

# UNITED STATES HOUSE OF REPRESENTATIVES 2019 FINANCIAL DISCLOSURE STATEMENT

Form A  
For Use by Members, Officers, and Employees

Name: Ted S. Yoho Daytime Telephone: \_\_\_\_\_

IF A MEMBER OF THE HOUSE OF REPRESENTATIVES, A SPOUSE, OFFICER, OR EMPLOYEE, ANY INDIVIDUAL WHO FILES MORE THAN 30 DAYS LATE.

2019 AGO (4/4/2019) 1

HAND DELIVERED  
LEGISLATIVE RESOURCE CENTER

FILER STATUS	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>FL</u> District: <u>63</u>	Officer or Employee	Employing Office: _____	Staff Filer Type: (If Applicable) <input type="checkbox"/> Shared <input type="checkbox"/> Principal Assistant
REPORT TYPE	<input checked="" type="checkbox"/> 2019 Annual (Due: May 15, 2020)	<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? <u>or</u> b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?	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?	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?	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 \$380 in value from a single source during the reporting period?	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?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$350 in value from a single source during the reporting period?	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?	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?	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?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	

## 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 <input type="checkbox"/> No <input checked="" type="checkbox"/>
TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input type="checkbox"/> No <input checked="" type="checkbox"/>

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

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Ted S yoko

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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	
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, S/DC/JT, or E
	SOUTHEAST MARY ROCKET ACCT																																	
	Big Colony Rd, FL HOME																																	
	(RENTAL PROPERTY)																																	
	SOUTHEAST ROYALTY, MOBILE																																	
	SAVINGS, FL. GROWING																																	
	(RENTAL PROPERTY)																																	
	NEW YORK LIFE INS																																	
	(Cash value)																																	
	MOBILE, FL HOME																																	
	(INVESTMENT PROPERTY)																																	
	MUSICAL INSTR, FL HOME																																	
	(RENTAL PROPERTY)																																	
	MOBILE, FL HOME																																	
	(INVESTMENT PROPERTY)																																	
	CONGRESSIONAL FED CD																																	
	(OWNED 12/5/19 WITH FOODS FROM SALE OF PERSONAL RESIDUALS)																																	



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**INCOME LIMITS and PROHIBITED INCOME:** The 2019 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$26,440. The 2020 limit is \$28,845. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

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



\* ATTACHED #1 \*

CLIENT STATEMENT | For the Period December 1-31, 2019

# Account Summary

Retirement Account  
**CAROLYN S YOHIO**  
 ROLLOVER IRA

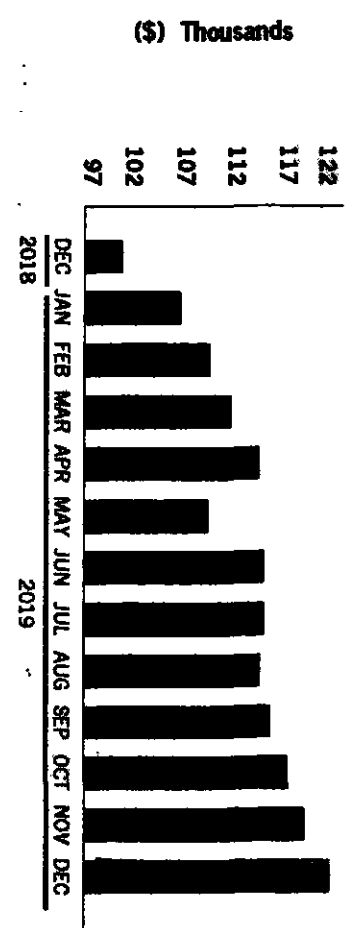
Morgan Stanley

## CHANGE IN VALUE OF YOUR ACCOUNTS (includes accrued interest)

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
<b>TOTAL BEGINNING VALUE</b>	<b>\$118,322.20</b>	<b>\$100,559.15</b>
Credits	—	—
Debits	17.33	(1,203.86)
Security Transfers	—	—
Net Credits/Debits/Transfers	\$17.33	\$(1,203.86)
Change in Value	2,406.04	21,390.28
<b>TOTAL ENDING VALUE</b>	<b>\$120,745.57</b>	<b>\$120,745.57</b>

## MARKET VALUE OVER TIME

The below chart displays the most recent thirteen months of Market Value.

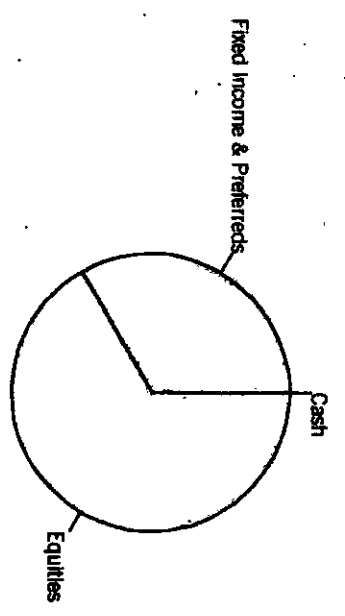


This chart does not reflect corrections to Market Value made subsequent to the dates depicted. It may exclude transactions in Annuities or positions where we are not the custodian, which could delay the reporting of Market Value.

## ASSET ALLOCATION (includes accrued interest)

	Market Value	Percentage
Cash	\$17.34	0.01
Equities	80,579.60	66.74
Fixed Income & Preferreds	40,148.63	33.25
<b>TOTAL VALUE</b>	<b>\$120,745.57</b>	<b>100.00%</b>

FDIC rules apply and Bank Deposits are eligible for FDIC insurance but are not covered by SIPC. Cash and securities (including MMFs) are eligible for SIPC coverage. See Expanded Disclosures. Values may include assets externally held, which are provided to you as a courtesy, and may not be covered by SIPC. For additional information, refer to the corresponding section of this statement.



This asset allocation represents holdings on a trade date basis, and projected settled Cash/BDP and MMF balances. These classifications do not constitute a recommendation and may differ from the classification of instruments for regulatory or tax purposes.

# Account Summary

Retirement Account **CAROLYN S YOHIO**  
**ROLLOVER IRA**

## BALANCE SHEET <sup>(\*) Includes accrued interest</sup>

	Last Period (as of 11/30/19)	This Period (as of 12/31/19)
Cash, BDP, MMFs	\$0.01	\$17.34
TRAK - Advisory Service	118,322.19	120,728.23
<b>Total Assets</b>	<b>\$118,322.20</b>	<b>\$120,745.57</b>
<b>TOTAL VALUE</b>	<b>\$118,322.20</b>	<b>\$120,745.57</b>

## INCOME AND DISTRIBUTION SUMMARY

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
Dividends	\$1,094.13	\$2,222.14
Long Term Capital Gains Distributions	3,615.91	3,615.91
Interest	—	0.04
<b>TOTAL INCOME AND DISTRIBUTIONS</b>	<b>\$4,710.04</b>	<b>\$5,838.09</b>

**BENEFICIARIES** (Contact us to update beneficiary information.)

## CASH FLOW

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
<b>OPENING CASH, BDP, MMFs</b>	<b>\$0.01</b>	<b>\$16.66</b>
Purchases	—	(15,215.00)
Dividend Reinvestments	(4,710.04)	(5,910.50)
Sales and Redemptions	—	16,419.50
Income and Distributions	4,710.04	5,910.54
<b>Total Investment Related Activity</b>	<b>—</b>	<b>\$1,204.54</b>
Other Debits	17.33	(1,203.86)
<b>Total Cash Related Activity</b>	<b>\$17.33</b>	<b>\$(1,203.86)</b>
<b>CLOSING CASH, BDP, MMFs</b>	<b>\$17.34</b>	<b>\$17.34</b>

## GAIN/(LOSS) SUMMARY

	Realized This Period (12/1/19-12/31/19)	Realized This Year (1/1/19-12/31/19)	Unrealized Inception to Date (as of 12/31/19)
<b>TOTAL GAIN/(LOSS)</b>	<b>—</b>	<b>\$528.96</b>	<b>\$2,166.74</b>

*The Gain/(Loss) Summary, which may change due to basis adjustments, is provided for informational purposes and should not be used for tax preparation. Refer to Gain/(Loss) in the Expanded Disclosures.*



# Account Summary

Retirement Account  
**CAROLYN S YOHIO**  
 ROLLOVER IRA

## RETIREMENT RECAP

2019 Fair Market Value (includes accrued interest): **\$120,745.57**

	2018	2019 (year-to-date)	Since Inception
<b>Contributions</b>			
Individual Deductible	—	—	\$4,000.00
Individual Maximum Contribution Limits - by Social Security Number (Traditional / Roth)			
Under Age 50	5,500.00	6,000.00	Not Applicable
Age 50 and Over	6,500.00	7,000.00	Not Applicable

## HISTORICAL CONTRIBUTIONS & DISTRIBUTIONS

	Contributions	Distributions
2014 and Prior	\$4,000.00	\$0.00
2015	0.00	0.00
2016	0.00	0.00
2017	0.00	0.00
2018	0.00	0.00
2019	0.00	0.00
<b>LIFETIME</b>	<b>\$4,000.00</b>	<b>\$0.00</b>

The contribution and distribution transactions reflected above - as well as the Retirement Recap - are based on information you provided and not intended for tax purposes.

"Since Inception" values for Conversion and Recharacterization may display as Rollover for certain transactions. If dashes are displayed under "Since Inception," the distribution detail is not available. Prior year contributions include those made during the prior year and those made in the current year for the prior year. Refer to the Expanded Disclosures for Additional Retirement Account Information.

## Retirement Account ROLLOVER IRA

**CAROLYN S YOHIO**

### Brokerage Account

# HOLDINGS

This section reflects positions purchased/sold on a trade date basis. "Market Value" and "Unrealized Gain/(Loss)" may not reflect the value that could be obtained in the market. Your actual investment return may differ from the unrealized gain/(loss) displayed. Fixed income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated Annual Income a) is calculated on a pre-tax basis, b) does not include any reduction for applicable non-US withholding taxes, c) may include return of principal or capital gains which could overstate such estimates, and d) for securities that have a defined maturity date within the next 12 months, is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Current Yield reflects the income generated by an investment, and is calculated by dividing the total estimated annual income by the current market value of the entire position. It does not reflect changes in its price. Structured investments, identified on the Position Description Details line as "Asset Class: Struct Inv," may appear in various statement product categories. When displayed, the accrued interest, annual income and current yield for those with a contingent income feature (e.g., Range Accrual Notes or Contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and current yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

## CASH, BANK DEPOSIT PROGRAM AND MONEY MARKET FUNDS

**Cash, Bank Deposit Program, and Money Market Funds** are generally displayed on a settlement date basis. You have the right to instruct us to liquidate your bank deposit balance(s) or shares of any money market fund balance(s) at any time and have the proceeds of such liquidation remitted to you. Estimated Annual Income, Accrued Interest, and APY will only be displayed for fully settled positions.

Description	Market Value	7-Day Current Yield %	Est Ann Income	APY %
MORGAN STANLEY BANK N.A. #	\$17.34	—	\$0.01	0.020
CASH, BDP, AND MINTS	\$17.34		\$0.01	

\* Bank Deposits are held at Morgan Stanley Bank, N.A. and/or Morgan Stanley Private Bank, National Association, affiliates of Morgan Stanley Smith Barney LLC and each a national bank and FDIC member.

Account Detail

Retirement Account  
ROLLOVER IRA

CAROLYN S YOHIO

TRAK - PERSONALIZED INVESTMENT ADVISORY SERVICE

"Total Purchases vs. Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash, due to but not limited to: investments made prior to addition of this information on statements; securities transfers; timing of recent distributions; and certain adjustments made in your account.

"Net Value Increase/(Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Certain mutual funds may not be transferable to other broker-dealers. For further information, please refer to the fund's Prospectus or contact us. Global Investment Manager Analysis (GIMA) status codes (FL, AL or NL) may be shown for certain mutual funds. Refer to "GIMA Status in Investment Advisory Programs" in the June or December statement (or your first statement, if you have not yet received one in either of those months) for a description of these status codes. Current Yield is the estimated annual income (EAI) divided by the fund's net asset value at the end of the statement period. Distributions may consist of income, capital gains or the returns of capital distributions. EAI is based upon information provided by an outside vendor and is not verified by us.

Although share price is displayed only to three decimal places, calculation of Market Value is computed using the full share price in our data base, which may carry out beyond three decimal places.

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>AMERICAN NEW WORLD F2 (NETTFO)</b>							
Reinvestments	146.114	\$70.310	\$9,754.56	\$10,273.28	\$518.72		
	9.883		635.77	694.88	59.11		
<b>Total</b>	<b>155.997</b>		<b>10,390.33</b>	<b>10,968.15</b>	<b>577.83</b>	<b>147.00</b>	<b>1.34</b>
<b>Total Purchases vs Market Value</b>							
<b>Net Value Increase/(Decrease)</b>							
			9,754.56	10,968.15			
				1,213.59			
<b>GIMA Status: AL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>COLUMBIA DIVIDEND INCOME INST (GSDTIX)</b>							
Reinvestments	746.092	24.450	15,926.46	18,241.94	2,315.48		
	68.232		1,486.68	1,668.27	181.59		
<b>Total</b>	<b>814.324</b>		<b>17,413.14</b>	<b>19,910.22</b>	<b>2,497.07</b>	<b>364.00</b>	<b>1.43</b>
<b>Total Purchases vs Market Value</b>							
<b>Net Value Increase/(Decrease)</b>							
			15,926.46	19,910.22			
				3,983.76			
<b>GIMA Status: FL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>HARTFORD INFLATION PLUS I (RIPI10)</b>							
Reinvestments	402.517	10.640	4,258.62	4,282.78	24.16		
	24.252		249.44	258.05	8.61		
<b>Total</b>	<b>426.769</b>		<b>4,508.06</b>	<b>4,540.82</b>	<b>32.77</b>		
<b>Total Purchases vs Market Value</b>							
<b>Net Value Increase/(Decrease)</b>							
			4,258.62	4,540.82			
				282.20			
<b>GIMA Status: AL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI &amp; Pref</b>							
<b>HARTFORD MIDCAP I (HFMID0)</b>							
Reinvestments	57.605	31.340	1,796.91	1,828.38	41.47		
	17.792		473.88	564.72	90.84		
<b>Total</b>	<b>75.397</b>		<b>2,260.79</b>	<b>2,393.10</b>	<b>132.31</b>		
<b>Total Purchases vs Market Value</b>							
<b>Net Value Increase/(Decrease)</b>							
			1,796.91	2,393.10			
				606.19			

# Morgan Stanley

## Account Detail

Retirement Account  
**ROLLOVER IRA**  
 CAROLYN S YOHIO

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>ROTH HANCOCK US GBL LBDS GW 1 (HSL10)</b>							
Purchases	154.861	56.480	7,446.72	8,748.55	1,301.83		
Reinvestments	45.085		2,191.52	2,546.40	354.88		
<b>Total</b>	<b>199.946</b>		<b>9,637.24</b>	<b>11,294.95</b>	<b>1,655.71</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>LORD ABBETT INCOME F (LAIFD)</b>							
Purchases	3,160.100	2.910	8,600.28	8,021.29	341.01		
Reinvestments	220.925		616.28	642.89	26.61		
<b>Total</b>	<b>3,321.025</b>		<b>9,296.56</b>	<b>8,664.18</b>	<b>367.62</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI &amp; Pref</b>							
<b>LORD ABBETT SHT DURATION INC F (LDLFD)</b>							
Purchases	2,560.975	4.210	10,756.10	10,781.71	25.61		
Reinvestments	168.838		706.15	710.81	4.66		
<b>Total</b>	<b>2,729.813</b>		<b>11,462.25</b>	<b>11,492.51</b>	<b>30.27</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI &amp; Pref</b>							
<b>NORTHWEST ASIAN JAPAN INV (NAJFO)</b>							
Purchases	93.987	21.510	1,838.39	2,021.68	183.27		
Reinvestments	25.345		542.12	545.17	3.05		
<b>Total</b>	<b>119.332</b>		<b>2,380.51</b>	<b>2,566.83</b>	<b>186.32</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>MSIF INTERNATIONAL EQUITY INST (MSIQ)</b>							
Purchases	1,477.874	14.740	25,866.55	21,783.86	(4,082.69)		
Reinvestments	419.668		5,894.92	6,185.91	290.99		
<b>Total</b>	<b>1,897.542</b>		<b>31,761.47</b>	<b>27,969.77</b>	<b>(3,791.70)</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>NEUBERG BERMAN GENESIS INST (NBGD)</b>							
Purchases	72.388	58.490	1,262.24	1,309.47	47.23		
Reinvestments	6.268		319.19	366.62	47.43		
<b>Total</b>	<b>28.656</b>		<b>1,581.43</b>	<b>1,676.09</b>	<b>94.66</b>		
<b>GAMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>NEUBERG BERMAN GENESIS INST (NBGD)</b>							
Purchases	72.388	58.490	1,262.24	1,309.47	47.23		
Reinvestments	6.268		319.19	366.62	47.43		
<b>Total</b>	<b>28.656</b>		<b>1,581.43</b>	<b>1,676.09</b>	<b>94.66</b>		

# Account Detail

Retirement Account  
ROLLOVER IRA

CAROLYN S YOHIO

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>PGIM GMA MID-CAP VALUE 2 (SPVZO)</b>							
GMA Status: AL; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Purchases	114.668	18.940	2,441.28	2,171.81	(269.47)		
Reinvestments	21.573		364.90	408.59	43.69		
Total	136.241		2,806.18	2,580.40	(225.78)	64.00	2.48
Total Purchases vs Market Value							
Net Value Increase/(Decrease)							
2,441.28							
139.12							
<b>PIMCO LONG TERM CREDIT BD 12 (PLCPX)</b>							
GMA Status: AL; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Purchases	748.497	12.970	9,714.60	9,570.58	456.58		
Reinvestments	15.108		195.95	195.20	(0.75)		
Total	763.605		9,909.95	9,865.78	455.83	431.00	4.37
Total Purchases vs Market Value							
Net Value Increase/(Decrease)							
9,714.60							
651.78							
<b>PUTNAM ULTRA SHT DUR INC Y (PSDYX)</b>							
GMA Status: AL; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Perf							
Purchases	443.312	10.060	4,459.73	4,459.73	0.00		
Reinvestments	12.487		125.58	125.62	0.04		
Total	455.799		4,585.31	4,585.34	0.04	117.00	2.55
Total Purchases vs Market Value							
Net Value Increase/(Decrease)							
4,459.73							
125.61							
<b>T ROWE PRICE QM US SM CP GR EQ (PRDSQ)</b>							
GMA Status: FI; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Perf							
Purchases	26.882	39.700	932.58	1,087.22	134.69		
Reinvestments	3.901		135.77	154.87	19.10		
Total	30.783		1,068.30	1,222.09	153.79		
Total Purchases vs Market Value							
Net Value Increase/(Decrease)							
932.58							
289.56							

GMA Status: FI; Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities

TRAIL - PERSONALIZED INVESTMENT ADVISORY SERVICE 80.88%

Percentage of Holdings: Total Cost \$118,561.52 Market Value \$120,128.23 Unrealized Gain/(Loss) \$2,106.74 Est Ann Income \$2,581.00 Current Yield % 2.12%

## Account Detail

**Retirement Account**  
**~~ROLLOVER IRA~~**  
**CAROLYN S YOHIO**

	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Assumed Interest	Current Yield %
TOTAL VALUE	100.00%	\$118,561.52	\$129,745.57	\$2,184.74	\$2,561.01	2.12%

Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' or 'Pending Corporate Actions' are not included.

## ALLOCATION OF ASSETS

	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Structured Investments	Other
Cash, BCP, MMFS	\$17.34	—	—	—	—	—
TRAK - Advisory Service	—	\$80,579.60	\$40,148.63	—	—	—
<b>TOTAL ALLOCATION OF ASSETS</b>	<b>\$17.34</b>	<b>\$80,579.60</b>	<b>\$40,148.63</b>	<b>—</b>	<b>—</b>	<b>—</b>

## ACTIVITY

## CASH FLOW ACTIVITY BY DATE

Activity Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/Debits
12/2		Dividend	PIMCO LONG TERM CREDIT BD 12				\$38.82
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	LORD ABBETT SHT DURATION INC F				32.51
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	LORD ABBETT INCOME F				30.05
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	PUTNAM ULTRA SHT DUR INC Y				8.20
12/2		Dividend	DIV PAYMENT				
12/2		Service Fee Adj	MSIM FUND REBATE				17.33
12/2		Dividend Reinvestment	PIMCO LONG TERM CREDIT BD 12	REINVESTMENT a/b 11/29/19	2.986	13.0000	(38.82)
12/2		Dividend Reinvestment	LORD ABBETT SHT DURATION INC F	REINVESTMENT a/b 11/29/19	7.722	4.2100	(32.51)
12/2		Dividend Reinvestment	LORD ABBETT INCOME F	REINVESTMENT a/b 11/29/19	10.326	2.9100	(30.05)
12/2		Dividend Reinvestment	PUTNAM ULTRA SHT DUR INC Y	REINVESTMENT a/b 11/29/19	0.815	10.0600	(8.20)
12/1		LT Cap Gain Distribution	HARTFORD MIDCAP 1				116.57
12/1		Dividend Reinvestment	HARTFORD MIDCAP 1	REINVESTMENT a/b 12/10/19	3.774	30.8900	(116.57)
12/12		ST Cap Gain Distribution	PIMCO LONG TERM CREDIT BD 12				32.83
12/12		Dividend Reinvestment	PIMCO LONG TERM CREDIT BD 12	REINVESTMENT a/b 12/11/19	2.523	13.0100	(32.83)
12/16		Dividend	COLUMBIA DIVIDEND INCOME INST				93.23
12/16		Dividend	DIV PAYMENT				
12/16		LT Cap Gain Distribution	JOHN HANCOCK US GLB LDRS GW 1				657.87
12/16		LT Cap Gain Distribution	COLUMBIA DIVIDEND INCOME INST				210.95

Retirement Account  
12/15/2019 12:52:20  
ROLLOVER IRA

CAROLYN S YOHIO

FINRA FUND (MMF) AND BANK DEPOSIT PROGRAM ACTIVITY

Activity	Date	Activity Type	Description	Credited/(Debited)
12/3	Automatic Investment		BANK DEPOSIT PROGRAM	\$17.33

MESSAGES

Senior Investor Helpdesk

For any inquiries or potential concerns, senior investors or someone acting on their behalf may contact our Firm by calling (800) 280-4534.  
IRA Fair Market Value - 5498

This information is being furnished to the Internal Revenue Service ("IRS").

Please note that Morgan Stanley Smith Barney LLC is required by law to report the December 31, 2019, Fair Market Value of an IRA, along with the Fair Market Value and Type(s) of certain specified assets/hard-to-value assets held in an IRA to the IRS and to IRA holders. For purposes of this reporting requirement, the "2019 Fair Market Value," along with the "2019 Fair Market Value of Certain Specified Assets" and the "2019 Type(s) of Specified Assets" reported on this Year-End Statement will serve as your written notification of this Fair Market Value information in compliance with IRS requirements. The

"2019 Fair Market Value," along with the "2019 Fair Market Value of Certain Specified Assets" on your Year-End Statement will also be the Fair Market Value

information that we report electronically to the IRS, on IRS Form 5498, along with your name, address, and tax identification number (e.g., Social Security Number). If we receive an adjusted year-end value for any investments (e.g., custodial annuities) held within this IRA, your Fair Market Value information may change. Any changes to the Fair Market Value information will be reflected on your next statement and in the Fair

Market Value information we report electronically to the IRS. Please note, however, that a second notice (on IRS Form 5498) will be provided to you if you make any reportable contributions to your IRA for 2019, including, for example, individual contributions made on or before April 15, 2020, that are designated as 2019 contributions, as well as rollovers, recharacterizations, and, if applicable, Roth conversions made to your

IRA on or before December 31, 2019,  
FINRA BrokerCheck

FINRA

has established the public disclosure program, known as BrokerCheck, to provide certain information regarding the disciplinary history of FINRA members and their associated persons. The BrokerCheck Hotline

Number is 1-800-289-9999. The FINRA web site address is [www.finra.org](http://www.finra.org). An investor brochure that includes information describing FINRA BrokerCheck may be obtained from FINRA.

# STATEMENT / For the Period December 1-31, 2019

Morgan Stanley

Retirement Account

CAROLYN S YOHIO

ROLLOVER IRA

## Account Detail

### CASH FLOW ACTIVITY BY DATE (CONTINUED)

Activity Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/Debits
12/16		LT Cap Gain Distribution	T ROWE PRICE OM US SM CP GR EQ				48.15
12/16		LT Cap Gain Distribution	T ROWE PRICE OM US SM CP GR EQ				0.15
12/16		Dividend Reinvestment	JOHN HANCOCK US GIB LDRS GW I	REINVESTMENT a/o 12/13/19	11.868	55.4300	(657.87)
12/16		Dividend Reinvestment	COLUMBIA DIVIDEND INCOME INST	REINVESTMENT a/o 12/13/19	8.775	24.0400	(210.95)
12/16		Dividend Reinvestment	COLUMBIA DIVIDEND INCOME INST	REINVESTMENT a/o 12/13/19	3.878	24.0400	(93.23)
12/16		Dividend Reinvestment	T ROWE PRICE OM US SM CP GR EQ	REINVESTMENT a/o 12/13/19	1.237	38.9400	(48.15)
12/16		Dividend Reinvestment	T ROWE PRICE OM US SM CP GR EQ	REINVESTMENT a/o 12/13/19	0.004	38.9400	(0.15)
12/17		Dividend	MSIF INTERNATIONAL EQUITY INST				551.09
12/17		Dividend	NEUBERGER BERMAN GENESIS INST				3.42
12/17		Dividend	NEUBERGER BERMAN GENESIS INST				3.42
12/17		LT Cap Gain Distribution	MSIF INTERNATIONAL EQUITY INST				2,024.36
12/17		LT Cap Gain Distribution	NEUBERGER BERMAN GENESIS INST				91.44
12/17		Dividend Reinvestment	MSIF INTERNATIONAL EQUITY INST	REINVESTMENT a/o 12/16/19	137.618	14.7100	(2,024.36)
12/17		Dividend Reinvestment	MSIF INTERNATIONAL EQUITY INST	REINVESTMENT a/o 12/16/19	37.464	14.7100	(551.09)
12/17		Dividend Reinvestment	NEUBERGER BERMAN GENESIS INST	REINVESTMENT a/o 12/16/19	1.580	57.8900	(91.44)
12/17		Dividend Reinvestment	NEUBERGER BERMAN GENESIS INST	REINVESTMENT a/o 12/16/19	0.059	57.8900	(3.42)
12/18		Dividend	MATTHEWS ASIAN JAPAN INV				13.14
12/18		Dividend	MATTHEWS ASIAN JAPAN INV				13.14
12/18		LT Cap Gain Distribution	MATTHEWS ASIAN JAPAN INV				190.75
12/18		Dividend Reinvestment	MATTHEWS ASIAN JAPAN INV	REINVESTMENT a/o 12/17/19	8.856	21.5400	(190.75)
12/18		Dividend Reinvestment	MATTHEWS ASIAN JAPAN INV	REINVESTMENT a/o 12/17/19	0.610	21.5400	(13.14)
12/19		Dividend	PGIM QMA MID-CAP VALUE Z				62.39
12/19		Dividend	PGIM QMA MID-CAP VALUE Z				62.39
12/19		Dividend Reinvestment	PGIM QMA MID-CAP VALUE Z	REINVESTMENT a/o 12/18/19	3.317	18.8100	(62.39)
12/23		Dividend	AMERICAN NEW WORLD F2				141.34
12/23		Dividend	AMERICAN NEW WORLD F2				141.34
12/23		LT Cap Gain Distribution	AMERICAN NEW WORLD F2				275.82
12/23		Dividend Reinvestment	AMERICAN NEW WORLD F2	REINVESTMENT a/o 12/20/19	3.939	70.0300	(275.82)
12/23		Dividend Reinvestment	AMERICAN NEW WORLD F2	REINVESTMENT a/o 12/20/19	2.018	70.0300	(141.34)
12/30		Dividend	HARTFORD INFLATION PLUS I				86.96
12/30		Dividend	HARTFORD INFLATION PLUS I				86.96
12/30		Dividend Reinvestment	HARTFORD INFLATION PLUS I	REINVESTMENT a/o 12/27/19	8.181	10.6300	(86.96)
12/30		Dividend Reinvestment	HARTFORD INFLATION PLUS I	REINVESTMENT a/o 12/27/19			\$17.32

Purchase and Sale transactions above may have received an average price execution. Details regarding the actual prices are available upon request.



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The information in this document is approximate and subject to updating, correction and other changes. We are not obligated to notify you if information changes. Although the statements of fact and data in this document have been obtained from, and are based upon sources that we believe to be reliable, we do not guarantee their accuracy, or timeliness, and any such information may be incomplete or condensed. Percentage values shown in this document are subject to rounding, which may impact total values. The values of securities and other investments not actively traded may be estimated or may not be available.

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**Performance:** Performance results are annualized for time periods greater than one year and include all cash and cash equivalents, realized and unrealized capital gains and losses, dividends, interest and income. Depending on the opening or closing date of the account or position, the performance referenced may be for a portion of the time period identified. The investment results depicted herein represent historical performance. As a result of recent market activity, current performance may vary from the figures shown. Please contact your Financial Advisor for up-to-date performance information. Past performance is not a guarantee of future results. Quotations of performance appearing in this report may include performance experienced in legacy accounts which have been closed and purged, and as such are not included on the Accounts included in This Report page.

Market values used for performance calculation do not include Performance Ineligible Assets and thus may differ from asset allocation market values. Common examples of Performance Ineligible Assets include life insurance and annuities as well as Manually Added and External accounts, assets and liabilities.

# INVESTMENT SUMMARY DOLLAR WEIGHTED RETURNS - ADVISORY ASSETS ONLY

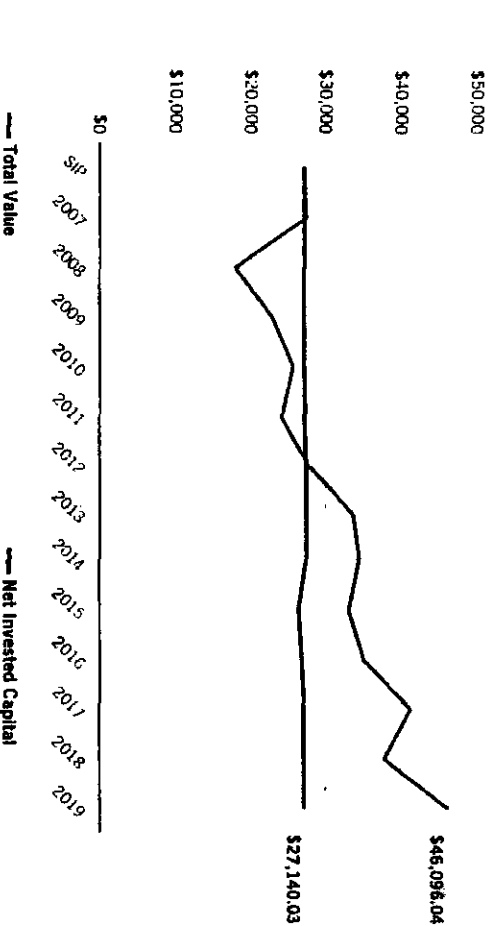


Morgan Stanley

CAROLYN YOHO 574-XXX884 - TRAK Fund Solution IRA - SEP IRA

As of December 31, 2019 | Reporting Currency: USD

## TOTAL VALUE VS. NET INVESTED CAPITAL

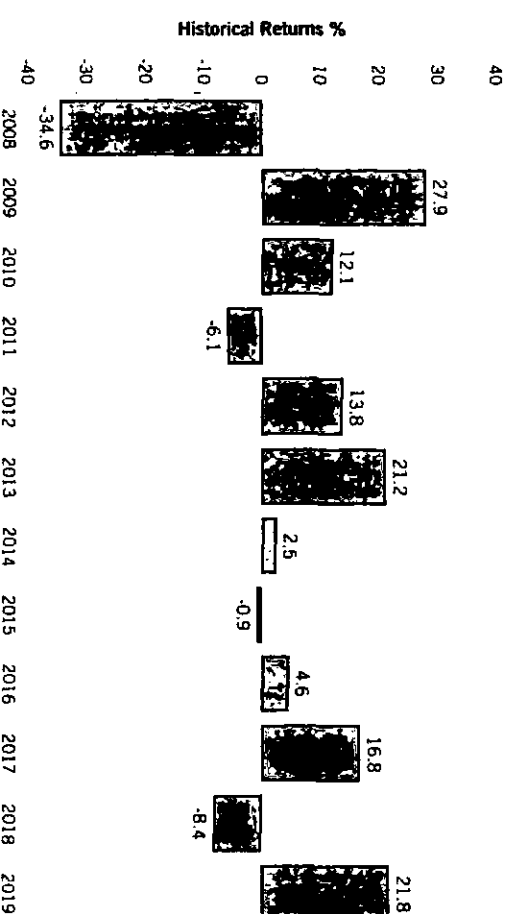


Does not include Performance Ineligible Assets.

## CHANGE IN VALUE AND RETURN % (NET OF FEES)

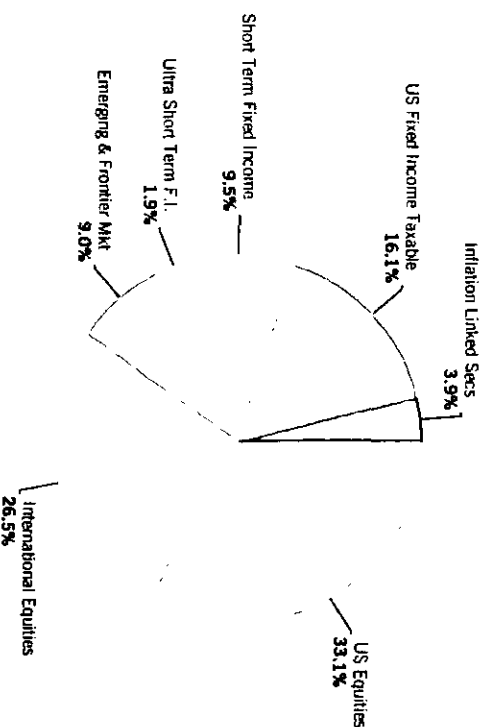
	Quarter to Date 09/30/19-12/31/19	Year to Date 12/31/18-12/31/19	Performance Inception 11/12/07-12/31/19
Beginning Total Value	\$43,445.28	\$37,821.67	\$27,152.14
Beginning Accrued Income	\$0.00	\$0.00	\$0.00
Net Contributions/Withdrawals	0.00	0.00	-12.11
Investment Earnings	2,650.75	8,274.36	18,956.01
Ending Total Value	\$46,096.04	\$46,096.04	\$46,096.04
Ending Accrued Income	\$0.00	\$0.00	\$0.00
DOLLAR WEIGHTED RATE OF RETURN (Annualized for periods over 12 months)	6.10%	21.88%	4.45%
Return % (Net of Fees)			

## PERIOD RETURN % (NET OF FEES)



Does not include Performance Ineligible Assets.

## ASSET ALLOCATION



Does not include Performance Ineligible Assets.

Inception dates for advisory account(s) reflect the most recent advisory program or discretion change.

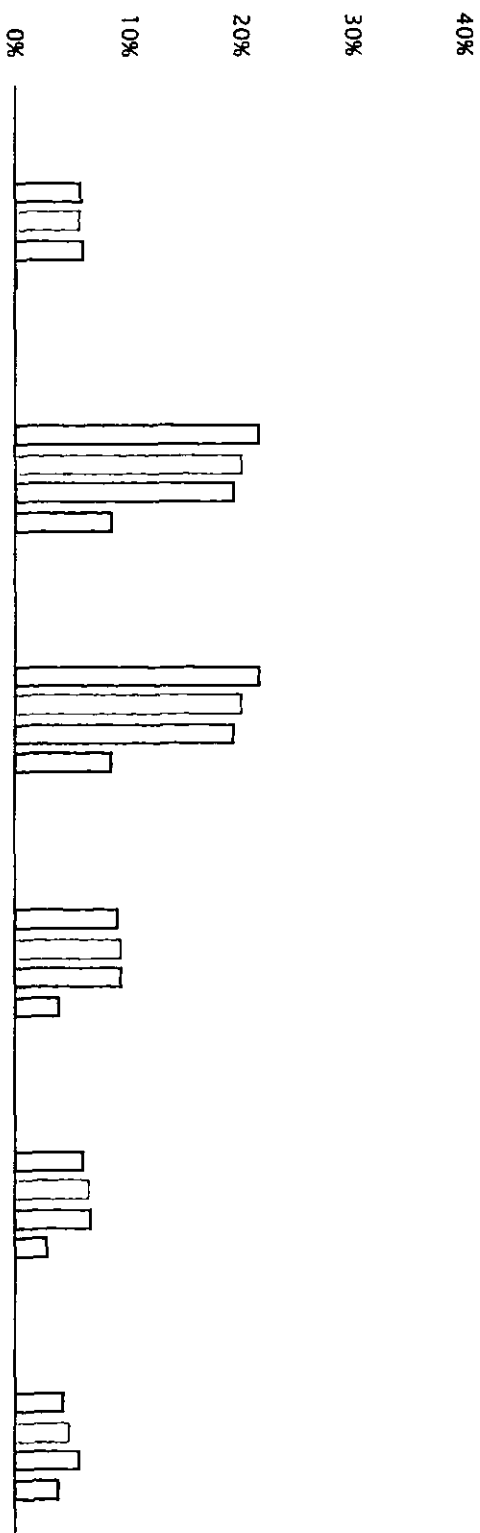
## TIME WEIGHTED PERFORMANCE SUMMARY - ADVISORY ASSETS ONLY

Morgan Stanley

CAROLYN YOHO 574-XXX884 - TRAK Fund Solution IRA - SEP IRA

As of December 31, 2019 | Reporting Currency: USD

## RETURN % (NET OF FEES) VS. BENCHMARKS (ANNUALIZED)



	Quarter to Date	Year to Date	Last 12 Months	Last 3 Years	Last 5 Years	Performance Inception
Beginning Total Value (\$)	09/30/19 - 12/31/19	12/31/18 - 12/31/19	12/31/18 - 12/31/19	12/31/16 - 12/31/19	12/31/14 - 12/31/19	11/12/07 - 12/31/19
Beginning Accrued Income (\$)	43,445.28	0.00	0.00	0.00	0.00	0.00
Net Contributions/Withdrawals (\$)	0.00	0.00	0.00	305.54	-300.01	-12.11
Investment Earnings (\$)	2,650.75	8,274.36	8,274.36	10,733.80	11,932.01	18,956.01
Ending Total Value (\$)	46,096.04	46,096.04	46,096.04	46,096.04	46,096.04	46,096.04
Ending Accrued Income (\$)	0.00	0.00	0.00	0.00	0.00	0.00
Return % (Net of Fees)	6.10	21.88	21.88	9.26	6.18	4.44
M4 Market Growth Index Blend (%)	5.83	20.31	20.31	9.62	6.69	4.98
Custom Account Index (%)	6.14	19.49	19.49	9.59	6.85	5.81
Barclays Aggregate (%)	0.18	8.72	8.72	4.03	3.05	4.13
S&P 500 Total Return (%)	9.07	31.49	31.49	15.29	11.70	9.10
MSCI EAFE Net (%)	8.17	22.01	22.01	9.57	5.67	1.89

Inception dates for advisory account(s) reflect the most recent advisory program or discretion change.

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals.

## ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY



Morgan Stanley

CAROLYN YOHO 574-XXX884 - TRAK Fund Solution IRA - SEP IRA

As of December 31, 2019 | Reporting Currency: USD

## ASSET ALLOCATION: ACTUAL VS. TARGET (Continued)

Asset Class	Actual		Target		Difference	
	12/31/2019					
	(\$)	(%)	(\$)	(%)	(\$)	(%)
Emerging Market Equities	4,155.18	9.00	4,606.16	10.00	-450.98	-1.00
Ultra-Short Term FI	857.78	1.90	1,842.46	4.00	-984.68	-2.10
Short Term Fixed Income	4,387.76	9.50	4,606.16	10.00	-218.40	-0.50
Long Term Govt/Corp	3,735.81	8.10	3,684.92	8.00	50.89	0.10
US Taxable Core	3,695.21	8.00	3,684.92	8.00	10.29	0.00
Inflation Linked Secs	1,777.72	3.90	1,842.46	4.00	-64.74	-0.10
<b>Total Assets</b>	<b>46,061.55</b>	<b>100.00</b>	<b>46,061.55</b>	<b>100.00</b>		

Target Allocation as determined by you and your Financial Advisor for this account only.

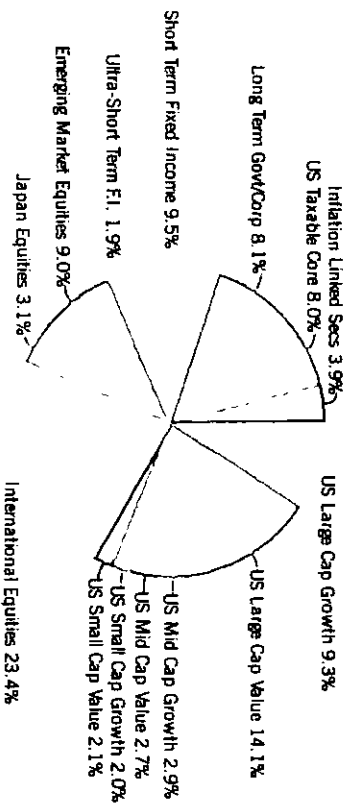
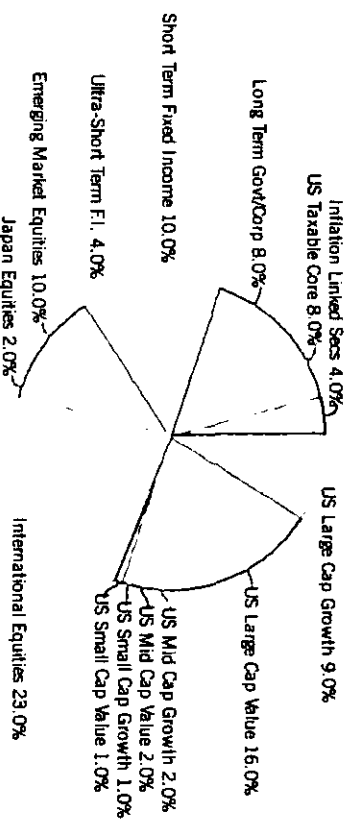
ALLOCATION &amp; INCOME

**ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY**

Morgan Stanley

CAROLYN YOHO 574-XXX884 - TRAK Fund Solution IRA - SEP IRA

As of December 31, 2019 | Reporting Currency: USD

**ACTUAL VS. TARGET****Actual****Target****ASSET ALLOCATION: ACTUAL VS. TARGET**

Asset Class	Actual 12/31/2019		Target		Difference	
	(\$)	(%)	(\$)	(%)	(\$)	(%)
US Large Cap Growth	4,270.03	9.30	4,145.54	9.00	124.49	0.30
US Large Cap Value	6,478.07	14.10	7,369.85	16.00	-891.78	-1.90
US Mid Cap Growth	1,340.89	2.90	921.23	2.00	419.66	0.90
US Mid Cap Value	1,243.03	2.70	921.23	2.00	321.80	0.70
US Small Cap Growth	931.11	2.00	460.62	1.00	470.49	1.00
US Small Cap Value	989.24	2.10	460.62	1.00	528.62	1.10
International Equities	10,760.40	23.40	10,594.16	23.00	166.24	0.40
Japan Equities	1,439.32	3.10	921.23	2.00	518.09	1.10

Target Allocation as determined by you and your Financial Advisor for this account only.

ACCOUNT(S) INCLUDED IN THIS REPORT



Morgan Stanley

CAROLYN YOHO 574-XXX884 - TRAK Fund Solution IRA - SEP IRA

Reporting Currency: USD

MORGAN STANLEY WEALTH MANAGEMENT

Account Name and Address	Account Type/ Manager Name	Advisory/ Brokerage	Account Number	Date Opened	Date Closed
CAROLYN YOHO POST OFFICE BOX 1104 WELAKA	TRAK Fund Solution IRA - SEP IRA	Advisory	574-XXX884	08/21/95	-

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All content within this Document applies to the accounts listed above or a subset thereof, unless otherwise indicated.

ACCOUNT(S) INCLUDED IN THIS REPORT

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Time Weighted Performance Summary - Advisory Assets Only	6
Investment Summary Dollar Weighted Returns - Advisory Assets Only	7
Disclosures	8

Please review the disclosures and definitions throughout this Document.  
Various sub-sections of this Document may not contain information on all accounts/positions covered in this Document.



VIRTUAL ADVISOR

MSSB OF  
CAROLYN S YOHO  
IRA SEP DATED 08/21/95  
POST OFFICE BOX 1104  
MELANIA FL 32193-1104

Information as of: December 31, 2019

# Performance Summary

Prepared for: CAROLYN YOHO

Account No. 574-XXX884

Prepared on: January 31, 2020

00008838 MSD08H08 002977



CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

Prepared on January 31, 2020 | Reporting Currency: USD

**DISCLOSURES**

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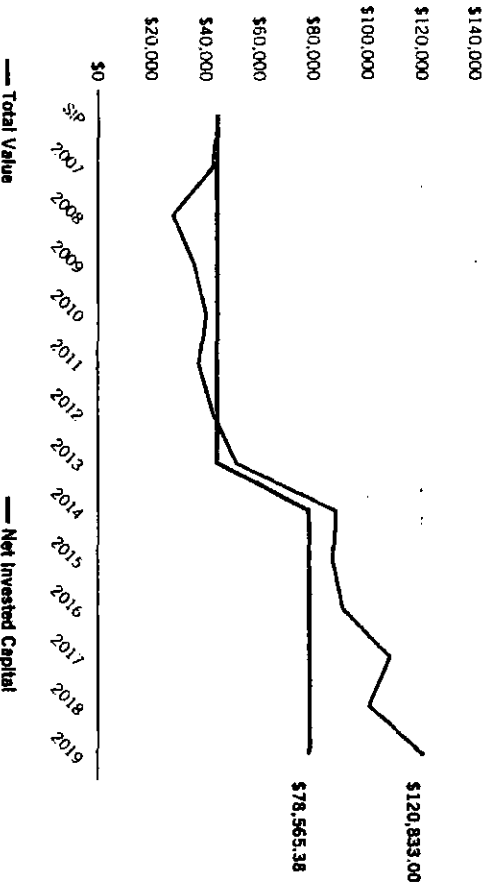
INVESTMENT SUMMARY DOLLAR WEIGHTED RETURNS - ADVISORY ASSETS ONLY



CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

As of December 31, 2019 | Reporting Currency: USD

TOTAL VALUE VS. NET INVESTED CAPITAL

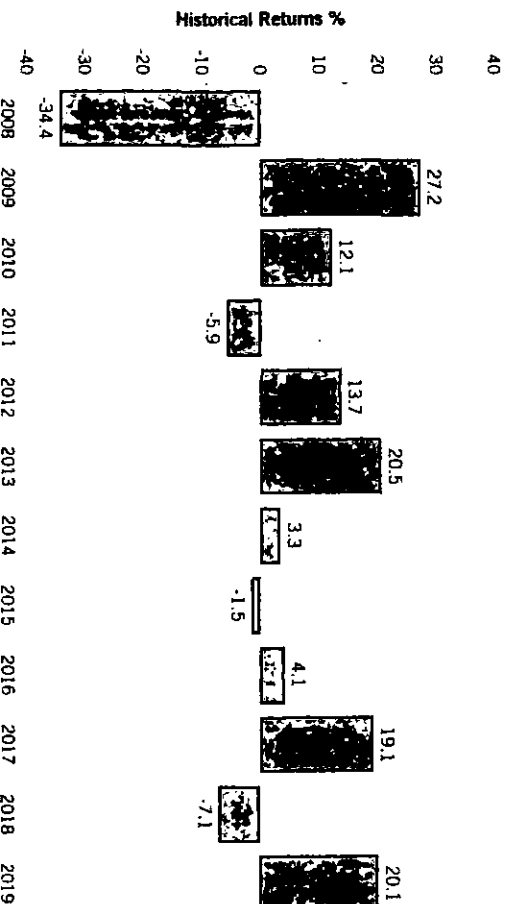


Does not include Performance Ineligible Assets.

CHANGE IN VALUE AND RETURN % (NET OF FEES)

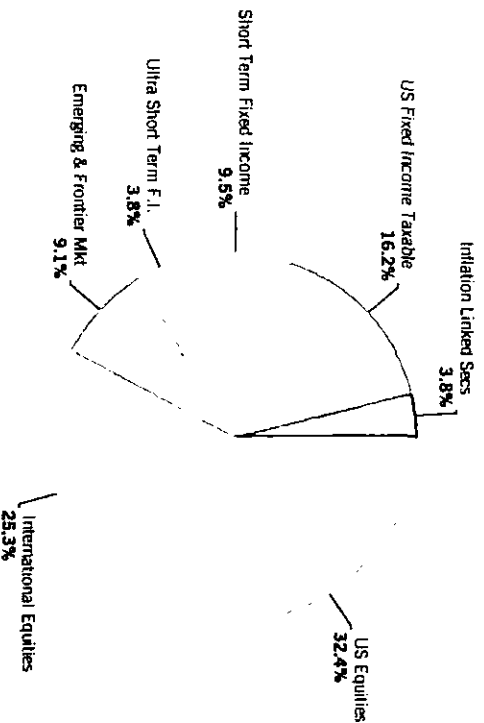
	Quarter to Date 09/30/19-12/31/19	Year to Date 12/31/18-12/31/19	Performance Inception 11/06/07-12/31/19
Beginning Total Value	\$115,062.52	\$100,614.94	\$44,227.96
Beginning Accrued Income	\$0.00	\$0.00	\$0.00
Net Contributions/Withdrawals	-0.81	-0.68	34,337.42
Investment Earnings	5,771.28	20,218.73	42,267.62
Ending Total Value	\$120,833.00	\$120,833.00	\$120,833.00
Ending Accrued Income	\$0.00	\$0.00	\$0.00
DOLLAR WEIGHTED RATE OF RETURN (Annualized for periods over 12 months)	5.02%	20.10%	4.57%
Return % (Net of Fees)			

PERIOD RETURN % (NET OF FEES)



Does not include Performance Ineligible Assets.

ASSET ALLOCATION



Does not include Performance Ineligible Assets.

Inception dates for advisory account(s) reflect the most recent advisory program or discretion change.

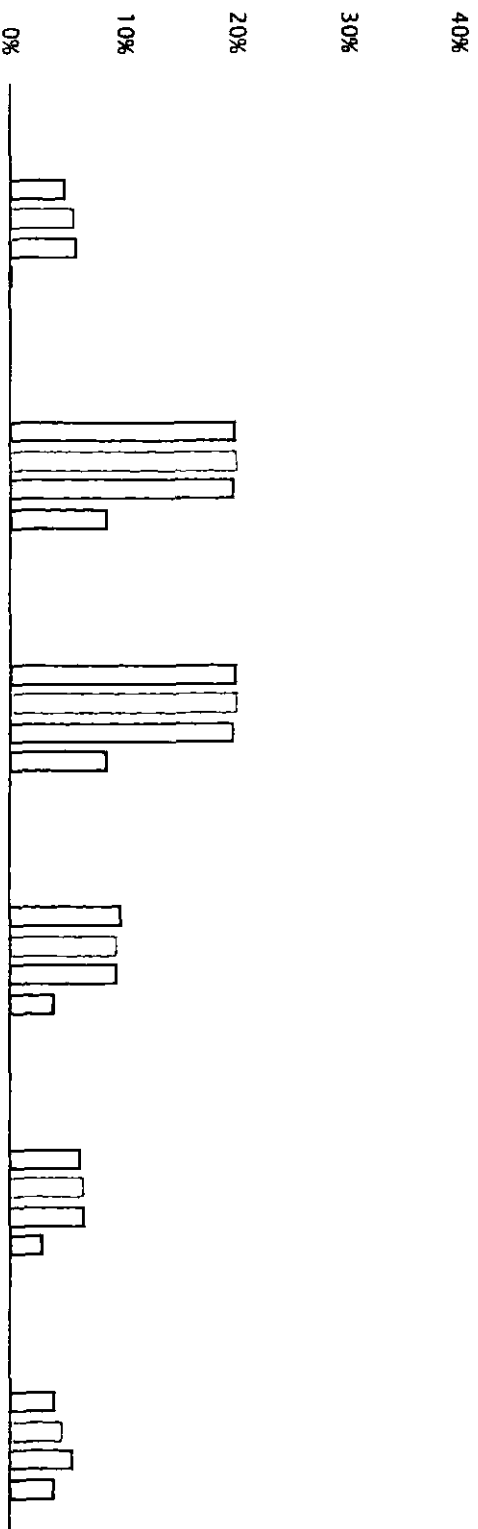
## TIME WEIGHTED PERFORMANCE SUMMARY - ADVISORY ASSETS ONLY

Morgan Stanley

CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

As of December 31, 2019 | Reporting Currency: USD

## RETURN % (NET OF FEES) VS. BENCHMARKS (ANNUALIZED)



Inception dates for advisory account(s) reflect the most recent advisory program or discretion change.

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals.

ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY



Morgan Stanley

CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

As of December 31, 2019 | Reporting Currency: USD

ASSET ALLOCATION: ACTUAL VS. TARGET (Continued)

Asset Class	Actual		Target		Difference	
	12/31/2019					
	(\$)	(%)	(\$)	(%)	(\$)	(%)
Emerging Market Equities	10,968.15	9.10	12,072.82	10.00	-1,104.67	-0.90
Ultra-Short Term FI.	4,585.34	3.80	4,829.13	4.00	-243.79	-0.20
Short Term Fixed Income	11,492.51	9.50	12,072.82	10.00	-580.31	-0.50
Long Term Govt/Corp	9,865.78	8.20	9,658.26	8.00	207.52	0.20
US Taxable Core	9,664.18	8.00	9,658.26	8.00	5.92	0.00
Inflation Linked Secs	4,540.82	3.80	4,829.13	4.00	-288.31	-0.20
Total Assets	120,728.23	100.00	120,728.23	100.00		

Target Allocation as determined by you and your Financial Advisor for this account only.

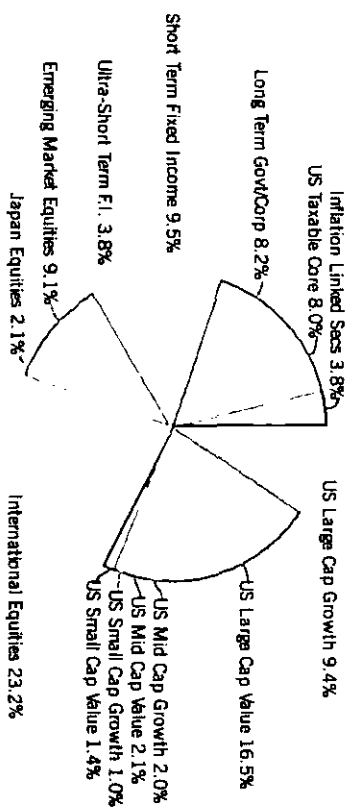
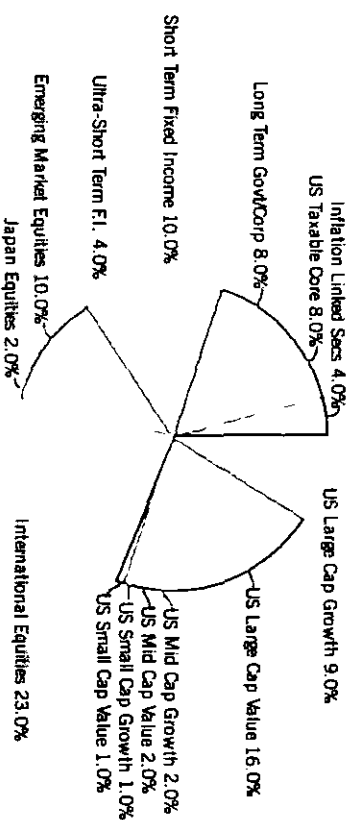
ALLOCATION & INCOME

**ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY**

Morgan Stanley

CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

As of December 31, 2019 | Reporting Currency: USD

**ACTUAL VS. TARGET****Actual****Target****ASSET ALLOCATION: ACTUAL VS. TARGET**

Asset Class	Actual 12/31/2019		Target		Difference	
	(\$)	(%)	(\$)	(%)	(\$)	(%)
US Large Cap Growth	11,292.95	9.40	10,865.54	9.00	427.41	0.40
US Large Cap Value	19,910.22	16.50	19,316.52	16.00	593.70	0.50
US Mid Cap Growth	2,393.10	2.00	2,414.57	2.00	-21.47	0.00
US Mid Cap Value	2,580.40	2.10	2,414.57	2.00	165.84	0.10
US Small Cap Growth	1,222.09	1.00	1,207.28	1.00	14.81	0.00
US Small Cap Value	1,676.09	1.40	1,207.28	1.00	468.81	0.40
International Equities	27,969.77	23.20	27,767.49	23.00	202.28	0.20
Japan Equities	2,566.83	2.10	2,414.57	2.00	152.27	0.10

Target Allocation as determined by you and your Financial Advisor for this account only.

ACCOUNT(S) INCLUDED IN THIS REPORT



Morgan Stanley

CAROLYN YOHO 574-XXX883 - TRAK Fund Solution IRA - Rollover IRA

Reporting Currency: USD

MORGAN STANLEY WEALTH MANAGEMENT

Account Name and Address	Account Type Manager Name	Advisory Brokerage	Account Number	Date Opened	Date Closed
CAROLYN YOHO POST OFFICE BOX 1104 WELAKA	TRAK Fund Solution IRA - Rollover IRA	Advisory	574-XXX883	04/12/95	-

Investment, insurance and annuity products offered through Morgan Stanley Smith Barney LLC are: NOT FDIC INSURED | MAY LOSE VALUE | NOT BANK GUARANTEED | NOT A BANK DEPOSIT | NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY

All content within this Document applies to the accounts listed above or a subset thereof, unless otherwise indicated.

ACCOUNT(S) INCLUDED IN THIS REPORT

TABLE OF CONTENTS

Account(s) Included in This Report	3
Advisory Asset Allocation: Actual Vs. Target - Advisory Assets Only	4
Time Weighted Performance Summary - Advisory Assets Only	6
Investment Summary Dollar Weighted Returns - Advisory Assets Only	7
Disclosures	8

[REDACTED]

Please review the disclosures and definitions throughout this Document

Various sub-sections of this Document may not contain information on all accounts/positions covered in this Document

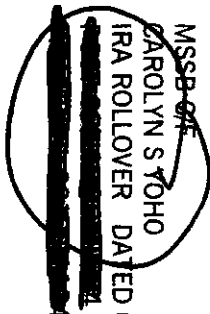


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~~MSRB-011~~

CAROLYN S YOH

IRA ROLLOVER DATED 04/12/95



VIRTUAL ADVISOR



Information as of: December 31, 2019

# Performance Summary

Prepared for: CAROLYN YOH

Account No. 574-XXX883

Prepared on: January 31, 2020





UNITED STATES HOUSE OF REPRESENTATIVES  
ETHICS IN GOVERNMENT ACT

PERIODIC TRANSACTION REPORT

Please provide the following information. Your address and signature WILL NOT be made available to the public.

Ted S Uoho, DVM 352 745 2040  
(Print Full Name) (Daytime Telephone)  
1730 LHOB  
(Complete Address - Office or Home)

Filer Status: ☒ Member ☐ Officer or Employee

CERTIFICATION - THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

The attached Periodic Transaction Report (PTR) is required by the Ethics in Government Act of 1978, as amended. The PTR will be available to the public and will be reviewed by the Committee on Ethics or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file the attached report may be subject to civil penalties and criminal sanctions. See Section 104 of the Ethics in Government Act (5 U.S.C. app. §§ 101-111) and 18 U.S.C. § 1001.

Certification	Signature of Reporting Individual	Date
I CERTIFY that the statements I have made on the attached Periodic Transaction Report are true, complete, and correct to the best of my knowledge and belief.	<u>Ted S Uoho</u>	<u>10/22/19</u>

Members must file a signed original and two photocopies thereof.  
Officers and employees must file a signed original and one photocopy thereof.

\*\*\*FOR OFFICIAL USE ONLY - DO NOT WRITE BELOW\*\*\*

Certification	Signature of Certifying Official	Date
It is my opinion, based on the information contained in this Periodic Transaction Report, that the reporting individual is in compliance with title I of the Ethics in Government Act (5 U.S.C. app. §§ 101-111).		





Member FINRA/SIPC  
4707 Executive Drive, San Diego, CA 92121-3081  
75 State Street, 22nd Floor, Boston, MA 02109-1827  
(856) 567-5352

Trade Confirmation for 09/27/2019

Account Number: XXXX-2190



**For the Account of:**  
0005301 01 MB 0435 01 TR 00020 LPROCDD01 600D BAMD: SHRD  
PTC CUST IRA FBO  
THEODORE S YOHO  
8209 SW 95TH LANE  
GAINESVILLE FL 32608

**Your Account Executive:**  
House Account  
9785 Towne Centre Dr.  
San Diego, CA 92121



**MUTUAL FUNDS, ETFs, AND CLOSED-END FUNDS**

Trade Date/ Bought/ Settlement Sold	Transaction Type	Account Type	Symbol	Cusip	Security Description	Quantity	Price	Principal	Transaction Charge	Service Charge	Sales Charge Rate	Settlement Fee	Net Amount
09/27/2019 Sell	06	1	BSU	46138L403	INVERSCO BCH11ETFSHARES 2019 HIGH YIELD CORP BOND ETF	100	23.92	2,392.00	9.00	0.00	0%	0.05	\$2,382.95
09/27/2019 Sell	06	1	EEAV	464286533	ISHARES EDGE MSCI MIN VOLATILITY EMERGING MARKETS ETF	65	57.26	3,721.90	9.00	0.00	0%	0.08	\$3,712.82
09/27/2019 Sell	06	1	EFAY	46429B689	ISHARES EDGE MSCI MIN VOLATILITY EAFE ETF	50	73.53	3,676.50	9.00	0.00	0%	0.08	\$3,667.42
09/27/2019 Sell	06	1	FTTY	45780C102	INNOVATOR FED 50 ETF	96	32.92	3,160.32	9.00	0.00	0%	0.07	\$3,151.25
09/27/2019 Sell	06	1	FTIL	33738D309	FIRST TRUST SENIOR LOAN FUND ETF	75.076	47.39	3,557.85	9.00	0.00	0%	0.08	\$3,548.77
09/27/2019 Sell	06	1	LCSEX	540132602	LOCORR LONG SHORT COMMODITIES STRATEGIES CL 1	307.578	9.66	2,971.20	0.00	0.00	0%	0.00	\$2,971.20

Trade Confirmation for 09/27/2019

Account Number: XXX-2190

**MUTUAL FUNDS, ETFS AND CLOSED-END FUNDS (cont.)**

Trade Date/ Buy/Sell	Transaction Type	Account Type	Symbol	Cusip	Security Description	Quantity	Price	Principal	Transaction Change	Service Charge	Sales Charge Rate	Settlement Fee	Net Amount
09/27/2019 Sell	06	1	SCHH	308524647	SCHWAB US RETI ETF	100	47.34	4,734.00	9.00	0.00	0%	0.10	\$4,724.90
09/27/2019 Sell	06	1	SCHP	808524670	SCHWAB US TIPS ETF	100.747	56.79	5,721.42	9.00	0.00	0%	0.12	\$5,712.30
09/27/2019 Sell	06	1	UBMV	46429B697	ISHARES EDGE MSCI MIN VOLATILITY ETF	75	64.33	4,824.75	9.00	0.00	0%	0.10	\$4,815.65
09/27/2019 Sell	06	1	XLB	81369Y100	SECTOR MATERIALS SELECT SECTOR SPDR ETF	65	57.96	3,767.40	9.00	0.00	0%	0.08	\$3,758.32
09/27/2019 Sell	06	1	XSLV	46138G102	INVESCO S&P SMALLCAP LOW VOLATILITY ETF	80	49.19	3,935.20	9.00	0.00	0%	0.09	\$3,926.11

Execution Destination Available Upon Request

IF YOU DID NOT RECEIVE A PROSPECTUS, PLEASE REFERENCE BACK OF TRADE CONFIRMATION FOR INSTRUCTIONS

\* ATTACHMENT # 2 \*

Morgan Stanley

CLIENT STATEMENT | For the Period December 1-31, 2019

Account Summary

Retirement Account  
CAROLYN S TOHO  
SEP IRA

CHANGE IN VALUE OF YOUR ACCOUNTS (includes accrued interest)

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
TOTAL BEGINNING VALUE	\$44,966.23	\$37,796.90
Credits	—	—
Debits	—	(532.67)
Security Transfers	—	—
Net Credits/Debits/Transfers	—	\$(532.67)
Change in Value	1,095.32	8,797.32
TOTAL ENDING VALUE	\$46,061.55	\$46,061.55

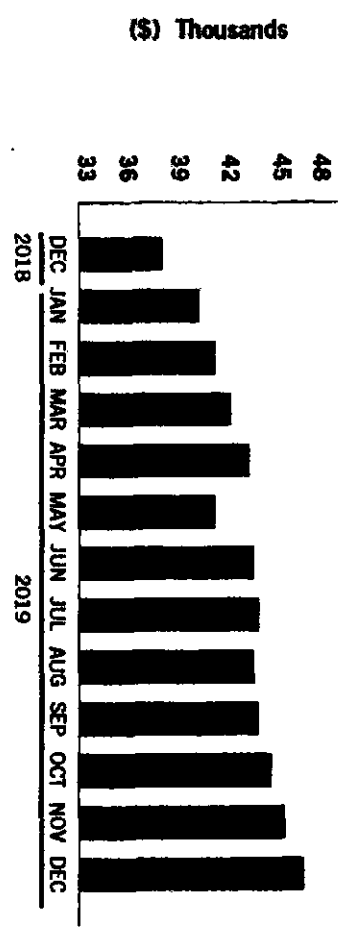
ASSET ALLOCATION (includes accrued interest)

	Market Value	Percentage
Equities	\$31,607.27	68.62
Fixed Income & Preferreds	14,454.28	31.38
TOTAL VALUE	\$46,061.55	100.00%

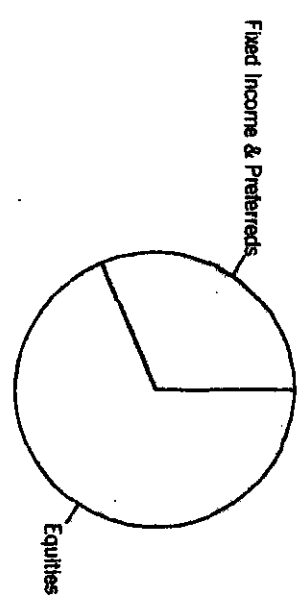
FDIC rules apply and Bank Deposits are eligible for FDIC insurance but are not covered by SIPC. Cash and securities (including MMF's) are eligible for SIPC coverage. See Expanded Disclosures. Values may include assets externally held, which are provided to you as a courtesy, and may not be covered by SIPC. For additional information, refer to the corresponding section of this statement.

MARKET VALUE OVER TIME

The below chart displays the most recent thirteen months of Market Value.



This chart does not reflect corrections to Market Value made subsequent to the dates depicted. It may exclude transactions in Annuities or positions where we are not the custodian, which could delay the reporting of Market Value.



This asset allocation represents holdings on a trade date basis, and projected settled Cash/BDP and MMF balances. These classifications do not constitute a recommendation and may differ from the classification of instruments for regulatory or tax purposes.

# Account Summary

Retirement Account **CAROLYN S YOHIO**  
SEP IRA

## BALANCE SHEET <sup>(\*) Includes accrued interest</sup>

	Last Period (as of 11/30/19)	This Period (as of 12/31/19)
TRAK - Advisory Service	\$44,966.23	\$46,061.55
<b>Total Assets</b>	<b>\$44,966.23</b>	<b>\$46,061.55</b>
<b>TOTAL VALUE</b>	<b>\$44,966.23</b>	<b>\$46,061.55</b>

## INCOME AND DISTRIBUTION SUMMARY

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
Dividends	\$314.34	\$677.22
Long Term Capital Gains Distributions	647.09	949.35
<b>TOTAL INCOME AND DISTRIBUTIONS</b>	<b>\$961.43</b>	<b>\$1,626.57</b>

**BENEFICIARIES** (Contact us to update beneficiary information.)

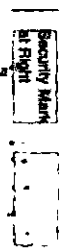
## CASH FLOW

	This Period (12/1/19-12/31/19)	This Year (1/1/19-12/31/19)
<b>OPENING CASH, BDP, MMFs</b>	—	—
Purchases	—	(3,489.00)
Dividend Reinvestments	(961.43)	(1,651.35)
Sales and Redemptions	—	4,021.67
Income and Distributions	961.43	1,651.35
<b>Total Investment Related Activity</b>	<b>—</b>	<b>\$532.67</b>
Other Debits	—	(532.67)
<b>Total Cash Related Activity</b>	<b>—</b>	<b>\$1532.67</b>
<b>CLOSING CASH, BDP, MMFs</b>	<b>—</b>	<b>—</b>

## GAIN/(LOSS) SUMMARY

	Realized This Period (12/1/19-12/31/19)	Realized This Year (1/1/19-12/31/19)	Unrealized Inception to Date (as of 12/31/19)
<b>TOTAL GAIN/(LOSS)</b>	<b>—</b>	<b>\$375.11</b>	<b>\$2,489.53</b>

*The Gain/(Loss) Summary, which may change due to basis adjustments, is provided for informational purposes and should not be used for tax preparation. Refer to Gain/(Loss) in the Expanded Disclosures.*



# Account Summary

Retirement Account  
SEP IRA

CAROLYN S YOMO

Morgan Stanley

## RETIREMENT RECAP

2019 Fair Market Value (includes accrued interest): \$46,061.55

	2018	2019	Since Inception
Contributions			
Employer	—	—	\$16,170.02
Individual Maximum Contribution Limits - by Social Security Number (Traditional / Roth)			
Under Age 50	5,500.00	6,000.00	Not Applicable
Age 50 and Over	6,500.00	7,000.00	Not Applicable

## HISTORICAL CONTRIBUTIONS & DISTRIBUTIONS

	Contributions	Distributions
2014 and Prior	\$16,170.02	\$0.00
2015	0.00	0.00
2016	0.00	0.00
2017	0.00	0.00
2018	0.00	0.00
2019	0.00	0.00
<b>LIFETIME</b>	<b>\$16,170.02</b>	<b>\$0.00</b>

The contribution and distribution transactions reflected above - as well as the Retirement Recap - are based on information you provided and not intended for tax purposes.

"Since Inception" values for Conversion and Recharacterization may display as Rollover for certain transactions. If details are displayed under "Since Inception," the distribution detail is not available. Prior year contributions include those made during the prior year and those made in the current year for the prior year. Refer to the Expanded Disclosures for Additional Retirement Account Information.

## Account Detail

Retirement Account  
SEP IRA

CAROLYN S YOHIO

Brokerage Account

**Investment Objectives (in order of priority):** Capital Appreciation, Aggressive Income, Speculation, Income  
Inform us if your investment objectives, as defined in the Expanded Disclosures, change.  
**Account Holder Votes Proxy:** Yes  
The account holder, or an authorized agent, will vote proxies for the account.

## HOLDINGS

This section reflects positions purchased/sold on a trade date basis. "Market Value" and "Unrealized Gain/(Loss)" may not reflect the value that could be obtained in the market. Your actual investment return may differ from the unrealized gain/(loss) displayed. Fixed income securities are sorted by maturity or pre-refunding date, and alphabetically within date. Estimated Annual Income a) is calculated on a pre-tax basis, b) does not include any reduction for applicable non-US withholding taxes, c) may include return of principal or capital gains which could overstate such estimates, and d) for securities that have a defined maturity date within the next 12 months, is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Current Yield reflects the income generated by an investment, and is calculated by dividing the total estimated annual income by the current market value of the entire position. It does not reflect changes in its price. Structured Investments, identified on the Position Description Details line as "Asset Class: Struct Inv," may appear in various statement product categories. When displayed, the accrued interest, annual income and current yield for those with a contingent income feature (e.g., Range Accrual Notes or Contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and current yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

## TRAK - PERSONALIZED INVESTMENT ADVISORY SERVICE

"Total Purchases vs. Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to: investments made prior to addition of this information on statements; securities transfers; timing of recent distributions; and certain adjustments made in your account.

"Net Value Increase/(Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Certain mutual funds may not be transferable to other broker-dealers. For further information, please refer to the fund's Prospectus or contact us. Global Investment Manager Analysis (GIMA) status codes (FL, AL or NL) may be shown for certain mutual funds. Refer to "GIMA Status in Investment Advisory Programs" in the June or December statement for your first statement, if you have not yet received one in either of those months) for a description of these status codes. Current Yield is the estimated annual income (EAI) divided by the fund's net asset value at the end of the statement period. Distributions may consist of income, capital gains or the returns of capital distributions. EAI is based upon information provided by an outside vendor and is not verified by us.

Although share price is displayed only to three decimal places, calculation of Market Value is computed using the full share price in our data base, which may carry out beyond three decimal places.

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>AMERICAN FUNDAMENTAL INV FZ (FNUFO)</b>	<b>Purchases</b>	<b>\$62.000</b>	<b>\$5,271.18</b>	<b>\$5,413.53</b>	<b>\$142.35</b>		
Reinvestments	17.170		961.54	1,064.54	103.00		
<b>Total</b>	<b>104.485</b>		<b>6,232.72</b>	<b>6,478.07</b>	<b>245.35</b>	<b>83.00</b>	<b>1.28</b>
<b>Net Value Increase/(Decrease)</b>			<b>5,271.18</b>	<b>6,478.07</b>	<b>1,206.89</b>		
<b>Total Purchases vs Market Value</b>							
<b>GIMA Status: AL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>AMERICAN NEW WORLD FZ (DNFTFO)</b>	<b>Purchases</b>	<b>70.310</b>	<b>3,695.41</b>	<b>3,881.83</b>	<b>186.52</b>		
Reinvestments	3.744		240.86	263.24	22.38		
<b>Total</b>	<b>59.098</b>		<b>3,936.27</b>	<b>4,145.18</b>	<b>218.90</b>	<b>56.00</b>	<b>1.35</b>



# Account Detail

Retirement Account  
SEP IRA  
CAROLYN S YOHIO

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>BARON GROWTH INSTITUTIONAL (BSGRI)</b>							
GIMA Status: AL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Total Purchases vs Market Value			3,695.41	4,155.18			
Net Value Increase/(Decrease)				459.77			
Purchases	9,654	85.690	674.56	827.26	152.68		
Reinvestments	1,212		91.88	103.85	11.97		
Total	10,866		766.46	931.11	164.65		
Total Purchases vs Market Value			766.46	931.11			
Net Value Increase/(Decrease)				256.53			
<b>BLACKROCK INFLAT PROT BOND I (BPIRI)</b>							
GIMA Status: FL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Total Purchases vs Market Value			1,645.60	1,612.97	(32.63)		
Net Value Increase/(Decrease)				164.75	4.06		
Purchases	149,073	10.820	1,606.9	1,612.97	4.06		
Reinvestments	15,226		160.69	164.75			
Total	164,299		1,806.29	1,777.72	(28.57)		
Total Purchases vs Market Value			1,806.29	1,777.72			
Net Value Increase/(Decrease)				132.12			
<b>BLACKROCK LOW DUR BD INV INST (BSHNS)</b>							
GIMA Status: AL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FL & Prof							
Total Purchases vs Market Value			4,149.29	4,201.62	52.33		
Net Value Increase/(Decrease)				186.15	1.99		
Purchases	435,852	9.540	184.16	186.15			
Reinvestments	19,310		4,333.45	4,387.76	54.32		
Total	455,162		4,149.29	4,387.76	238.47		
Total Purchases vs Market Value			4,333.45	4,387.76			
Net Value Increase/(Decrease)				238.47			
<b>HARTFORD INDCAP 1 (RIFRI)</b>							
GIMA Status: FL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FL & Prof							
Total Purchases vs Market Value			1,082.67	1,107.78	25.12		
Net Value Increase/(Decrease)				233.10	34.49		
Purchases	34,902	31.740	198.61	233.10			
Reinvestments	7,344		1,281.28	1,340.89	59.61		
Total	42,246		1,082.67	1,340.89	258.22		
Total Purchases vs Market Value			1,281.28	1,340.89			
Net Value Increase/(Decrease)				258.22			
<b>JOHN HANCOCK INTL GROWTH I (JGGIN)</b>							
GIMA Status: FL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Total Purchases vs Market Value			9,649.11	10,354.80	705.69		
Net Value Increase/(Decrease)				405.99	66.65		
Purchases	344,242	30.080	338.94	405.99			
Reinvestments	13,484		9,988.05	10,760.40	772.34		
Total	357,726		9,649.11	11,111.29	72.08		
Total Purchases vs Market Value			9,988.05	10,760.40			
Net Value Increase/(Decrease)				1,111.29			
<b>MATTHEWS ASIAN JAPAN INV (MAJFO)</b>							
GIMA Status: FL, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities							
Total Purchases vs Market Value			1,087.16	1,105.55	108.39		
Net Value Increase/(Decrease)				243.78	1.14		
Purchases	55,581	21.510	242.64	243.78			
Reinvestments	11,333		1,329.80	1,439.32	109.53		
Total	66,914		1,329.80	1,439.32	8.00		

**CAROLYN S YOHIO**

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<b>Total Purchases vs Market Value</b> Net Value Increase/(Decrease)			1,087.16	1,439.32			
<b>GMA Status: FL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>NEUBERGER BERMAN GENESIS INST (NEBGI)</b>	Purchases	8.141	58.490	479.04	476.17	(2.87)	
Reinvestments		8.772		485.91	513.07	27.16	
<b>Total</b>		16.913		964.95	988.24	24.29	2.00
<b>Total Purchases vs Market Value</b> Cumulative Cash Distributions				479.04	989.24		0.20
Net Value Increase/(Decrease)				105.58			
<b>GMA Status: AL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>PEIM GMA MID-CAP VALUE 2 (SPVZD)</b>	Purchases	57.054	18.940	1,214.09	1,080.60	(134.09)	
Reinvestments		8.576		145.66	162.43	16.77	
<b>Total</b>		65.630		1,360.35	1,243.03	(117.32)	31.00
<b>Total Purchases vs Market Value</b> Net Value Increase/(Decrease)				1,214.69	1,243.03		2.49
<b>GMA Status: AL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>PIMCO LONG TERM CREDIT BD 12 (PLCPO)</b>	Purchases	283.428	12.920	3,489.00	3,681.89	172.89	
Reinvestments		5.721		74.21	73.92	(0.29)	
<b>Total</b>		289.149		3,563.21	3,755.81	172.60	163.00
<b>Total Purchases vs Market Value</b> Net Value Increase/(Decrease)				3,489.00	3,755.81		4.36
<b>GMA Status: AL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI &amp; Prof</b>							
<b>PIONEER FUNDAMENTAL GROWTH Y (FUNDY)</b>	Purchases	135.472	27.050	3,025.09	3,684.52	639.43	
Reinvestments		22.385		542.22	605.81	63.29	
<b>Total</b>		157.857		3,567.31	4,270.03	702.72	15.00
<b>Total Purchases vs Market Value</b> Net Value Increase/(Decrease)				3,025.09	4,270.03		0.35
<b>GMA Status: FL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: Equities</b>							
<b>POTNAM ULTRA SHT DUR INC Y (PSDYO)</b>	Purchases	81.888	10.060	823.79	822.79	(0.00)	
Reinvestments		3.378		33.98	33.99	0.01	
<b>Total</b>		85.266		857.77	857.78	0.01	22.00
<b>Total Purchases vs Market Value</b> Net Value Increase/(Decrease)				823.79	857.78		2.56
<b>GMA Status: FL - Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI &amp; Prof</b>							
<b>WESTERN ASSET CORE PLUS BD 1 (WACPZO)</b>	Purchases	285.306	11.970	3,312.41	3,415.11	102.70	
Reinvestments		23.400		271.70	280.10	8.40	

## Account Detail

Redemption Account  
SEP IRA

CAROLYN S YOHIO

Security Description	Quantity	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
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Total Purchases vs Market Value  
Net Value Increase/(Decrease)

Total	308.706		3,584.11	3,695.21	111.10	129.00	3.49
			3,312.41	3,695.21	382.80		

GMMA Status: FI, Enrolled in MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Perf

TRAX - PERSONALIZED INVESTMENT ADVISORY SERVICE 100.00%	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
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		\$43,572.02	\$46,061.55	\$2,489.53	\$743.00	1.61%
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TOTAL VALUE	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
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100.00%		\$43,572.02	\$46,061.55	\$2,489.53	\$743.00	1.61%
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Unrealized Gain/(Loss) totals only reflect positions that have both cost basis and market value information available. Cash, MMF, Deposits and positions stating 'Please Provide' or 'Pending Corporate Actions' are not included.

## ALLOCATION OF ASSETS

TRAX - Advisory Service	Cash	Equities	Fixed Income & Preferred Securities	Alternatives	Structured Investments	Other
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	\$31,607.27	\$14,454.28				
TOTAL ALLOCATION OF ASSETS	—	\$31,607.27	\$14,454.28	—	—	—

## ACTIVITY

### CASH FLOW ACTIVITY BY DATE

Activity	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/Debits
----------	-----------------	---------------	-------------	----------	----------	-------	----------------

12/2		Dividend	WESTERN ASSET CORE PLUS BD I				\$17.41
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	PIMCO LONG TERM CREDIT BD I2				14.69
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	BLACKROCK LOW DUR BD INV INST				8.36
12/2		Dividend	DIV PAYMENT				
12/2		Dividend	PUTNAM ULTRA SHT DUR INC Y				1.55
12/2		Dividend	DIV PAYMENT				
12/2		Dividend Reinvestment	WESTERN ASSET CORE PLUS BD I	REINVESTMENT #6 11/29/19	1.442	12.0700	(17.41)

## Account Detail

Reirement Account  
 SEP IRA  
 CAROLYN S YOHIO

## CASH FLOW ACTIVITY BY DATE (CONTINUED)

Date	Settlement Date	Activity Type	Description	Comments	Quantity	Price	Credits/Debits
12/2		Dividend Reinvestment	PIMCO LONG TERM CREDIT BD 12	REINVESTMENT a/b 11/29/19	1.130	13.0000	(14.69)
12/2		Dividend Reinvestment	BLACKROCK LOW DUR BD INV INST	REINVESTMENT a/b 11/29/19	0.868	9.6300	(8.36)
12/2		Dividend Reinvestment	PUTNAM ULTRA SHT DUR INC Y	REINVESTMENT a/b 11/29/19	0.154	10.0600	(1.55)
12/1		LT Cap Gain Distribution	HARTFORD MIDCAP 1	REINVESTMENT a/b 12/10/19	2.115	30.8900	(65.32)
12/1		Dividend Reinvestment	HARTFORD MIDCAP 1	REINVESTMENT a/b 12/10/19			
12/12		ST Cap Gain Distribution	PIMCO LONG TERM CREDIT BD 12	REINVESTMENT a/b 12/11/19	0.955	13.0100	(12.43)
12/12		Dividend Reinvestment	PIMCO LONG TERM CREDIT BD 12	REINVESTMENT a/b 12/11/19			
12/16		Dividend	JOHN HANCOCK INTL GROWTH 1	DIV PAYMENT			71.63
12/16		Dividend Reinvestment	JOHN HANCOCK INTL GROWTH 1	REINVESTMENT a/b 12/13/19	2.434	29.4300	(71.63)
12/17		Dividend	NEUBERGER BERMAN GENESIS INST	DIV PAYMENT			2.02
12/17		LT Cap Gain Distribution	NEUBERGER BERMAN GENESIS INST	REINVESTMENT a/b 12/16/19	0.932	57.8900	(53.97)
12/17		Dividend Reinvestment	NEUBERGER BERMAN GENESIS INST	REINVESTMENT a/b 12/16/19	0.035	57.8900	(2.02)
12/18		Dividend	MATTHEWS ASIAN JAPAN INV	DIV PAYMENT			7.37
12/18		LT Cap Gain Distribution	MATTHEWS ASIAN JAPAN INV	REINVESTMENT a/b 12/17/19	4.966	21.5400	(106.96)
12/18		Dividend Reinvestment	MATTHEWS ASIAN JAPAN INV	REINVESTMENT a/b 12/17/19	0.342	21.5400	(7.37)
12/19		Dividend	PGIM GMA MID-CAP VALUE Z	DIV PAYMENT			30.05
12/19		LT Cap Gain Distribution	WESTERN ASSET CORE PLUS BD 1	REINVESTMENT a/b 12/18/19	2.790	11.9200	(33.26)
12/19		ST Cap Gain Distribution	WESTERN ASSET CORE PLUS BD 1	REINVESTMENT a/b 12/18/19	1.598	18.8100	(30.05)
12/19		Dividend Reinvestment	WESTERN ASSET CORE PLUS BD 1	REINVESTMENT a/b 12/18/19	1.222	11.9200	(14.57)
12/23		Dividend	AMERICAN NEW WORLD F2	DIV PAYMENT			53.54
12/23		Dividend	AMERICAN FUNDAMENTAL INV F2	DIV PAYMENT			46.69
12/23		LT Cap Gain Distribution	AMERICAN FUNDAMENTAL INV F2	REINVESTMENT a/b 12/20/19	4.883	61.8000	(301.78)
12/23		LT Cap Gain Distribution	AMERICAN FUNDAMENTAL INV F2	REINVESTMENT a/b 12/20/19	1.492	70.0300	(104.49)
12/23		Dividend Reinvestment	AMERICAN NEW WORLD F2	REINVESTMENT a/b 12/20/19	0.765	70.0300	(53.54)
12/23		Dividend Reinvestment	AMERICAN NEW WORLD F2	REINVESTMENT a/b 12/20/19	0.756	61.8000	(46.69)
12/30		Dividend	PIONEER FUNDAMENTAL GROWTH Y	DIV PAYMENT			15.34
12/30		Dividend Reinvestment	PIONEER FUNDAMENTAL GROWTH Y	REINVESTMENT a/b 12/27/19	0.565	27.1500	(15.34)

Account Detail

Redemption Account  
SEP IRA  
CAROLYN S YOHIO

CASH FLOW ACTIVITY BY DATE (CONTINUED)

Activity	Settlement	Activity Type	Description	Comments	Quantity	Price	Credits/Debits
NET CREDITS/DEBITS							
\$0.00							

Purchase and Sale transactions above may have received an average price execution. Details regarding the actual prices are available upon request.

MESSAGES

Senior Investor Helpline  
For any inquiries or potential concerns, senior investors or someone acting on their behalf may contact our Firm by calling (800) 280-4534.  
IRA Fair Market Value - 5498

This information is being furnished to the Internal Revenue Service ("IRS").  
Please note that Morgan Stanley Smith Barney LLC is required by law to report the December 31, 2019, Fair Market Value of an IRA, along with the Fair Market Value and type(s) of certain specified assets/hard-to-value assets held in an IRA to the IRS and to IRA holders. For purposes of this reporting requirement, the "2019 Fair Market Value" along with the "2019 Fair Market Value of Certain Specified Assets" and the "2019 Type(s) of Specified Assets" reported on this Year-End Statement will serve as your written notification of this Fair Market Value information in compliance with IRS requirements. The "2019 Fair Market Value," along with the "2019 Fair Market Value of Certain Specified Assets" and the "2019 Type(s) of Specified Assets" on your Year-End Statement will also be the Fair Market Value information that we report electronically to the IRS, on IRS Form 5498, along with your name, address, and tax identification number (e.g., Social Security Number). If we receive an adjusted year-end value for any investments (e.g., custodial annuities) held within this IRA, your Fair Market Value information may change. Any changes to the Fair Market Value information will be reflected on your next statement and in the Fair Market Value information we report electronically to the IRS. Please note, however, that a second notice (on IRS Form 5498) will be provided to you if you make any reportable contributions to your IRA for 2019, including, for example, individual contributions made on or before April 15, 2020, that are designated as 2019 contributions, as well as rollovers, recharacterizations, and, if applicable, Roth conversions made to your IRA on or before December 31, 2019.

FINRA BrokerCheck  
FINRA has established the public disclosure program, known as BrokerCheck, to provide certain information regarding the disciplinary history of FINRA members and their associated persons. The BrokerCheck Hotline Number is 1-800-289-9999. The FINRA web site address is [www.finra.org](http://www.finra.org). An investor brochure that includes information describing FINRA BrokerCheck may be obtained from FINRA.

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\* ATTACHMENT # 3 \*

# Ted's IRA

Account Number: 1851-2190 - Deactivated<sup>1</sup>  
4th Quarter 2019 Statement

Values as of December 31, 2019

0041324 03 SP 0.560 03 00301 LPDMD129 500D SHRD 000110  
PTC CUST IRA FBO  
THEODORE S YOHO  
[REDACTED]  
[REDACTED] 98



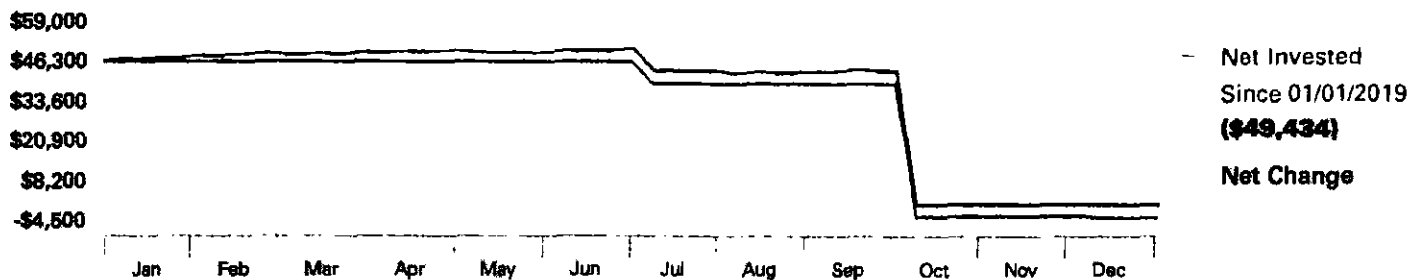
**Investment Objective**  
Growth with Income

**Your Account Executive: House Account**  
(800)558-7567  
9785 Towne Centre Drive  
San Diego, CA 92121-3625

Value on January 1, 2019  
**\$45,608.99**

Value as of last statement 10/31/2019  
**\$0.11**

Value on December 31, 2019  
**\$0.11**



## Account Summary

	4th Quarter 10/01 - 12/31/2019	Year to Date 01/01 - 12/31/2019
<b>Starting Value</b>	<b>\$42,714.31</b>	<b>\$45,608.99</b>
<b>Total Change in Value of Assets</b>	<b>(\$42,714.20)</b>	<b>(\$45,608.88)</b>
<b>Inflows</b>	<b>—</b>	<b>—</b>
<b>Outflows</b>	<b>(\$42,534.31)</b>	<b>(\$49,434.31)</b>
<b>Dividends, Interest, Capital Gains</b>	<b>\$0.11</b>	<b>\$731.11</b>
<b>Fees / Expenses<sup>2</sup></b>	<b>(\$180.00)</b>	<b>(\$367.05)</b>
<b>Increase / Decrease in Market Value<sup>3</sup></b>	<b>—</b>	<b>\$3,461.37</b>
<b>Total Ending Value (December 31, 2019)</b>	<b>\$0.11</b>	<b>\$0.11</b>

<sup>1</sup> Advisory account status has been deactivated, which means fee billing and performance reporting have been discontinued, with trading limited to liquidating or closing security transactions only.  
<sup>2</sup> Total Advisory Fees of \$239.91 were incurred year-to-date. Your account carries an annualized Advisory Fee of 1.00%.  
<sup>3</sup> Increase/decrease in Market Value reflects the impact of changes in the value of securities held in your LPL Financial account, as well as the impact of any transfers of securities into or out of your account during the statement period.

## Retirement Summary

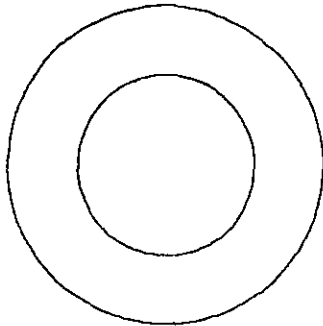
2019

Retirement Contributions applied to year...

Retirement Distributions applied to year...

(\$49,434.31)

## Asset Allocation As of 12/31/2019



6

1	Equities & Options	-	-
2	Fixed Income	-	-
3	ETPs, Mutual, Closed-End & Interval Funds	-	-
4	Alternative Investments	-	-
5	Annuities	-	-
6	Cash & Cash Equivalents	100.00%	\$0.11
7	Other	-	-
Total Ending Value		100.00%	\$0.11





## Account Holdings As of December 31, 2019

### Cash and Cash Equivalents

Description	Interest / Dividend Paid in December	Interest / Dividend Rate <sup>5</sup>	Current Balance
Insured Cash Account <sup>6</sup>			
<i>Citibank NA</i>			\$0.11
Total Insured Cash Account	—	N/A	\$0.11
<b>Total Cash and Cash Equivalents</b>			<b>\$0.11</b>

### Total Account Holdings

Market Value (\$)	Estimated Annual Income (\$) <sup>7</sup>
0.11	—

### Cash Activity Summary

	Since last statement 11/01 - 12/31/2019	4th Quarter 10/01 - 12/31/2019	Year to Date 01/01 - 12/31/2019
Securities Purchased	—	—	(\$6,543.70)
Securities Sold	—	—	\$51,204.89
Cash Inflows	—	—	—
Cash Outflows	—	(\$42,534.31)	(\$49,434.31)
Dividends, Interest, & Capital Gains	—	\$0.11	\$731.11
Fees / Expenses <sup>7</sup>	—	(\$180.00)	(\$367.05)

### Rate of Return Summary

Net Invested Since 08/10/2011: (\$8,866.48)  
 Net Change Since 08/10/2011: \$8,866.59

	Inception Date	YTD	3 Year Annualized	Inception- to-Date	Inception- to-Date Annualized
<b>Your Account</b>	<b>08/10/2011</b>	<b>8.29%</b>	<b>2.06%</b>	<b>31.28%</b>	<b>3.30%</b>
<b>LPL Standard Benchmark</b>		<b>21.77%</b>	<b>10.49%</b>	<b>151.59%</b>	<b>11.62%</b>

Rate of Return data is net of Advisory Fees. Deduction of other fees and charges is not reflected in the figures above. Past performance is no guarantee of future results. "... " is indicative that the return is not available due to insufficient data.

<sup>5</sup> Bank Deposit Sweep interest is paid on daily balances at a rate reflecting the weighted average rate during the statement month. Money Market Sweep dividend is a 30-day yield.  
<sup>6</sup> Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See message section for further information.  
<sup>7</sup> Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.  
<sup>7</sup> Fees and expenses include account, custodial and advisory fees assessed during the statement period.

## Messages From Your Financial Advisor

The rep ID number on your account is not linked to an active representative. Please contact your current investment representative to address this matter. If you have any further questions about your account, please contact Client Services at (800) 558-7587. Thank you.

## Messages From LPL Financial

### PAPERLESS STATEMENTS

Go paperless and view your monthly statements and trade confirmations online. Monthly statements are available online within three business days, and trade confirmations are available the next business day after the trade is executed. To go paperless, click on the LPL Account View link accessible through your financial advisor or institution website. Paperless statements are convenient, secure, fast and environmentally friendly. Enjoy the many benefits of free paperless statements and sign up today.

### ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY numbers will be generated. EAI and EY for certain types of securities could include a return of principal or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

### NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial advisor.

### SETTLEMENT FEE

LPL passes through certain regulatory fees incurred by LPL as a result of executing the transaction on your behalf. This includes fees charged under Section 31 of the Securities Exchange Act for sell transactions in equities and options.

### POLICY FOR BENEFICIARY ACCOUNTS

Beneficiaries are required to open an account to receive any securities or cash from a deceased client's account. LPL generally will divide all securities and cash proportionately among the designated beneficiaries based on the allocations indicated by the account holder. However, this policy and procedure address specific situations, such as the treatment of securities remaining after the proportionate division of assets. You may visit [lpl.com](http://lpl.com) to learn more.

### ICA INFORMATION

Your balances in the Insured Cash Account (ICA) Program are allocated to each depository institution on the Priority Bank List in increments of \$246,500 for individual and trust accounts and \$493,000 for joint accounts. As always, you should review your cash positions with various depository institutions to determine whether your cash is within the FDIC insurance coverage limits. For more information about FDIC insurance limits, please contact your financial adviser or go to [www.fdic.gov](http://www.fdic.gov).

Please be advised that the Priority Bank List for the ICA Program may change from time to time. These changes include the order of priority in which banks are listed as well as the addition and removal of banks. Please be sure to consult your financial advisor or [LPL.com](http://LPL.com) periodically throughout the month for recent updates and information regarding how these changes may impact your account.

&lt; All Accounts

IRA + SEP IRA

06/29/2020 11:00:00 AM

Learn More

Total Assets

Today's Change

\$161,646.76

-

As of 6/29/2020 2:49 PM ET | Refresh Market Data

Home &gt; Accounts &gt; IRA + SEP IRA &gt; All Activity

Activity

View Prior Year

Deposits, Payments + Cash Transfers

Investment Activity

All Activity

Activity Date	Transaction Date	Account	Activity	Description	Quantity	Price (\$)	Amount (\$)
04/16/2019	04/16/2019	TRAK Fund Solu...	Sold	JOHN HANCOCK US GLB LDERS GW I CONFIRM NBR	111.938	53.6100	6,001.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	MSIF INTERNATIONAL EQUITY INST CONFIRM NBR	168.510	15.3700	2,590.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	PIONEER FUNDAMENTAL GROWTH Y CONFIRM NBR	79.287	26.0700	2,067.00
12/17/2019	12/16/2019	TRAK Fund Solu...	LT Cap Gain Distributi	MSIF INTERNATIONAL EQUITY INST			2,024.36
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	HARTFORD MIDCAP I CONFIRM NBR	47.467	32.1700	1,527.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	COLUMBIA DIVIDEND INCOME INST CONFIRM NBR	62.500	22.9600	1,435.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	MATTHEWS ASIAN JAPAN INV CONFIRM NBR	67.670	20.9400	1,417.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	T ROWE PRICE QM US SM CP GR EQ CONFIRM NBR	35.151	38.6900	1,360.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	JOHN HANCOCK INTL GROWTH I CONFIRM NBR	44.272	28.2800	1,252.00
07/17/2019	07/17/2019	TRAK Fund Solu...	Sold	NEUBERGER BERMAN GENESIS INST CONFIRM NBR	15.149	58.4200	886.00
12/16/2019	12/13/2019	TRAK Fund Solu...	LT Cap Gain Distributi	JOHN HANCOCK US GLB LDERS GW I			627.87
12/17/2019	12/16/2019	TRAK Fund Solu...	Dividend	MSIF INTERNATIONAL EQUITY INST DIV PAYMENT			561.09
11/11/2019	11/11/2019	TRAK Fund Solu...	Sold	PGIM QMA MID-CAP VALUE Z CONFIRM NBR	16.782	18.8400	316.18
05/09/2019	05/09/2019	TRAK Fund Solu...	Sold	MSIF INTERNATIONAL EQUITY INST CONFIRM NBR	20.786	14.8300	308.25
08/09/2019	08/09/2019	TRAK Fund Solu...	Sold	PGIM QMA MID-CAP VALUE Z CONFIRM NBR	17.841	17.1800	306.51
12/23/2019	12/20/2019	TRAK Fund Solu...	LT Cap Gain Distributi	AMERICAN FUNDAMENTAL INV F2			301.78
12/23/2019	12/20/2019	TRAK Fund Solu...	LT Cap Gain Distributi	AMERICAN NEW WORLD F2			275.82
02/11/2019	02/11/2019	TRAK Fund Solu...	Sold	JOHN HANCOCK US GLB LDERS GW I CONFIRM NBR	5.547	49.3200	273.66
11/27/2019	11/26/2019	TRAK Fund Solu...	LT Cap Gain Distributi	PIONEER FUNDAMENTAL GROWTH Y			215.07
12/16/2019	12/13/2019	TRAK Fund Solu...	LT Cap Gain Distributi	COLUMBIA DIVIDEND INCOME INST			210.95
12/18/2019	12/17/2019	TRAK Fund Solu...	LT Cap Gain Distributi	MATTHEWS ASIAN JAPAN INV			190.75




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**\$161,646.76** -As of 6/29/2020 2:49 PM ET | [Refresh Market Data](#)
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Holdings	Activity	Realized Gain/Loss	Portfolio Analytics	Documents
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Investment Activity

Activity Date	Transaction Date	Account	Activity	Description	Symbol / Cusip	Quantity	Price (\$)	Amount (\$)
08/01/2019	07/31/2019	TRAK Fund Solu...	Dividend Reinvestme	PUTNAM ULTRA SHT DUR INC Y REINVESTMENT AS OF DATE: 07/31/2019	PSDYX 74676P698	0.997	10.0600	(-10.03)
07/01/2019	06/28/2019	TRAK Fund Solu...	Dividend Reinvestme	BLACKROCK INFLAT PROT BOND I REINVESTMENT AS OF DATE: 06/28/2019	BPRX 09260B556	0.944	10.6300	(-10.03)
02/01/2019	01/31/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 01/31/2019	WACPX 957663503	0.876	11.4500	(-10.03)
06/03/2019	05/31/2019	TRAK Fund Solu...	Dividend Reinvestme	BLACKROCK LOW DUR BD INV INST REINVESTMENT AS OF DATE: 05/31/2019	BFMSX 09260B465	1.055	9.5800	(-10.01)
09/03/2019	08/30/2019	TRAK Fund Solu...	Dividend Reinvestme	PUTNAM ULTRA SHT DUR INC Y REINVESTMENT AS OF DATE: 08/30/2019	PSDYX 74676P698	1.026	10.0600	(-10.32)
01/02/2019	12/31/2018	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 12/31/2018	WACPX 957663503	0.928	11.2100	(-10.40)
07/01/2019	06/28/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 06/28/2019	WACPX 957663503	0.877	11.9100	(-10.44)
04/01/2019	03/29/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 03/29/2019	WACPX 957663503	0.812	11.5700	(-10.55)
04/01/2019	03/29/2019	TRAK Fund Solu...	Dividend Reinvestme	BLACKROCK LOW DUR BD INV INST REINVESTMENT AS OF DATE: 03/29/2019	BFMSX 09260B465	1.108	9.5500	(-10.58)
05/01/2019	04/30/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 04/30/2019	WACPX 957663503	0.916	11.5700	(-10.40)
08/01/2019	07/31/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 07/31/2019	WACPX 957663503	0.897	11.8900	(-10.46)
06/03/2019	05/31/2019	TRAK Fund Solu...	Dividend Reinvestme	BLACKROCK INFLAT PROT BOND I REINVESTMENT AS OF DATE: 05/31/2019	BPRX 09260B556	1.005	10.6100	(-10.66)
09/03/2019	08/30/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 08/30/2019	WACPX 957663503	0.894	12.1300	(-10.65)
06/03/2019	05/31/2019	TRAK Fund Solu...	Dividend Reinvestme	PUTNAM ULTRA SHT DUR INC Y REINVESTMENT AS OF DATE: 05/31/2019	PSDYX 74676P698	1.091	10.0600	(-10.98)
06/03/2019	05/31/2019	TRAK Fund Solu...	Dividend Reinvestme	WESTERN ASSET CORE PLUS BD I REINVESTMENT AS OF DATE: 05/31/2019	WACPX 957663503	0.996	11.7000	(-11.65)



