

# Trading Compliance Analysis

Ex-Ante vs Ex-Post Comparison - 2025-11-14

## Compliance Status Changes

Total Funds Analyzed: 7

Total Funds Traded: 7

Fund	Status Change	Viol. Before	Viol. After	Net Change
DOGG	UNCHANGED	1	1	0
FDND	UNCHANGED	2	2	0
FGSI	UNCHANGED	1	1	0
KNG	UNCHANGED	2	2	0
RDVI	UNCHANGED	1	1	0
SDVD	UNCHANGED	1	1	0
TDVI	UNCHANGED	1	1	0
Totals		9	9	0

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## Detailed Comparison by Compliance Check

Compliance Check	DOGG			FDND			FGSI			KNG			RDVI			SDVD			TDVI		
	Before	After	Changed	Before	After	Changed	Before	After	Changed	Before	After	Changed	Before	After	Changed	Before	After	Changed	Before	After	Changed
diversification_40act_check	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	FAIL	FAIL	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO
diversification_IRS_check	FAIL	FAIL	NO	FAIL	FAIL	NO	FAIL	FAIL	NO	FAIL	FAIL	NO	FAIL	FAIL	NO	FAIL	FAIL	NO	FAIL	FAIL	NO
gics_compliance				FAIL	FAIL	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO
prospectus_80pct_policy	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO	PASS	PASS	NO

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## Trade Activity

### Trade Activity Summary

Fund	Asset Class	Total Net Assets	Total Assets	Trade Value	% of TNA	% of Assets	Ex-Ante MV	Ex-Post MV	Market Value Delta	Net Trade Value	Net Buy Value	Net Sell Value
DOGG	Equity	0.00	0.00	3,453,358.77	0.00%	0.00%	19,238,742.71	18,310,204.76	-928,537.95	3,354,304.05	3,403,831.41	49,527.36
	Options	0.00	0.00	9,172,182.90	0.00%	0.00%	-9,172,182.90	0.00	9,172,182.90	0.00	0.00	0.00
FDND	Equity	0.00	0.00	9,265.85	0.00%	0.00%	10,255,587.63	10,264,853.48	9,265.85	9,265.85	9,265.85	0.00
	Options	0.00	0.00	28,000.00	0.00%	0.00%	-28,000.00	0.00	28,000.00	0.00	0.00	0.00
FGSI	Equity	0.00	0.00	11,707.79	0.00%	0.00%	2,992,549.79	3,002,556.72	10,006.93	10,006.93	10,857.36	850.43
	Options	0.00	0.00	792.00	0.00%	0.00%	-792.00	0.00	792.00	0.00	0.00	0.00
KNG	Equity	0.00	0.00	16,943,667.00	0.00%	0.00%	3,512,429,623.71	3,529,373,290.71	16,943,667.00	16,943,667.00	16,943,667.00	0.00
	Options	0.00	0.00	18,805,742.50	0.00%	0.00%	-18,805,742.50	0.00	18,805,742.50	0.00	0.00	0.00
RDVI	Equity	0.00	0.00	2,494,826.13	0.00%	0.00%	2,474,440,574.35	2,482,024,006.72	7,583,432.37	2,494,826.13	2,494,826.13	0.00
	Options	0.00	0.00	755,000.00	0.00%	0.00%	-755,000.00	0.00	755,000.00	0.00	0.00	0.00
SDVD	Equity	0.00	0.00	600,235.90	0.00%	0.00%	671,608,195.45	672,208,431.36	600,235.91	600,235.90	600,235.90	0.00
	Options	0.00	0.00	873.00	0.00%	0.00%	-873.00	0.00	873.00	0.00	0.00	0.00
TDVI	Equity	0.00	0.00	207,154.09	0.00%	0.00%	196,284,159.62	196,484,680.05	200,520.43	200,520.43	203,837.26	3,316.83
	Options	0.00	0.00	51,250.00	0.00%	0.00%	-51,250.00	0.00	51,250.00	0.00	0.00	0.00

### Trade Activity Details

Fund	Asset Class	Direction	Ticker	Quantity	Market Value
DOGG	Equity	Net Buy		28,684.00	3,403,831.41
	Equity	Net Sell		696.00	49,527.36
	Equity	Buy	AMGN	1,235.00	415,873.90
	Equity	Buy	MRK	4,243.00	394,259.56
	Equity	Buy	CSCO	5,041.00	393,198.00
	Equity	Buy	JNJ	1,946.00	381,279.78
	Equity	Buy	MCD	1,241.00	381,024.23
	Equity	Sell	KO	696.00	49,527.36

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Fund	Asset Class	Direction	Ticker	Quantity	Market Value
	Options	Net Buy		385.00	0.00
<b>FDND</b>	Equity	Net Buy		56.00	9,265.85
	Equity	Buy	NFLX	1.00	1,112.17
	Equity	Buy	AMZN	4.00	938.76
	Equity	Buy	META	1.00	609.46
	Equity	Buy	GOOG	2.00	553.96
	Equity	Buy	GOOGL	2.00	552.82
	Options	Net Buy		56.00	0.00
<b>FGSI</b>	Equity	Net Buy		54.00	10,857.36
	Equity	Net Sell		1.00	850.43
	Equity	Buy	NFLX	1.00	1,112.17
	Equity	Buy	LLY	1.00	1,025.28
	Equity	Buy	MPWR	1.00	920.19
	Equity	Buy	INTU	1.00	662.41
	Equity	Buy	META	1.00	609.46
	Equity	Sell	NOW	1.00	850.43
	Options	Net Buy		8.00	0.00
<b>KNG</b>	Equity	Net Buy		148,300.00	16,943,667.00
	Equity	Buy	XOM	74,700.00	8,910,963.00
	Equity	Buy	SJM	73,600.00	8,032,704.00
	Options	Net Buy		61,967.00	0.00
<b>RDVI</b>	Equity	Net Buy		15,367.00	2,494,826.13
	Equity	Buy	BKNG	18.00	90,864.18
	Equity	Buy	KLAC	70.00	79,402.40
	Equity	Buy	GOOGL	256.00	70,760.96
	Equity	Buy	AMAT	290.00	65,542.90
	Equity	Buy	NVDA	325.00	61,805.25
	Options	Net Buy		604.00	0.00
<b>SDVD</b>	Equity	Net Buy		8,299.00	600,235.90

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Fund	Asset Class	Direction	Ticker	Quantity	Market Value
	Equity	Buy	FIX	11.00	10,005.60
	Equity	Buy	IDCC	22.00	7,665.68
	Equity	Buy	ENS	52.00	7,151.04
	Equity	Buy	YOU	186.00	6,816.90
	Equity	Buy	IBP	26.00	6,513.26
	Options	Net Buy		291.00	0.00
<b>TDVI</b>	Equity	Net Buy		2,405.00	203,837.26
	Equity	Net Sell		253.00	3,316.83
	Equity	Buy	IBM	63.00	19,258.47
	Equity	Buy	AVGO	52.00	17,807.92
	Equity	Buy	MSFT	31.00	15,815.58
	Equity	Buy	ORCL	62.00	13,816.70
	Equity	Buy	TXN	77.00	12,268.41
	Equity	Sell	VIV	253.00	3,316.83
	Options	Net Buy		41.00	0.00