



# LEGISLATIVE ETHICS COMMISSION STATE OF NEW YORK

MAIL: LEGISLATIVE OFFICE BUILDING • BOX 75 • ALBANY, NY 12247

LOCATION: ALFRED E. SMITH STATE OFFICE BUILDING • SUITE 1431 • ALBANY, NY 12210

PHONE: (518) 432-7837 FAX: (518) 426-6850

SENATE EXT. 2142 • ASSEMBLY EXT. 5218

RECEIVED

MAY 13 2025

BY JW  
LEG. ETHICS COMM.

## ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2024

1. Name

D. Billy Jones (David)

2. (a) Title of Position

NYS Assembly member 115th district

(b) Department, Agency or other Governmental Entity

NYS Assembly

(c) Address of Present Office

202 US Oval Pittsburgh NY

(d) Office Telephone Number

518 - 562 - 1986

3. (a) Marital Status

N/A

. If married, please give spouse's full name.

(b) Full name of domestic partner (if applicable).

(c) List the names of all unemancipated children.

Answer each of the following questions completely, with respect to calendar year 2024, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories in Table I or Table II of this subdivision as called for in the question: A reporting individual shall indicate the Category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending the December 31st preceding the date of filing of the annual statement.

4. (a) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
Board Member	United Way of the Adirondacks	
Board Member	Williams H. Miner Institute	
Board Member	Champlain Valley Educational Services Foundation Board	

- (b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse, domestic partner or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
N/A		

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
	N/A		

- (b) If the spouse, domestic partner or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
	N/A		

6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse, domestic partner or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse, domestic partner or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed

with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Entity Self, Spouse, Domestic Partner or Child	Relationship Which Held Interest in Contract	Contracting to Entity and Interest in Contract	Category State or Local Agency	Value of Contract (In Table II)
---------------------------------------------------------------	-------------------------------------------------------	---------------------------------------------------------	-----------------------------------------	---------------------------------------

N/A

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

*Vice Chair Franklin County Democratic Committee (Former)  
Member Franklin County Democratic Comm.tee*

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

N/A

(b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE

DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (iv) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

## Client

## Nature of Services Provided

---

---

**NOT APPLICABLE**

---

---

(b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

- (i) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For such services rendered by the reporting individual directly to each such client, describe each matter that was the subject of such representation, the services actually provided and the payment received.

For payments received from clients referred to the firm by the reporting individual, if the reporting individual directly received a referral fee or fees for such referral, identify the client and the payment so received.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or having knowingly solicited or directed to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in clauses (i)

through (iv) of this subparagraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

Client	Matter	Nature of Services Provided	Category of Amount (In Table I)
<i>N/A</i>		<i>Not Applicable</i>	

(b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

Client	Services Actually Provided	Category of Amount (In Table I)
<i>N/A</i>		<i>Not Applicable</i>

FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- \* REVIEWED DOCUMENTS AND CORRESPONDENCE;
- \* REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- \* PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- \* CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);

- \* PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- \* REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- \* COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- \* PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- \* COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

(ii) With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered.

Services Actually Provided	Category of Amount (Table I)
<i>N/A</i>	

A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that

pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the commission on ethics and lobbying in government or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the commission on ethics and lobbying in government or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The commission on ethics and lobbying in government or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of

law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after January first, two thousand sixteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

(c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the client, the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and federal law or regulations restricts the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information

confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the commission on ethics and lobbying in government pursuant to section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the commission on ethics and lobbying in government or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the commission on ethics in lobbying in government or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The commission on ethics in lobbying in government or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three

days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Name of Lobbyist	Description of Matter	Category of Amount (In Table 1)
--------	------------------	-----------------------	------------------------------------

*N/A*

---

---

---

(d) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse or domestic partner had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

*N/A*

---

---

---

9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse, domestic partner or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Self, Spouse, Domestic Partner Or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
-----------------------------------------------------	------------------	---------	-------------------	----------------------------------------------------

*N/A*

---

---

---

10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

Source	Description

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Identity	Category of Value* (In Table II)
TRA New York State Deferred Compensation Plan	Category F Category N

\* The value of such interest shall be reported only if reasonably ascertainable.

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

N/A


(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

N/A

13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse or domestic partner for the taxable year last occurring prior to the date of filing. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/ Spouse or Domestic Partner	Source	Nature	Category of Amount (In Table I)
<u>Self</u>		<u>426 Lake Rd Chittenango NY 13920</u>	<u>Part A</u>

14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount (In Table I)
<u>None</u>	

15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value (In Table I)
<u>None</u>		

16. List below the type and market value of securities held by the reporting individual or such individual's spouse or domestic partner from each issuing entity in EXCESS of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse or domestic partner has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which

the reporting individual or the reporting individual's spouse or domestic partner is the owner of record but in which such individual or the reporting individual's spouse or domestic partner has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse or domestic partner holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse or domestic partner. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse or domestic partner.

Self/ Issuing Spouse Entity or Domestic Partner	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of pub- licly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
<u>Self</u>	<u>Roth IRA</u> <u>See Attached</u>		<u>Category F</u>

- 16-a. List below the name and market value of digital assets held by the reporting individual or such individual's spouse or domestic partner in EXCESS of \$1,000 at the close of the taxable year last occurring prior to the date of filing. Whenever an interest in digital assets exists through a beneficial interest in a trust, the digital assets held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse or domestic partner has transferred assets to such trust for his or her benefit in which event such digital assets shall be listed unless they are

not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. The digital assets of which the reporting individual or the reporting individual's spouse or domestic partner is the owner of record but in which such individual or the reporting individual's spouse or domestic partner has no beneficial interest shall not be listed. Also list digital assets owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse or domestic partner. For purposes of this subdivision, the following terms shall have the following meanings:

(a) "Digital asset" shall mean an asset that is issued, transferred, or both, using distributed ledger or blockchain technology, including, but not limited to, digital currencies, digital coins, digital non-fungible tokens or other similar assets.

(b) "Digital currency" shall mean any type of digital unit that is used as a medium of exchange or a form of digitally stored value. Virtual currency shall be broadly construed to include digital units of exchange that: (i) have a centralized repository or administrator; (ii) are decentralized and have no centralized repository or administrator; or (iii) may be created or obtained by computing, manufacturing, or other similar effort.

(c) "Distributed ledger or blockchain technology" shall mean a ledger or database that stores shared state by maintaining it across a multiplicity of devices belonging to different entities and securing it through a combination of cryptographic and consensus protocols, where the shared state serves to authenticate, record, share, and/or synchronize transactions involving digital assets or virtual currencies.

Self/ Spouse or Domestic Partner	Type of Digital Asset	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
		<i>N/A</i>

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse or domestic partner. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse or domestic partner. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse or domestic partner, except where there is a co-owner who is other than a relative.

Self/ Spouse/ Domestic Partner/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value In Table II)
---------------------------------------------------------	----------	------	-------------------	---------------------	-------------------------------	---------------------------------------------------

*Self 426 Lake Rd .26 Acres 4/15/2021 100% Category I*

---

---

---

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
----------------	----------------------------------------------------------------------	-------------------------------------------

*N/A*

---

---

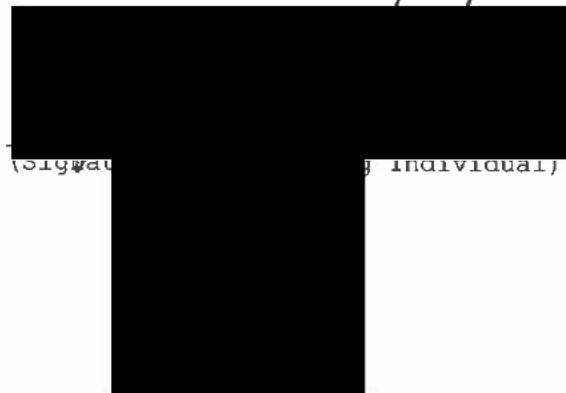
---

19. List below all liabilities of the reporting individual and such individual's spouse or domestic partner, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or domestic partner or by any proprietorship, partnership or corporation

in which the reporting individual or such individual's spouse or domestic partner has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse or domestic partner. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
	N/A	

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.



(Signature)

(Individual)

5-13-2025  
Date (month/day/year)

[CATEGORY OF INCOME TABLES]

TABLE I

Category A		none	
Category B	\$	1 to under \$	1,000
Category C	\$	1,000 to under \$	5,000
Category D	\$	5,000 to under \$	20,000
Category E	\$	20,000 to under \$	50,000
Category F	\$	50,000 to under \$	75,000
Category G	\$	75,000 to under \$	100,000
Category H	\$	100,000 to under \$	150,000
Category I	\$	150,000 to under \$	250,000
Category J	\$	250,000 to under \$	350,000
Category K	\$	350,000 to under \$	450,000
Category L	\$	450,000 to under \$	550,000
Category M	\$	550,000 to under \$	650,000
Category N	\$	650,000 to under \$	750,000
Category O	\$	750,000 to under \$	850,000
Category P	\$	850,000 to under \$	950,000
Category Q	\$	950,000 to under \$	1,050,000
Category R	\$	1,050,000 to under \$	1,150,000
Category S	\$	1,150,000 to under \$	1,250,000
Category T	\$	1,250,000 to under \$	1,350,000
Category U	\$	1,350,000 to under \$	1,450,000
Category V	\$	1,450,000 to under \$	1,550,000
Category W	\$	1,550,000 to under \$	1,650,000
Category X	\$	1,650,000 to under \$	1,750,000
Category Y	\$	1,750,000 to under \$	1,850,000
Category Z	\$	1,850,000 to under \$	1,950,000
Category AA	\$	1,950,000 to under \$	2,050,000
Category BB	\$	2,050,000 to under \$	2,150,000
Category CC	\$	2,150,000 to under \$	2,250,000
Category DD	\$	2,250,000 to under \$	2,350,000
Category EE	\$	2,350,000 to under \$	2,450,000
Category FF	\$	2,450,000 to under \$	2,550,000
Category GG	\$	2,550,000 to under \$	2,650,000
Category HH	\$	2,650,000 to under \$	2,750,000
Category II	\$	2,750,000 to under \$	2,850,000
Category JJ	\$	2,850,000 to under \$	2,950,000
Category KK	\$	2,950,000 to under \$	3,050,000
Category LL	\$	3,050,000 to under \$	3,150,000
Category MM	\$	3,150,000 to under \$	3,250,000
Category NN	\$	3,250,000 to under \$	3,350,000
Category OO	\$	3,350,000 to under \$	3,450,000
Category PP	\$	3,450,000 to under \$	3,550,000
Category QQ	\$	3,550,000 to under \$	3,650,000
Category RR	\$	3,650,000 to under \$	3,750,000
Category SS	\$	3,750,000 to under \$	3,850,000
Category TT	\$	3,850,000 to under \$	3,950,000
Category UU	\$	3,950,000 to under \$	4,050,000
Category VV	\$	4,050,000 to under \$	4,150,000
Category WW	\$	4,150,000 to under \$	4,250,000
Category XX	\$	4,250,000 to under \$	4,350,000
Category YY	\$	4,350,000 to under \$	4,450,000
Category ZZ	\$	4,450,000 to under \$	4,550,000
Category AAA	\$	4,550,000 to under \$	4,650,000

Category BBB	\$4,650,000 to under \$4,750,000
Category CCC	\$4,750,000 to under \$4,850,000
Category DDD	\$4,850,000 to under \$4,950,000
Category EEE	\$4,950,000 to under \$5,050,000
Category FFF	\$5,050,000 to under \$5,150,000
Category GGG	\$5,150,000 to under \$5,250,000
Category HHH	\$5,250,000 to under \$5,350,000
Category III	\$5,350,000 to under \$5,450,000
Category JJJ	\$5,450,000 to under \$5,550,000
Category KKK	\$5,550,000 to under \$5,650,000
Category LLL	\$5,650,000 to under \$5,750,000
Category MMM	\$5,750,000 to under \$5,850,000
Category NNN	\$5,850,000 to under \$5,950,000
Category OOO	\$5,950,000 to under \$6,050,000
Category PPP	\$6,050,000 to under \$6,150,000
Category QQQ	\$6,150,000 to under \$6,250,000
Category RRR	\$6,250,000 to under \$6,350,000
Category SSS	\$6,350,000 to under \$6,450,000
Category TTT	\$6,450,000 to under \$6,550,000
Category UUU	\$6,550,000 to under \$6,650,000
Category VVV	\$6,650,000 to under \$6,750,000
Category WWW	\$6,750,000 to under \$6,850,000
Category XXX	\$6,850,000 to under \$6,950,000
Category YYY	\$6,950,000 to under \$7,050,000
Category ZZZ	\$7,050,000 to under \$7,150,000
Category AAAA	\$7,150,000 to under \$7,250,000
Category BBBB	\$7,250,000 to under \$7,350,000
Category CCCC	\$7,350,000 to under \$7,450,000
Category DDDD	\$7,450,000 to under \$7,550,000
Category EEEE	\$7,550,000 to under \$7,650,000
Category FFFF	\$7,650,000 to under \$7,750,000
Category GGGG	\$7,750,000 to under \$7,850,000
Category HHHH	\$7,850,000 to under \$7,950,000
Category II <sup>II</sup>	\$7,950,000 to under \$8,050,000
Category JJJJ	\$8,050,000 to under \$8,150,000
Category KKKK	\$8,150,000 to under \$8,250,000
Category LLLL	\$8,250,000 to under \$8,350,000
Category MMMM	\$8,350,000 to under \$8,450,000
Category NNNN	\$8,450,000 to under \$8,550,000
Category OOOO	\$8,550,000 to under \$8,650,000
Category PPPP	\$8,650,000 to under \$8,750,000
Category QQQQ	\$8,750,000 to under \$8,850,000
Category RRRR	\$8,850,000 to under \$8,950,000
Category SSSS	\$8,950,000 to under \$9,050,000
Category TTTT	\$9,050,000 to under \$9,150,000
Category UUUU	\$9,150,000 to under \$9,250,000
Category VVVV	\$9,250,000 to under \$9,350,000
Category WWWW	\$9,350,000 to under \$9,450,000
Category XXXX	\$9,450,000 to under \$9,550,000
Category YYYY	\$9,550,000 to under \$9,650,000
Category ZZZZ	\$9,650,000 to under \$9,750,000
Category AAAAA	\$9,750,000 to under \$9,850,000
Category BBBBB	\$9,850,000 to under \$9,950,000
Category CCCCC	\$9,950,000 to under \$10,000,000
Category DDDDD	\$10,000,000 or over

**TABLE II**

Category A	none
Category B	\$ 1 to under \$ 1,000
Category C	\$ 1,000 to under \$ 5,000
Category D	\$ 5,000 to under \$ 20,000
Category E	\$ 20,000 to under \$ 50,000
Category F	\$ 50,000 to under \$ 75,000
Category G	\$ 75,000 to under \$ 100,000
Category H	\$ 100,000 to under \$ 150,000
Category I	\$ 150,000 to under \$ 250,000
Category J	\$ 250,000 to under \$ 500,000
Category K	\$ 500,000 to under \$ 750,000
Category L	\$ 750,000 to under \$1,000,000
Category M	\$1,000,000 to under \$1,250,000
Category N	\$1,250,000 to under \$1,500,000
Category O	\$1,500,000 to under \$1,750,000
Category P	\$1,750,000 to under \$2,000,000
Category Q	\$2,000,000 to under \$2,250,000
Category R	\$2,250,000 to under \$2,500,000
Category S	\$2,500,000 to under \$2,750,000
Category T	\$2,750,000 to under \$3,000,000
Category U	\$3,000,000 to under \$3,250,000
Category V	\$3,250,000 to under \$3,500,000
Category W	\$3,500,000 to under \$3,750,000
Category X	\$3,750,000 to under \$4,000,000
Category Y	\$4,000,000 to under \$4,250,000
Category Z	\$4,250,000 to under \$4,500,000
Category AA	\$4,500,000 to under \$4,750,000
Category BB	\$4,750,000 to under \$5,000,000
Category CC	\$5,000,000 to under \$5,250,000
Category DD	\$5,250,000 to under \$5,500,000
Category EE	\$5,500,000 to under \$5,750,000
Category FF	\$5,750,000 to under \$6,000,000
Category GG	\$6,000,000 to under \$6,250,000
Category HH	\$6,250,000 to under \$6,500,000
Category II	\$6,500,000 to under \$6,750,000
Category JJ	\$6,750,000 to under \$7,000,000
Category KK	\$7,000,000 to under \$7,250,000
Category LL	\$7,250,000 to under \$7,500,000
Category MM	\$7,500,000 to under \$7,750,000
Category NN	\$7,750,000 to under \$8,000,000
Category OO	\$8,000,000 to under \$8,250,000
Category PP	\$8,250,000 to under \$8,500,000
Category QQ	\$8,500,000 to under \$8,750,000
Category RR	\$8,750,000 to under \$9,000,000
Category SS	\$9,000,000 to under \$9,250,000
Category TT	\$9,250,000 to under \$9,500,000
Category UU	\$9,500,000 or over



## Your Ameriprise statement

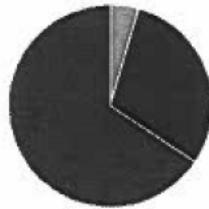
for January 1, 2024 to December 31, 2024

PREPARED FOR MR DAVID W JONES

### Value of your investment accounts

	This year
Beginning value	\$47,667.35
Net deposits & withdrawals	\$0.00
Dividends, interest & income	\$2,186.98
Change in value	\$4,201.06
<b>Ending value</b>	<b>\$54,055.39</b>

### Your asset allocation



Asset class	Value on Dec 31, 2024	Percent of assets
Cash & cash investments*	\$2,409.46	4.5%
Fixed income	\$16,118.34	29.8%
Equities	\$35,527.59	65.7%
<b>Total assets</b>	<b>\$54,055.39</b>	<b>100%</b>

\*Cash investments includes cash held inside pooled investments (e.g. mutual funds), as part of a manager's investment strategy, and is not directly accessible unless you sell some of that investment. For details visit [ameriprise.com/allocation](http://ameriprise.com/allocation).

Your personal advising team

### Three Buckets Wealth Management

A private wealth advisory practice of Ameriprise Financial Services, LLC

Mark Wells CFP® BFA™

2508 Chateaugay St

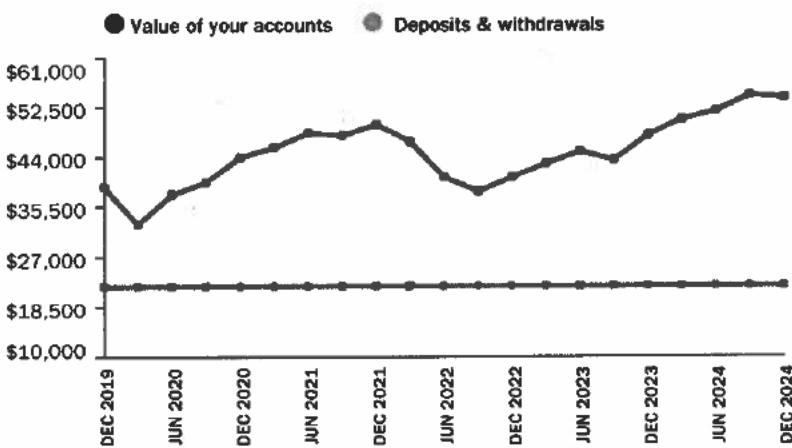
Fort Covington, NY 12937-1804

518.464.4401

[Mark.J.Wells@ampf.com](mailto:Mark.J.Wells@ampf.com)

[www.ameripriseadvisors.com/team/three-buckets-wealth-management](http://www.ameripriseadvisors.com/team/three-buckets-wealth-management)

### Value of your investment accounts over time



This chart provides a five-year view of your account values. The black line shows the value of your accounts, while the gray line shows your net contributions (deposits less withdrawals).

Get all the details online at [ameriprise.com](http://ameriprise.com). Click the Portfolio tab to find your latest account value, activity and asset allocation.

Taxes can impact your financial investments and savings outcomes, even outside of tax filing. Visit our Tax Center at [ameriprise.com/financial-goals-priorities/taxes](http://ameriprise.com/financial-goals-priorities/taxes) for helpful articles, FAQs and other resources.

## **Important information about documents that go with this statement**

One or more documents are intended to accompany this statement, including regulatory notices or disclosures. You can view an electronic version of each document by clicking the following document title(s):

### We're letting you know about updates made to the Regulation Best Interest Disclosure.

Information related to the AIMMA Sweep Program in the Overview of Products and Services we offer section was updated. Details regarding commissions on ETPs and ETFs were updated to the Equities, Exchange Traded Products (ETPs), Exchange Traded Funds (ETFs) and Options section. Information regarding selling arrangements was updated to the RiverSource Distributors and RiverSource section. Visit [ameriprise.com/bestinterest](http://ameriprise.com/bestinterest) for the full disclosure.

### We're letting you know about updates made to the following Ameriprise Disclosures.

Please review the Ameriprise Brokerage Client Agreement for retail and institutional accounts, as well as Other Important Brokerage Disclosures for important updates. These documents can be found at [ameriprise.com/disclosures](http://ameriprise.com/disclosures).

### We're letting you know about updates made to our Managed Account Client Agreements.

The Additional Consideration for SPS Advantage Retirement Accounts and Additional Retirement Account Considerations for SPS Advisor sections of Part II of the Ameriprise Custom Advisory Relationship Agreement and the Retirement Account Considerations section of each of the Ameriprise SPS Advantage Client Agreement and Ameriprise SPS Advisor Client Agreement was updated. These changes take effect on or about Dec. 20, 2024. Please visit [ameriprise.com/disclosures](http://ameriprise.com/disclosures) to view the updated agreements.

### Updates to the Pension Protection Act Advice Exemption: What Our Clients Should Know

Additional detail related to mutual fund firms' cost reimbursement payments and compensation received by our affiliate have been added to the Affiliate Compensation section of the PPA Disclosure. Please visit [ameriprise.com/ppa](http://ameriprise.com/ppa) to view the updated PPA Disclosure.

## Summary of your accounts

The first page, the Summary of your account pages and the Important Disclosures page constitute a Summary Statement provided by AEIS which includes both brokerage and managed accounts held by AEIS, and other assets held by various Ameriprise affiliated entities responsible for providing underlying account statements. Summary statements that include brokerage may include held away assets; refer to Brokerage Statement pages for details. Each product has detail pages in the statement provided by those entities pursuant to those regulations. Any information in the summary statement is provided for convenience purposes, including assets not held by AEIS or AFS. The underlying product pages are the official record of your account. See Important Disclosures page for responsibilities of each legal entity.

Should you choose to sell your entire portfolio or a holding in an account; the total amount received may not be the same as the ending value noted here due to sales or surrender charges, tax withholding, outstanding loans or other fees that may apply at the time of sale.

Page		Beginning value	Deposits	Withdrawals	Dividends, interest & income	Change in value	Ending value
<b>Retirement investment accounts - tax qualified</b>							
DAVID W JONES ROTH IRA							
7	AMERIPRISE BROKERAGE ACCOUNT	\$47,667.35	\$0.00	-\$55,462.00	\$1,392.97	\$6,401.68	\$0.00
9	ACTIVE DF MOD AGG	N/A	\$55,462.00	\$0.00	\$794.01	-\$2,200.62	\$54,055.39
Total retirement investment accounts - tax qualified		\$47,667.35	\$55,462.00	-\$55,462.00	\$2,186.98	\$4,201.06	\$54,055.39
Total of all accounts		\$47,667.35	\$55,462.00	-\$55,462.00	\$2,186.98	\$4,201.06	\$54,055.39

### Accounts that don't affect your total value

DAVID W JONES

15 Ameriprise Financial Planning Service

Please see detail page for additional information.

## Plan contribution and distribution summary

Are you maximizing your retirement savings? Different types of retirement accounts have different contribution limits. For tax year 2023 you may qualify to contribute up to \$6,500 to a Traditional or Roth IRA and the limit increases to \$7,000 for 2024. You can contribute an additional \$1,000 for each year if you're age 50 or older. You can generally make 2023 contributions through April 15, 2024. Learn more at [ameriprise.com/contributions](http://ameriprise.com/contributions).

Plan name	Plan ID	Tax year 2023 contributions	Tax year 2024 contributions	Tax year 2024 distributions
<b>Retirement Plans</b>				
DAVID W JONES ROTH IRA PLAN	0003 066 960	\$0.00	\$0.00	\$0.00
Total retirement plan		\$0.00	\$0.00	\$0.00

This Page Intentionally Left Blank

## Important Tax Return Document

### 2024 Fair market value summary

We are providing you the following fair market value information for your IRA plans held with Ameriprise.  
This information is being furnished to the Internal Revenue Service.

Plan name	Plan ID	Tax year 2024 Fair Market Value	Tax year 2024 Fair Market Value of certain hard to value assets	Code(s)
DAVID W JONES ROTH IRA PLAN	[REDACTED]	\$54,055.39	\$0.00	

This is the same information that is provided to you on IRS Form 5498 IRA Contribution Information each year. Since this information is provided to you in this statement, we will not mail a separate Form 5498 unless other tax forms are generated for your accounts or IRA plans.

The information above is reported as aggregate information for all of the accounts within a specific IRA plan. If you have multiple accounts within an IRA plan the Fair Market Value (FMV) is reported for the plan versus for each individual account. Details for each individual account in the plan can be reviewed on the account detail pages on this statement.

Ameriprise Financial, Inc. and its affiliates do not offer tax or legal advice. Consult your tax advisor or attorney regarding specific situations.

## Additional Form 5498 Information

**Tax year 2024 Fair Market Value** shows the FMV of all investments in your account at year end. However, if a decedent's name is shown, the amount reported may be the FMV on the date of death. If the FMV shown is zero for a decedent, the executor or administrator of the estate may request a date-of-death value from the financial institution.

**Tax year 2024 contributions** shows traditional, Roth and Rollover IRA contributions for 2024 you made in 2024. These contributions may be deductible on your Form 1040 or 1040-SR. However, if you or your spouse was an active participant in an employer's pension plan, these contributions may not be deductible.

You can make contributions through April 15, 2025. If you make contributions in 2025 you will receive a Form 5498 which will be mailed on or prior to June 2, 2025.

The following codes show the type(s) of investments held in your account for which the FMV is required to be reported in the column labeled Code(s):

A—Stock or other ownership interest in a corporation that is not readily tradable on an established securities market.

C—Ownership interest in a limited liability company or similar entity (unless the interest is traded on an established securities market).

E—Ownership interest in a partnership, trust, or similar entity (unless the interest is traded on an established securities market).

G—Other asset that does not have a readily available FMV.

B—Short- or long-term debt obligation that is not traded on an established securities market.

D—Real estate.

F—Option contract or similar product that is not offered for trade on an established option exchange.

H—More than two types of assets (listed in A through G) are held in this IRA.

# Ameriprise Brokerage Account

Account #:

Plan ID:

AMERIPRISE TRUST COMPANY | C/O DAVID W JONES | AS CUSTD FOR THE DAVID W JONES | ROTH CONTRIBUTORY IRA

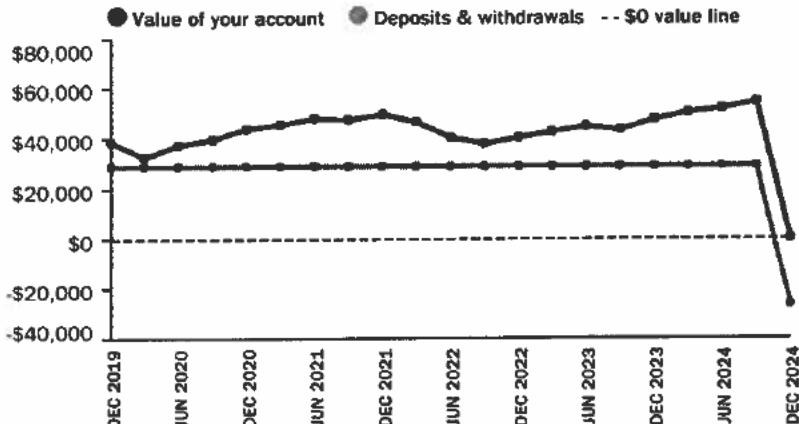
Investment time frame: 11+ years; Risk tolerance: Moderate/Aggressive; Investment objective: Growth; Liquidity needs: Information still needed  
See the Disclosures at the end of your statement for definitions of these suitability terms.

## Value of your account

	This year
Beginning value	\$47,667.35
Withdrawals	
Other withdrawals	-\$55,462.00
Income	
Dividends	\$583.28
Capital gains	\$809.69
Total income	\$1,392.97
Change in value	\$6,401.68
Ending value	\$0.00

*Important information for IRA Clients: If you are an IRA client, the interest and dividends described on this statement may not be taxable to you. In general, distributions from your IRA will be taxed as ordinary income for the year in which the distribution occurs.*

## Value of your account over time



## Your account activity

Date	Transaction	Description	Symbol/ CUSIP	Quantity	Price	Amount
<b>Withdrawals</b>						
	Other withdrawals					
12/09/2024 TRANSFER						
		COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A TO: 46920340-1	NBIAX	-4,444.071		-\$55,462.00
<b>Trade activity</b>						
<b>Securities purchased</b>						
03/27/2024	REINVEST DIV	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 11.540	NBIAX	15.019		\$173.32
06/27/2024	DIV REIN LT CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 11.700	NBIAX	69.204		-\$809.69

MR DAVID W JONES CLIENT ID: [REDACTED]

GROUP ID: [REDACTED]

JAN 01, 2024 TO DEC 31, 2024 | Page 7 of 20

## Ameriprise Brokerage Account (continued)

Account #:

### Your account activity - continued

Date	Transaction	Description	Symbol/ CUSIP	Quantity	Price	Amount
<b>Trade activity</b>						
Securities purchased						
06/27/2024	REINVEST DIV	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 11.700	NBIAX	19.488		-\$228.01
09/27/2024	REINVEST DIV	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A REINVEST AT 12.270	NBIAX	14.829		-\$181.95
<b>Total Securities purchased</b>						<b>-\$1,392.97</b>
<b>Income</b>						
03/26/2024	DIVIDEND	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 032624 4,325.53100	NBIAX			\$173.32
06/26/2024	LONG TERM CAP GAIN	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 062624 4,340.55000	NBIAX			\$809.69
06/26/2024	DIVIDEND	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 062624 4,340.55000	NBIAX			\$228.01
09/26/2024	DIVIDEND	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A 092624 4,429.24200	NBIAX			\$181.95
<b>Total Income</b>						<b>\$1,392.97</b>
<b>Fees</b>						
03/18/2024	FEE	CUSTODIAL FEE 2024				\$75.00
03/18/2024	FEE	FEE CR -CUSTDL FEE				\$75.00
<b>Total Fees</b>						<b>\$0.00</b>

### Additional information about your account

Cash sweep options allow you to manage cash awaiting investment. For long term cash holdings, other product solutions may be more appropriate and also have the potential to provide a higher return than your cash sweep options.

# Ameriprise Active Portfolios

Account #: [REDACTED]  
Plan ID: [REDACTED]

AMERIPRISE TRUST COMPANY | C/O DAVID W JONES | AS CUSTD FOR THE DAVID W JONES | ROTH CONTRIBUTORY IRA

Investment time frame: 8-10 years; Risk tolerance: Moderate/Aggressive; Investment objective: Growth; Liquidity needs: 7+ Years  
See the Disclosures at the end of your statement for definitions of these suitability terms.

Strategy: ACTIVE DF MOD AGG

## Value of your account

	This year
Beginning value	\$0.00
Deposits	
Other deposits	\$55,462.00
Income	
Dividends	\$181.57
Interest	\$0.63
Capital gains	\$611.81
Total income	\$794.01
Change in value	-\$2,200.62
Ending value	\$54,055.39
Asset-based Fee	-\$55.76

*Important information for IRA Clients: If you are an IRA client, the interest and dividends described on this statement may not be taxable to you. In general, distributions from your IRA will be taxed as ordinary income for the year in which the distribution occurs.*

## Summary of your holdings

Asset	Value of assets	Percent of account
Cash and equivalents	\$1,187.31	2.2%
Mutual funds	\$49,118.44	90.9%
ETFs and closed-end funds	\$3,749.64	6.9%
Ending value	\$54,055.39	100.0%

## Welcome!

Once your account has a little more history, you'll begin to see a simple chart here that tracks how much your accounts are worth, and how much you've deposited and withdrawn over time.

In the meantime, you can visit our secure site at [ameriprise.com](http://ameriprise.com) anytime to check the up-to-date values of your accounts.

# Ameriprise Active Portfolios (continued)

Account # [REDACTED]

## Your holdings

Description	Symbol/ CUSIP	Quantity	X Market price	Estimated		
				Ending value <sup>7</sup>	Annual income	Yield
<b>Cash and equivalents</b>						
Ameriprise Bank Insured Sweep Account (ABISA) <sup>2</sup>				\$1,187.31	\$3.50	0.30%
Ameriprise Bank FSB Minneapolis MN				\$1,187.31		
<b>Total Cash and equivalents<sup>5</sup></b>				<b>\$1,187.31</b>	<b>\$3.50</b>	
<b>Mutual funds</b>						
MULTI MANAGER VALUE STRATEGIES INSTL CL	CZMVX	505.627	\$15.59	\$7,882.72	\$133.03	1.69%
MULTI MANAGER TOTAL RETURN BOND STRATEGIES INSTL CL	CTRZX	1,849.388	\$8.52	\$15,756.78	\$722.18	4.58%
MULTI MANAGER SMALL CAP EQUITY STRATEGIES INSTL CL	CZMSX	160.781	\$16.41	\$2,638.41	\$15.32	0.58%
MULTI MANAGER GROWTH STRATEGIES INSTL CL	CZMGX	405.373	\$20.56	\$8,334.46	\$2.55	0.03%
MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	CMIEX	384.607	\$11.33	\$4,357.59	\$101.76	2.34%
JPMORGAN MID CAP EQUITY CL I	VSNGX	24.713	\$63.48	\$1,568.78	\$7.12	0.45%
LORD ABBETT BOND DEBENTURE CL I	LBNYX	150.419	\$7.09	\$1,066.47	\$63.53	5.96%
MFS INTL INTRINSIC VALUE CL I	MINIX	41.806	\$38.73	\$1,619.14	\$32.85	2.03%
MFS VALUE CL I	MEIX	43.254	\$48.79	\$2,110.36	\$38.72	1.84%
MFS GROWTH CL I	MFEIX	10.931	\$201.68	\$2,204.56	\$0.00	0.00%
ALLSPRING EMERGING MARKETS EQUITY INSTL CL	EMGNX	61.019	\$25.88	\$1,579.17	\$19.37	1.23%
<b>Total Mutual funds</b>				<b>\$49,118.44</b>	<b>\$1,136.43</b>	
<b>ETFs and closed-end funds</b>						
INVESCO S&P 500 TOP 50 ETF	XLG	34.000	\$49.96	\$1,698.64	\$12.20	0.72%
ISHARES MSCI GLOBAL MIN VOLATILITY ETF	ACWV	14.000	\$109.20	\$1,528.80	\$34.56	2.26%
ISHARES CORE MSCI EMERGING MARKETS ETF	IEMG	10.000	\$52.22	\$522.20	\$14.87	2.85%
<b>Total ETFs and closed-end funds</b>				<b>\$3,749.64</b>	<b>\$61.63</b>	
<b>Total account holdings</b>				<b>\$54,055.39</b>	<b>\$1,201.56</b>	

<sup>2</sup> Ameriprise Bank Insured Sweep Account (ABISA) deposits are FDIC-insured within applicable limits, represent direct obligations of the Program Bank, and are not covered by SIPC.

<sup>5</sup> Any balances held in AIMMA, ABISA or a money market mutual fund serving as your sweep account can be liquidated at your request and the proceeds held as cash in the account or remitted to you per your instructions. Annual percentage yield earned (APYE) and interest paid during the statement period are shown in your account activity.

<sup>7</sup> Ending value amounts for Your holdings represent information posted as of trade date and thus may include transactions that have not settled as of the date of this statement. Total Value is derived from both assets held by the firm in your account, as well as assets held away which is reported for convenience purposes.

## Ameriprise Active Portfolios (continued)

Account #: [REDACTED]

See the Disclosures section of this statement for more information.

### MULTI MANAGER VALUE STRATEGIES INSTL CL (CZMVX) target allocation:

DIAMOND HILL CAPITAL MANAGEMENT INC.	35%	DIMENSIONAL FUND ADVISORS L.P.	35%
COLUMBIA MANAGEMENT INVESTMENT ADVISERS, LLC	30%		

### MULTI MANAGER TOTAL RETURN BOND STRATEGIES INSTL CL (CTRZX) target allocation:

PGIM, INC.	27%	TCW INVESTMENT MANAGEMENT CO.	27%
VOYA INVESTMENT MANAGEMENT CO. LLC	26%	LOOMIS, SAYLES & COMPANY, L.P.	20%

### MULTI MANAGER SMALL CAP EQUITY STRATEGIES INSTL CL (CZMSX) target allocation:

CONESTOGA CAPITAL ADVISORS, LLC	25%	HOTCHKIS AND WILEY CAPITAL MANAGEMENT, LLC	25%
JACOBS LEVY EQUITY MANAGEMENT INC.	25%	JP MORGAN INVESTMENT MANAGEMENT INC.	25%

### MULTI MANAGER GROWTH STRATEGIES INSTL CL (CZMGX) target allocation:

LOOMIS, SAYLES & COMPANY, L.P.	36%	LOS ANGELES CAPITAL MGMT & EQUITY RESEARCH, INC.	36%
JP MORGAN INVESTMENT MANAGEMENT INC.	28%		

### MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL (CMIEX) target allocation:

CAUSEWAY CAPITAL MANAGEMENT LLC	35%	ARROWSTREET CAPITAL, LIMITED PARTNERSHIP	30%
BAILLIE GIFFORD OVERSEAS LIMITED	18%	WALTER SCOTT & PARTNERS LIMITED	17%

Fund allocations among managers represent long term targets. Actual allocations however, may vary.

## Your account activity

Date	Transaction	Description	Symbol/ CUSIP	Quantity	Price	Amount
<b>Deposits</b>						
<b>Other deposits</b>						
12/09/2024	TRANSFER	COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A FROM: [REDACTED]	NBIAX	4,444.071		\$55,462.00

MR DAVID W JONES CLIENT ID: [REDACTED]  
GROUP ID: [REDACTED]

JAN 01, 2024 TO DEC 31, 2024 | Page 11 of 20

## Ameriprise Active Portfolios (continued)

Account #: [REDACTED]

### Your account activity - continued

Date	Transaction	Description	Symbol/ CUSIP	Quantity	Price	Amount
<b>Trade activity</b>						
Securities purchased						
12/12/2024 PURCHASE		MULTI MANAGER GROWTH STRATEGIES INSTL CL	CZMGX	405.373	\$21.2500	-\$8,614.18
12/12/2024 PURCHASE		MULTI MANAGER SMALL CAP EQUITY STRATEGIES INSTL CL	CZMSX	160.781	\$17.4100	-\$2,799.19
12/12/2024 PURCHASE		MULTI MANAGER TOTAL RETURN BOND STRATEGIES INSTL CTRZX CL	CTRZX	1,849.388	\$8.6400	-\$15,978.71
12/12/2024 PURCHASE		MULTI MANAGER VALUE STRATEGIES INSTL CL	CZMVX	505.627	\$16.0700	-\$8,125.43
12/12/2024 PURCHASE		MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	CMIEX	357.607	\$12.5800	-\$4,498.70
12/12/2024 PURCHASE		ISHARES MSCI GLOBAL MIN VOLATILITY ETF	ACWV	14.000	\$113.8250	-\$1,593.55
12/12/2024 PURCHASE		ISHARES CORE MSCI EMERGING MARKETS ETF	IEMG	10.000	\$55.1450	-\$551.45
12/12/2024 PURCHASE		INVESCO S&P 500 TOP 50 ETF	XLG	34.000	\$51.2745	-\$1,743.33
12/12/2024 PURCHASE		JPMORGAN MID CAP EQUITY CL I	VSNGX	24.605	\$66.5900	-\$1,638.42
12/12/2024 PURCHASE		LORD ABBETT BOND DEBENTURE CL I	LBNYX	150.419	\$7.2000	-\$1,083.02
12/12/2024 PURCHASE		MFS VALUE CL I	MEIX	43.254	\$49.8200	-\$2,154.93
12/12/2024 PURCHASE		MFS GROWTH CL I	MFEIX	9.747	\$235.3400	-\$2,293.78
12/12/2024 PURCHASE		MFS INTL INTRINSIC VALUE CL I	MINIX	37.407	\$44.6900	-\$1,671.74
12/12/2024 PURCHASE		ALLSPRING EMERGING MARKETS EQUITY INSTL CL	EMGNX	60.219	\$27.3000	-\$1,643.97
12/18/2024 DIV REIN LT CAP GAIN MFS GROWTH CL I REINVEST AT 210.000			MFEIX	1.184		-\$248.58
12/18/2024 DIV REIN LT CAP GAIN MFS INTL INTRINSIC VALUE CL I REINVEST AT 39.590			MINIX	3.581		-\$141.78
12/18/2024 REINVEST DIV		MFS INTL INTRINSIC VALUE CL I REINVEST AT 39.590	MINIX	0.743		-\$29.42
12/18/2024 DIV REIN ST CAP GAIN MFS INTL INTRINSIC VALUE CL I REINVEST AT 39.590			MINIX	0.075		-\$2.97
12/19/2024 DIV REIN LT CAP GAIN MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL REINVEST AT 11.310			CMIEX	19.101		-\$216.03
12/19/2024 REINVEST DIV		MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL REINVEST AT 11.310	CMIEX	7.682		-\$86.88
12/19/2024 DIV REIN ST CAP GAIN MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL REINVEST AT 11.310			CMIEX	0.217		-\$2.45
12/20/2024 REINVEST DIV		JPMORGAN MID CAP EQUITY CL I REINVEST AT 63.190	VSNGX	0.108		-\$6.83
12/23/2024 REINVEST DIV		ALLSPRING EMERGING MARKETS EQUITY INSTL CL REINVEST AT 26.150	EMGNX	0.800		-\$20.93
12/31/2024 INTEREST REINVEST		AMERIPRISE BANK INSURED SWEEP ACCT-FDIC NOT SIPC INSURED				\$0.63
<b>Total Securities purchased</b>						<b>-\$55,146.90</b>

## Ameriprise Active Portfolios (continued)

Account # [REDACTED]

### Your account activity - continued

Date	Transaction	Description	Symbol/ CUSIP	Quantity	Price	Amount
<b>Trade activity</b>						
Securities sold 12/11/2024 SALE		COLUMBIA CAP ALLOC MODERATE AGGRESSIVE CL A	NBIAX	-4,444.071	\$12.5100	\$55,595.33
<b>Total Trade activity</b>						
						<b>\$448.43</b>
<b>Income</b>						
12/18/2024 LONG TERM CAP GAIN MFS GROWTH CL I 121824		9.74700	MFEIX			\$248.58
12/18/2024 SHORT TERM CAP GAIN MFS INTL INTRINSIC VALUE CL I 121824		37.40700	MINIX			\$2.97
12/18/2024 LONG TERM CAP GAIN MFS INTL INTRINSIC VALUE CL I 121824		37.40700	MINIX			\$141.78
12/18/2024 DIVIDEND MFS INTL INTRINSIC VALUE CL I 121824		37.40700	MINIX			\$29.42
12/18/2024 SHORT TERM CAP GAIN 121824	MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	357.60700	CMIEX			\$2.45
12/18/2024 LONG TERM CAP GAIN MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL 121824		357.60700	CMIEX			\$216.03
12/18/2024 DIVIDEND 121824	MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL	357.60700	CMIEX			\$86.88
12/20/2024 DIVIDEND	ISHARES MSCI GLOBAL MIN VOLATILITY ETF 122024 14		ACWV			\$22.83
12/20/2024 DIVIDEND	ISHARES CORE MSCI EMERGING MARKETS ETF 122024 10		IEMG			\$11.63
12/20/2024 DIVIDEND	JPMORGAN MID CAP EQUITY CL I 122024	24.60500	VSNGX			\$6.83
12/23/2024 DIVIDEND	ALLSPRING EMERGING MARKETS EQUITY INSTL CL 122324	60.21900	EMGNX			\$20.93
12/27/2024 DIVIDEND	INvesco S&P 500 Top 50 ETF 122724	34	XLG			\$3.05
12/31/2024 INTEREST	AMERIPRISE BANK INSURED SWEEP ACCT-FDIC NOT SIPC INSURED 123124	1,187 APYE .29%				\$0.63
<b>Total Income</b>						
						<b>\$794.01</b>
<b>Fees</b>						
12/10/2024 FEE	ASSET-BASED BILL VAL 12/31/24	55,462.00	12/09/24 THRU			\$55.76

Asset-based fee rate changes are communicated separately, contact your financial advisor for current account fee rate information.

## Ameriprise Active Portfolios (continued)

Account #: [REDACTED]

### Additional information about your account

Cash sweep options allow you to manage cash awaiting investment. For long term cash holdings, other product solutions may be more appropriate and also have the potential to provide a higher return than your cash sweep options.

# Ameriprise Financial Planning Service

Account #: [REDACTED]

DAVID W JONES

## Summary of your planning service

Financial planning service duration	Fee quoted	Fees paid to date
07/19/2024 - 07/18/2025	\$2,100.00	\$1,050.00

## Activity for your planning service

Financial planning service duration	Date	Description	Amount
07/19/2024 - 07/18/2025	07/24/2024	Payment - Credit card - for Financial Planning Service	\$175.00
07/19/2024 - 07/18/2025	08/26/2024	Payment - Credit card - for Financial Planning Service	\$175.00
07/19/2024 - 07/18/2025	09/24/2024	Payment - Credit card - for Financial Planning Service	\$175.00
07/19/2024 - 07/18/2025	10/24/2024	Payment - Credit card - for Financial Planning Service	\$175.00
07/19/2024 - 07/18/2025	11/25/2024	Payment - Credit card - for Financial Planning Service	\$175.00
07/19/2024 - 07/18/2025	12/24/2024	Payment - Credit card - for Financial Planning Service	\$175.00

## Additional information about your planning service

Your service began on 07/19/2024 and will automatically renew each year on 07/19 until it is cancelled. Please note this is not a bill, just a confirmation of your current planning service.

By partnering with your Ameriprise advisor in a financial planning relationship, you've taken an important step toward achieving the full, rich life you've earned. You'll receive regular written recommendations from your advisor that address your current needs and help you plan for your confident financial future.

When you review your financial plan, remember that Ameriprise Financial Services does not provide legal or tax advice, so you should consult an attorney or tax advisor regarding these matters. Also, keep in mind that you are fully responsible for all your financial decisions. Please see the Financial Planning Service client disclosure brochure for additional important information.

**Financial Planning Client Disclosure Brochure available:** The Ameriprise Financial Planning Service Client Disclosure Brochure provides important information about the financial planning service, fees and expenses, AFS and its affiliates. It is available from your financial advisor, online at [www.ameriprise.com/binaries/content/assets/ampcom/94003.pdf](http://www.ameriprise.com/binaries/content/assets/ampcom/94003.pdf) or by writing to Ameriprise Financial Services, LLC, 476 Ameriprise Financial Center, Minneapolis MN 55474.

Investment advisory products and services are made available through Ameriprise Financial Services, LLC, a registered investment adviser.

## Additional important disclosures

Throughout these disclosures, Ameriprise Financial Services, LLC, the introducing firm, and American Enterprise Investment Services, Inc., the clearing firm, are abbreviated as AFS and AEIS respectively. The affiliates RiverSource Life Insurance Co. and RiverSource Life Insurance Co. of New York are abbreviated as RVS.

**Agreements and disclosures:** You may access current versions of documents including agreements, disclosures and fee documentation governing brokerage and managed accounts on our website at [ameriprise.com/disclosures](http://ameriprise.com/disclosures).

**FINRA public disclosure program:** An investor brochure describing FINRA's Public Disclosure Program is available on FINRA's Web Site ([FINRA.org](http://FINRA.org)) or by calling 800.289.9999.

**Municipal securities:** AEIS and AFS are registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board (MSRB). The MSRB makes available at its website, [www.msrb.org](http://www.msrb.org), an investor brochure, which describes the protections that may be provided by the MSRB, and how to file a complaint regarding municipal securities with the appropriate regulatory authority.

**Ameriprise® Managed Accounts:** It is important to review your personal financial condition on a periodic basis. Contact your financial advisor if there are any changes to your financial condition, investment objectives, or if you would like to request any reasonable investment restrictions on the trading or management of your discretionary managed account(s).

For most mutual funds, a share class that does not have a sales-load and does not assess 12b-1 fees (collectively "Advisory Shares") is offered in all Ameriprise Managed Account Programs as the only mutual fund share class, where available to us through a selling agreement. If not available to us through a selling agreement or if the mutual fund does not offer an Advisory Share class, we offer Class A shares that may pay a 12b-1 fee or a no-load share class that does not have a sales-load but that may pay a 12b-1 fee. The share class offered by AFS for a particular mutual fund is the only share class we allow for additional purchase within your managed account. Where share classes that do not match the Advisory Share class or other share class offered by AFS for a particular mutual fund ("Non-Matching Shares") are transferred into your account, we may convert Non-Matching Shares to an Advisory Share class of the same mutual fund, as long as the mutual fund company allows these conversions to be processed on a tax-free exchange basis for non-qualified account holdings. In this event, you will see activity for the removal of the Non-Matching Shares and activity for the receipt of the Advisory Share positions on the same date. Any 12b-1 fees received by AFS will be promptly rebated to your Managed Account and you will see a 12b-1 rebate credit on your statement activity.

**For Tax-Qualified Managed Accounts under the Pension Protection Act (PPA)Advice Exemption:** You are provided the PPA Disclosure annually and whenever there are significant changes. Once a year we will publish a new audit report after we receive it from our auditor. A copy of the disclosure and audit report is available at [ameriprise.com/ppa](http://ameriprise.com/ppa). You may also obtain copies by contacting your financial advisor, writing to Ameriprise Financial Services, LLC at 70215 Ameriprise Financial Center, P.O. Box 10, Minneapolis, MN 55440 or calling 800.862.7919.

### Managed Account Client Disclosure Brochure:

**SPS programs:** Available at no cost to you are the updated Ameriprise® Managed Accounts Client Disclosure Brochure, or for a consolidated advisory fee relationship the Ameriprise Managed Accounts and Financial Planning Service Disclosure Brochure for a full description of services offered, including fees and expenses. These brochures are available at [ameriprise.com/disclosures](http://ameriprise.com/disclosures), or you may contact your financial advisor, write to Ameriprise Financial Services, LLC at 2661 Ameriprise Financial Center, Minneapolis, MN 55474 or call 800.297.6663.

**All other programs:** Available at no cost to you are the updated Ameriprise® Managed Accounts Client Disclosure Brochure, or for a consolidated advisory fee relationship the Ameriprise Managed Accounts and Financial Planning Service Disclosure Brochure for a full description of services offered by AFS, including fees and expenses. Also available to you is the updated disclosure brochure or a summary of material changes to the disclosure brochure, if any, for the applicable Advisory Service Provider(s) you chose to provide investment advisory services to your Account.

These brochures are available at [ameriprise.com/disclosures](http://ameriprise.com/disclosures), or you may contact your financial advisor, write to Ameriprise Financial Services, LLC at 2661 Ameriprise Financial Center, Minneapolis, MN 55474 or call 800.297.6663. For updated disclosure brochures for the applicable third-party Advisory Service Provider(s) please contact your financial advisor.

**Check deposits:** Checks that should be made payable to AEIS include Ameriprise Brokerage, ONE Financial, Managed Accounts, 529 Plans and Variable Annuities. Checks that should be made payable to AFS include RiverSource Insurance and Annuities, Ameriprise Certificates, Financial Plans and checks for multiple products that do not include funds to be sent to Brokerage or a Managed Account. Checks for deposit to an Ameriprise Bank Account should be made payable to the account owner/client or Ameriprise Bank. Checks for deposit into RiverSource Life of New York accounts should be made payable to RiverSource Life of New York. Checks for RAVA 5 accounts that are transfer checks or additional payments should be made out to RiverSource Life Insurance Company. No checks or payments should be made payable to any advisor or their practice as these are not an affiliate or subsidiary of the firm.

**Mutual fund sales charges and 12b-1 fees:** Both AFS and your financial advisor receive compensation when you buy a mutual fund through your brokerage account. Mutual funds purchased and held in a brokerage account generally pay financial advisors compensation in the form of an ongoing payment, known as a 12b-1 fee. Generally, your financial advisor receives a substantial portion of the sales charge and 12b-1 fees paid to the firm in connection with your mutual fund purchase for as long as you own your fund shares through us. Sales charges and 12b-1 fees vary from mutual fund to mutual fund and from share class to share class. AFS and your financial advisor receive more compensation on funds or share classes that pay higher fees. AFS and your financial advisor generally receive less compensation when the sales charge is reduced, waived completely, or when there is no sales charge or 12b-1 fee.

**Third Party Payments and Cost Reimbursement Services:** AEIS performs certain services such as record keeping, administration and shareholder servicing support, applicable platform level eligibility and investment product due diligence, investment research, training and education, client telephonic and other servicing, and other support related functions, such as trading systems, asset allocation and performance reporting tools, and websites and mobile applications (collectively, "Cost Reimbursement Services"). AEIS receives a variety of these payments for Cost Reimbursement Services ("Cost Reimbursement Payments") from investment products sponsored or managed by affiliated investment advisers (e.g., Columbia Management Investment Advisers) and from unaffiliated product companies for investments you make as a result of our recommendations. Cost Reimbursement Payments are received at a higher percentage rate from certain mutual fund firms (described below as "Full Participation Firms"), which may create a conflict of interest or incentive if AFS promotes, or Ameriprise Financial advisors recommend, the mutual funds offered by a Full Participation Firm. These payments form a structure referred to as the Ameriprise Financial Mutual Fund Program. Cost Reimbursement Payments are not shared with your financial advisor. Cost Reimbursement Payments for marketing and sales support are also applicable to other investment product categories, such as annuities, insurance, UITs, actively managed ETFs, structured products and alternative investments, such as non-traded REITs/BDCs, hedge fund offerings, managed futures funds, private equity offerings, and real estate private placements. For additional information regarding the compensation amounts and practices of a particular mutual fund, please review all pertinent sales literature, statements of additional information prospectuses, accounts agreements, policies, contracts, and other offering documents, as well as [ameriprise.com/guide](http://ameriprise.com/guide).

**Financial interest in products:** AFS and its affiliates have a greater financial interest in the sales of products that they manufacture. AFS and its affiliates receive more revenue from the sale of some financial products and services, particularly those products and services sold under the Ameriprise, Columbia Threadneedle Investments and RVS brands, than for the sale of other products and services.

**Important annual notice regarding the delivery of shareholder documents:** Ameriprise provides a service called "householding". With this service, a single copy of shareholder documents (e.g., prospectuses and proxy mailings, etc.) is delivered for certain clients who reside at the same address. If you wish to receive your own shareholder documents separately, call 866.273.7429 and reference the Client ID number found on your statement. Your request will be implemented within 30 days.

**Suitability terms:** Investment time frame is the expected period of time you plan to invest to achieve your current financial goal(s). Choices are: less than 1 year, 1-3 years, 4-7 years, 8-10 years and 11+ years. Risk tolerance describes your ability to bear the potential of your account losing value in exchange for the potential of higher returns. The higher your risk tolerance, the potential for substantial losses and gains increases. Choices are: Conservative, Moderately conservative, Moderate, Moderately aggressive, and Aggressive. Investment objective identifies your intent or planned purpose for the investment dollars in your account. Choices are: Growth, Growth with income, Income, Capital preservation, Speculation, Tax considerations, Education, Estate planning, and Protection. Liquidity needs is the period of time from the present until you anticipate needing access to your investment dollars.

**In case of errors or questions about your electronic transfers:** Call us at 800.862.7919 or write us at Ameriprise Financial, 70100 Ameriprise Financial Center, Minneapolis, MN 55474, promptly if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- (1) Tell us: your name and account number (if any);
- (2) Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information;
- (3) Tell us the dollar amount of the suspected error.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days (or 20 business days for new accounts) to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation. If we ask you to put your complaint or question in writing and we do not receive it within 10 business days, we may not credit your account. We may take up to 45 days to complete our investigation (90 days for transfers involving new accounts, point-of-sale, or foreign-initiated transactions). We will tell you the results within three business days after completing our investigation. If we determine that there was no error, we will send you a written explanation. You may ask for copies of the documents that we used in our investigation.

**SIPC coverage:** Brokerage accounts are protected by the Securities Investor Protection Corporation (SIPC) up to a maximum of \$500,000 per client, which includes a \$250,000 limit on claims for uninvested cash held in the account awaiting investment. SIPC provides protection against custodial risk to clients of brokerage firms like AFS or AEIS in the event the firms become insolvent. AEIS has obtained excess coverage on total brokerage and managed account assets with a firm aggregate limit of \$750 million for all customer accounts with up to \$1.9 million in cash per customer. Assets with RVS, assets held with other unaffiliated insurance companies, and mutual fund or other assets held in accounts other than an AFS brokerage account, are not covered by SIPC. You may obtain information regarding SIPC, including an information brochure, via: [www.sipc.org](http://www.sipc.org); Tel:202.371.8300; Email:[askspc@sipc.org](mailto:askspc@sipc.org); Securities Investor Protection Corporation, 1667 K St. N.W., Suite 1000, Washington, D.C. 20006-1622.

**Margin account customers:** This statement is a combined statement of your margin sub-account and special memorandum sub-account maintained for you under Section 4(f)(6) of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate sub-account, as required by Regulation T, is available for your inspection upon request. Securities purchased on margin are the clearing firm's collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, the clearing firm can take action, such as issue a margin call and/or sell securities or other assets in any of your non-qualified accounts held with the clearing firm, in order

to maintain the required equity in the account. It is important that you fully understand the risks involved in trading securities on margin. These risks include the following:

- You can lose more funds than you deposit in the margin account.
- The firm can force the sale of securities or other assets in any of your non-qualified account(s).
- The firm can sell your securities or other assets without contacting you.
- You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call.
- The firm can increase its "house" maintenance margin requirements at any time and is not required to provide you advance written notice.
- You are not entitled to an extension of time on a margin call.

**Securities pricing:** The prices, values, yields and annual income shown on your statement are estimates obtained from the issuer, our affiliates, or various pricing services we believe to be reliable. We cannot guarantee the accuracy of these estimates. The estimates may be based on closing prices, bid/ask quotations, or a matrix based on interest rates for similar securities. In some cases, the estimate may reflect a value calculated prior to the current statement period. The estimated prices do not represent actual prices at which the securities could have been purchased or sold. Securities that do not have prices available or for which we have not received data from our pricing services are not included in the total account value.

**Estimated Annual Income and Estimated Annual Yield:** Estimated Annual Income (EAI) and Estimated Annual Yield (EY) are estimates used for informational purposes only and are derived from information provided by outside parties. EAI, when available, reflects the estimated amount you would earn on a security in its current position and its related income remained constant for one year. EY, when available, reflects only the income generated by an investment. It does not reflect the changes in price, which may fluctuate. The accuracy of these estimates cannot be guaranteed and should not be relied upon exclusively for making investment decisions. The actual income and yield may be higher or lower than the estimated amounts. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated.

**Valuation of alternative investments:** Interests in limited partnerships, hedge fund offerings, non-traded real estate investment trusts, non-traded business development companies, non-traded closed-end funds, real estate private placement, tenant-in-common real estate securities, managed futures funds, private equity offerings or other alternative investments (collectively referred to as Alternative Investments), which are not listed on a national exchange, are generally illiquid because no formal trading market exists for these securities. Their values may be different from the purchase price and may not necessarily be realized if the issuer liquidates the security or if you sell your interests. If accurate pricing is not available, the value of the position will be reflected as "Not Priced". The valuation of interests in Alternative Investments is either the initial offering price or an estimated value, both of which have been provided by the issuer. Other than the initial offering price, the values of the positions you hold represent estimates of your interest in the net assets of the program and are reflected in the total value of your account, shown herein. In limited circumstances, generally where the position has been purchased at another financial institution, the valuation may be provided by an independent third party pricing agent. Each issuer of an Alternative Investment or third party may have a different method of valuation, and may apply various methods of valuation throughout the life of the investment. Generally, the factors considered include, but are not limited to: actual or estimated property or securities values, capitalization rates, acquisition costs, current and/or future cash flows, the use of cash versus accrual accounting, activity in an informal secondary market or overall performance. For publicly registered companies, the valuation methodology is described in the issuer's annual report and other current periodic reports, which are available to clients. For unregistered products/private placements, contact the managing general partner or company for further information about valuation. The number of units owned has been provided by the management of each program and may not necessarily reflect activity after the initial purchase.

**Master Limited Partnerships (MLPs) & taxation:** MLPs and similar investments are subject to complex tax rules. These investments could generate unrelated business taxable income when

held in retirement accounts. If these investments are held in your retirement account (including an IRA), the custodian may be required to file a Form 990-T and any taxes due will be paid out of your retirement account. Owning these investments in any type of account may result in unanticipated tax consequences. Consult a tax advisor and IRS Publication 598 for additional information.

**Non-traded real estate investment trust Distribution Reinvestment Plan (DRIP) customers:** If you participate in the DRIP and you experience a material adverse change in your financial condition, promptly notify your financial advisor to discuss continued participation in the DRIP.

**Callable securities:** When we hold securities which are callable in part on your behalf, you will participate in the impartial lottery allocation system for the called securities in accordance with the provisions of the exchange on which they trade, and in compliance with industry rules. For further details about the allocation process please go to [www.ameriprise.com/content/files/AMP\\_CALLABLE\\_SECURITIES.PDF](http://www.ameriprise.com/content/files/AMP_CALLABLE_SECURITIES.PDF)

**"Covered" securities:** A security is considered "covered" and subject to special basis and holding period tax reporting rules under these conditions: 1) Stock, including real estate investment trusts (REITs) acquired on or after Jan. 1, 2011, and not purchased under a dividend reinvestment program 2) Mutual funds and REITs/stocks in a dividend reinvestment program purchased on or after Jan. 1, 2012 (except money market funds) 3) Certain options and debt securities with less complex tax treatment purchased on or after Jan 1, 2014, and 4) Certain options and debt securities with more complex tax treatment purchased on or after Jan 1, 2016. Some securities are not "covered" by definition, see below. When a "covered" investment is sold, we will report the cost basis and holding period of the investment to you and the IRS (in addition to the already-required proceeds information). The cost basis information provided on this statement may not be used for tax reporting purposes. For tax reporting purposes, use the information provided on Form 1099-B, Proceeds from Broker and Barter Exchange Transactions, which will be sent early in the year following the tax year in which the investment was sold.

**"Noncovered" securities:** "Noncovered" is a term for those securities that are not subject to the required cost basis and holding period reporting described above. Ameriprise Financial provides cost basis and holding period information to clients, but not the IRS, for many "noncovered" securities including "noncovered" equities, mutual funds, exchange-traded funds (ETFs), exchange-traded notes (ETNs), business development corporations (BDCs), unit investment trusts (UITs), real estate investment trusts (REITs), debt instruments, and options acquired before the effective dates listed above. Certain other securities are currently excluded from the cost basis reporting rules, including money market funds, short-term debt instruments, real estate mortgage investments conduits (REMICs) and other mortgage-backed securities, partnerships, trusts, and prepaid forward contracts (including certain structured products). The cost basis information provided for "noncovered" securities may not include changes due to corporate actions (such as mergers, spin-offs, stock dividends or cash dividends in lieu of fractional shares), wash sales, certain mutual fund adjustments, returns of capital, certain adjustments to fixed income securities (including early prepayment of principal, premium amortization, accrual of market discount or original issue discount), or transfers of existing positions into Ameriprise by new or existing clients. Ameriprise is not responsible for "noncovered" cost basis information, and will not verify cost basis information that is provided by someone else (including a client, an advisor or another entity, such as a broker) or is the result of a transfer between persons (including inheritance, gift, divorce, distributions from a trust, shares used to repay a loan, etc.). It also will not verify "noncovered" cost basis information obtained through corporate acquisitions by Ameriprise. For transactions related to any of these activities for "noncovered" shares, review your records and consult your tax advisor when preparing your tax return.

**Free credit balance:** In general, a free credit balance represents cash held in your brokerage or managed account that is payable upon your demand. We are not required to segregate or hold the funds separately. We may commingle your funds with our general funds or use the funds for our business. We may, but are not obligated to, pay you interest on any available free credit balances, and we may earn income from the balances as compensation for servicing your account. Please review our Other Important Brokerage Disclosure for more information.

**Order Routing Policy and compensation for order handling:** Some market centers or broker-dealers may execute orders at prices superior to the publicly quoted market. AEIS considers a number of factors in its decision process as to the exchanges and market centers to which it directs its customer orders for execution. These factors include but are not limited to: the speed of execution; the opportunity for price improvement; liquidity enhancement opportunities; trading characteristics of the particular individual security; and size of the order. AEIS currently does not receive payment for directing orders; however, AEIS reserves the right to receive remuneration for directing orders to a particular broker or dealer for execution. The source and amount of remuneration, if any, received by AEIS will be furnished upon written request. Payment for order flow is not a factor considered when routing orders. For more detailed information, please visit our Order Routing Report published quarterly on [ameriprise.com](http://ameriprise.com). Please contact us at 800.862.7919 to obtain a printed copy of our Order Routing Report at no cost, or for further details regarding the routing of any specific order. The link to the SEC 606 Order Routing Report can be found at [ameriprise.com/606](http://ameriprise.com/606).

**Brokerage mutual fund purchases:** When you purchase certain mutual funds at NAV, on selling your shares, you may pay a sales charge. For the charge and other fees, see the prospectus.

**Equity Dividend Reinvestment Program (DRIP) Customers:** Transactions to purchase shares for the DRIP program, where offered, are executed on a riskless principal basis by AEIS. Details of your DRIP transactions are available on written request to AEIS.

**Fractional Shares and Liquidation Process:** Where your statement indicates a transaction that involved less than one full share of an equity, ETF, preferred or closed-end fund, as well as UITs ("Fractional Share"), AFS and AEIS sold and liquidated the Fractional Share(s) as a client-directed principal transaction on your behalf in accordance with the Ameriprise Brokerage Client Agreement and, if you have a Managed Account, per the liquidation process outlined in your Custom Advisory Relationship Agreement or the applicable Managed Account Client Agreement.

**Assets held outside your brokerage account:** Certain assets purchased through AFS are displayed on this statement as a courtesy to you, even though the assets are held at a third party, and not custodied in your brokerage account. These products may include but are not limited to annuities and insurance products, hedge fund offerings, private equity offerings, managed futures funds, exchange funds, real estate private placements, DST/TICs, and certain 529 plans. Ownership records for these products, valuation information, and SIPC coverage, if applicable, are the responsibility of the company holding the assets, and not AFS or AEIS.

**The Value of your accounts over time on the first page of your statement reports the following information:**

1) The ending value of your portfolio for applicable dates going back (up to) five years. The gray line shows the net value of your deposits and withdrawals, dating back (up to) five years. Note:

- The gray line does not reflect additions or surrenders for third-party annuities linked to your brokerage account prior to Jan. 1, 2017.
- The gray line does not reflect additions or surrenders from any whole life insurance policies.
- If your portfolio was established on Dec. 31, 2012 or earlier, the gray line starting point was your portfolio value on Jan. 1, 2013. The gray line shows your portfolio value on Jan. 1, 2013 PLUS additions since that time MINUS withdrawals since that time.

**Activity for this period:** transaction(s) that have not yet settled by the date of this statement will appear on your next statement.

**Withholding:** The distributions you receive from your annuity, life insurance, or tax-qualified account are subject to federal income tax withholding on the reported taxable portion unless you elect not to have withholding applied (though mandatory withholding may apply in certain situations). If you elect not to have federal withholding, you may make an election not to withhold at the time of your distribution request or, alternatively, you can provide a withholding certificate by contacting us or your financial advisor. Withholding certificates can also be used to elect to have amounts withheld. If you provide a withholding certificate, the withholding election applies prospectively only and remains in effect until you choose to revoke it or change it (e.g., if you want a lesser amount withheld) by providing a new withholding certificate. Note, if you do not make a withholding election, tax will be withheld in accordance with IRS rules (generally, 10% withholding

for non-periodic distributions from IRAs and non-qualified annuities and wage table withholding rules for periodic distributions from either). If total withholding is not adequate, you may need to make estimated tax payments and/or be subject to tax penalties. For tax-qualified accounts withholding will be taken from the gross amount of the distribution, even though it may contain amounts not includable in income and result in excess withholding. State income tax withholding may be required from your distribution. Your state of residence will determine your state income tax withholding requirements, if any. Withholding rules vary by state and in some states withholding is not available. Based on your state's rules you may have the option to: (i) elect out of withholding, (ii) elect to have state withholding apply, or (iii) increase the rate of withholding. For

some states, you may need to supply us with a state-specific, or other, form depending on the circumstances. Please see your tax advisor for assistance with these matters.

**Third-party issuer assessment:** AFS periodically assesses, but does not continuously monitor, the creditworthiness or financial solvency of third-party issuers. You should be advised that credit markets can be volatile, and the creditworthiness of an issuer may change rapidly. AFS, as a seller of these products, does not guarantee or provide any assurance that a third-party issuer of financial products will be able to fulfill the issuer's obligation to any purchaser of such a product.

**Disclosure for persons without a financial advisor:** Mutual funds can be purchased through AFS. For direct purchases AFS will retain all sales charges and 12b-1 fees.



Ameriprise Financial Services, LLC  
70100 Ameriprise Financial Center | Minneapolis, MN 55474

MR DAVID W JONES  
[REDACTED]

## Important disclosures

Please review your statement carefully. Report any inaccuracies or discrepancies immediately to the appropriate legal entity outlined below. Any oral communication should be re-confirmed in writing to us to protect your rights, including your rights under the Securities Investor Protection Act. Please notify us promptly in writing of any change of address. In addition, should any material change occur in your investment objectives or financial situation, we request prompt notification to ensure we maintain the most up-to-date background and financial information.

These entities are wholly owned subsidiaries of Ameriprise Financial, Inc. All may be contacted at 800.862.7919 unless otherwise noted below.

**American Enterprise Investment Services, Inc (AEIS), the clearing broker-dealer, member FINRA and SIPC,** is responsible for the summary pages and each statement for brokerage or managed account products, including securities positions and free credit balances. Direct inquiries to 70400 Ameriprise Financial Center, Minneapolis, MN 55474. A financial statement for this organization is available for your personal inspection at its offices, or a copy of it will be mailed upon your written request.

**Ameriprise Financial I Services, LLC (AFS), the introducing broker-dealer, member FINRA and SIPC** is responsible for Financial Planning Service product pages. Brokerage accounts, investment, and financial advisory services are introduced by and made available through AFS. Direct inquiries (including a problem with, or a complaint about your financial advisor, or unauthorized activity in your account(s)) to 70100 Ameriprise Financial Center, Minneapolis, MN 55474-0507.

**Ameriprise Trust Company (ATC)** is a passive custodian for tax qualified accounts including IRAs. ATC outsources all custody of IRA assets to the other regulated custodians.

**Ameriprise Bank, FSB (Bank), Member FDIC,** is responsible for banking products including deposit and lending accounts. Investment products are not insured by the FDIC, NCUA or any federal agency, are not deposits or obligations of, or guaranteed by any financial institution,

and involve investment risks including possible loss of principal and fluctuation in value.

**Ameriprise Certificate Company**, the certificate product issuer, is responsible for Ameriprise Certificate Products and those products are distributed and serviced by AFS.

**RiverSource Life Insurance Company and RiverSource Life Insurance Co. of New York (collectively RVS)** are responsible for RiverSource insurance and annuity products. Direct inquiries to RiverSource Life Insurance Co. of NY to 800.541.2251.

**Municipal securities:** AEIS and AFS are registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board (MSRB). The MSRB makes available at its website, [www.msrb.org](http://www.msrb.org), an investor brochure, which describes the protections that may be provided by the MSRB, and how to file a complaint regarding municipal securities with the appropriate regulatory authority.

**Not a Bank** AEIS, AFS, ATC, Ameriprise Certificate Company and RVS are not banks.

Investment products are not insured by the FDIC, NCUA or any federal agency, are not

deposits or obligations of, or guaranteed by any financial institution, and involve investment risks including possible loss of principal and fluctuations in value.

**This document was delivered online (via e-delivery)**

Ameriprise statements are available in color and archived for seven years. For a list of other documents available for e-delivery, click Profile > Communication Preferences.

**Questions? We're here to help. 800.862.7919**

For information on how to read your statement, please visit  
[www.ameriprise.com/microsite/statement](http://www.ameriprise.com/microsite/statement)

DAVID W. JONES

Please review your statement carefully. Corrections may not be accepted more than 45 days after the closing date of the statement.

### Account statement

Account number [REDACTED] Plan(s): 457(b)  
 Dates: 10/1/2024 - 12/31/2024

#### Balance and performance

**Total account balance** **\$733,158.76**

##### Personal rate of return

Quarterly	1-year
-0.51%	15.69%

Personal rate of return is an estimate for your account. For the period shown, the calculation considers deposits, withdrawals and performance of the investments (net of fees) in your core account. Past performance is not a guarantee of future success.

#### Quarterly activity

Previous quarter ending balance	<b>\$735,526.43</b>
Contributions	\$1,368.15
Rollovers/Transfers In	\$0.00
Dividends*	\$12,812.88
Investment gain/loss and interest	-\$16,511.20
Fees/Charges	-\$37.50
Withdrawals/Transfers Out	\$0.00
<b>Current quarter ending balance</b>	<b>\$733,158.76</b>

#### Current investments by asset class

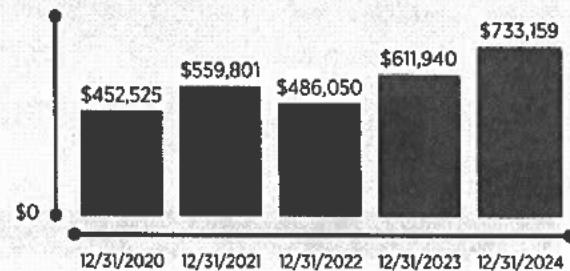
This chart shows how the money in your account is divided among the different asset classes.

Note: Due to rounding, percentages may not equal 100%.



Large cap	52.05%
International	13.16%
Mid cap	11.20%
Small cap	11.03%
Short term	7.89%
Balanced	4.67%

#### Balance history



Account balances are rounded to the nearest dollar and are the balances at the time your original statement was produced.

#### Retirement readiness

Based on your information, you're on track to receive

**\$11,012/mo**

in retirement starting at age 60!

Results are hypothetical and based on your most recent inputs in the My Interactive Retirement Planner™ including, but not limited to 30 years in retirement; a rate of return that is an index average based on your investment type; 2.25% annual inflation; 85% of income needed at retirement, and a 2.5% average annual salary increase. Visit your account for more information. Please note future retirement income is not guaranteed.

You may have a surplus of \_\_\_\_\_  
**\$3,436/mo**

Log in to your account at  
[www.nysdcp.com](http://www.nysdcp.com) to see how  
 you can change your retirement  
 outlook.



## Contributions and withdrawals

	Contributions				Withdrawals	
	YTD contributions	Contributions this period*	Last paycheck amount*	Contribution rate/amount	YTD withdrawals	Last withdrawal amount
Pre-Tax Contribution	\$20,687.80	\$905.71	\$443.27	\$0.00	\$0.00	\$0.00
Roth Contribution	\$2,312.20	\$462.44	\$462.44	8.00%	\$0.00	\$0.00

\*Contributions are only shown if made during this statement period.

## Total contributions and benefits since joining

	Contributions since joining	Benefits received
457(b) Plan	\$278,148.17	\$0.00

The Benefits received total does not include withdrawals prior to March 25, 2003.  
The Contributions total includes all deferrals since joining.

## Investment election

Your **investment election** is how future contributions are distributed among different investments.

457(b) Plan	Pre-Tax Contribution	Roth Contribution
Intl Equity Fd-Active	20.00%	20.00%
NYSDCB Equity Indx U/A	25.00%	25.00%
NYSDCB Russ 2500 Indx U/A	15.00%	15.00%
Stable Income Fund	20.00%	20.00%
TRowePr QM US SmCap Eq I	10.00%	10.00%
Vngrd Wlngrn Adml	10.00%	10.00%
<b>Total</b>	<b>100%</b>	<b>100%</b>

## Beneficiaries

	Primary	Contingent		
	ELLA LIBERTY JONES	100%	SUSAN JONES-KING	

If no person, entity, or trust is listed as a beneficiary, a beneficiary designation may still exist on file. Please note that the Administrative Service Agency does not guarantee the accuracy or completeness of any beneficiary designation(s).

Make sure your beneficiaries are the ones you want named. If you need to review and/or update, log into your account.

## Investment activity

### Pre-Tax Contribution

Investment option	Previous quarter balance	Contributions/Transfers In	Exchanges	Dividends*	Investment gain/loss & interest*	Fees/Charges	Withdrawals/Transfers Out	Units/Shares	Units/Shares price	Current quarter balance
<b>Small cap</b> TRowePr QM US SmCap Eq I	\$82,617.08	\$90.57	\$0.00	\$6,006.90	-\$8,052.71	-\$4.19	\$0.00	1,854.6252	43.4900	\$80,657.65
<b>International</b> Intl Equity Fd-Active	\$104,136.31	\$181.14	\$0.00	\$0.00	-\$8,284.34	-\$5.22	\$0.00	5,857.6331	16.3936	\$96,027.89
<b>Mid cap</b> NYSDCB Russ 2500 Indx U/A	\$81,119.60	\$135.86	\$0.00	\$0.00	\$521.73	-\$4.10	\$0.00	4,215.8247	19.3967	\$81,773.09
<b>Large cap</b> NYSDCB Equity Indx U/A	\$255,757.39	\$226.43	\$0.00	\$0.00	\$6,161.88	-\$13.12	\$0.00	9,492.0891	27.6159	\$262,132.58
TRowePr Blue Chip Gr T7	\$25,896.75	\$0.00	\$0.00	\$0.00	\$1,541.77	-\$1.34	\$0.00	278.2958	98.5900	\$27,437.18
TRowePr Eq Inc Trust	\$29,846.79	\$0.00	\$0.00	\$0.00	-\$876.57	-\$1.51	\$0.00	706.8988	40.9800	\$28,968.71

### Investment activity (continued)

#### Pre-Tax Contribution (continued)

Vngrd Prm Cap Adml	\$63,840.11	\$0.00	\$0.00	\$3,924.27	-\$5,326.07	-\$3.27	\$0.00	375.3459	166.3400	\$62,435.04
Balanced Vngrd Wlngrn Adml	\$33,621.39	\$90.57	\$0.00	\$2,844.58	-\$2,551.34	-\$1.72	\$0.00	459.8171	73.9500	\$34,003.48
Short term Stable Income Fund	\$56,790.74	\$181.14	\$0.00	\$0.00	\$411.94	-\$2.91	\$0.00	31,320.9125	N/A	\$57,380.91
<b>Total</b>	<b>\$733,626.16</b>	<b>\$905.71</b>	<b>\$0.00</b>	<b>\$12,775.75</b>	<b>-\$16,453.71</b>	<b>-\$37.38</b>	<b>\$0.00</b>			<b>\$730,816.53</b>

#### Roth Contribution

Investment option	Previous quarter balance	Contributions/Transfers In	Exchanges	Dividends*	Investment gain/loss & interest*	Fees/Charges	Withdrawals/Transfers Out	Units/Shares	Units/Shares price	Current quarter balance
Small cap TRowePr QM US SmCap Eq I	\$191.79	\$46.24	\$0.00	\$17.29	-\$23.13	-\$0.01	\$0.00	5.3388	43.4900	\$232.18
International Intl Equity Fd-Active	\$381.49	\$92.49	\$0.00	\$0.00	-\$36.34	-\$0.03	\$0.00	26.6942	16.3936	\$437.61
Mid cap NYSDCB Russ 2500 Indx U/A	\$289.38	\$69.37	\$0.00	\$0.00	\$2.79	-\$0.01	\$0.00	18.6386	19.3967	\$361.53
Large cap NYSDCB Equity Indx U/A	\$478.13	\$115.61	\$0.00	\$0.00	\$13.65	-\$0.03	\$0.00	21.9933	27.6159	\$607.36
Balanced Vngrd Wlngrn Adml	\$188.73	\$46.24	\$0.00	\$19.84	-\$17.74	-\$0.01	\$0.00	3.2057	73.9500	\$237.06
Short term Stable Income Fund	\$370.75	\$92.49	\$0.00	\$0.00	\$3.28	-\$0.03	\$0.00	254.6320	N/A	\$466.49
<b>Total</b>	<b>\$1,900.27</b>	<b>\$462.44</b>	<b>\$0.00</b>	<b>\$37.13</b>	<b>-\$57.49</b>	<b>-\$0.12</b>	<b>\$0.00</b>			<b>\$2,342.23</b>

#### Transaction details

Pay date	Effective date	Total amount	Transaction type	Money source	Investment option	Price	Units/Shares	Amount per fund
10/9/2024	10/9/2024	\$462.44	Deferral	Pre-Tax Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A Stable Income Fund TRowePr QM US SmCap Eq I Vngrd Wlngrn Adml	17.5360 27.1146 19.1400 N/A 47.9000 79.8800	5.2743 4.2638 3.6243 N/A 0.9653 0.5789	\$92.49 \$115.61 \$69.37 \$92.49 \$46.24 \$46.24
10/9/2024	10/9/2024	\$462.44	Deferral	Roth Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A Stable Income Fund TRowePr QM US SmCap Eq I Vngrd Wlngrn Adml	17.5360 27.1146 19.1400 N/A 47.9000 79.8800	5.2743 4.2638 3.6243 N/A 0.9653 0.5789	\$92.49 \$115.61 \$69.37 \$92.49 \$46.24 \$46.24
10/10/2024		-\$9.97	Administrative Charge	Pre-Tax Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A Stable Income Fund TRowePr Blue Chip Gr T7 TRowePr Eq Inc Trust TRowePr QM US SmCap Eq I Vngrd Prm Cap Adml Vngrd Wlngrn Adml	17.4905 27.0626 19.0572 N/A 94.0300 42.0200 47.6000 181.8600 79.8100	-0.0795 -0.1293 -0.0572 N/A -0.0038 -0.0095 -0.0235 -0.0048 -0.0058	-\$1.39 -\$3.50 -\$1.09 -\$0.78 -\$0.36 -\$0.40 -\$1.12 -\$0.87 -\$0.46
10/10/2024		-\$0.03	Administrative Charge	Roth Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A Stable Income Fund	17.4905 27.0626 N/A	-0.0006 -0.0004 N/A	-\$0.01 -\$0.01 -\$0.01
10/10/2024		-\$27.41	Asset Fee	Pre-Tax Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A	17.4905 27.0626 19.0572	-0.2190 -0.3555 -0.1579	-\$3.83 -\$9.62 -\$3.01

### Transaction details (continued)

Pay date	Effective date	Total amount	Transaction type	Money source	Investment option	Price	Units/ Shares	Amount per fund
					Stable Income Fund TRowePr Blue Chip Gr T7 TRowePr Eq Inc Trust TRowePr QM US SmCap Eq I Vngrd Prm Cap Adml Vngrd Wlnqtn Adml	N/A 94.0300 42.0200 47.6000 181.8600 79.8100	N/A -0.0104 -0.0264 -0.0645 -0.0132 -0.0158	-\$2.13 -\$0.98 -\$1.11 -\$3.07 -\$2.40 -\$1.26
10/10/2024		-\$0.09	Asset Fee	Roth Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A Stable Income Fund TRowePr QM US SmCap Eq I Vngrd Wlnqtn Adml	17.4905 27.0626 19.0572 N/A 47.6000 79.8100	-0.0011 -0.0007 -0.0005 N/A -0.0002 -0.0001	-\$0.02 -\$0.02 -\$0.01 -\$0.02 -\$0.01 -\$0.01
10/23/2024	10/23/2024	\$443.27	Deferral	Pre-Tax Contribution	Intl Equity Fd-Active NYSDCB Equity Indx U/A NYSDCB Russ 2500 Indx U/A Stable Income Fund TRowePr QM US SmCap Eq I Vngrd Wlnqtn Adml	17.0724 27.1503 19.2119 N/A 47.4300 79.7500	5.1926 4.0817 3.4609 N/A 0.9346 0.5559	\$88.65 \$110.82 \$66.49 \$88.65 \$44.33 \$44.33
12/16/2024		\$5,747.37	Capital Gain	Pre-Tax Contribution	TRowePr QM US SmCap Eq I	46.1400	124.5638	\$5,747.37
12/16/2024		\$16.54	Capital Gain	Roth Contribution	TRowePr QM US SmCap Eq I	46.1400	0.3586	\$16.54
12/16/2024		\$259.53	Reinvested Dividend	Pre-Tax Contribution	TRowePr QM US SmCap Eq I	46.1400	5.6248	\$259.53
12/16/2024		\$0.75	Reinvested Dividend	Roth Contribution	TRowePr QM US SmCap Eq I	46.1400	0.0162	\$0.75
12/18/2024		\$3,313.51	Capital Gain	Pre-Tax Contribution	Vngrd Prm Cap Adml	166.3600	19.9177	\$3,313.51
12/18/2024		\$610.76	Reinvested Dividend	Pre-Tax Contribution	Vngrd Prm Cap Adml	166.3600	3.6713	\$610.76
12/30/2024		\$2,647.20	Capital Gain	Pre-Tax Contribution	Vngrd Wlnqtn Adml	74.2100	35.6717	\$2,647.20
12/30/2024		\$18.46	Capital Gain	Roth Contribution	Vngrd Wlnqtn Adml	74.2100	0.2487	\$18.46
12/30/2024		\$197.38	Reinvested Dividend	Pre-Tax Contribution	Vngrd Wlnqtn Adml	74.2100	2.6598	\$197.38
12/30/2024		\$1.38	Reinvested Dividend	Roth Contribution	Vngrd Wlnqtn Adml	74.2100	0.0185	\$1.38

### Important disclosures

Account Executives are registered representatives of Nationwide Investment Services Corporation, member FINRA.

Distributions of contributions and earnings from the Roth account are tax free if contributions have been in the Roth elective deferral account for a period of at least five (5) tax years and the participant is at least 59½ years old at the time of the distribution.

### Contact us



Manage your account at  
[www.nysdcp.com](http://www.nysdcp.com)



HELPLINE 1-800-422-8463  
TTY: 1-800-514-2447



NEW YORK STATE DEFERRED  
COMPENSATION PLAN  
ADMINISTRATIVE SERVICE AGENCY  
P.O. BOX 182797  
COLUMBUS OH 43218-2797

Need assistance? The HELPLINE is available from 8 AM to 11 PM (ET) Monday through Friday and 9 AM to 6 PM (ET) on Saturdays, except holidays.

Your account is available to you  
24 hours a day, seven days a week.



Visit our website at [www.nysdcp.com](http://www.nysdcp.com)