



Filing ID #10035501

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. K. Michael Conaway  
**Status:** Member  
**State/District:** TX11

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 08/12/2020

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Conabain Corporation [OL]  LOCATION: Midland, TX, US DESCRIPTION: Royalty income Net loss		\$1,001 - \$15,000	Royalty	\$1 - \$200	<input type="checkbox"/>
Conawell Corporation [OL]  LOCATION: Midland, TX, US DESCRIPTION: Passive Investment entity Capital contributed for real estate purchase	JT	\$500,001 - \$1,000,000	None		<input type="checkbox"/>
Congressional Federal Credit Union [BA]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
HKN, Inc. (HKNI) [ST]		\$1 - \$1,000	None		<input type="checkbox"/>
Insurance Policies ⇒ American General 48 [WU]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 03 [WU]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 07 [WU]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Insurance Policies ⇒ Northwestern Mutual 17 [WU]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 38 [WU]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 73 [WU]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 75 [WU]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Insurance Policies ⇒ Northwestern Mutual 96 [WU]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ Bank of America Bank RASP [BA] DESCRIPTION: Account transferred to WF18	JT	None	None		<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ Eaton Vance Balanced Fund Cl A [MF] DESCRIPTION: Transferred to WF18	JT	None	None		<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ International Business Machines Corporation (IBM) [ST] DESCRIPTION: Transferred to WF18	JT	None	None		<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ JP Morgan Chase & Co. (JPM) [ST] DESCRIPTION: Transferred to WF18	JT	None	None		<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ Putnam Global Healthcare Fd [MF] DESCRIPTION: Transferred to WF18	JT	None	None		<input type="checkbox"/>
JT Mo6 (Merrill Lynch) ⇒ Valley National Bancorp (VLY) [ST] DESCRIPTION: Transferred to WF18	JT	None	None		<input type="checkbox"/>
JT M39 (Merrill Lynch) ⇒ ML Bank Deposit Program [BA] DESCRIPTION: Transferred to WF48	JT	None	Dividends	\$1 - \$200	<input type="checkbox"/>
JT M39 (Merrill Lynch) ⇒	JT	None	Dividends	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Noble Energy Inc. (NBL) [ST] DESCRIPTION: Transferred to WF48				\$1,000	
Kidwell Exploration [OL] LOCATION: Midland, TX, US DESCRIPTION: Royalty	SP	\$1,001 - \$15,000	Royalty	None	<input type="checkbox"/>
Lario Oil & Gas [OT] DESCRIPTION: Lario Oil & Gas This was a duplicate report. Asset is actually Beulah Coleman	JT	None	None		<input type="checkbox"/>
Met Life Insurance [OT] DESCRIPTION: Structured Settlement	SP	None	Structured Settlement	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential SSA [OT] DESCRIPTION: Structured Settlement	SP	None	Structured Settlement	\$50,001 - \$100,000	<input type="checkbox"/>
Royalties ⇒ Beulah Coleman [OT] DESCRIPTION: Beulah Coleman	JT	\$15,001 - \$50,000	Oil & Gas Royalty	\$50,001 - \$100,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ BG Global Opportunity Bond Fund [MF] DESCRIPTION: Name change from Legg Mason Gbl Opp Bond Fund	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ Edward Jones Money Market Fund [BA]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares MSCI EAFE Value ETF [EF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares Core Total U.S. Bond Market ETF (AGG) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares MSCI EAFE Growth ETF (EFG) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares MSCI EAFE Small-Cap ETF (SCZ) [ST]	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares Russell 1000 Value ETF (IWD) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP E48 (Edward Jones) ⇒ iShares Russell 2000 ETF (IWM) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ iShares S&P 500 Growth ETF (IVW) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ JP Morgan Federal Money Market Fund [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
SP E48 (Edward Jones) ⇒ JP Morgan High Yield Fund [MF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
SP E48 (Edward Jones) ⇒ Vanguard FTSE All World Ex US ETF (VEU) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ VANGUARD INDEX FUNDS: VANGUARD VALUE ETF: [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ VANGUARD INTERMEDIATE TERM: BOND ETF [EF]  DESCRIPTION: VANGUARD INTERMEDIATE TERM: BOND ETF	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ VANGUARD LARGE-CAP ETF [HE]  DESCRIPTION: VANGUARD LARGE-CAP ETF	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ Vanguard Total Bond Market ETF (BND) [ST]	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Amcap Fund CL A [MF]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ American Balanced Fund CL A [MF]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ American Funds Dev World Growth [MF]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP E62 (Edward Jones) ⇒ American Funds Global Balanced Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ American International Growth & Income Fund CL A [MF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ American Mutual Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ AT&T Inc. (T) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Campbell Soup Company (CPB) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Capital Income Builders Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Capital World Growth & Income Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Coca-Cola Company (KO) [ST]	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Columbia Tax Exempt Fund CL A [MF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Deere & Company (DE) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Edward Jones Money Market [BA]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Emerson Electric Company (EMR) [ST]	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Europacific Growth Fund CL A [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Franklin Founding Fund Allocation CL A [MF]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Franklin Mutual Global Discovery FD [MF]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP E62 (Edward Jones) ⇒ Franklin Mutual Shares Fund [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Franklin Rising Dividend Fund [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Fundamental Investors Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ General Electric Company (GE) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Growth Fund of America CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Hartford Dividend & Growth Fund [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Hartford Healthcare Fund CL A [MF]	SP	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ INVESCO HIGH YIELD MUNICIPAL: FUND CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Invesco Ltd (IVZ) [ST]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Investment Company of America Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ ISHARES TR: ISHARES CORE DIVIDEND GROWTH: ETF: [EF]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ New Perspective Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ New World Fund CL A [MF]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Nuveen AMT-Free Municipal Value [MF]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP E62 (Edward Jones) ⇒ Putnam Global Healthcare Fund CL A [MF]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ Tax Exempt Bond Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: American Funds - The Tax Exempt Fund of America					
SP E62 (Edward Jones) ⇒ Templeton Growth Fund CL A [MF]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ UIT FIRST TRUST DIVERSIFIED: INC & GRWTH PRT FALL 2015 SER [OT]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: UIT FIRST TRUST DIVERSIFIED: INC & GRWTH PRT FALL 2015 SER:					
SP E62 (Edward Jones) ⇒ UIT FIRST TRUST DIVERSIFIED: INCME & GRWTH PRTFLIO WINTER: 2015 SER [OT]	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: UIT FIRST TRUST DIVERSIFIED: INCME & GRWTH PRTFLIO WINTER: 2015 SER					
SP E62 (Edward Jones) ⇒ UIT FIRST TRUST DIVERSIFIED: INCOME & GROWTH PORT SER 2015: SUMMER [OT]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: UIT FIRST TRUST DIVERSIFIED: INCOME & GROWTH PORT SER 2015: SUMMER					
SP E62 (Edward Jones) ⇒ UIT FIRST TRUST EQUITY INCOME PORTFOLIO SER 54 [OT]	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: UIT FIRST TRUST EQUITY INCOME PORTFOLIO SER 54					
SP E62 (Edward Jones) ⇒ UIT INVESCO UNIT TRS CENT: EQUITY TR DIVERSFED SER 2016-2: [OT]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: UIT INVESCO UNIT TRS CENT: EQUITY TR DIVERSFED SER 2016-2:					
SP E62 (Edward Jones) ⇒ Washington Mutual Investors Fund CL A [MF]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
SP E76 (Edward Jones) ⇒ BOND FUND OF AMERICA CL A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Exchange from Washington Mutual Investors Fund					
SP E76 (Edward Jones) ⇒ CAPITAL INCOME BUILDER CL A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Exchange from WASHINGTON MUTUAL INVESTORS FUND CL A					

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SP E76 (Edward Jones) ⇒ Washington Mutual Investors Fund CL A [MF]	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP M36 (Merrill Lynch) ⇒ Bank of America NA RASP [BA]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Transferred to WF31 Expanded Bank Deposit					
SP M36 (Merrill Lynch) ⇒ Micron Technology, Inc. (MU) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Transferred to WF31					
SP M36 (Merrill Lynch) ⇒ Southwest Airlines Company (LUV) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF31					
SP M36 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER BOFA STEP 27.00%... [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER BOFA STEP 27.00%... Transferred to WF31 BOFA FIN Due 05 31 19					
SP M36 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER CS STEP 30.00% [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER CS STEP 30.00% Transferred to WF31 Name change to Credit Suisse Euro Stoxx due 11/27/20					
SP M37 (Merrill Lynch) ⇒ Bank of America NA RASP [BA]	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF92					
SP M37 (Merrill Lynch) ⇒ SX5E LIRN ISSUER HSBC PART 118.00% [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E LIRN ISSUER HSBC PART 118.00%					
SP M37 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER BOFA STEP 27.00% SV 3,584.55 DUE 05/31/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER BOFA STEP 27.00% SV 3,584.55 DUE 05/31/19					
SP M40 (Merrill Lynch) ⇒ AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19 [OT]	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19					
SP M40 (Merrill Lynch) ⇒ Bank of America Bank Deposit Program [BA]	SP	None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF95 Expanded Bank Deposit					



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP M40 (Merrill Lynch) ⇒ FIN BASKET ARN ISS BOFA CAP 18.06% [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: FIN BASKET ARN ISS BOFA CAP 18.06% Name change to BOFA FIN LLC 0% ELN LKD TO BSKT OF 3 FINL CPN: .0000% DUE: 07/26/2019 Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ First Trust DJ Internet Index Fund [MF]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: First Trust DJ Internet Index Fund Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ Hartford Growth Opportunities FD [MF]	SP	None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ Insurance Contract - JAX Nst'l Perspect [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Insurance Contract - JAX Nst'l Perspect Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ MSCI EM ARN ISSUER CIBC CAP 18.78% SV 1,046.71 DUE 08/30/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: MSCI EM ARN ISSUER CIBC CAP 18.78% SV 1,046.71 DUE 08/30/19 Transferred to WF95 Name Change CANADIAN IMPRL BK 0% ELN Due 08/30/19					
SP M40 (Merrill Lynch) ⇒ R2000 ARN ISSUER HSBC CAP 12.75% SV 1,518.89 DUE 01/24/19 [OT]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: R2000 ARN ISSUER HSBC CAP 12.75% SV 1,518.89 DUE 01/24/19					
SP M40 (Merrill Lynch) ⇒ R2000 ARNS ISSUER BNS CAP 13.17% SV 1,645.017 DUE 08/30/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: R2000 ARNS ISSUER BNS CAP 13.17% SV 1,645.017 DUE 08/30/19 Transferred to WF95 Name change to BANK NOVA SCOTIA 0% ELN ACCL RTRN LKD RUSSELL CPN: .0000% DUE: 08/30/2019					
SP M40 (Merrill Lynch) ⇒ R2000 CLIRN ISSUER CIBC CAP 16.00% SV 1,417.127 DUE 04/26/19 [OT]	SP	None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: R2000 CLIRN ISSUER CIBC CAP 16.00% SV 1,417.127 DUE 04/26/19					
SP M40 (Merrill Lynch) ⇒ R2000 STEPUP ISSUER BNS STEP 30.00% [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: R2000 STEPUP ISSUER BNS STEP 30.00% Transferred to WF95 Name change BANK NOVA SCOTIA 0% ELN B C MKT LKD					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
STEP UP LKD CPN: .0000% DUE: 04/26/2024					
SP M40 (Merrill Lynch) ⇒ SP500 ARN ISSUER BOFA CAP 10.09% SV 2837.44 DUE 09/27/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 ARN ISSUER BOFA CAP 10.09% SV 2837.44 DUE 09/27/19 Transferred to WF95 Name Change to BOFA FIN LLC 0% ELN LKD TO S&P 500 INDEX CPN: .0000% DUE: 09/27/2019					
SP M40 (Merrill Lynch) ⇒ SP500 ARN ISSUER BOFA CAP 13.92% SV 2,737.76 DUE 01/31/20 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 ARN ISSUER BOFA CAP 13.92% SV 2,737.76 DUE 01/31/20					
SP M40 (Merrill Lynch) ⇒ SP500 ARN ISSUER CIBC CAP 11.94% SV 2,716.31 DUE 08/30/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 ARN ISSUER CIBC CAP 11.94% SV 2,716.31 DUE 08/30/19 Transferred to WF95 Name Change to CANADIAN IMPERIAL BK ELN 0% COMM TORONTO BRH LKD CPN: .0000% DUE: 08/30/2019					
SP M40 (Merrill Lynch) ⇒ SP500 ARNS ISSUER BNS CAP 13.20% SV 2,705.57 DUE 12/20/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 ARNS ISSUER BNS CAP 13.20% SV 2,705.57 DUE 12/20/19 Transferred to WF95 Name change BANK NOVA SCOTIA B 0%ELN C ACLRTD RTRN NT LKD S&P CPN: .0000% DUE: 12/20/2019					
SP M40 (Merrill Lynch) ⇒ SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 Duplicate in 2018 report					
SP M40 (Merrill Lynch) ⇒ SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 Transferred to WF95 Name Change BARCLAYS BK PLC 0% ELN CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020					
SP M40 (Merrill Lynch) ⇒ SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20 [OT]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20 Transferred to WF95 Name Change to BOFA FIN LLC 0% ELN LKD To S&P 500 INDEX DUE 04/24/20					
SP M40 (Merrill Lynch) ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ SPDR S&P 500 (SPY) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Transferred to WF95					
SP M40 (Merrill Lynch) ⇒ SX5E CLIRN ISSUER BOFA CAP 25.90% SV 3,333.96 DUE 02/22/19 [OT]	SP	None	None		<input checked="" type="checkbox"/>
DESCRIPTION: SX5E CLIRN ISSUER BOFA CAP 25.90% SV 3,333.96 DUE 02/22/19					
SP M40 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER CS STEP 35.00% SV 3,174.16 DUE 11/19/21 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER CS STEP 35.00% SV 3,174.16 DUE 11/19/21 Transferred to WF95 Name Change to CREDIT SUISSE AG 0% ELN LONDON BRH LKD TO EURO CPN: .0000% DUE: 11/30/2020					
SP M40 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 [OT]	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21					
SP M40 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 40.00% SV 3,444.73 DUE 08/25/22 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 40.00% SV 3,444.73 DUE 08/25/22 Name change HSBC USA INC 0% ELN AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 Transferred to WF95					
SP M81 (Merrill Lynch) ⇒ 3M Company (MMM) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ American Electric Power Company, Inc. (AEP) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ American Express Company (AXP) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Apple Inc. (AAPL) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Automatic Data Processing, Inc. (ADP) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Becton, Dickinson and Company (BDX) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Diageo plc (DEO) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ DowDuPont Inc. (DWDP) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69 Name change to Dupont de Nemours					
SP M81 (Merrill Lynch) ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Home Depot, Inc. (HD) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Intuit Inc. (INTU) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Johnson & Johnson (JNJ) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ McDonald's Corporation (MCD) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Microsoft Corporation (MSFT) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP M81 (Merrill Lynch) ⇒ ML Bank Deposit Program [BA]	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69 Name change Expanded Bank Deposit					
SP M81 (Merrill Lynch) ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Northrop Grumman Corporation (NOC) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Pepsico, Inc. (PEP) [ST]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Pfizer, Inc. (PFE) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ PNC Financial Services Group, Inc. (PNC) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Raytheon Company (RTN) [ST]	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Royal Dutch Shell PLC Royal Dutch Shell American Depository Shares (RDS.A) [ST]	SP	None	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Simon Property Group, Inc. (SPG) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ Stryker Corporation (SYK) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF69					
SP M81 (Merrill Lynch) ⇒ The Travelers Companies, Inc. (TRV) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred to WF69					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SP M81 (Merrill Lynch) ⇒ TJX Companies, Inc. (TJX) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ United Technologies Corporation (UTX) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Verizon Communications Inc. (VZ) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Visa Inc. (V) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Wal-Mart Stores, Inc. (WMT) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Walt Disney Company (DIS) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Waste Management, Inc. (WM) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Zoetis Inc. Class A (ZTS) [ST]  DESCRIPTION: Transferred to WF69	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ Bank of America NA RASP [BA]  DESCRIPTION: Transferred to WF53 Name change to Expanded Bank Deposit	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ Calamos Strategic Total Return Fund (CSQ) [ST]  DESCRIPTION: Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒	SP	None	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
First Trust DJ Internet Index Fund (FDN) [ST] DESCRIPTION: Transferred to WF53					
SP M92 (Merrill Lynch) ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST] DESCRIPTION: Exchange from Powershares QQQ Tr SE 1 Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST] DESCRIPTION: Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ VANGUARD 500 INDEX FUND SHS ETF [MF] DESCRIPTION: Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ VANGUARD FTSE DEVELOPED MARKETS ETF [MF] DESCRIPTION: Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
SP M92 (Merrill Lynch) ⇒ Vanguard Utilities ETF (VPU) [ST] DESCRIPTION: Transferred to WF53	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19 [OT] DESCRIPTION: AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ Micron Technology, Inc. (MU) [ST] DESCRIPTION: Transferred to WF25	SP	None	None		<input type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ Microsoft Corporation (MSFT) [ST] DESCRIPTION: Transferred to WF25	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ ML Bank Deposit Program [BA] DESCRIPTION: Transferred to WF25 Name change to Expanded Bank Deposit	SP	None	Interest	\$1 - \$200	<input type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ Noble Energy Inc. (NBL) [ST] DESCRIPTION: Transferred to WF25	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Trust M69 (Merrill Lynch) ⇒ R2000 ARN ISSUER RBC CAP 12.75% SV 1,601.669 DUE	SP	None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
03/29/19 [OT]					
DESCRIPTION: R2000 ARN ISSUER RBC CAP 12.75% SV 1,601.669 DUE 03/29/19					
Trust M69 (Merrill Lynch) ⇒ R2000 ARN ISSUER SEK CAP 11.55% SV 1,547.107 DUE 02/22/19 [OT]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: R2000 ARN ISSUER SEK CAP 11.55% SV 1,547.107 DUE 02/22/19					
Trust M69 (Merrill Lynch) ⇒ Southwest Airlines Company (LUV) [ST]	SP	None	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred to WF25					
Trust M69 (Merrill Lynch) ⇒ SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SP500 CLIRN ISS BARC CAP 14.02% SV 2,467.42 DUE 02/28/20 Name Change BARCLAYS BK PLC 0% ELN CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 Transferred to WF25					
Trust M69 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER BNS STEP 30.00% SV 3,563.64 DUE 09/24/20 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER BNS STEP 30.00% SV 3,563.64 DUE 09/24/20 Name change BANK NOVA SCOTIA 0% ELN LKD EURO STOXX 50 INDEX DUE 09/24/2020 Transferred to WF25					
Trust M69 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER BOFA STEP 26.91% SV 3,563.64 DUE 09/26/19 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER BOFA STEP 26.91% SV 3,563.64 DUE 09/26/19 Transferred to WF25					
Trust M69 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 [OT]	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21					
Trust M69 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 40.00% SV 3,444.73 DUE 08/25/22 [OT]	SP	None	None		<input type="checkbox"/>
DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 40.00% SV 3,444.73 DUE 08/25/22 Transferred to WF25 Name Change HSBC USA INC 0% ELN AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022					
Trust M69 (Merrill Lynch) ⇒ Teradyne, Inc. (TER) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred to WF25					
Trust S ⇒ Wells Fargo Checking [BA]	SP	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Wells Fargo ⇒ Wells Fargo Checking [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo ⇒ Wells Fargo Savings [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo ⇒ Wells Fargo Savings [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ Eaton Vance Balanced Fund Cl A [MF]  DESCRIPTION: Transferred from Mo6		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ Expanded Bank Deposit [BA]  DESCRIPTION: Transferred from Mo6		\$1,001 - \$15,000	None		<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ International Business Machines Corporation (IBM) [ST]  DESCRIPTION: Transferred from Mo6		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ JP Morgan Chase & Co. (JPM) [ST]  DESCRIPTION: Transferred from Mo6		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ Putnam Global Healthcare Fd [MF]  DESCRIPTION: Transferred from Mo6		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Wells Fargo ⇒ WF18 ⇒ Valley National Bancorp (VLY) [ST]  DESCRIPTION: Transferred from Mo6		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Wells Fargo ⇒ WF48 ⇒ Expanded Bank Depsot [BA]  DESCRIPTION: Transferred from ML39		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Wells Fargo ⇒ WF48 ⇒ Noble Energy Inc. (NBL) [ST]  DESCRIPTION: Transferred from ML39		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA 0% ELN LKD EURO STOXX 50 INDEX DUE 09/24/2020 [OT]  DESCRIPTION: Transferred from M69		\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 25 (Wells Fargo Financial) ⇒ BARCLAYS BK PLC 0% ELN CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 [OT]  DESCRIPTION: Transferred from M69		\$50,001 - \$100,000	None		<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% ELN LKD TO S&P 500 INDEX DUE 04/24/2020 [OT]  DESCRIPTION: BOFA FIN LLC 0% ELN LKD TO S&P 500 INDEX DUE 04/24/2020		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% ELN STEP UP NOT LKD TO EURO CPN: .0000% DUE: 09/26/2019 [OT]  DESCRIPTION: Transferred from M69		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Expanded bank deposit [BA]  DESCRIPTION: Transfer from M69		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ FIRST TRUST MORNINGSTREET DIVIDEND LEADERS INDEX ETF [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ HSBC USA INC 0% ELN AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 [OT]  DESCRIPTION: Transferred from M69		\$50,001 - \$100,000	None		<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Micron Technology, Inc. (MU) [ST]  DESCRIPTION: Transfer from M69		\$15,001 - \$50,000	None		<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Microsoft Corporation (MSFT) [ST]  DESCRIPTION: Transfer from M69		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Noble Energy Inc. (NBL) [ST]  DESCRIPTION: Transfer from M69		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Southwest Airlines Company (LUV) [ST]  DESCRIPTION: Transfer from M69		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ SPDR Bloomberg ETF Barclays Convertible [EF]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 25 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Teradyne, Inc. (TER) [ST]  DESCRIPTION: Transferred from M69		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ Vanguard Div Appreciation ETF (VIG) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
WF 31 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% EDP MKT LKD STP NTS LKD EURO STOXX 50 INDX 05/31/2019 CPN 0.000% DUE 05/31/19 [OT]  DESCRIPTION: Transferred from M36	SP	None	None		<input checked="" type="checkbox"/>
WF 31 (Wells Fargo Financial) ⇒ Credit Suisse Eur Stoxx due 11/27/20 [OT]  DESCRIPTION: Transferred from M36	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
WF 31 (Wells Fargo Financial) ⇒ Expanded Bank Deposit [BA]  DESCRIPTION: Transferred from M36 Was Bank of America NA RASP	SP	\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
WF 31 (Wells Fargo Financial) ⇒ Micron Technology, Inc. (MU) [ST]  DESCRIPTION: Transferred from M36	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
WF 31 (Wells Fargo Financial) ⇒ Southwest Airlines Company (LUV) [ST]  DESCRIPTION: Transferred from M36	SP	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 53 (Wells Fargo Financial) ⇒ Calamos Strategic Total Return Fund (CSQ) [ST]  DESCRIPTION: Transferred from M92		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
WF 53 (Wells Fargo Financial) ⇒ Expanded Bank Deposit [BA]  DESCRIPTION: Transferred from M92		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
WF 53 (Wells Fargo Financial) ⇒ First Trust DJ Internet Index Fund (FDN) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ Vanguard FTSE Developed Markets ETF (VEA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ Vanguard S&P 500 ETF (VOO) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 53 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M92					
WF 69 (Wells Fargo Financial) ⇒ 3M Company (MMM) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Alphabet Inc. - Class A (GOOGL) [ST]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Amazon.com, Inc. (AMZN) [ST]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ American Electric Power Company, Inc. (AEP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
American Express Company (AXP) [ST]					
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Apple Inc. (AAPL) [ST]					
		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Automatic Data Processing, Inc. (ADP) [ST]					
		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Becton, Dickinson and Company (BDX) [ST]					
		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Corteva, Inc. (CTVA) [ST]					
		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Diageo plc (DEO) [ST]					
		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Dow Inc. (DOW) [ST]					
		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ DuPont de Nemours, Inc. (DD) [ST]					
		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Expanded Bank Deposit [BA]					
		\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Exxon Mobil Corporation (XOM) [ST]					
		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Home Depot, Inc. (HD) [ST]					
		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Intuit Inc. (INTU) [ST]					
		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 69 (Wells Fargo Financial) ⇒ Johnson & Johnson (JNJ) [ST]  DESCRIPTION: Transferred from M81		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ JP Morgan Chase & Co. (JPM) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ McDonald's Corporation (MCD) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Microsoft Corporation (MSFT) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ NextEra Energy, Inc. (NEE) [ST]  DESCRIPTION: Transferred from M81		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Northrop Grumman Corporation (NOC) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Pepsico, Inc. (PEP) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Pfizer, Inc. (PFE) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ PNC Financial Services Group, Inc. (PNC) [ST]  DESCRIPTION: Transferred from M81		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Raytheon Company (RTN) [ST]  DESCRIPTION: Transferred from M81		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Royal Dutch Shell PLC Royal Dutch Shell American Depositary Shares (RDS.A) [ST]  DESCRIPTION: Transferred from M81		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Simon Property Group, Inc. (SPG) [ST]					
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Stryker Corporation (SYK) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ The Travelers Companies, Inc. (TRV) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ TJX Companies, Inc. (TJX) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ United Technologies Corporation (UTX) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Verizon Communications Inc. (VZ) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Visa Inc. (V) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Walmart Inc. (WMT) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 69 (Wells Fargo Financial) ⇒ Walt Disney Company (DIS) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Waste Management, Inc. (WM) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 69 (Wells Fargo Financial) ⇒ Zoetis Inc. Class A (ZTS) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Transferred from M81					
WF 95 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA 0% ELN ACCL RTRN LKD RUSSELL CPN: .0000% DUE: 08/30/2019 [OT]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: BANK NOVA SCOTIA 0% ELN ACCL RTRN LKD RUSSELL CPN: .0000% DUE: 08/30/2019 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA 0% ELN B C MKT LKD STEP UP LKD CPN: .0000% DUE: 04/26/2024 [OT]		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
DESCRIPTION: BANK NOVA SCOTIA 0% ELN B C MKT LKD STEP UP LKD CPN: .0000% DUE: 04/26/2024 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA B 0%ELN C ACLRTD RTRN NT LKD S&P CPN: .0000% DUE: 12/20/2019 [OT]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: BANK NOVA SCOTIA B 0%ELN C ACLRTD RTRN NT LKD S&P CPN: .0000% DUE: 12/20/2019 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BARCLAYS BK PLC 0% ELN CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 [OT]		\$50,001 - \$100,000	None		<input type="checkbox"/>
DESCRIPTION: BARCLAYS BK PLC 0% ELN CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% ELN ACCELERATED RETURN NTS LKD TO S&P MTY 01/31/20 [OT]		\$100,001 - \$250,000	None		<input type="checkbox"/>
DESCRIPTION: BOFA FIN LLC 0% ELN ACCELERATED RETURN NTS LKD TO S&P MTY 01/31/20 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% ELN LKD TO BSKT OF 3 FINL CPN: .0000% DUE: 07/26/2019 [OT]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: BOFA FIN LLC 0% ELN LKD TO BSKT OF 3 FINL CPN: .0000% DUE: 07/26/2019 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% ELN LKD TO S&P 500 INDEX CPN: .0000% DUE: 09/27/2019 [OT]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: BOFA FIN LLC 0% ELN LKD TO S&P 500 INDEX CPN: .0000% DUE: 09/27/2019 Transferred from M40					



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 95 (Wells Fargo Financial) ⇒ CANADIAN IMPERIAL BK ELN 0% COMM TORONTO BRH LKD CPN: .0000% DUE: 08/30/2019 [OT]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: CANADIAN IMPERIAL BK ELN 0% COMM TORONTO BRH LKD CPN: .0000% DUE: 08/30/2019 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ CANADIAN IMPRL BK 0% ELN Due 08/30/19 [OT]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: CANADIAN IMPRL BK 0% ELN Due 08/30/19 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ CREDIT SUISSE AG 0% ELN LONDON BRH LKD TO EURO CPN: .0000% DUE: 11/30/2020 [OT]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: CREDIT SUISSE AG 0% ELN LONDON BRH LKD TO EURO CPN: .0000% DUE: 11/30/2020 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ Expanded Bank Deposit [BA]		\$500,001 - \$1,000,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ First Trust DJ Internet Index Fund [MF]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ FIRST TRUST MORNINGSTRETF DIVIDEND LEADERS INDEX [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ GOLDMAN SACHS ETF TR ETF ACTIVEBETA U S LARGE CAP EQUITY ETF [EF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ Hartford Growth Opportunities FD [MF]		None	None		<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ HSBC USA INC 0% ELN AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 [OT]		\$250,001 - \$500,000	None		<input type="checkbox"/>
DESCRIPTION: HSBC USA INC 0% ELN AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ Insurance Contract - JAX Nst'l Perspect [OT]		\$1,000,001 - \$5,000,000	None		<input type="checkbox"/>
DESCRIPTION: Insurance Contract - JAX Nst'l Perspect Transferred from M40					
WF 95 (Wells Fargo Financial) ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST]		None	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Transferred from M40					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
WF 95 (Wells Fargo Financial) ⇒ PRINCIPAL EXCHANGE ETF TRADED FDS US MEGA CAP MULTI FACTOR INDEX ETF [EF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR BLOOMBERG ETF BARCLAYS CONVERTIBLE [EF]		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST]  DESCRIPTION: Transferred from M40		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P 500 (SPY) [ST]  DESCRIPTION: Transferred from M40		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ Vanguard Div Appreciation ETF (VIG) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ VANGUARD UTILITIES ETF [EF]		None	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?
R2000 ARN ISSUER HSBC CAP 12.75% SV 1,518.89 DUE 01/24/19 [OT]  LOCATION: US DESCRIPTION: R2000 ARN ISSUER HSBC CAP 12.75% SV 1,518.89 DUE 01/24/19 Redemption	SP	01/24/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
SP E48 (Edward Jones) ⇒ JPMORGAN FEDERAL MONEY MARKET FUND [OT]  LOCATION: US DESCRIPTION: JPMORGAN FEDERAL MONEY MARKET FUND	SP	03/28/2019	P	\$1,001 - \$15,000	
SP E48 (Edward Jones) ⇒ JPMORGAN FEDERAL MONEY MARKET FUND [OT]  LOCATION: US	SP	06/21/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: JPMORGAN FEDERAL MONEY MARKET FUND					
SP E48 (Edward Jones) ⇒ JPMORGAN FEDERAL MONEY MARKET FUND [OT]	SP	10/2/2019	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: JPMORGAN FEDERAL MONEY MARKET FUND					
SP E48 (Edward Jones) ⇒ JPMORGAN FEDERAL MONEY MARKET FUND [OT]	SP	12/30/2019	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: JPMORGAN FEDERAL MONEY MARKET FUND					
SP E48 (Edward Jones) ⇒ JPMORGAN FEDERAL MONEY MARKET FUND [OT]	SP	12/23/2019	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: JPMORGAN FEDERAL MONEY MARKET FUND					
SP E48 (Edward Jones) ⇒ JPMORGAN Hign Yield Fund [OT]	SP	04/8/2019	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: JPMORGAN Hign Yield Fund					
SP E48 (Edward Jones) ⇒ Vanguard Total Bond Market EFT [OT]	SP	04/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: Vanguard Total Bond Market EFT					
SP E62 (Edward Jones) ⇒ American Funds Developing: World Growth & Income FD [OT]	SP	07/26/2019	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: American Funds Developing: World Growth & Income FD					
SP E62 (Edward Jones) ⇒ American Mutual Fund Inc Class A [OT]	SP	07/26/2019	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: American Mutual Fund Inc Class A					
SP E62 (Edward Jones) ⇒ AT&T Inc. (T) [ST]	SP	03/25/2019	P	\$15,001 - \$50,000	
SP E62 (Edward Jones) ⇒ Coca-Cola Company (KO) [ST]	SP	07/26/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
SP E62 (Edward Jones) ⇒	SP	03/25/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
General Electric Company (GE) [ST]					
SP E62 (Edward Jones) ⇒ Invesco Ltd (IVZ) [ST]	SP	12/12/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
SP E62 (Edward Jones) ⇒ ISHARES CORE DIVIDEND GROWTH: ETF [OT]	SP	03/25/2019	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: ISHARES CORE DIVIDEND GROWTH: ETF					
SP M40 (Merrill Lynch) ⇒ AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19 [OT]	SP	04/26/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: AAPL ARN ISSUER HSBC CAP 21.60% SV 172.95 DUE 04/26/19 Redemption					
SP M40 (Merrill Lynch) ⇒ R2000 CLIRN ISSUER CIBC CAP 16.00% SV 1,417.127 DUE 04/26/19 [OT]	SP	04/26/2019	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: R2000 CLIRN ISSUER CIBC CAP 16.00% SV 1,417.127 DUE 04/26/19 Redemption					
SP M40 (Merrill Lynch) ⇒ SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20 [OT]	SP	02/21/2019	P	\$50,001 - \$100,000	
LOCATION: US DESCRIPTION: SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20					
SP M40 (Merrill Lynch) ⇒ SP500 CLIRNS ISSUER BNS CAP 11.50% SV 2,642.33 DUE 03/27/20 [OT]	SP	01/24/2019	P	\$50,001 - \$100,000	
LOCATION: US DESCRIPTION: SP500 CLIRNS ISSUER BNS CAP 11.50% SV 2,642.33 DUE 03/27/20					
SP M40 (Merrill Lynch) ⇒ SX5E CLIRN ISSUER BOFA CAP 25.90% SV 3,333.96 DUE 02/22/19 [OT]	SP	02/22/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: SX5E CLIRN ISSUER BOFA CAP 25.90% SV 3,333.96 DUE 02/22/19					
SP M40 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 [OT]	SP	04/11/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 Redemption					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SP M81 (Merrill Lynch) ⇒ Alphabet Inc. - Class A (GOOGL) [ST]	SP	04/4/2019	P	\$15,001 - \$50,000	
SP M81 (Merrill Lynch) ⇒ Apple Inc. (AAPL) [ST]	SP	01/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Apple Inc. (AAPL) [ST]	SP	04/18/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Automatic Data Processing, Inc. (ADP) [ST]	SP	04/18/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Becton, Dickinson and Company (BDX) [ST]	SP	04/18/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	01/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	03/4/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Home Depot, Inc. (HD) [ST]	SP	04/18/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Intuit Inc. (INTU) [ST]	SP	01/8/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Intuit Inc. (INTU) [ST]	SP	04/18/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Johnson & Johnson (JNJ) [ST]	SP	01/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Johnson & Johnson (JNJ) [ST]	SP	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	04/18/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Microsoft Corporation (MSFT) [ST]	SP	01/8/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SP M81 (Merrill Lynch) ⇒ Northrop Grumman Corporation (NOC) [ST]	SP	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Pepsico, Inc. (PEP) [ST]	SP	01/8/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Pfizer, Inc. (PFE) [ST]	SP	04/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Raytheon Company (RTN) [ST]	SP	04/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Simon Property Group, Inc. (SPG) [ST]	SP	01/4/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ The Travelers Companies, Inc. (TRV) [ST]	SP	01/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ The Travelers Companies, Inc. (TRV) [ST]	SP	03/4/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	SP	04/4/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Verizon Communications Inc. (VZ) [ST]	SP	04/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SP M81 (Merrill Lynch) ⇒ Walmart Inc. (WMT) [ST]	SP	01/8/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Walt Disney Company (DIS) [ST]	SP	04/18/2019	P	\$1,001 - \$15,000	
SP M81 (Merrill Lynch) ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	01/8/2019	P	\$1,001 - \$15,000	
Trust M69 (Merrill Lynch) ⇒ R2000 ARN ISSUER RBC CAP 12.75% SV 1,601.669 DUE 03/29/19 [OT]	SP	03/29/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: US					
DESCRIPTION: R2000 ARN ISSUER RBC CAP 12.75% SV 1,601.669 DUE 03/29/19 Redemption					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Trust M69 (Merrill Lynch) ⇒ R2000 ARN ISSUER SEK CAP 11.55% SV 1,547.107 DUE 02/22/19 [OT]	SP	02/22/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: R2000 ARN ISSUER SEK CAP 11.55% SV 1,547.107 DUE 02/22/19 Redemption					
Trust M69 (Merrill Lynch) ⇒ SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20 [OT]	SP	02/21/2019	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: SP500 CLIRN ISSUER BOFA CAP 9.00% SV 2,774.88 DUE 04/24/20					
Trust M69 (Merrill Lynch) ⇒ SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 [OT]	SP	04/11/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: SX5E STEPUP ISSUER HSBC STEP 30.00% SV 3,331.25 DUE 03/25/21 Redemption					
WF 25 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% EDP STEP UP NOT LKD TO EURO STOXX 50 DUE 09/27/2019 [OT]		09/27/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: BOFA FIN LLC 0% EDP STEP UP NOT LKD TO EURO STOXX 50 DUE 09/27/2019 Redemption					
WF 25 (Wells Fargo Financial) ⇒ First Trust Morningstar ETF (FDL) [ST]		08/6/2019	P	\$15,001 - \$50,000	
WF 25 (Wells Fargo Financial) ⇒ First Trust Morningstar ETF (FDL) [ST]		10/10/2019	P	\$1,001 - \$15,000	
WF 25 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		07/24/2019	P	\$50,001 - \$100,000	
WF 25 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		10/10/2019	P	\$1,001 - \$15,000	
WF 25 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		12/3/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
WF 25 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		10/21/2019	P	\$15,001 - \$50,000	
WF 25 (Wells Fargo Financial) ⇒		12/3/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SPDR S&P Dividend ETF (SDY) [ST]					
WF 25 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		07/24/2019	P	\$50,001 - \$100,000	
WF 25 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		10/10/2019	P	\$1,001 - \$15,000	
WF 25 (Wells Fargo Financial) ⇒ Vanguard Div Appreciation ETF (VIG) [ST]		12/3/2019	P	\$15,001 - \$50,000	
WF 31 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% EDP MKT LKD STP NTS LKD EURO STOXX 50 INDX 05/31/2019 CPN 0.000% DUE 05/31/19 [OT]	SP	06/3/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: BOFA FIN LLC 0% EDP MKT LKD STP NTS LKD EURO STOXX 50 INDX 05/31/2019 CPN 0.000% DUE 05/31/19 Redemption					
WF 31 (Wells Fargo Financial) ⇒ CREDIT SUISSE AG 0% EDP LKD EURO STOXX 50 INDEX DUE 11/27/2020 CPN 0.000% DUE 11/27/20 [OT]	SP	11/29/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: CREDIT SUISSE AG 0% EDP LKD EURO STOXX 50 INDEX DUE 11/27/2020 CPN 0.000% DUE 11/27/20 Redemption					
WF 53 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		07/24/2019	P	\$15,001 - \$50,000	
WF 53 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		07/24/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		10/10/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Amazon.com, Inc. (AMZN) [ST]		09/26/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Corteva, Inc. (CTVA) [ST]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Dow Inc. (DOW) [ST]		08/6/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ DuPont de Nemours, Inc. (DD) [ST]		10/10/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
WF 69 (Wells Fargo Financial) ⇒ Exxon Mobil Corporation (XOM) [ST]		10/10/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Johnson & Johnson (JNJ) [ST]		10/10/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Johnson & Johnson (JNJ) [ST]		10/10/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ NextEra Energy, Inc. (NEE) [ST]		10/10/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ PNC Financial Services Group, Inc. (PNC) [ST]		10/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ PNC Financial Services Group, Inc. (PNC) [ST]		10/10/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]		10/10/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Simon Property Group, Inc. (SPG) [ST]		07/23/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		08/6/2019	P	\$15,001 - \$50,000	
WF 69 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		08/6/2019	P	\$1,001 - \$15,000	
WF 69 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		10/21/2019	P	\$50,001 - \$100,000	
WF 69 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		09/26/2019	P	\$15,001 - \$50,000	
WF 69 (Wells Fargo Financial) ⇒ Walmart Inc. (WMT) [ST]		08/6/2019	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 69 (Wells Fargo Financial) ⇒ Waste Management, Inc. (WM) [ST]		08/6/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
WF 95 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA 0% 1Y: ACCL RTRN LKD RUSSELL 2000 IDX MTY 08/30/19 [OT]	08/30/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: BANK NOVA SCOTIA 0% 1Y: ACCL RTRN LKD RUSSELL 2000 IDX MTY 08/30/19 Redemption				
WF 95 (Wells Fargo Financial) ⇒ BANK NOVA SCOTIA B 0EDP C ACLRTD RTRN NT LKD S&P 500 IDX DUE 12/20/2019 CPN 0.000% [OT]	12/20/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: BANK NOVA SCOTIA B 0EDP C ACLRTD RTRN NT LKD S&P 500 IDX DUE 12/20/2019 CPN 0.000%				
WF 95 (Wells Fargo Financial) ⇒ BOFA FIN LLC 0% EDP LKD TO S&P 500 INDEX DUE 09/27/2019 CPN 0.000% DUE 09/27/19 [OT]	09/27/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: BOFA FIN LLC 0% EDP LKD TO S&P 500 INDEX DUE 09/27/2019 CPN 0.000% Redemption				
WF 95 (Wells Fargo Financial) ⇒ CANADIAN IMPERIAL BKEDP 0% COMM TORONTO BRH LKD MSCI EMRGNG DUE 08/30/19 [OT]	08/30/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: CANADIAN IMPERIAL BKEDP 0% COMM TORONTO BRH LKD MSCI EMRGNG DUE 08/30/19 Redemption				
WF 95 (Wells Fargo Financial) ⇒ CANADIAN IMPRL BK 0%EDP COMM TRNT BRH RTN NT LKD S&P500 IDX DUE08/30/2019 [OT]	08/30/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: CANADIAN IMPRL BK 0%EDP COMM TRNT BRH RTN NT LKD S&P500 IDX DUE08/30/2019 Redemption				
WF 95 (Wells Fargo Financial) ⇒ CREDIT SUISSE AG 0% EDP LONDON BRH LKD TO EURO STOXX 50 INDEX 1/30/2020 CPN 0.000% DUE 11/30/20 [OT]	12/12/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: CREDIT SUISSE AG 0% EDP LONDON BRH LKD TO EURO STOXX 50 INDEX 1/30/2020 CPN 0.000% DUE 11/30/20				
WF 95 (Wells Fargo Financial) ⇒ FIN BASKET ARN ISS BOFA CAP 18.06% [OT]	07/29/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: FIN BASKET ARN ISS BOFA CAP 18.06%				
WF 95 (Wells Fargo Financial) ⇒ First Trust DJ Internet Index Fund (FDN) [ST]	10/10/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒	08/6/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
First Trust Morningstar ETF (FDL) [ST]					
WF 95 (Wells Fargo Financial) ⇒ First Trust Morningstar ETF (FDL) [ST]		10/10/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ First Trust Morningstar ETF (FDL) [ST]		11/7/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]		12/10/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]		12/3/2019	P	\$1,001 - \$15,000	
WF 95 (Wells Fargo Financial) ⇒ Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]		12/3/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ HARTFORD FORTIS FUNDS ?* GRWTH OPPTYS [OT]		09/26/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: HARTFORD FORTIS FUNDS ?* GRWTH OPPTYS					
WF 95 (Wells Fargo Financial) ⇒ Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]		07/24/2019	P	\$1,001 - \$15,000	
WF 95 (Wells Fargo Financial) ⇒ Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]		07/24/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]		07/24/2019	P	\$1,001 - \$15,000	
WF 95 (Wells Fargo Financial) ⇒ Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]		07/24/2019	P	\$1,001 - \$15,000	
WF 95 (Wells Fargo Financial) ⇒ Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]		07/24/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒		11/7/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]					
WF 95 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		08/14/2019	P	\$50,001 - \$100,000	
WF 95 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		12/10/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR Bloomberg Barclays Convertible Securities ETF (CWB) [ST]		12/3/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR Dow Jones Industrial Average ETF (DIA) [ST]		10/10/2019	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P 500 (SPY) [ST]		08/14/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P 500 (SPY) [ST]		10/10/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P 500 (SPY) [ST]		11/7/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		10/21/2019	P	\$50,001 - \$100,000	
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		10/10/2019	P	\$1,001 - \$15,000	
WF 95 (Wells Fargo Financial) ⇒ SPDR S&P Dividend ETF (SDY) [ST]		11/7/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		07/24/2019	P	\$50,001 - \$100,000	
WF 95 (Wells Fargo Financial) ⇒ Vanguard Consumer Staples ETF (VDC) [ST]		08/14/2019	P	\$50,001 - \$100,000	
WF 95 (Wells Fargo Financial) ⇒ Vanguard Div Appreciation ETF (VIG) [ST]		12/3/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
WF 95 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		09/26/2019	P	\$50,001 - \$100,000	
WF 95 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		10/10/2019	P	\$15,001 - \$50,000	
WF 95 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		11/7/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
WF 95 (Wells Fargo Financial) ⇒ Vanguard Utilities ETF (VPU) [ST]		12/10/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>

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

## SCHEDULE C: EARNED INCOME

None disclosed.

## SCHEDULE D: LIABILITIES

None disclosed.

## SCHEDULE E: POSITIONS

Position	Name of Organization
Board Member - Lifetime	United Way of Midland, Texas
Board of Directors and Rodeo Committee	Sandhills Hereford & Quarterhorse Show, Inc.
Sole Proprietor	K. Michael Conaway, CPA
Board of Directors - President	Conawell Corporation
Board of Directors - Vice President	Kidwell Exploration
President	Conabain Corporation

## SCHEDULE F: AGREEMENTS

None disclosed.

## SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
National Associations of State Boards of Accountancy	10/25/2019	10/27/2019	Washington, DC - Boston, MA - Washington, DC	0	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
National Associations of State Boards of Accountancy	10/25/2019	10/27/2019	Midland, TX - Boston, MA - Midland, TX	0	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>o</li><li>o Insurance Policies LOCATION: US</li><li>o JT M06 (Merrill Lynch) (Owner: JT)</li><li>o JT M39 (Merrill Lynch) (Owner: JT) LOCATION: US</li><li>o Royalties (Owner: JT) LOCATION: US</li><li>o SP E48 (Edward Jones) (Owner: SP) LOCATION: US DESCRIPTION: Managed Account – Not self-directed</li><li>o SP E62 (Edward Jones) (Owner: SP) LOCATION: US</li><li>o SP E76 (Edward Jones) (Owner: SP)</li><li>o SP M36 (Merrill Lynch) (Owner: SP) LOCATION: US</li><li>o SP M37 (Merrill Lynch) (Owner: SP) LOCATION: US</li><li>o SP M40 (Merrill Lynch) (Owner: SP) LOCATION: US</li><li>o SP M81 (Merrill Lynch) (Owner: SP) DESCRIPTION: Managed Account – Not self-directed</li><li>o SP M92 (Merrill Lynch) (Owner: SP)</li><li>o Trust M69 (Merrill Lynch) (Owner: SP)</li><li>o Trust S (Owner: SP)</li><li>o Wells Fargo</li></ul>
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LOCATION: US

- Wells Fargo ⇒ WF18
- Wells Fargo ⇒ WF48  
LOCATION: US
- WF 25 (Wells Fargo Financial)  
LOCATION: US
- WF 31 (Wells Fargo Financial) (Owner: SP)  
LOCATION: US
- WF 53 (Wells Fargo Financial)  
LOCATION: US
- WF 69 (Wells Fargo Financial)  
LOCATION: US
- WF 95 (Wells Fargo Financial)  
LOCATION: US

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. K. Michael Conaway , 08/12/2020