



Filing ID #10044439

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2020  
**Filing Date:** 01/28/2022

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

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

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[HE]					
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Carlyle Asia Partners II Private Investors LLC [HE]		\$1,001 - \$15,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Cash in JP Morgan checking account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Fialko, LLC ⇒ Cash in JP Morgan investment account [BA]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
- Fialko, LLC ⇒ Highbridge Mezzanine Partners, LP [HE]		\$100,001 - \$250,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan Alternative Property Fund Domestic 1 LP [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan India Property Fund, LP [HE]		\$15,001 - \$50,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX) [MF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Fialko, LLC ⇒ KKR 2006 Private Investors, LLC (Onshore) [HE]		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Outsell, Inc. [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US					
DESCRIPTION: Developer of consumer engagement technologies for the automotive industry.					
- Fialko, LLC ⇒ Penny's Coffee LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US					
DESCRIPTION: Coffee shops.					
- Fialko, LLC ⇒ Rational Energies LLC [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Phillips Family Properties, LLC ⇒ Cash in JP Morgan checking account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Artwork [OL]		\$1,001 - \$15,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Commercial Property [OL]		\$15,001 - \$50,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Commercial Property					
- Privately-Held Business Entities ⇒ Geniecast, LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: St.Louis/St. Louis, MO, US DESCRIPTION: Developer of a live, two-way video conferencing portal connecting people, ideas and inspiration.					
- Privately-Held Business Entities ⇒ MyMeds, Inc. [OL]		\$50,001 - \$100,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: C-Corp - MyMeds, Inc. is a developer of solutions to address the human and economic costs of medication non-adherence.					
- Privately-Held Business Entities ⇒ Penny's Coffee LLC [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Privately-Held Business Entities ⇒ Rational Energies LLC [OL]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Plymouth / Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Privately-Held Business Entities ⇒ Spark Boulder 24, LLC [OL]		\$250,001 - \$500,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Boulder / Boulder, CO, US DESCRIPTION: LEED Platinum Neighborhood Development Community in Boulder, Colorado.					
- Retirement Account 1 ⇒ Fidelity Freedom K 2035 Fund (FSNUX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Retirement Account 2 ⇒ Fidelity Target Date 2035 Fund [MF] DESCRIPTION: EIF		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Amer Funds T/E BND Am-F3 (TFEBX) [MF]		\$100,001 - \$250,000	None		<input type="checkbox"/>
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Blackstone Partners Investment Fund LP Class B [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		<input type="checkbox"/>
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Carlyle Asia Partners II Private Investors LLC [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>
- Trust 1 ⇒ Cash in JP Morgan investment account [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Chubb Limited (CB) [ST]		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Corbin Capital Partners - Pinehurst Partners LP [HE]		\$250,001 - \$500,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: EIF					
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Emerson Electric Company (EMR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Eton Park Fund, LP Class E - New Issue Ineligible Non-Self Dealing [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Fidelity 500 Index (FXAIX) [MF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Fidelity International Index (FSPSX) [MF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Highbridge Mezzanine Partners LP [HE]		\$15,001 - \$50,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 1 ⇒ HPS Mezzanine Private Investors II LLC [HE]		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	<input type="checkbox"/>
DESCRIPTION: EIF					
- Trust 1 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares 7-10 Year Treasury Bond (IEF) [EF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Core MSCI Emerging Markets Index (IEMG) [EF]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI Japan New (EWJ) [EF]		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Short Treasury Bond ETF (SHV) [EF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPM Tax Free MMkt Inst Sweep Fd [BA]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒		\$100,001 -	Dividends	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$250,000		\$5,000	
- Trust 1 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Matthews Pacific Tiger - Inst (MIPTX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Micron Technology, Inc. (MU) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 1 ⇒ PGIM High Yield-Q (PHYQX) [MF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ PIMCO High Yield Fund-Inst (PHIYX) [MF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles International Unconstrained Equity Fund (CIUEX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles Tax Aware Bond (CBTAX) [MF]		\$250,001 - \$500,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Smith & Nephew SNATS, Inc. (SNN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Unilever PLC (UL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ Cash in JP Morgan investment account [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Investor Grow Fd - Cl I (ONIFX) [MF]		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
- Trust 6 ⇒ Cash in JP Morgan investment account [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
- Trust 6 ⇒ Midland National Life insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy. Policy surrendered in 2020.		None	Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
- Trust 6 ⇒ North American Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		<input type="checkbox"/>
- Trust 7 ⇒ John Hancock Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
3M Company (MMM) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Abbott Laboratories (ABT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
AbbVie Inc. (ABBV) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Accenture plc Class A Ordinary Shares (ACN) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Activision Blizzard, Inc (ATVI) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Adobe Systems Incorporated (ADBE) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Advanced Micro Devices, Inc. (AMD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Aercap Holdings NV Var Rt 10/10/2079; dtd 10/10/2019 [CS]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred Security					
AFLAC Incorporated (AFL) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Agilent Technologies, Inc. (A) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Align Technology, Inc. (ALGN) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Alliance Data Systems Corporation (ADS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Allstate Corp PFD 5.1% [CS]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Allstate Corporation (ALL) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Alpharetta GA Dev Auth 5.0% 5/01/2023 dtd 5/03/2016 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
American Airlines Group, Inc. (AAL) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
American Express Company (AXP) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
American International Group, Inc. New (AIG) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
American Intl Group VAR RT 04/01/48 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	None		<input type="checkbox"/>
American Tower Corporation (AMT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
American United Life Insurance Company - Policy 1 [WU] DESCRIPTION: Whole Life Insurance Policy		\$1,001 - \$15,000	None		<input type="checkbox"/>
American United Life Insurance Company - Policy 2 [WU] DESCRIPTION: Whole Life Insurance Policy		\$15,001 - \$50,000	None		<input type="checkbox"/>
American Water Works Company, Inc. (AWK) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
AmerisourceBergen Corporation (ABC) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Amgen Inc. (AMGN) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Amphenol Corporation (APH) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Analog Devices, Inc. (ADI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Anthem, Inc. (ANTM) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Aon plc Class A Ordinary Shares (AON) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Apollo EPF III Private Investors, LLC (Onshore) [HE]		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
Apple Inc. (AAPL) [ST]		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Applied Materials, Inc. (AMAT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Arconic Corporation (ARNC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Previously reported as Arconic Inc. (ARNC)					
Arista Networks, Inc. (ANET) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Assurant Inc. PFD [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
AT&T Inc PFD [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
AT&T Inc. (T) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Athene Holding Ltd PFD (ATHPA) [CS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Atmos Energy Corporation (ATO) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Autodesk, Inc. (ADSK) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Automatic Data Processing, Inc. (ADP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
AvalonBay Communities, Inc. (AVB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Ball Corporation (BLL) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Bank of America Corp Var Rt 03/05/2166 dtd 09/05/2014 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Bank of America Corporation (BAC) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Bank of New York Mellon Corporation (BK) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Bank of NY Mellon Corp 03/20/2166 dtd 08/01/2016 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Bank of NY Mellon Corp Var Rt 12/20/2165 dtd 04/28/2015 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Baxter International Inc. (BAX) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Becton, Dickinson and Company (BDX) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Benefit Street Partners IV LLC (Providence Onshore) [HE] DESCRIPTION: EIF		\$500,001 - \$1,000,000	Partnership Income	\$5,001 - \$15,000	<input type="checkbox"/>
Berkshire Hathaway Inc. New (BRK.B) [ST]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Biogen Inc. (BIIB) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
BlackRock, Inc. (BLK) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Blackstone Commercial Real Estate Debt Fund - NQ L.P. [HE] DESCRIPTION: EIF		\$1 - \$1,000	None		<input type="checkbox"/>
Blackstone Commercial Real Estate Debt Fund LP [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: EIF					
Booking Holdings Inc. (BKNG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Boston Scientific Corporation (BSX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
BP Midstream Partners LP Common Units representing Limited Partner Interests (BPMP) [ST]		\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
Broadcom Limited - Ordinary Shares (AVGO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Brown Forman Inc Class B (BF.B) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
C.H. Robinson Worldwide, Inc. (CHRW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Capital One Financial CO PFD 5.00% [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [PS]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
CarMax Inc (KMX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Caterpillar, Inc. (CAT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
CBRE Group Inc Common Stock Class A (CBG) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
CD&R Fund X Private Investors, Cayman LP [HE]		\$500,001 - \$1,000,000	Partnership Income	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Centerpoint Energy Inc SR NTS VAR RT Perp Mat dtd 08/22/2018 [CS]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
CenterPoint Energy, Inc (CNP) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Cerberus VI Private Investors, LLC [HE]		\$1,000,001 -	Partnership	\$1,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
		\$5,000,000	Income	\$2,500	
DESCRIPTION: EIF					
Charles Schwab Corp 03/01/2166 dtd 10/31/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Charles Schwab Corp Var Rt Perp Mat Dtd 12/11/2020 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Charles Schwab Corp Var Rt Perp Mat Dtd 4/30/2020 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Charles Schwab Corporation (SCHW) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Charles Schwab Corporation PFD 5.95% [PS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Charter Communications, Inc. - Class A (CHTR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Chesterfield Cnty VA Cops Ref 5.0%; Due 11/01/21 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Chipotle Mexican Grill, Inc. (CMG) [ST]		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Chubb Limited (CB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Cigna Corporation (CI) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Cincinnati Financial Corporation (CINF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Cit Group Inc. PFD 5.625% [CS]		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
CitiGroup Inc 02/15/2166 dtd 04/25/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 11/15/2165 dtd 04/24/2015 [CS]		\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Citigroup Inc Var RT Prep Mat DTD 09/12/2019 [CS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Citigroup, Inc. (C) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Citizens Financial Group PFD 6.35% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Citizens Financial Group, Inc. (CFG) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Citizens Finl Group Var Rt Prep Mat Dtd 05/24/18 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred Security					
Citrix Systems, Inc. (CTXS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Clark County NV Limited Tax-Flood Control Ltd 5%; Due 11/1/22 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Clarksville TN Wtr Swr & Gas Rev Ref 5.0%; Due 02/01/22 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
CMS Energy Corp PFD 5.875% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
CMS Energy Corp Var Rt 06/01/2050 DTD 05/28/2020		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[CS]					
DESCRIPTION: Preferred security					
CMS Energy Corporation (CMS) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Coca-Cola Company (KO) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Colgate-Palmolive Company (CL) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Columbia MO Sch Dist Ref-Ser B Unltd Tax 5.0%; Due 03/01/2025 [CS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Comcast Corporation - Class A (CMCSA) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Comerica Incorporated (CMA) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
ConAgra Brands, Inc. (CAG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Consolidated Edison, Inc. (ED) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Constellation Brands, Inc. (STZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Costco Wholesale Corporation (COST) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Crown Castle International Corp. (REIT) (CCI) [RE]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
CSX Corporation (CSX) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Cummins Inc. (CMI) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Cushing MLP Opportunity Fund 1 LP [HE]		\$15,001 - \$50,000	None		<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
D/B/A Royal Caribbean Cruises Ltd. (RCL) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Danaher Corporation (DHR) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DBA Sempra (SRE) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Sempra Energy					
Deere & Company (DE) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DENTSPLY SIRONA Inc. (XRAY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Deutsche X-Trackers MSCI EAF (DBEF) [EF]		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Digital Realty Trust Inc PFD 6.35% [CS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Digital Realty Trust PFD 6.625% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Digital Realty Trust, Inc. (DLR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Discover Financial Services (DFS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS]		\$15,001 - \$50,000	Capital Gains, Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Corporate Bond					
Discover Finl Svs Var Rt Perp Mat dtd 06/22/2020 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Discovery, Inc. - Series A (DISCA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Discovery, Inc. - Series C (DISCK) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DISH Network Corporation - Class A (DISH) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
Dodge & Cox Intl Stock Fund (DODFX) [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Dollar General Corporation (DG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Dollar Tree, Inc. (DLTR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Dominion Energy Inc Var Rt Perp Mat dtd 12/13/2019 [CS]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Dow Inc. (DOW) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DTE Energy Company (DTE) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Duke Energy Corp PFD (DUK PA) [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Duke Energy Corp SR NTS Var RT Perp Mat DTD 09/12/2019 [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
DuPont de Nemours, Inc. (DD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DXC Technology Company (DXC) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Eastman Chemical Company (EMN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
eBay Inc. (EBAY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ecolab Inc. (ECL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Edwards Lifesciences Corporation (EW) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Electronic Arts Inc. (EA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Emerson Electric Company (EMR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Equifax, Inc. (EFX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Equinix, Inc. (EQIX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Equity Residential Common Shares of Beneficial Interest (EQR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Estee Lauder Companies, Inc. (EL) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Eversource Energy (ES) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Extra Space Storage Inc (EXR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Fastenal Company (FAST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
FedEx Corporation (FDX) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Fidelity International Index (FSPSX) [MF]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
Fifth Third Bancorp (FITB) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Corporate Bond					
First Citizens Bancshare PFD [CS]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Fiserv, Inc. (FISV) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Flowserve Corporation (FLS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Ford Motor Company (F) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Fortive Corporation (FTV) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Franklin Resources, Inc. (BEN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
General Mills, Inc. (GIS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
GIF IV Private Investors Onshore LLC Class A [HE]		\$15,001 - \$50,000	Partnership Income	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Gilead Sciences, Inc. (GILD) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Global Payments Inc. (GPN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Goldman Sachs Capital II 5.793% Dec 03 2165 dtd 05/08/2007 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group Inc. Var Rt Perp Mat dtd 1/28/2020 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group Inc. Var Rt Perp Mat dtd 6/17/2019 [CS]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 07/27/2016 [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred Security					
Goldman Sachs Group, Inc. (GS) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
GSO Private Investors II, LLC Class B [HE]		\$15,001 - \$50,000	Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
H&R Block, Inc. (HRB) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Purchased & sold in 2020; sold for a loss					
Hartford Financial Services Group, Inc. (HIG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
HCA Healthcare, Inc. (HCA) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Hewlett Packard Enterprise Company (HPE) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Home Depot, Inc. (HD) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Honolulu City & Cnty HI Wstwr Sys Rev 5% A Jul 01 2025 Dtd [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Howmet Aerospace Inc. (HWM) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
HPS Mezzanine Private Investors III LLC Onshore [HE]		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
Humana Inc. (HUM) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Huntington Bancshares Incorporated (HBAN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Huntington Bancshares VAR RT 07/15/2167 [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
IA St Fin Auth Rev Ref-Green Bond 5.0%; Due		\$15,001 - \$50,000	Interest	\$1,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
08/01/23 [GS]				\$2,500	
IHS Markit Ltd. Common Shares (INFO) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Illinois Tool Works Inc. (ITW) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Illumina, Inc. (ILMN) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Incyte Corporation (INCY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Ingersoll-Rand plc (IR) [ST]		\$1,001 - \$15,000	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Intel Corporation (INTC) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Intercontinental Exchange Inc. (ICE) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Internationa Flavors & Fragrances, Inc. (IFF) [ST]		None	None		<input checked="" type="checkbox"/>
International Business Machines Corporation (IBM) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
International Paper Company (IP) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Interpublic Group of Companies, Inc. (IPG) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
Intuit Inc. (INTU) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Intuitive Surgical, Inc. (ISRG) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
iShares 3-7 Year Treasury Bond (IEI) [EF]		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
iShares 7-10 Year Treasury Bond (IEF) [EF]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
iShares Core MSCI Emerging Markets Index (IEMG) [EF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ishares MSCI EAFE Index Fund (EFA) [EF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
iShares S&P 500 Growth Index Fund (IVW) [EF]		None	Dividends	\$1 - \$200	<input type="checkbox"/>
iShares Short Treasury Bond ETF (SHV) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
J.B. Hunt Transport Services, Inc. (JBHT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
J.M. Smucker Company (SJM) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Johnson County KS UNIF Sch Dist Ref-Ser B, 5.0%; Due 09/01/2025 [GS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
JP Morgan Alternative Property Fd Domestic 1 LP [HE]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: EIF					
JP Morgan Chase & Co Var Rt 10/30/2165 dtd 03/10/2014 [PS]		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
JPM Tax Free MMkt Inst Sweep Fd [MF]		\$1,000,001 - \$5,000,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	None		<input checked="" type="checkbox"/>
JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		None	Capital Gains	\$50,001 - \$100,000	<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Kansas City Southern (KSU) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Kellogg Company (K) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
KeyCorp (KEY) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
KeyCorp Var Rt 12/15/2165 dtd 09/09/2016 [SA]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Kimberly-Clark Corporation (KMB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
KLA-Tencor Corporation (KLAC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Kroger Company (KR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
KS St. Dept of Transprt'n Hwy Rev Ser C 5.0%; Due 09/01/20 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
LA St Gas & Fuels Tax Revenue 4.0%; Due 05/01/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Las Vegas Sands Corp. (LVS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Lexington Cnty Sc Ref-Ser A Unlimited Tax 5%; Due 02/01/2025 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Liberty Mutual Group Inc 7.8% 03/15/2037 dtd 03/07/2007 [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Lincoln CNTY NC REF Unlimited Tax 5.0%; Due 6/01/2024 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Lincoln National Corporation (LNC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Linde plc Ordinary Share (LIN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Loews Corporation (L) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Louisville & Jefferson Cnty KY Met Gov't-Ser A Unltd Tax 5%; Due 12/1/2024; dtd 12/1/2015 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Lowe's Companies, Inc. (LOW) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
M&T Bank Corporation (MTB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
M&T Bank Corporation 05/01/2166 dtd 10/28/2016 [SA]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
M&T BK Corp VAR RT Perp Mat DTD 07/30/19 [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Mackay Municipal Strategic Opportunities Fd, LP Cl A Interests 03-17 [HE]		None	None		<input type="checkbox"/>
DESCRIPTION: EIF; Final in 2020					
Macy's Inc (M) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Marriott International - Class A (MAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Marsh & McLennan Companies, Inc. (MMC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Mastercard Incorporated (MA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
McCormick & Company, Incorporated (MKC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
McDonald's Corporation (MCD) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
McKesson Corporation (MCK) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Memphis TN REF- GEN IMPT SER B [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Met Gov't Nashville & Davidson Cnty TN Ref-Ser A Unltd Tax 5.0%; Due 07/01/2023 [GS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 [CS]		\$50,001 - \$100,000	Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
MetLife, Inc. (MET) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
Metropolitan West T/R BD-PLN (MWTSX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
MFS Intl Value - R6 (MINJX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
MGM Resorts International (MGM) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Micron Technology, Inc. (MU) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Microsoft Corporation (MSFT) [ST]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
MN St Gen Fd Rev 5% 03/01/2022 dtd 11/21/2012 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
MN St Ref - Ser D Unlimited Tax 5.0%; Due 8/01/2024; dtd 8/11/2016 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
MO St Hwys & Trnst Ref-1st Lien-Ser A 5% 05/01/2021 dtd 06/03/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Molson Coors Beverage Company Class B (TAP) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

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

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
NiSource Inc (NI) [ST]		None	None		<input checked="" type="checkbox"/>
Nordstrom, Inc. (JWN) [ST]		None	None		<input checked="" type="checkbox"/>
Note Receivable from Glick Gallery, Minneapolis, MN [DO]		\$100,001 - \$250,000	None		<input type="checkbox"/>
NVIDIA Corporation (NVDA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
NY Community Bancorp Inc PFD 6.375% [CS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
NY St Dorm Auth St Personal Inc Tax Rev Ref-Ser E 5.0%; Due 03/15/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Ohio St Ref-Ser A Ltd Tax 5.0%; Due 09/01/23 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Optum Bank - HSA Account [BA]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
O'Reilly Automotive, Inc. (ORLY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Otis Worldwide Corporation (OTIS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
PACCAR Inc. (PCAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Palm Beach Cnty Fl Ref-Rec & Cultural Facs Unltd Tax 5% [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Parker-Hannifin Corporation (PH) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Partnerre Finance B LLC VAR RT 10/01/2050 dtd 09/22/2020 [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Paychex, Inc. (PAYX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
PayPal Holdings, Inc. (PYPL) [ST]		\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
PEG Secondary Private Equity Investors III LP [HE]		\$100,001 - \$250,000	Partnership Income	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: EIF					
People's United Financial, Inc. (PBCT) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
PGIM High Yield-Q (PHYQX) [MF]		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
PGIM Total Return Bond Fund (PDBAX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Phillips Adam Smith Partners, LLC (f/k/a Adam Smith Fund, LLC) [OL]		\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: Minnetonka/Hennepin, MN, US DESCRIPTION: Private equity investment fund. Fund manager letter on file with the Committee on Ethics.					
Phoenix AZ Ref Unlimited Tax 4% 07/01/2021 dtd 06/24/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
PIMCO High Yield Fund-Inst (PHIYX) [MF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
PNC Financial Services 6 3/4% 02/01/2166 dtd 07/27/2011 [PS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
PNC Financial Services Group, Inc. (PNC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Principal Financial Group Inc (PFG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Procter & Gamble Company (PG) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Progressive Corporation (PGR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
ProLogis, Inc. (PLD) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
PS Business Parks Inc. PFD [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Public Storage (PSA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Public Storage PFD 5.6% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
PulteGroup, Inc. (PHM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Putnam Cnty TN Ref Unlimited Tax 5%; Due 4/01/2024; Dtd 2/17/2017 [GS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
PVH Corp. (PVH) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
QUALCOMM Incorporated (QCOM) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Quanta Services, Inc. (PWR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Quest Diagnostics Incorporated (DGX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Raleigh NC Comb Enterprise Sys Rev 5% Mar 01 2021 dtd 02/10/2011 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Regions Financial Corp PFD 5.7% [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Regions Financial Corporation (RF) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

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



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

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
T. Rowe Price Group, Inc. (TROW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Target Corporation (TGT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Tesla, Inc. (TSLA) [ST]		\$50,001 - \$100,000	None		<input checked="" type="checkbox"/>
Texas Instruments Incorporated (TXN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Textron Financial Corp VAR RT 02/15/2067 DTD 02/08/2007 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
The Kraft Heinz Company (KHC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
The Travelers Companies, Inc. (TRV) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Thermo Fisher Scientific Inc (TMO) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Three Rivers MN PK Dist Ser A Unlimited Tax 5.0% 02/01/2025 dtd 12/12/2019 [GS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Tiffany & Co. (TIF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
TJX Companies, Inc. (TJX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
T-Mobile US, Inc. (TMUS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Trane Technologies plc (TT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Truist Fin Corp Var Rt Perp Mat dtd 12/09/2019 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Truist Fin Corp Var Rt Perp Mat dtd 6/01/2020 [CS]		\$15,001 - \$50,000	Dividends	\$201 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$1,000	
DESCRIPTION: Preferred security					
Truist Financial 12/15/2165 dtd 05/02/2017 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred security; f/k/a Suntrust Banks Inc 12/15/2165 dtd 05/02/2017					
Truist Financial Corporation (TFC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Truist Financial Var Rt 06/15/2166 dtd 11/07/2014 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security; f/k/a SunTrust Banks, Inc. Var Rt 06/15/2166 dtd 11/07/2014					
Twitter, Inc. (TWTR) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
U.S. Bancorp (USB) [ST]		None	None		<input checked="" type="checkbox"/>
U.S. Bancorp PFD 5.5% [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
U.S. Bancorp Var Rt 01/15/2166 dtd 11/23/2015 [SA]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Under Armour, Inc. Class A (UAA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Under Armour, Inc. Class C (UA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Union Pacific Corporation (UNP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
United Continental Holdings (UAL) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
United Parcel Service, Inc. (UPS) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
United Rentals, Inc. (URI) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Universal Health Services, Inc. (UHS) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Unum Group (UNM) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
US Bank - Checking [BA]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
V.F. Corporation (VFC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
VA St Pub Sch Auth Sch Technology & Sec NTS Ser V 5.0&; Due 04/15/20 [GS]		None	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Vanguard Intm Trm T/E - ADM (VWIUX) [MF]		\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Varian Medical Systems, Inc. (VAR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
VeriSign, Inc. (VRSN) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Vertex Pharmaceuticals Incorporated (VRTX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
ViacomCBS Inc. - Class B (VIAC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Visa Inc. (V) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Vodafone Group PLC Var Rt 04/04/2079; dtd 04/04/2019 [CS]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
Voya Financial Inc VAR RT Perp Mat dtd 09/12/2018 [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Corporate Bond					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Voya Financial Inc. PFD 5.35% [CS]		\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: Preferred security					
WA MD Subn San Dist Ref 5.0%; 06/01/2025 dtd 12/13/2017 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
WA St Refunding Motor Vehicle Fuel Series R D [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Wachovia Cap Trust III Var Rt Mar 15 2166 dtd 2/1/2006 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Walgreens Boots Alliance, Inc. (WBA) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Wal-Mart Stores, Inc. (WMT) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Walt Disney Company (DIS) [ST]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Waste Management, Inc. (WM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Waters Corporation (WAT) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Wells Fargo & Company Var Rt 06/15/2166 dtd 01/23/2015 [CS]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Wells Fargo & Company VAR RT 12/15/2165 dtd 04/22/2014 [CS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Preferred Security					
Western Digital Corporation (WDC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Westinghouse Air Brake Technologies Corporation (WAB) [ST]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Formerly known as Wabtec Corporation (WAB) as listed on Sch B.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WI St Clean Water Revenue Refunding Series 1 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Wichita KS Water & Sewer Util Rev Ser B, 5.0%; Due 10/01/2024 [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Wintrust Financial Corp [CS]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
WV St Ser A Unltd Tax 5.0%; Due 12/01/23 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Wynn Resorts, Limited (WYNN) [ST]		None	None		<input type="checkbox"/>
DESCRIPTION: Sale less than \$1,000					
Xilinx, Inc. (XLNX) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Yum China Holdings, Inc. (YUMC) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Yum! Brands, Inc. (YUM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Zions Bancorporation N.A. (ZION) [ST]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

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

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		01/9/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		09/1/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		11/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		01/7/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		02/10/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		01/27/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		01/28/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		02/27/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Booking Holdings Inc. (BKNG) [ST]		11/16/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		02/14/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		02/26/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		02/27/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Cerner Corporation (CERN) [ST]					
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		01/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		01/9/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Charles Schwab Corporation (SCHW) [ST]		02/24/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Chubb Limited (CB) [ST]		01/7/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Chubb Limited (CB) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Chubb Limited (CB) [ST]		04/15/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		01/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		01/9/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		04/17/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		06/1/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		11/2/2020	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		11/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		12/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		12/18/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		01/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		01/9/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		04/17/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		09/1/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		12/18/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]		12/18/2020	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		01/7/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		01/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		01/9/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		01/10/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Emerson Electric Company (EMR) [ST]		03/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Emerson Electric Company (EMR) [ST]		03/17/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		05/20/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Fidelity 500 Index (FXAIX) [MF]		03/13/2020	P	\$250,001 - \$500,000	
- Trust 1 ⇒ Fidelity International Index (FSPSX) [MF]		02/10/2020	P	\$100,001 - \$250,000	
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		12/17/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		12/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ HD Supply Holdings, Inc. (HDS) [ST]		12/22/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		06/5/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		06/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		11/16/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares 3-7 Year Treasury Bond (IEI) [EF]		12/22/2020	P	\$50,001 - \$100,000	
- Trust 1 ⇒ iShares 7-10 Year Treasury Bond (IEF) [EF]		12/18/2020	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Core MSCI EAFE (IEFA) [EF]		12/18/2020	P	\$100,001 - \$250,000	
- Trust 1 ⇒ iShares Core MSCI Emerging Markets Index (IEMG) [EF]		03/13/2020	P	\$100,001 - \$250,000	
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		12/18/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Ishares MSCI Japan ETF New (EWJ) [EF]		12/18/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Russell 1000 Growth (IWF) [EF]		12/18/2020	P	\$50,001 - \$100,000	
- Trust 1 ⇒ iShares S&P 500 Growth ETF (IVW) [EF]		12/18/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares S&P 500 Value Index (IVE) [EF]		12/18/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ iShares Short Treasury BD ETF (SHV) [EF]		12/18/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		01/27/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		01/28/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		12/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		12/18/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		12/18/2020	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		02/13/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		02/14/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		02/21/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		02/28/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		04/22/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]		06/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		12/9/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒		12/10/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Masco Corporation (MAS) [ST]					
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		03/13/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Micron Technology, Inc. (MU) [ST]		10/1/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Micron Technology, Inc. (MU) [ST]		10/2/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Micron Technology, Inc. (MU) [ST]		10/30/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Micron Technology, Inc. (MU) [ST]		11/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		01/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		01/9/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		01/14/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		01/15/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		02/28/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Northern Trust Corporation (NTRS) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		01/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PGIM High Yield-Q (PHYQX) [MF]		03/13/2020	P	\$250,001 - \$500,000	
- Trust 1 ⇒ PIMCO High Yield Fund-Inst (PHIYX) [MF]		03/13/2020	P	\$250,001 - \$500,000	
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		01/9/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		03/5/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		05/18/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		05/19/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		05/20/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		05/21/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		06/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		01/17/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		06/1/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Six Circles International Unconstrained Equity Fund (CIUEX) [MF]		12/18/2020	P	\$15,001 - \$50,000	
- Trust 1 ⇒ Six Circles Tax Aware Bond (CBTAX) [MF]		12/22/2020	P	\$250,001 - \$500,000	
- Trust 1 ⇒ Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		12/22/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		12/18/2020	P	\$100,001 - \$250,000	
- Trust 1 ⇒ Smith & Nephew Plc Ord Ordinary Shares (SNNUF) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		04/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		04/17/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		04/20/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		04/21/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		05/26/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		06/2/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Sony Corporation (SNE) [ST]		12/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		01/8/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		01/9/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		02/24/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		04/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ Southwest Airlines Company (LUV) [ST]		04/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ SPDR S&P 500 ETF (SPY) [EF]		12/18/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		01/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		01/13/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒		02/10/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]			(partial)		
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		04/22/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		04/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		01/15/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Unilever PLC (UL) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Unilever PLC (UL) [ST]		04/16/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ Unilever PLC (UL) [ST]		05/18/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		02/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		03/13/2020	P	\$1,001 - \$15,000	
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		05/15/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		05/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		05/19/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	05/20/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	05/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]	12/22/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]	06/15/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - CI I (OIBFX) [MF]	08/14/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
- Trust 2 ⇒ JPMorgan Invest Balance Fd - CI I (OIBFX) [MF]	09/11/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
3M Company (MMM) [ST]	02/28/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
3M Company (MMM) [ST]	04/2/2020	P	\$1,001 - \$15,000	
3M Company (MMM) [ST]	05/13/2020	P	\$1,001 - \$15,000	
3M Company (MMM) [ST]	09/23/2020	P	\$1,001 - \$15,000	
A.O. Smith Corporation (AOS) [ST]	02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Abbott Laboratories (ABT) [ST]	02/28/2020	P	\$1,001 - \$15,000	
Abbott Laboratories (ABT) [ST]	04/2/2020	P	\$1,001 - \$15,000	
Abbott Laboratories (ABT) [ST]	09/23/2020	P	\$1,001 - \$15,000	
ABIOMED, Inc. (ABMD) [ST]	02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Advanced Micro Devices, Inc. (AMD) [ST]	04/2/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Advanced Micro Devices, Inc. (AMD) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Aercap Holdings NV VAR Rt 10/10/2079 dtd 10/10/2019 [CS] DESCRIPTION: Preferred security		02/28/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Aercap Holdings NV VAR Rt 10/10/2079 dtd 10/10/2019 [CS] DESCRIPTION: Preferred security		03/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Affiliated Managers Group, Inc. (AMG) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
AFLAC Incorporated (AFL) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Akamai Technologies, Inc. (AKAM) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Akamai Technologies, Inc. (AKAM) [ST]		12/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alexion Pharmaceuticals, Inc. (ALXN) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alliance Data Systems Corporation (ADS) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Alliance Data Systems Corporation (ADS) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alliance Data Systems Corporation (ADS) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Alphabet Inc. - Class A (GOOGL) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Amazon.com, Inc. (AMZN) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Amazon.com, Inc. (AMZN) [ST]		09/23/2020	P	\$1,001 - \$15,000	
American Airlines Group, Inc. (AAL) [ST]		05/13/2020	P	\$1,001 - \$15,000	
American Airlines Group, Inc. (AAL) [ST]		12/18/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
American International Group, Inc. New (AIG) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
American International Group, Inc. New (AIG) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Apple Inc. (AAPL) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Apple Inc. (AAPL) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Arconic Corporation (ARNC) [ST]		04/1/2020	E	\$1,001 - \$15,000	
DESCRIPTION: Received shares of Arconic Corporation in exchange for Arconic Inc. COMMENTS: On 4/6/2020 Arconic Inc. changed it's name to Howmet Aerospace Inc. (HWM)					
Arconic Corporation (ARNC) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Arista Networks, Inc. (ANET) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Assurant Inc. PFD [CS]		11/16/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
AT&T Inc PFD [CS]		02/12/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Preferred security					
AT&T Inc. (T) [ST]		04/2/2020	P	\$1,001 - \$15,000	
AT&T Inc. (T) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
AT&T Inc. (T) [ST]		09/23/2020	P	\$1,001 - \$15,000	
AT&T Inc. (T) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Atmos Energy Corporation (ATO) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Atmos Energy Corporation (ATO) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Autodesk, Inc. (ADSK) [ST]		04/2/2020	P	\$1,001 - \$15,000	
AvalonBay Communities, Inc. (AVB) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)		
Ball Corporation (BLL) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Ball Corporation (BLL) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Bank of America Corp 4.38% PFD [CS]		10/27/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security; Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015					
Bank of America Corporation (BAC) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Baxter International Inc. (BAX) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Baxter International Inc. (BAX) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Baxter International Inc. (BAX) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Baxter International Inc. (BAX) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Boston Scientific Corporation (BSX) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Boston Scientific Corporation (BSX) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Capital One Financial Corporation (COF) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Caterpillar, Inc. (CAT) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Caterpillar, Inc. (CAT) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Caterpillar, Inc. (CAT) [ST]		09/23/2020	P	\$1,001 - \$15,000	
CenterPoint Energy, Inc (CNP) [ST]		02/28/2020	P	\$1,001 - \$15,000	
CenterPoint Energy, Inc (CNP) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
CenterPoint Energy, Inc (CNP) [ST]		05/13/2020	P	\$1,001 - \$15,000	
CenturyLink, Inc. (CTL) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corp Var Rt Perp Mat Dtd 04/30/2020 [CS] DESCRIPTION: Preferred security		04/27/2020	P	\$15,001 - \$50,000	
Charles Schwab Corp Var Rt Perp Mat Dtd 12/11/2020 [CS] DESCRIPTION: Corporate Bond		12/8/2020	P	\$15,001 - \$50,000	
Charles Schwab Corporation (SCHW) [ST]		01/8/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]		01/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Charles Schwab Corporation (SCHW) [ST]		04/24/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Charles Schwab Corporation PFD 5.95% [CS] DESCRIPTION: Preferred security		10/15/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corporation PFD 5.95% [CS] DESCRIPTION: Preferred security		10/22/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab Corporation PFD 5.95% [CS] DESCRIPTION: Preferred security		11/3/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charter Communications, Inc. - Class A (CHTR) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Chipotle Mexican Grill, Inc. (CMG) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Chubb Limited (CB) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Cisco Systems, Inc. (CSCO) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Citigroup, Inc. (C) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Citizens Financial Group, Inc. (CFG) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Citizens Financial Group, Inc. (CFG) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Citrix Systems, Inc. (CTXS) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Citrix Systems, Inc. (CTXS) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Citrix Systems, Inc. (CTXS) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Clorox Company (CLX) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Clorox Company (CLX) [ST]		12/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]		09/23/2020	P	\$1,001 - \$15,000	
CMS Energy Corp Var Rt 06/01/2050 DTD 05/28/2020 [CS]		05/15/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Columbia MO Sch Dist Ref-Ser B Unltd Tax 5.0%; Due 03/01/2025 [GS]		06/2/2020	P	\$15,001 - \$50,000	
Comerica Incorporated (CMA) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Comerica Incorporated (CMA) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Comerica Incorporated (CMA) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Consolidated Edison, Inc. (ED) [ST]		09/23/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Consolidated Edison, Inc. (ED) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Corning Incorporated (GLW) [ST]		02/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Costco Wholesale Corporation (COST) [ST]		04/2/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Crown Castle International Corp. (CCI) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Danaher Corporation (DHR) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Deere & Company (DE) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Delta Air Lines, Inc. (DAL) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Digital Realty Trust Inc PFD 6.35% [CS]		09/8/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Digital Realty Trust, Inc. (DLR) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Digital Realty Trust, Inc. (DLR) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Digital Realty Trust, Inc. (DLR) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Discover Financial Services (DFS) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Discover Finl Svs Var Rt Perp Mat dtd 06/22/2020 [CS]		06/17/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
Discover Finl Svs Var Rt Perp Mat dtd 10/31/2017 [CS]		02/26/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Discovery, Inc. - Series A (DISCA) [ST]		04/2/2020	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Discovery, Inc. - Series C (DISCK) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Dodge & Cox Intl Stock Fund (DODFX) [MF]		02/10/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Dodge & Cox Intl Stock Fund (DODFX) [MF]		03/13/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Dodge & Cox Intl Stock Fund (DODFX) [MF]		07/9/2020	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Dominion Energy Inc Var Rt Perp Mat dtd 12/13/2019 [CS]		04/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Dow Inc. (DOW) [ST]		04/2/2020	P	\$1,001 - \$15,000	
DTE Energy Company (DTE) [ST]		02/28/2020	P	\$1,001 - \$15,000	
DTE Energy Company (DTE) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DTE Energy Company (DTE) [ST]		05/13/2020	P	\$1,001 - \$15,000	
DuPont de Nemours, Inc. (DD) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DuPont de Nemours, Inc. (DD) [ST]		04/2/2020	P	\$1,001 - \$15,000	
DXC Technology Company (DXC) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DXC Technology Company (DXC) [ST]		04/2/2020	P	\$1,001 - \$15,000	
DXC Technology Company (DXC) [ST]		05/13/2020	P	\$1,001 - \$15,000	
DXC Technology Company (DXC) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Eastman Chemical Company (EMN) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Electronic Arts Inc. (EA) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Emerson Electric Company (EMR) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)		
Emerson Electric Company (EMR) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Equinix, Inc. (EQIX) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Equinix, Inc. (EQIX) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Estee Lauder Companies, Inc. (EL) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Estee Lauder Companies, Inc. (EL) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Eversource Energy (ES) [ST]		02/28/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Facebook, Inc. - Class A (FB) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Facebook, Inc. - Class A (FB) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Fidelity 500 Index (FXAIX) [EF]		03/13/2020	P	\$250,001 - \$500,000	
Fidelity 500 Index (FXAIX) [EF]		03/23/2020	S	\$250,001 - \$500,000	<input type="checkbox"/>
Fidelity International Index (FSPSX) [EF]		02/10/2020	P	\$100,001 - \$250,000	
Fidelity International Index (FSPSX) [EF]		03/13/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Fifth Third Bancorp (FITB) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Fifth Third Bancorp 09/30/2165 DTD 06/05/2014 [CS]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Corporate Bond					

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Fifth Third Bancorp 09/30/2165 DTD 06/05/2014 [CS] DESCRIPTION: Corporate Bond	12/24/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
First Citizens Bancshare PFD [CS] DESCRIPTION: Preferred security	03/5/2020	P	\$1,001 - \$15,000	
First Citizens Bancshare PFD [CS] DESCRIPTION: Preferred security	12/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
First Citizens Bancshare PFD [CS] DESCRIPTION: Preferred security	12/29/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Flowserve Corporation (FLS) [ST]	04/2/2020	P	\$1,001 - \$15,000	
Flowserve Corporation (FLS) [ST]	05/13/2020	P	\$1,001 - \$15,000	
Ford Motor Company (F) [ST]	02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Ford Motor Company (F) [ST]	04/2/2020	P	\$1,001 - \$15,000	
Fortive Corporation (FTV) [ST]	04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Fox Corporation - Class A (FOXA) [ST]	02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Franklin Resources, Inc. (BEN) [ST]	05/13/2020	P	\$1,001 - \$15,000	
General Mills, Inc. (GIS) [ST]	04/2/2020	P	\$1,001 - \$15,000	
General Motors Company (GM) [ST]	04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Genuine Parts Company (GPC) [ST]	04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Gilead Sciences, Inc. (GILD) [ST]	09/23/2020	P	\$1,001 - \$15,000	
Gilead Sciences, Inc. (GILD) [ST]	12/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Global Payments Inc. (GPN) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Goldman Sachs Group Inc. Var Rt Perp Mat dtd 01/28/2020 [CS]		01/23/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
Goldman Sachs Group Inc. Var Rt Perp Mat dtd 06/17/2019 [CS]		05/15/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 [CS]		02/12/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc. (GS) [ST]		04/2/2020	P	\$1,001 - \$15,000	
H&R Block, Inc. (HRB) [ST]		02/28/2020	P	\$1,001 - \$15,000	
H&R Block, Inc. (HRB) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Hartford Financial Services Group, Inc. (HIG) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Hartford Financial Services Group, Inc. (HIG) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Host Hotels & Resorts, Inc. (HST) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Howmet Aerospace Inc. (HWM) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
HP Inc. (HPQ) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Huntington Bancshares Incorporated (HBAN) [ST]		04/2/2020	P	\$1,001 - \$15,000	
IHS Markit Ltd. Common Shares (INFO) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Ingersoll Rand Inc. (IR) [ST]		03/2/2020	E	\$1,001 - \$15,000	
DESCRIPTION: Received shares of Ingersoll Rand, Inc. in exchange for Ingersoll-Rand plc as a result of spin-off.					
COMMENTS: On 3/4/2020 Ingersoll-Rand plc changed it's name to Trane Technologies (TT).					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Intel Corporation (INTC) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Internationa Flavors & Fragrances, Inc. (IFF) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
International Business Machines Corporation (IBM) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Intuitive Surgical, Inc. (ISRG) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Invesco Ltd (IVZ) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Invesco Ltd (IVZ) [ST]		05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Iron Mountain Incorporated (IRM) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Iron Mountain Incorporated (IRM) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
iShares 3-7 Year Treasury Bond (IEI) [EF]		03/13/2020	P	\$50,001 - \$100,000	
iShares 7-10 Year Treasury Bond (IEF) [EF]		04/23/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
iShares Core MSCI Emerging Markets Index (IEMG) [EF]		03/13/2020	P	\$250,001 - \$500,000	
iShares Short Treasury Bond ETF (SHV) [EF]		10/22/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
J.M. Smucker Company (SJM) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Jack Henry & Associates, Inc. (JKHY) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Jack Henry & Associates, Inc. (JKHY) [ST]		12/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Johnson Controls International plc Ordinary Share (JCI) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Johnson County KS UNIF Sch Dist Ref-Ser B, 5.0%; Due 09/01/2025 [GS]		08/31/2020	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
JP Morgan Chase & Co. (JPM) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		03/13/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		02/10/2020	P	\$100,001 - \$250,000	
JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		06/8/2020	P	\$50,001 - \$100,000	
JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		03/23/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		10/22/2020	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
JPMorgan Betabuilders Europe - ETF (BBEU) [EF]		12/21/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
JPMorgan Betabuilders Japan ETF (BBJP) [EF]		02/10/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		02/10/2020	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
KeyCorp (KEY) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Kimberly-Clark Corporation (KMB) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Kohl's Corporation (KSS) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Kohl's Corporation (KSS) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Kroger Company (KR) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb [GS]		02/18/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Las Vegas Sands Corp. (LVS) [ST]		04/2/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lexington Cnty SC Ref-Ser A Unlimited Tax 5.0%; Due 02/01/2025 [GS]		04/16/2020	P	\$15,001 - \$50,000	
Lincoln National Corporation (LNC) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Loews Corporation (L) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Loews Corporation (L) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Loews Corporation (L) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Loews Corporation (L) [ST]		09/23/2020	P	\$1,001 - \$15,000	
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		05/13/2020	P	\$1,001 - \$15,000	
M&T Bank Corporation (MTB) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Macy's Inc (M) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Macy's Inc (M) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Met Gov't Nashville & Davidson Cnty TN Ref-Ser A Unltd Tax 5.0%; Due 07/01/2023 [GS]		06/29/2020	P	\$15,001 - \$50,000	
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 [CS]		10/13/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Metropolitan West T/R BD-Plan (MWTSX) [MF]		05/12/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
MFS Intl Value - R6 (MINJX) [MF]		02/10/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
MFS Intl Value - R6 (MINJX) [MF]		03/13/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
MGM Resorts International (MGM) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Molson Coors Beverage Company Class B (TAP) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Molson Coors Beverage Company Class B (TAP) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Molson Coors Beverage Company Class B (TAP) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Mondelez International, Inc. - Class A (MDLZ) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Morgan Stanley (MS) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Mosaic Company (MOS) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Motorola Solutions, Inc. (MSI) [ST]		09/23/2020	P	\$1,001 - \$15,000	
NetApp, Inc. (NTAP) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Netflix, Inc. (NFLX) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Netflix, Inc. (NFLX) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Newell Brands Inc. (NWL) [ST]		02/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Newell Brands Inc. (NWL) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Newmont Corporation (NEM) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
NiSource Inc (NI) [ST]		04/2/2020	P	\$1,001 - \$15,000	
NiSource Inc (NI) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
NiSource Inc (NI) [ST]		12/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Nordstrom, Inc. (JWN) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Otis Worldwide Corporation (OTIS) [ST]		09/23/2020	P	\$1,001 - \$15,000	
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026 [GS]		09/1/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Parker-Hannifin Corporation (PH) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Partnerre Finance B LLC VAR RT 10/01/2050 dtd 09/22/2020 [CS]		09/17/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
PayPal Holdings, Inc. (PYPL) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
PayPal Holdings, Inc. (PYPL) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
People's United Financial, Inc. (PBCT) [ST]		04/2/2020	P	\$1,001 - \$15,000	
PGIM High Yield-Q (PHYQX) [MF]		04/30/2020	P	\$500,001 - \$1,000,000	
Philip Morris International Inc (PM) [ST]		02/28/2020	P	\$1,001 - \$15,000	
Philip Morris International Inc (PM) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]		09/23/2020	P	\$1,001 - \$15,000	
PIMCO High Yield Fund-Inst (PHIYX) [MF]		05/29/2020	P	\$250,001 - \$500,000	
PNC Financial Services Group, Inc. (PNC) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
PPG Industries, Inc. (PPG) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Principal Financial Group Inc (PFG) [ST]		04/2/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Financial, Inc. (PRU) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Public Storage (PSA) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Quanta Services, Inc. (PWR) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Quest Diagnostics Incorporated (DGX) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roper Technologies, Inc. (ROP) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Royal Caribbean Cruises Ltd. (RCL) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Salesforce.com Inc (CRM) [ST]		09/23/2020	P	\$15,001 - \$50,000	
Salesforce.com Inc (CRM) [ST]		12/18/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
SBA Communications Corporation - Class A (SBAC) [ST]		09/23/2020	P	\$1,001 - \$15,000	
SBA Communications Corporation - Class A (SBAC) [ST]		12/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Sealed Air Corporation (SEE) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Selective Insurance Group [CS]		12/7/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Selective Insurance Group [CS]		12/2/2020	P	\$1,001 - \$15,000	
DESCRIPTION: Preferred security					
Selective Insurance Group [CS]		12/31/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Sempra Energy (SRE) [ST]		04/2/2020	P	\$1,001 - \$15,000	
ServiceNow, Inc. (NOW) [ST]		04/2/2020	P	\$1,001 - \$15,000	
ServiceNow, Inc. (NOW) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Simon Property Group, Inc. (SPG) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Simon Property Group, Inc. (SPG) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Simon Property Group, Inc. (SPG) [ST]		12/18/2020	P	\$1,001 - \$15,000	
Six Circles International Unconstrained Equity Fund (CIUEX) [MF]		12/22/2020	P	\$250,001 - \$500,000	
Six Circles Tax Aware Ultra Short Duration Fund (CUTAX) [MF]		12/14/2020	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Six Circles U.S. Unconstrained Equity Fund (CUSUX) [MF]		12/22/2020	P	\$250,001 - \$500,000	
SPDR S&P 500 ETF (SPY) [EF]		02/10/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
SPDR S&P 500 ETF (SPY) [EF]		03/23/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
SPDR S&P 500 ETF (SPY) [EF]		06/8/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
SPDR S&P 500 ETF (SPY) [EF]		10/22/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Synchrony Financial (SYF) [ST]		01/22/2020	P	\$1,001 - \$15,000	
Synchrony Financial (SYF) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
T Rowe Price Summit Muni Inc. (PRIMX) [MF]		02/10/2020	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
T Rowe Price Summit Muni Inc. (PRIMX) [MF]		09/21/2020	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Tesla, Inc. (TSLA) [ST]		12/18/2020	P	\$50,001 - \$100,000	
The Bank of New York Mellon Corporation (BK) [ST]		04/2/2020	P	\$1,001 - \$15,000	
The Kraft Heinz Company (KHC) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
The Kraft Heinz Company (KHC) [ST]		04/2/2020	P	\$1,001 - \$15,000	
The Travelers Companies, Inc. (TRV) [ST]		04/2/2020	P	\$1,001 - \$15,000	
T-Mobile US, Inc. (TMUS) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		12/18/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Truist Fin Corp Var Rt Perp Mat dtd 12/09/2019 [CS]		02/19/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
Truist Fin Corp Var Rt Perp Mat dtd 12/09/2019 [CS]		02/19/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Preferred security					
Truist Fin Corp Var Rt Perp Mat dtd 6/01/2020 [CS]		05/27/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Preferred security					
Truist Financial Corporation (TFC) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Truist Financial Corporation (TFC) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Truist Financial Corporation (TFC) [ST]		07/30/2020	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Twitter, Inc. (TWTR) [ST]	04/2/2020	P	\$1,001 - \$15,000	
U.S. Bancorp (USB) [ST]	04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
U.S. Bancorp (USB) [ST]	05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Under Armour, Inc. Class A (UAA) [ST]	08/10/2020	P	\$1,001 - \$15,000	
Under Armour, Inc. Class C (UA) [ST]	08/10/2020	P	\$1,001 - \$15,000	
United Parcel Service, Inc. (UPS) [ST]	02/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
United Parcel Service, Inc. (UPS) [ST]	04/2/2020	P	\$1,001 - \$15,000	
United Rentals, Inc. (URI) [ST]	04/2/2020	P	\$1,001 - \$15,000	
VA St Pub Sch Auth Sch Technology & Sec NTS Ser V 5.0%; Due 04/15/20 [GS]	04/15/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Vanguard Intm Trm T/E ADM (VWIUX) [MF]	02/10/2020	P	\$15,001 - \$50,000	
Vanguard Intm Trm T/E ADM (VWIUX) [MF]	05/12/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Ventas, Inc. (VTR) [ST]	02/28/2020	P	\$1,001 - \$15,000	
Ventas, Inc. (VTR) [ST]	04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
VeriSign, Inc. (VRSN) [ST]	09/23/2020	P	\$1,001 - \$15,000	
Vertex Pharmaceuticals Incorporated (VRTX) [ST]	12/18/2020	P	\$1,001 - \$15,000	
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS] DESCRIPTION: Preferred security	02/25/2020	P	\$1,001 - \$15,000	
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS] DESCRIPTION: Preferred security	02/28/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS]		07/21/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Preferred security					
ViacomCBS Inc. - Class B (VIAC) [ST]		02/28/2020	P	\$1,001 - \$15,000	
ViacomCBS Inc. - Class B (VIAC) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
ViacomCBS Inc. - Class B (VIAC) [ST]		05/13/2020	P	\$1,001 - \$15,000	
Vulcan Materials Company (VMC) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Vulcan Materials Company (VMC) [ST]		05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
WA MD Subn San Dist Ref 5.0%; 06/01/2025 dtd 12/13/2017 [GS]		09/2/2020	P	\$15,001 - \$50,000	
Wabtec Corp (WAB) [OT]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US					
DESCRIPTION: Stock					
Wachovia Cap TR III Var Rt Perp Mat dtd 02/01/2006 [CS]		02/20/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Wachovia Cap TR III Var Rt Perp Mat dtd 02/01/2006 [CS]		02/21/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Preferred security					
Walgreens Boots Alliance, Inc. (WBA) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Walgreens Boots Alliance, Inc. (WBA) [ST]		04/2/2020	P	\$1,001 - \$15,000	
Walgreens Boots Alliance, Inc. (WBA) [ST]		08/10/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		01/15/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		01/15/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		02/28/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)		
Wells Fargo & Company (WFC) [ST]		02/20/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		02/21/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		02/24/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		02/21/2020	P	\$1,001 - \$15,000	
Wells Fargo & Company (WFC) [ST]		04/2/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		05/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		05/27/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Welltower Inc. (HCN) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Western Digital Corporation (WDC) [ST]		08/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Westrock Company (WRK) [ST]		02/28/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Westrock Company (WRK) [ST]		04/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wichita KS Water & Sewer Util Rev Ref- Ser B 5.0%; Due 10/01/2024 [GS]		02/19/2020	P	\$15,001 - \$50,000	
Wintrust Financial Corp [CS] DESCRIPTION: Preferred security		05/6/2020	P	\$1,001 - \$15,000	
Xilinx, Inc. (XLNX) [ST]		09/23/2020	P	\$1,001 - \$15,000	
Zions Bancorporation N.A. (ZION) [ST]		04/2/2020	P	\$1,001 - \$15,000	

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

## SCHEDULE C: EARNED INCOME

None disclosed.

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan	October 2018	Mortgage	\$1,000,001 - \$5,000,000
	JP Morgan	January 2020	Mortgage	\$1,000,001 - \$5,000,000

## SCHEDULE E: POSITIONS

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

## SCHEDULE F: AGREEMENTS

None disclosed.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA



None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

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

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## COMMENTS

Trusts 3, 4, and 5 are no longer reportable.

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. Dean Phillips , 01/28/2022