01/2021 08/01/2021 09/01/2021 10/01/2021 11/01/2021 12/01/2021 12/23/2021 01/03/2022	56.12 46.28 46.77 52.24 49.76 48.37 52.98 52.28 48.62 50.85 47.64 26.67 51.53	— — — — — — — — — — — — — —						

FIRST EQUITY GLOBAL RISK CLASS I S-REAC5140 CUSIP: 30008606

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Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

Annual Return Form 1099-DIV

Recipient's Identification  
Number: 202-1056

**YOUR TAX INFORMATION STATEMENT**  
**As of 02/04/2022**  
**Mailed by 02/15/2022**

2021

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Description	Date Paid	Total Distributions Gross	Total Capital Distributions Gross	Interest Income Gross	Interest Income Net	Interest Income Other Gross	Interest Income Other Net
THE OAKMARK GLOBAL FUND INVESTOR CLASS 5 - RAC-3330 FOREIGN % 7A.259862 CUSIP: 41388880 FOREIGN COUNTRIES OTHER	12/31/2021	257.78	—	644.95	—	—	50.71

PIMCO INCOME FUND INSTITUTIONAL CLASS CUSIP: 72205490	02/01/2021	318.76	318.76	2,275.66	—	—	—
	03/01/2021	—	—	—	—	—	—
	04/01/2021	—	—	—	—	—	—
	05/03/2021	72.96	1.20	73.03	73.03	73.03	73.03
	06/01/2021	73.03	1.20	72.94	1.20	72.94	1.20
	07/01/2021	72.94	1.20	72.96	1.20	72.96	1.20
	08/02/2021	72.96	1.20	72.94	1.20	72.94	1.20
	09/01/2021	72.94	1.20	72.95	1.20	72.95	1.20
	10/01/2021	72.95	0.32	—	—	—	—
	—	—	—	384.28	6.32	218.95	218.95
PIMCO INCOME FUND CLASS I-2 CUSIP: 72205479	1/10/2021	52.14	0.86	—	—	—	—
	1/20/2021	71.05	1.17	—	—	—	—
	1/20/2021	71.10	1.17	—	—	—	—
	01/03/2022	71.23	1.18	—	—	—	—
	—	—	—	265.52	4.38	—	—
TOTAL PRICE BALANCED 5 - FRAC-140 CUSIP: 77546108	03/30/2021	114.13	37.91	—	0.61	—	—
	04/29/2021	195.65	64.99	—	1.04	—	—
	09/29/2021	130.43	43.33	—	0.69	—	—
	1/21/4/2021	118.82	—	—	—	—	—
	1/21/4/2021	437.63	59.59	—	—	—	—

Form 1099-DIV

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Recipient's Name and Address

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN  
Number: -"-055

Account Number 1099-DIVSAS

**YOUR TAX INFORMATION STATEMENT**  
As of 02/04/2022  
Mailed by 02/15/2022

2021

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

Recipients	Date Rec'd	Total Ordinary Dividends (Box 1b)	Capital Gain Distributions (Box 2b)	Total Capital Gain Distributions (Box 2c)	Interest Income (Box 3)	Rental Income (Box 4)	Rental Income (Box 5)	Other Income (Box 6)	Dividend Income (Box 7)	Foreign Tax Credit (Box 8)
VANGUARD WELLNESS	03/25/2021	261.77	116.25	3,087.79	—	—	—	—	3.03	0.95
INCOME FUND	04/21/2021	211.71	94.02	—	—	—	—	—	1.49	—
INVESTOR SHARES	09/26/2021	264.89	117.53	—	—	—	—	—	1.21	1.51
S- FRAC 2220	12/21/2021	152.98	—	—	—	—	—	—	—	—
CUSP: 576806	12/21/2021	486.12	123.48	1,092.91	—	—	—	—	1.59	—
		—	—	—	—	—	—	—	—	—
		1,377.46	451.38	1,092.91	—	—	—	—	5.80	—
Dividends - U.S. Corporations ———		—	—	—	—	—	—	—	—	—
Dividends - Foreign Corporations ———		—	—	—	—	—	—	—	—	—
Other		614.03	556.32	—	—	—	—	—	—	—
<b>Total:</b>		<b>\$2,770.37</b>	<b>\$2,420.91</b>	<b>\$2,420.91</b>	<b>\$0.00</b>	<b>\$218.93</b>	<b>\$10.23</b>	<b>\$0.00</b>	<b>80.75</b>	<b>\$0.00</b>

\* All Capital/Gain Distributions paid were classified as Long Term Capital Gain Distributions (See Instructions for details).

**IRS Form 1099-DIV—Dividends and Distributions**

Dividends and other distributions from corporations, mutual funds, Exchange Traded Funds (ETF) (treated as mutual funds for tax purposes), Unit Investment Trusts (UIT), and Real Estate Investment Trusts (REIT) are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.

**Box 1a—Total Ordinary Dividends.** Ordinary dividends, which include any net short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds, and certain UITs are included in this section of your Tax Information Statement. Subtotals for U.S. and foreign source ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is comprised in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040. Also report them on IRS Form 1040 Schedule B, if required.

**Box 1b—Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions for how to determine this amount. Report the eligible amount as a dividend on IRS Form 1040.

**Box 2a—Total Capital Gain Distributions.** This shows total capital gain distributions (long-term) from a regulated investment company (RIC) or REIT. Report the amounts shown in Box 2a on Schedule D (Form 1040). But, if no amount is shown in Boxes 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.



CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

# YOUR TAX INFORMATION STATEMENT

As of 02/04/2022

Mailed by 02/15/2022

## **IRS Form 1099-DIV—Dividends and Distributions (continued)**

**Box 2a—Uncaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is an Uncaptured Section 1250 gain from certain depreciable real property. See the

Uncaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (IRS Form 1040).

**Schedule D (IRS Form 1040) instructions.**

**Box 2d—Collectibles (28%) Gain.** This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (IRS Form 1040).

**Box 2e—Section 897 Ordinary Dividends.** Shows the portion of the amount in box 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

**Box 2f—Section 897 Capital Gain.** This shows the portion of the amount in box 2a that is section 897 gain attributable to disposition of USRPI.

**Note:** Boxes 2a and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to is direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the Instructions for your tax return.

**Box 3—Nondividend Distributions.** This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (including Capital and Losses).

**Box 5—Section 199A Dividends.** This shows the portion of the amount in Box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 8995 and Form 8995-A.

**Box 6—Investment Expenses.** Your share of a UTI's or a WHITI's expenses are reported in Box 6. These expenses are included in Box 1a.

**Box 7—Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 Instructions and the Foreign Tax Paid section of these Instructions.

## **Tax Information Statement Instructions**

The Tax Information Statement provides a detailed summary of your account transactions during 2021. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement and to view the Tax Guide, please visit [bit.ly/taxresources](http://bit.ly/taxresources). If your account was transferred to our firm during 2021, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are investors for tax purposes.

## **Additional Information:**

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN) or employer identification number (EIN). However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state or local governments.

**Account Number.** A unique number the payer assigned to distinguish your account.

**FATCA Filing Requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions to Form 8938. For 2021, this box has been intentionally left blank.

**Electronic Delivery.** The IRS allows for the electronic delivery (eDelivery) of 1099 forms, and Pershing offers electronic delivery of this Tax Information Statement. If you would like to receive eDelivery, speak to your advisor or financial organization for more information.



Read Below

By checking the statement, I acknowledge my understanding of the Bank of New York Mellon Corporation (BNY Mellon)

Pershing LLC, member FINRA, NYSE SIPC

Dec 2021

Custodial Through Pershing LLC, which wholly owned

instructions of the Bank of New York Mellon

Corporation (BNY Mellon)

Pershing LLC, member FINRA, NYSE SIPC

Dec 2021

**Recipient's Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

**Account Number(s) EINs**

Recipient's Identification  
Number: 13-274729

**YOUR TAX INFORMATION STATEMENT**

**2021**

**As of 02/04/2022**  
**Mailed by 02/15/2022**

**Tax Information Statement Instructions (continued)**

**Nominees Recipients.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1095 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS center in your area. List yourself as the payer on IRS Form 1099 and as the filer on IRS Form 1095. List the other owner(s) as the recipient(s) on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nominee return to show amounts owned by their spouse.

**Paper.** The payer for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-274729). This name and Taxpayer Identification Number should be listed wherever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your advisor or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June. If an income correction is made to your account after issuing your tax statement and the correction is an increase or decrease of less than \$100 of income, we may not send you a revised tax statement. If you would like to receive revisions that are less than \$100, please contact your investment professional.

**Federal Income Tax Withheld.** Federal income tax withheld is 24% of interest, dividends and proceeds from broker and dealer exchange transactions, and could be reported in any of these sections of your Tax Information Statement. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. We report information to California, Connecticut, Massachusetts, Minnesota, New York and Rhode Island concerning municipal bond interest income earned by state residents from bonds not issued by these states. We report certain 1099 information directly to Delaware, District of Columbia, Maine, Massachusetts, Mississippi, Montana, Oregon and Rhode Island. For 2021, we withheld, remitted and reported state income tax for California, Maine and Vermont according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Important Note Concerning Cost Basis.** Your original cost basis for each security affects much of the reporting in this document. You should pay special attention to the basis of any item where we received the basis from you or a third party. If the original basis shown in this tax document is not correct, then the results of our calculations will likewise produce incorrect results. The IRS requires us to remind you that the taxpayer is ultimately responsible for the accuracy of your tax return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2021. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return, if you are eligible to do so. A foreign tax credit can be claimed either on IRS Form 116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, Schedule A (Itemized Deductions). See instructions for both IRS Form 116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-INT and Form 1099-DIV sections of your Tax Information Statement. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.



**Recipient's Name and Address**

CHARLES J FLEISCHMANN  
BRENDA M FLEISCHMANN JT TEN

**Account Number (if applicable)**

Recipient's Identification  
Number: 337-1256

**2021**

**YOUR TAX INFORMATION STATEMENT**

As of 02/04/2022

Mailed by 02/15/2022

**Tax Information Statement Instructions (continued)**

**IRS Publications.** IRS publications are available through your local IRS office, by calling the IRS Forms Distribution Center at (800) TAX-FORM, or visiting the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 550 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement and the Tax Guide, including illustrations on how to report your income, visit [tinyurl.com/securities](http://tinyurl.com/securities). The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

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