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Form 990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990PF for instructions and the latest information.

OMB No. 1545-0052

2019

Open to Public Inspection

For calendar year 2019, or tax year beginning 01-01-2019, and ending 12-31-2019

Name of foundation
WILLIAM J SHAW FAMILY FOUNDATION

% WILLIAM SHAW

Number and street (or P.O. box number if mail is not delivered to street address)
10833 ALLOWAY DRIVE

Room/suite

City or town, state or province, country, and ZIP or foreign postal code
POTOMAC, MD 20854

G Check all that apply:

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation

☐ Section 4947(a)(1) nonexempt charitable trust

☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶\$ 3,885,415

J Accounting method:

☒ Cash

☐ Accrual

☐ Other (specify)

(Part I, column (d) must be on cash basis.)

A Employer identification number
52-2177437

B Telephone number (see instructions)
(301) 299-3484

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here..... ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ... ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

Part I

Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

(a)

Revenue and expenses per books

(b)

Net investment income

(c)

Adjusted net income

(d)

Disbursements for charitable purposes (cash basis only)

Revenue

1

Contributions, gifts, grants, etc., received (attach schedule)

0

2

Check ▶ ☒ if the foundation is **not** required to attach Sch. B

3

Interest on savings and temporary cash investments

4

Dividends and interest from securities

74,140

57,989

5a

Gross rents

b

Net rental income or (loss)

6a

Net gain or (loss) from sale of assets not on line 10

8,865

b

Gross sales price for all assets on line 6a 428,190

7

Capital gain net income (from Part IV, line 2)

8,865

8

Net short-term capital gain

9

Income modifications

10a

Gross sales less returns and allowances

b

Less: Cost of goods sold

c

Gross profit or (loss) (attach schedule)

11

Other income (attach schedule)

12

Total. Add lines 1 through 11

83,005

66,854

Operating and Administrative Expenses

13

Compensation of officers, directors, trustees, etc.

0

14

Other employee salaries and wages

15

Pension plans, employee benefits

16a

Legal fees (attach schedule)

b

Accounting fees (attach schedule)



5,000

0

0

5,000

c

Other professional fees (attach schedule)



10,530

10,530

17

Interest

18

Taxes (attach schedule) (see instructions)



500

500

19

Depreciation (attach schedule) and depletion

20

Occupancy

21

Travel, conferences, and meetings

22

Printing and publications

23

Other expenses (attach schedule)



2,155

30

24

Total operating and administrative expenses. Add lines 13 through 23

18,185

11,060

0

5,000

25

Contributions, gifts, grants paid

345,929

345,929

26

Total expenses and disbursements. Add lines 24 and 25

364,114

11,060

0

350,929

27

Subtract line 26 from line 12:

a

Excess of revenue over expenses and disbursements

-281,109

b

Net investment income (if negative, enter -0-)

55,794

c

Adjusted net income (if negative, enter -0-)

For Paperwork Reduction Act Notice, see instructions.

Cat. No. 11289X

Form 990-PF (2019)

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	157,414	119,517	119,517
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U.S. and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	1,896,986	1,805,490	3,765,898
	14 Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	2,054,400	1,925,007	3,885,415	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow FASB ASC 958, check here ▶ ☐ and complete lines 24, 25, 29 and 30.			
	24 Net assets without donor restrictions			
	25 Net assets with donor restrictions			
	Foundations that do not follow FASB ASC 958, check here ▶ ☒ and complete lines 26 through 30.			
	26 Capital stock, trust principal, or current funds	2,054,400	1,925,007	
	27 Paid-in or capital surplus, or land, bldg., and equipment fund			
	28 Retained earnings, accumulated income, endowment, or other funds			
	29 Total net assets or fund balances (see instructions)	2,054,400	1,925,007	
30 Total liabilities and net assets/fund balances (see instructions) .	2,054,400	1,925,007		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return)	1	2,054,400
2 Enter amount from Part I, line 27a	2	-281,109
3 Other increases not included in line 2 (itemize) ▶ _____	3	153,730
4 Add lines 1, 2, and 3	4	1,927,021
5 Decreases not included in line 2 (itemize) ▶ _____	5	2,014
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 .	6	1,925,007

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a FIDELITY #3398 (SEE ATTACHED)	P	2019-01-01	2019-12-31
b FIDELITY #3398 (SEE ATTACHED)	P	2018-01-01	2019-12-31
c FIDELITY #3394 (SEE ATTACHED)	P	2019-01-01	2019-12-31
d FIDELITY #3394 (SEE ATTACHED)	P	2018-01-01	2019-12-31
e CAPITAL GAIN DIVIDENDS	P		

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 141,402		138,596	2,806
b 213,311		230,354	-17,043
c 15,002		13,406	1,596
d 44,958		36,969	7,989
e			13,517

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h))
a			2,806
b			-17,043
c			1,596
d			7,989
e			

2 Capital gain net income or (net capital loss)	2	8,865
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2018	184,310	3,033,010	0.060768
2017	252,852	2,919,127	0.086619
2016	648,106	2,363,241	0.274245
2015	340,110	2,800,084	0.121464
2014	194,000	2,278,647	0.085138

2 Total of line 1, column (d)	2	0.628234
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	0.125647
4 Enter the net value of noncharitable-use assets for 2019 from Part X, line 5	4	3,537,689
5 Multiply line 4 by line 3	5	444,500
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	558
7 Add lines 5 and 6	7	445,058
8 Enter qualifying distributions from Part XII, line 4	8	350,929

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	1,116
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2.	3	1,116
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,116
6	Credits/Payments:		
a	2019 estimated tax payments and 2018 overpayment credited to 2019	6a	1,110
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	1,500
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	2,610
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ▶	10	1,494
11	Enter the amount of line 10 to be: Credited to 2020 estimated tax ▶ 1,494 Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? 	1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1b	No
c Did the foundation file Form 1120-POL for this year?	1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ _____ (2) On foundation managers. ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2	No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> 	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i> 	5	No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MD _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation .</i>	8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2019 or the taxable year beginning in 2019? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10	No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions.	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► _____	13	Yes	
14	The books are in care of ► <u>WILLIAM SHAW</u> Telephone no. ► <u>(301) 299-3484</u>			

Located at ► 10833 ALLOWAY DRIVE BETHESDA MD ZIP+4 ► 20854

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here	☐		
	and enter the amount of tax-exempt interest received or accrued during the year	► 15		
16	At any time during calendar year 2019, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ► _____			

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

1a	During the year did the foundation (either directly or indirectly):		Yes	No
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions	1b		
	Organizations relying on a current notice regarding disaster assistance check here. ► ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2019?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2019, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2019? ☐ Yes ☒ No			
	If "Yes," list the years ► 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2019 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2019.)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2019?	4b		No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a	During the year did the foundation pay or incur any amount to:		Yes	No
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
(2)	Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
(4)	Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.	☐ Yes ☒ No		
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions		5b	
	Organizations relying on a current notice regarding disaster assistance check here.	☐		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No	6b	No
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?			
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No	7b	
b	If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?			
8	Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?	☐ Yes ☒ No		

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation. See instructions				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
WILLIAM SHAW 10833 ALLOWAY DRIVE POTOMAC, MD 20854	PREIDENT & TREASURER 0.0	0	0	0
JENNIFER FOSKO 10833 ALLOWAY DRIVE POTOMAC, MD 20854	VICE PRESIDENT 0.0	0	0	0
AMY SHAW PALUMBO 10833 ALLOWAY DRIVE POTOMAC, MD 20854	VICE PRESIDENT, SECRETARY 0.0	0	0	0
KAREN BROWN 10833 ALLOWAY DRIVE POTOMAC, MD 20854	SR. VICE PRESIDENT AND COO 0.0	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Total number of other employees paid over \$50,000.				

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
Total number of others receiving over \$50,000 for professional services. ►		

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ►	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities.	1a	3,446,074
b	Average of monthly cash balances.	1b	145,488
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,591,562
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	3,591,562
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	53,873
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,537,689
6	Minimum investment return. Enter 5% of line 5.	6	176,884

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6.	1	176,884
2a	Tax on investment income for 2019 from Part VI, line 5.	2a	1,116
b	Income tax for 2019. (This does not include the tax from Part VI.).	2b	
c	Add lines 2a and 2b.	2c	1,116
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	175,768
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	175,768
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	175,768

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	1a	350,929
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	350,929
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions.	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	350,929

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2018	(c) 2018	(d) 2019
1 Distributable amount for 2019 from Part XI, line 7				175,768
2 Undistributed income, if any, as of the end of 2019:				
a Enter amount for 2018 only.			0	
b Total for prior years: 2017, 2016, 2015		0		
3 Excess distributions carryover, if any, to 2019:				
a From 2014.	81,311			
b From 2015.	202,506			
c From 2016.	530,510			
d From 2017.	109,016			
e From 2018.	34,692			
f Total of lines 3a through e.	958,035			
4 Qualifying distributions for 2019 from Part XII, line 4: ► \$ 350,929				
a Applied to 2018, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2019 distributable amount.				175,768
e Remaining amount distributed out of corpus	175,161			
5 Excess distributions carryover applied to 2019. (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	1,133,196			
b Prior years' undistributed income. Subtract line 4b from line 2b.		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b. Taxable amount—see instructions.		0		
e Undistributed income for 2018. Subtract line 4a from line 2a. Taxable amount—see instructions.			0	
f Undistributed income for 2019. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020.				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2014 not applied on line 5 or line 7 (see instructions).	81,311			
9 Excess distributions carryover to 2020. Subtract lines 7 and 8 from line 6a.	1,051,885			
10 Analysis of line 9:				
a Excess from 2015.	202,506			
b Excess from 2016.	530,510			
c Excess from 2017.	109,016			
d Excess from 2018.	34,692			
e Excess from 2019.	175,161			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2019, enter the date of the ruling. ▶

b Check box to indicate whether the organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

	Tax year	Prior 3 years			(e) Total
	(a) 2019	(b) 2018	(c) 2017	(d) 2016	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions

a The name, address, and telephone number or email address of the person to whom applications should be addressed:

b The form in which applications should be submitted and information and materials they should include:

c Any submission deadlines:

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:

Part XV **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	345,929
b <i>Approved for future payment</i>				
Total			▶ 3b	

Enter gross amounts unless otherwise indicated.

[illegible]

Part XVII

- | | | | | |
|---|--|----|--|----|
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees. | 1c | | No |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.		
(a) Name of organization	(b) Type of organization	(c) Description of relationship

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Sign Here ***** Signature of officer or trustee	2020-06-03 Date	***** Title
---	-------------------------------------	---------------------------------

May the IRS discuss this return with the preparer shown below (see instr.) ☒ **Yes** ☐ **No**

Paid Preparer Use Only	Print/Type preparer's name MARK T PASCHALL	Preparer's Signature	Date	Check if self-employed ☐	PTIN P01253773
	Firm's name ▶ BDO USA LLP				Firm's EIN ▶
	Firm's address ▶ 8401 GREENSBORO DRIVE 800 MCLEAN, VA 22102				Phone no. (703) 893-0600

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
CSES EDUCATIONAL FOUNDATION 9812 FALLS ROAD BOX 114-209 POTOMAC, MD 20854	NONE	PC	GENERAL SUPPORT	500
THE ACADEMY OF THE HOLY CROSS 4920 STRATHMORE AVENUE KENSINGTON, MD 20895	NONE	PC	GENERAL SUPPORT GRANT	20,000
MONTGOMERY COUNTY FAMILY JUSTICE FOUNDATION 600 JEFFERSON PLAZA SUITE 500 ROCKVILLE, MD 20852	NONE	PC	GENERAL FUND SUPPORT TO STRENGTHEN THE LIVES OF FAMILIES AFFECT BY DOMESTIC VIOLENCE.	15,000
Total ▶ 3a				345,929

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
WELLNESS HOUSE OF ANNAPOLIS 2625 MAS QUE FARM ROAD ANNAPOLIS, MD 21403	NONE	PC	GENERAL OPERATING FUND TO PROVIDE SUPPORT, EDUCATION, AND SERVICES TO HELP INDIVIDUALS AND FAMILIES WHO HAVE BEEN AFFECTED BY CANCER.	5,000
CONNELLY SCHOOL OF THE HOLY CHILD 9029 BRADLEY BLVD POTOMAC, MD 20854	NONE	PC	GENERAL SUPPORT GRANT	30,000
NEW ALTERNATIVES INC 37 WEST 26TH STREET 6TH FLOR NEW YORK, NY 10010	NONE	PC	GENERAL OPERATING FUND TO SUPPORT THE CARE AND ADOPTION OF MEDICALLY FRAGILE CHILDREN.	2,500
Total ▶ 3a				345,929

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ALL ABOUT YOU ADOPTIONS PO BOX 90542 SIOUX FALLS, SD 57109	NONE	PC	GENERAL SUPPORT GRANT	15,000
DVS LEGAL SERVICES 51 MONROE PLACE SUITE 1406 ROCKVILLE, MD 20850	NONE	PC	GENERAL OPERATING FUND TO SUPPORT LEGAL SERVICES FOR DOMESTIC VIOLENCE SURVIVORS AND FAMILIES IN NEED.	30,000
ST BARTHOLOMEW CATHOLIC CHURCH 6902 RIVER RD BETHESDA, MD 20817	NONE	PC	GENERAL SUPPORT GRANT	50,659
Total ▶ 3a				345,929

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
THE ACADEMY OF THE HOLY CROSS 4920 STRATHMORE AVENUE KENSINGTON, MD 20895	NONE	PC	GENERAL SUPPORT GRANT	44,715
JUST TRYAN ITPO BOX 34589 BETHESDA, MD 20827	NONE	PC	GENERAL OPERATING FUND TO SUPPORT FAMILIES FIGHTING CHILDHOOD CANCER.	6,000
CATHOLIC CHARIT OF THE ARCHDIOCESE OF WASHINGTON 924 G ST NW WASHINGTON, DC 20001	NONE	PC	GENERAL OPERATING FUND TO SUPPORT FAMILIES, CHILDREN AND ADULTS IN NEED OF HELP AND HOPE.	25,000
Total ▶ 3a				345,929

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
CATHOLIC CHARIT OF THE ARCHDIOCESE OF WASHINGTON 924 G ST NW WASHINGTON, DC 20001	NONE	PC	GENERAL OPERATING FUND TO SUPPORT FAMILIES, CHILDREN AND ADULTS IN NEED OF HELP AND HOPE.	98,055
MARRIOTT FOUNDATION FOR PEOPLE WITH DISABILITIES 10400 FERNWOOD RD BETHESDA, MD 20817	NONE	PC	TO TRANSFORM THE LIVES OF YOUNG ADULTS WITH DISABILTIIES THROUGH THE POWER OF A JOB.	2,000
SIOUX FALLS YMCA CAMP LEIF ERICSON 2301 E 26TH ST SIOUX FALLS, SD 57103	NONE	PC	GENERAL OPERATING FUND	1,500
Total ▶ 3a				345,929

TY 2019 Accounting Fees Schedule**Name:** WILLIAM J SHAW FAMILY FOUNDATION**EIN:** 52-2177437

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BDO	5,000			5,000

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2019 Depreciation Schedule

Name: WILLIAM J SHAW FAMILY FOUNDATION

EIN: 52-2177437

TY 2019 Investments - Other Schedule

Name: WILLIAM J SHAW FAMILY FOUNDATION

EIN: 52-2177437

Investments Other Schedule 2

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
ALT ASSETS & OTHER INVESTMENTS	AT COST	273,855	298,738
INVESTMENTS & EQUITIES	AT COST	1,531,635	3,467,160

TY 2019 Other Decreases Schedule

Name: WILLIAM J SHAW FAMILY FOUNDATION

EIN: 52-2177437

Description	Amount
TIMING DIFFERENCE	2,014

TY 2019 Other Expenses Schedule**Name:** WILLIAM J SHAW FAMILY FOUNDATION**EIN:** 52-2177437**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK FEES	30	30		
MISC	2,125			

TY 2019 Other Increases Schedule

Name: WILLIAM J SHAW FAMILY FOUNDATION

EIN: 52-2177437

Description	Amount
BOOK TO TAX DIFFERENCE	153,730

TY 2019 Other Professional Fees Schedule**Name:** WILLIAM J SHAW FAMILY FOUNDATION**EIN:** 52-2177437

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	10,530	10,530		

TY 2019 Taxes Schedule**Name:** WILLIAM J SHAW FAMILY FOUNDATION**EIN:** 52-2177437

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	500	500		



2019 Informational Tax Reporting Statement

THE WILLIAM J SHAW FAMILY FDTN Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

Note: This information is not reported to the IRS. It may assist you in tax return preparation.

2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
AECOM COM, ACM, 00766T100											
Sale	19,000	08/28/18	03/29/19	567.35	639.35			-72.00			
ALLIANCEBERNSTEIN GBL HGH INCM COM, AWF, 01879R106											
Sale	24,000	02/14/18	01/23/19	263.57	287.92			-24.35			
Sale	78,000	02/14/18	01/24/19	855.34	935.74			-80.40			
Sale	49,000	05/03/18	01/24/19	537.33	575.16			-37.83			
Sale	67,000	06/07/18	01/24/19	734.72	779.65			-44.93			
Sale	5,000	07/10/19	07/12/19	59.19	60.05			-0.86			
Subtotals				2,450.15	2,638.52						
ALLIANCEBERNSTEIN NATL MUNI IN COM, AFB, 01864U106											
Sale	2,000	02/13/19	04/25/19	25.81	25.43			0.38			
Sale	105,000	02/13/19	07/12/19	1,420.62	1,334.64			85.98			
Sale	25,000	07/10/19	07/12/19	338.24	338.18			0.06			
Sale	1,000	02/13/19	08/28/19	13.95	12.71			1.24			
Subtotals				1,798.62	1,710.96						
ANIXTER INTERNATIONAL INC COM USD1, AXE, 035290105											
Sale	5,000	08/28/18	01/30/19	300.04	360.50			-60.46			
Sale	4,000	08/28/18	02/27/19	237.01	288.40			-51.39			
Subtotals				537.05	648.90						
APOLLO SENIOR FLOATING RATE FD INCCOM US, AFT, 037636107											
Sale	54,000	11/15/18	01/23/19	781.03	831.21			-50.18			
Sale	18,000	11/15/18	01/24/19	259.31	277.07			-17.76			

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement is based on IRS information reporting requirements as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.



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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax	16 State Tax Withheld
APOLLO SENIOR FLOATING RATE FD INCCOM US, AFT, 037636107											
Sale	36.000	12/12/18	01/24/19	518.63	534.48			-15.85			
Sale	29.000	12/13/18	01/24/19	417.78	429.53			-11.75			
Sale	12.000	05/30/19	07/11/19	181.91	178.27			3.64			
Subtotals				2,158.66	2,250.56						
APOLLO TACTICAL INCOME FD INC COM, AIF, 037638103											
Sale	32.000	04/04/18	02/13/19	461.43	504.58			-43.15			
ARES DYNAMIC CR ALLOCATION FD INC COM US, ARDC, 04014F102											
Sale	23.000	07/10/19	07/12/19	352.58	351.97			0.61			
ARRAY BIOPHARMA INC, 04269X105											
Sale	17.000	08/28/18	06/18/19	789.29	255.85			533.44			
ARRAY BIOPHARMA INC TENDER FROM CUSIP 04, 042992669											
Tender	45.000	08/28/18	07/30/19	2,160.00	677.25			1,482.75			
ARRIS INTERNATIONAL LTD ORD GBP0.01 *CAS, G0551A103											
Merger	36.000	08/28/18	04/05/19	1,143.00	916.56			226.44			
ATLAS AIR WORLDWIDE HOLDINGS INC COM NEW, AAWW, 049164205											
Sale	5.000	08/28/18	07/11/19	205.14	310.25		84.09	-105.11			
BLACKROCK DEBT STRATFD INC COM NEW, DSU, 09255R202											
Sale	8.000	01/24/18	01/24/19	82.14	93.84			-11.70			
Sale	0.167	04/26/18	02/13/19	1.76	1.91			-0.15			
Sale	239.000	04/26/18	02/13/19	2,526.19	2,727.68			-201.49			

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax	16 State Tax Withheld
BLACKROCK DEBT STRATED INC COM NEW, DSU, 09255R202											
Sale	1.000	04/26/18	04/25/19	10.74	11.41			-0.67			
Subtotals				2,620.83	2,834.84						
BLACKROCK FLOATING RATE INCOME STRATEGIE, FRA, 09255X100											
Sale	53.000	11/15/18	01/23/19	659.16	691.95			-32.79			
Sale	21.000	11/15/18	01/24/19	259.97	274.17			-14.20			
Sale	57.000	11/16/18	01/24/19	705.66	742.78			-37.12			
Subtotals				1,624.79	1,708.90						
BLACKROCK INVT QUALITY MUN TR COM, BKN, 09247D105											
Sale	25.000	02/13/19	07/10/19	376.78	346.75			30.03			
BLACKROCK LTD DURATION INCOME TR COM SHS, BLW, 09249W101											
Sale	22.000	09/26/18	04/25/19	327.25	326.16			1.09			
Sale	19.000	09/27/18	04/25/19	282.62	281.84			0.78			
Sale	14.000	05/30/19	07/11/19	213.07	208.81			4.26			
Sale	4.000	05/30/19	10/02/19	61.80	59.66			2.14			
Sale	8.000	07/12/19	10/02/19	123.62	120.96			2.66			
Sale	15.000	05/30/19	10/03/19	231.44	223.73			7.71			
Subtotals				1,239.80	1,221.16						
BLACKROCK MULTI-SECTOR INCOME TR COM USD, BIT, 09258A107											
Sale	7.000	07/12/19	08/28/19	119.55	120.66			-1.11			

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Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld
BLACKROCK MUNI INTER DURATION FD INC COM, MUJ, 09253X102										
Sale	3,000	02/13/19	04/25/19	41.44	40.04			1.40		
Sale	205,000	02/13/19	07/12/19	2,898.64	2,735.87			162.77		
Sale	24,000	07/10/19	07/12/19	339.35	339.82			-0.47		
Sale	1,000	02/13/19	08/28/19	14.69	13.35			1.34		
Subtotals				3,294.12	3,129.08					
BLACKROCK MUNICIPAL INCOME QUALITY TRUST, BYM, 092479104										
Sale	23,000	02/13/19	07/12/19	320.61	305.21			15.40		
Sale	22,000	07/10/19	07/12/19	306.67	305.20			1.47		
Sale	1,000	02/13/19	08/28/19	14.16	13.27			0.89		
Subtotals				641.44	623.68					
BLACKROCK MUNICIPAL 2030 TARGET TERM TRU, BTT, 09257P105										
Sale	1,000	02/13/19	07/12/19	23.17	22.01			1.16		
Sale	16,000	07/10/19	07/12/19	370.87	371.25			-0.38		
Subtotals				394.04	393.26					
BLACKROCK MUNIENHANCED FD INC COM, MEN, 09253Y100										
Sale	34,000	02/13/19	07/10/19	377.00	359.38			17.62		
BLACKROCK MUNIHOLDINGS INVESTMENT QUALIT, MFL, 09254P108										
Sale	18,000	03/20/19	07/11/19	239.39	231.57			7.82		

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2019 Informational Tax Reporting Statement

THE WILLIAM J SHAW FAMILY FDTN Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

Note: This information is not reported to the IRS. It may assist you in tax return preparation.

2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
BLACKROCK MUNIHOLDINGS QUALITYFD II INC, MUE, 09254C107											
Sale	24.000	07/10/19	07/12/19	302.87	301.82			1.05			
Sale	1.000	07/10/19	11/06/19	12.56	12.58			-0.02			
Subtotals				315.43	314.40						
BLACKROCK MUNIHOLDINGS QUALITYFD INC COM, MUS, 09254A101											
Sale	19.000	02/13/19	07/11/19	236.54	226.10			10.44			
BLACKROCK MUNIYIELD QLTY FD 3 COM, MYI, 09254E103											
Sale	67.000	02/13/19	07/11/19	886.39	841.52			44.87			
Sale	32.000	03/20/19	07/11/19	423.35	407.49			15.86			
Sale	36.000	04/25/19	07/11/19	476.27	458.19			18.08			
Subtotals				1,786.01	1,707.20						
BLACKROCK MUNIYIELD QUALITY FD II INC CO, MQT, 09254G108											
Sale	27.000	07/10/19	07/12/19	341.00	339.27			1.73			
BLACKROCK MUNIYIELD QUALITY FD INC COM, MQY, 09254F100											
Sale	23.000	04/25/19	07/12/19	335.56	319.26			16.30			
Sale	24.000	07/10/19	07/12/19	350.15	350.13			0.02			
Subtotals				685.71	669.39						
BLACKSTONE GSO STRATEGIC CR FD COM SHS B, BGB, 09257R101											
Sale	41.000	11/15/18	01/23/19	571.46	618.65			-47.19			
Sale	34.000	12/13/18	01/23/19	473.89	487.48			-13.59			
Sale	87.000	12/12/18	01/24/19	1,206.96	1,244.97			-38.01			

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2019 Informational Tax Reporting Statement

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
BLACKSTONE GSO STRATEGIC CR FD COM SHS B, BGB, 09257R101											
Sale	25,000	12/13/18	01/24/19	346.82	358.44			-11.62			
Subtotals				2,599.13	2,709.54						
BLOOMIN BRANDS INC COM USD0.01, BLMN, 094235108											
Sale	13,000	08/28/18	07/11/19	227.49	250.38		12.33	-22.89			
Sale	5,000	02/13/19	07/11/19	87.49	96.65		9.16	-9.16			
Subtotals				314.98	347.03		21.49				
BMC STK HLDGS INC COM, BMCH, 05591B109											
Sale	12,000	08/28/18	07/11/19	257.75	270.00		10.21	-12.25			
BNY MELLON MUN BD INFRASTRUCTU COM SHS, DMB, 09662W109											
Sale	27,000	02/13/19	07/10/19	362.12	343.71			18.41			
Sale	49,000	02/13/19	07/11/19	658.05	623.77			34.28			
Sale	15,000	02/13/19	08/28/19	213.94	190.95			22.99			
Sale	8,000	02/13/19	08/29/19	113.34	101.84			11.50			
Sale	9,000	02/13/19	10/02/19	129.47	114.57			14.90			
Sale	13,000	02/13/19	10/03/19	186.76	165.49			21.27			
Sale	20,000	02/13/19	11/06/19	283.68	254.60			29.08			
Sale	21,000	02/13/19	12/11/19	300.60	267.33			33.27			
Subtotals				2,247.96	2,062.26						
BOOZ ALLEN HAMILTON HLDG CORP CL A, BAH, 099502106											
Sale	5,000	08/28/18	05/16/19	306.24	253.90			52.34			
Sale	4,000	08/28/18	07/11/19	272.99	203.12			69.87			

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Short-term transactions

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BOOZ ALLEN HAMILTON HLDG CORP CL A, BAH, 099502106											
Sale	5.000	08/28/18	07/30/19	348.14	253.90			94.24			
Sale	2.000	07/12/19	07/30/19	139.25	137.64			1.61			
Subtotals				1,066.62	848.56						
CAMDEN PROPERTY TRUST SBI USD0.01, CPT, 133131102											
Sale	2.000	07/12/19	09/05/19	219.63	217.42			2.21			
CDW CORP COM USD0.01, CDW, 12514G108											
Sale	4.000	08/28/18	01/03/19	310.79	352.48			-41.69			
Sale	1.000	08/28/18	01/08/19	80.26	88.12			-7.86			
Subtotals				391.05	440.60						
CERENICE INC COM, CRNC, 156727109											
Cash In Lieu	0.208	10/11/18	10/04/19	2.90	3.18			-0.28			
Cash In Lieu	0.195	11/13/18	10/04/19	2.71	3.02			-0.31			
Cash In Lieu	0.250	01/02/19	10/04/19	3.48	2.97			0.51			
Cash In Lieu	0.222	07/12/19	10/04/19	3.09	3.34			-0.25			
Subtotals				12.18	12.51						
COMERICA INC, CMA, 200340107											
Sale	3.000	08/28/18	02/25/19	261.35	296.16			-34.81			
COUSINS PPTYS INC COM NEW, CUZ, 222795502											
Cash In Lieu	0.131	02/13/19	06/17/19	5.04	4.89			0.15			
Cash In Lieu	0.369	03/01/19	06/17/19	14.20	13.84			0.36			
Subtotals				19.24	18.73						

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Short-term transactions

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CYPRESS SEMICONDUCTRCORP, CY, 232806109											
Sale	14.000	08/28/18	07/09/19	311.91	238.42			73.49			
DREYFUS MUN BD INFRASTRUCTURE FD IN, 26203D101											
Sale	17.000	02/13/19	05/30/19	228.04	216.41			11.63			
DREYFUS MUN INCOME INC COM, 26201R102											
Sale	46.000	02/13/19	04/25/19	380.30	369.84			10.46			
Sale	46.000	02/13/19	05/30/19	389.31	369.84			19.47			
Subtotals				769.61	739.68						
DREYFUS STRATEGIC MUNS INC, 261932107											
Sale	45.000	02/13/19	03/20/19	352.70	348.30			4.40			
DWS MUN INCOME TR NEW COM, KTF, 233368109											
Sale	9.000	02/13/19	07/11/19	102.59	97.47			5.12			
Sale	31.000	03/20/19	07/11/19	353.39	337.53			15.86			
Subtotals				455.98	435.00						
EATON VANCE FLOATINGRATE INCOME TR, EFT, 278279104											
Sale	41.000	11/15/18	01/23/19	539.05	569.01			-29.96			
Sale	23.000	11/15/18	01/24/19	300.74	319.20			-18.46			
Sale	37.000	11/16/18	01/24/19	483.80	513.29			-29.49			
Subtotals				1,323.59	1,401.50						

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EATON VANCE LTD DURATION INCOME FD, EVV, 27828H105										
Sale	42.000	07/18/18	02/13/19	525.83	528.47			-2.64		
Sale	50.000	08/23/18	02/13/19	625.99	638.62			-12.63		
Sale	62.000	04/25/19	07/12/19	782.27	786.87			-4.60		
Sale	1.000	05/30/19	07/12/19	12.61	12.60			0.01		
Sale	73.000	07/10/19	07/12/19	921.06	923.34			-2.28		
Subtotals				2,867.76	2,889.90					
EATON VANCE MUN INCOME TR SH BEN INT, EVN, 27826U108										
Sale	2.000	03/20/19	07/12/19	24.93	23.93			1.00		
Sale	27.000	07/10/19	07/12/19	336.68	335.85			0.83		
Sale	4.000	02/13/19	12/11/19	51.41	47.12			4.29		
Sale	35.000	03/20/19	12/11/19	449.92	418.75			31.17		
Subtotals				862.94	825.65					
EATON VANCE MUNICIPAL BOND FD, EIM, 27827X101										
Sale	73.000	02/13/19	04/25/19	898.20	859.68			38.52		
Sale	94.000	05/24/19	07/12/19	1,177.57	1,167.03			10.54		
Sale	76.000	07/10/19	07/12/19	952.09	945.15			6.94		
Sale	2.000	05/24/19	08/28/19	26.18	24.83			1.35		
Sale	42.000	05/24/19	12/11/19	544.94	521.44			23.50		
Subtotals				3,598.98	3,518.13					
EATON VANCE MUNICIPAL BOND FD TENDER FRO, 278993787										
Tender	252.000	02/13/19	05/21/19	3,370.25	2,967.68			402.57		

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

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EATON VANCE SR FLTNGRTE TR COM, EFR, 27828Q105										
Sale	11.000	07/10/19	07/12/19	144.75	145.16			-0.41		
EATON VANCE SR INCOME TR SH BEN INT, EVF, 27826S103										
Sale	44.000	11/15/18	01/23/19	265.20	276.63			-11.43		
Sale	67.000	11/15/18	01/24/19	402.08	421.24			-19.16		
Sale	8.000	07/10/19	07/12/19	50.31	50.29			0.02		
Subtotals				717.59	748.16					
ENERSYS, ENS, 29275Y102										
Sale	3.000	08/28/18	01/09/19	238.88	246.90			-8.02		
ESSENT GROUP LTD COMUSD0.015, ESNT, G3198U102										
Sale	4.000	08/28/18	07/11/19	195.75	170.40			25.35		
FEDERATED PREMIER MUNI INC, FMN, 31423P108										
Sale	18.000	02/13/19	07/11/19	248.57	236.52			12.05		
FINISAR CORP COM NEW, 31787A507										
Sale	18.000	08/28/18	02/22/19	435.41	369.54			65.87		
FIRST AMERICAN FINANCIAL CORP COM USD0.0, FAF, 31847R102										
Sale	5.000	08/28/18	07/29/19	289.64	282.30			7.34		
FIRST TR HIGH INCOMELONG SHORT FD DBI US, FSD, 33738E109										
Sale	18.000	03/20/19	07/11/19	269.81	259.35			10.46		

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FIRST TR SR FLG RTE INCM FD II COM, FCT, 33733U108										
Sale	30.000	11/15/18	01/23/19	351.38	367.75			-16.37		
Sale	45.000	11/15/18	01/24/19	526.11	551.62			-25.51		
Subtotals				877.49	919.37					
GENPACT LIMITED COM STK USD0.01, G, G3922B107										
Sale	8.000	08/28/18	03/01/19	268.31	242.24			26.07		
Sale	8.000	08/28/18	07/11/19	306.79	242.24			64.55		
Subtotals				575.10	484.48					
GRANITE CONSTR INC, GVA, 387328107										
Sale	5.000	08/28/18	07/11/19	214.99	225.75		8.61	-10.76		
Sale	6.000	08/28/18	08/09/19	170.75	270.90			-100.15		
Sale	4.000	08/29/18	08/09/19	113.83	182.13			-68.30		
Subtotals				499.57	678.78		8.61			
HELIX ENERGY SOLUTIONS GROUP INC, HLX, 42330P107										
Sale	31.000	08/28/18	03/04/19	226.52	279.62			-53.10		
HOLLYFRONTIER CORPORATION COM USD0.01, HFC, 436106108										
Sale	5.000	08/28/18	02/08/19	271.79	369.90			-98.11		
Sale	5.000	08/28/18	02/13/19	274.13	369.90			-95.77		
Subtotals				545.92	739.80					

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HUNTINGTON BANCSHARES INC COM USD0.01, HBAN, 446150104											
Sale	19,000	08/28/18	05/20/19	253.07	309.13			-56.06			
Sale	14,000	08/28/18	06/27/19	189.27	227.78			-38.51			
Subtotals				442.34	536.91						
ICON PLC SHS, ICLR, G4705A100											
Sale	2,000	08/28/18	01/08/19	263.39	291.46			-28.07			
II VI INC COM, IIVI, 902104108											
Cash In Lieu	0.657	09/27/19	09/27/19	23.58	23.86			-0.28			
INGREDION INC COM USD0.01, INGR, 457187102											
Sale	1,000	08/28/18	07/11/19	80.33	101.36		21.03	-21.03			
Sale	3,000	09/27/18	07/11/19	241.01	313.65		48.43	-72.64			
Sale	2,000	08/28/18	07/18/19	161.23	202.72			-41.49			
Sale	1,000	08/29/18	07/18/19	80.62	102.83			-22.21			
Sale	2,000	09/28/18	07/18/19	161.24	212.03			-50.79			
Sale	1,000	02/13/19	07/18/19	80.61	93.09			-12.48			
Subtotals				805.04	1,025.68		69.46				
INTEGRATED DEVICE TECH INC, 458118106											
Sale	7,000	08/28/18	03/20/19	337.11	264.18			72.93			
Merger	12,000	08/28/18	04/01/19	588.00	452.88			135.12			
Subtotals				925.11	717.06						

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INVESCO ADVANTAGE MUNICIPAL IN SH BEN IN, VKI, 46132E103										
Sale	33.000	03/20/19	07/11/19	365.63	351.76			13.87		
Sale	10.000	04/25/19	07/11/19	110.79	106.07			4.72		
Sale	22.000	04/25/19	08/28/19	252.79	233.34			19.45		
Sale	11.000	02/13/19	08/29/19	126.18	116.49			9.69		
Subtotals				855.39	807.66					
INVESCO DYNAMIC CREDIT OPPORTUN FD COM U, VTA, 46132R104										
Sale	16.000	01/24/18	01/24/19	169.47	190.04			-20.57		
Sale	58.000	06/07/18	01/24/19	614.34	684.84			-70.50		
Sale	69.000	06/08/18	01/24/19	730.85	816.59			-85.74		
Sale	53.000	11/15/18	02/13/19	569.74	593.35			-23.61		
Sale	34.000	11/15/18	07/11/19	380.79	380.64			0.15		
Subtotals				2,465.19	2,665.46					
INVESCO DYNAMIC CREDIT OPPORTUN FD COM U, 461996589										
Tender	9.536	11/06/19	12/13/19	115.86	105.99			9.87		
INVESCO MUN OPPORTUNITY TR COM, VMO, 46132C107										
Sale	60.000	02/13/19	07/11/19	740.98	709.80			31.18		
Sale	17.000	02/13/19	08/28/19	217.04	201.11			15.93		
Sale	8.000	02/13/19	08/29/19	101.97	94.64			7.33		
Subtotals				1,059.99	1,005.55					

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INVESCO MUN TR COM, VKQ, 46131J103											
Sale	28.000	03/20/19	05/30/19	343.90	336.37			7.53			
Sale	1.000	04/25/19	05/30/19	12.27	11.95			0.32			
Sale	1.000	04/25/19	07/10/19	12.43	11.95			0.48			
Sale	83.000	02/13/19	07/11/19	1,033.32	978.57			54.75			
Sale	34.000	04/25/19	07/11/19	423.29	406.17			17.12			
Sale	28.000	02/13/19	08/28/19	357.05	330.12			26.93			
Sale	14.000	02/13/19	08/29/19	178.17	165.06			13.11			
Subtotals				2,360.43	2,240.19						
INVESCO QUALITY MUN INCOME TR COM, IQI, 46133G107											
Sale	52.000	02/13/19	07/11/19	649.46	616.72			32.74			
Sale	27.000	03/20/19	07/11/19	337.22	325.22			12.00			
Sale	32.000	04/25/19	07/11/19	399.67	386.40			13.27			
Sale	16.000	02/13/19	08/28/19	206.29	189.76			16.53			
Sale	8.000	02/13/19	08/29/19	103.07	94.88			8.19			
Subtotals				1,695.71	1,612.98						
INVESCO SR INCOME TR COM, VVR, 46131H107											
Sale	233.000	11/15/18	01/23/19	939.23	980.37			-41.14			
Sale	52.000	11/15/18	01/24/19	210.10	218.80			-8.70			
Sale	158.000	11/16/18	01/24/19	638.40	661.80			-23.40			
Sale	141.000	12/12/18	01/24/19	569.71	577.56			-7.85			
Subtotals				2,357.44	2,438.53						

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

Note: This information is not reported to the IRS. It may assist you in tax return preparation.

2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
INVESCO TR INVT GRADE MUNS COM, VGM, 46131M106											
Sale	23.000	02/13/19	07/11/19	291.63	279.45			12.18			
Sale	33.000	03/20/19	07/11/19	418.43	406.09			12.34			
Sale	41.000	04/25/19	07/11/19	519.86	503.34			16.52			
Sale	32.000	02/13/19	08/28/19	421.12	388.80			32.32			
Sale	15.000	02/13/19	08/29/19	196.55	182.25			14.30			
Subtotals				1,847.59	1,759.93						
INVESCO VALUE MUN INCOME TR COM, IIM, 46132P108											
Sale	47.000	02/13/19	03/20/19	688.98	678.63			10.35			
Sale	38.000	02/13/19	07/10/19	577.83	548.68			29.15			
Sale	162.000	02/13/19	07/11/19	2,467.20	2,339.12			128.08			
Sale	30.000	02/13/19	08/28/19	469.08	433.17			35.91			
Sale	15.000	02/13/19	08/29/19	233.80	216.59			17.21			
Sale	36.000	02/13/19	11/06/19	555.52	519.80			35.72			
Sale	33.000	02/13/19	12/11/19	509.29	476.49			32.80			
Subtotals				5,501.70	5,212.48						
MEDICINES CO COM ISIN #US5846881051 SEDO, MDCO, 584688105											
Sale	6.000	08/28/18	07/11/19	230.63	236.40		4.81	-5.77			
MELLANOX TECHNOLOGIES LTD COMSTK ILS0.01, MLNX, M51363113											
Sale	3.000	08/28/18	01/08/19	256.34	247.80			8.54			
Sale	1.000	08/28/18	01/11/19	85.69	82.60			3.09			
Subtotals				342.03	330.40						

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Short-term transactions

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MFS MUN INCOME TR SHBEN INT, MFM, 552738106											
Sale	48,000	02/13/19	04/25/19	324.70	319.68			5.02			
Sale	42,000	02/13/19	05/30/19	289.25	279.72			9.53			
Sale	43,000	02/13/19	07/10/19	300.04	286.38			13.66			
Subtotals				913.99	885.78						
MICROCHIP TECHNOLOGYCOM USD0.001, MCHP, 595017104											
Sale	3,000	08/28/18	02/07/19	264.20	262.50			1.70			
MRC GLOBAL INC COM USD0.01, MRC, 55345K103											
Sale	14,000	08/28/18	07/11/19	230.15	283.22		49.28	-53.07			
NEUBERGER BERMAN HIGH YIELD STRATEGIES F, NHS, 64128C106											
Sale	4,000	01/24/18	01/24/19	41.68	46.20			-4.52			
NEUBERGER BERMAN MUNI FD INC COM, NBH, 64124P101											
Sale	22,000	02/13/19	04/25/19	319.81	303.38			16.43			
Sale	24,000	02/13/19	07/10/19	350.30	330.96			19.34			
Sale	16,000	02/13/19	07/11/19	235.35	220.64			14.71			
Sale	4,000	02/13/19	08/28/19	62.42	55.16			7.26			
Sale	8,000	07/12/19	08/28/19	124.84	118.72			6.12			
Sale	7,000	02/13/19	08/29/19	108.78	96.53			12.25			
Sale	5,000	02/13/19	10/02/19	77.43	68.95			8.48			
Sale	9,000	02/13/19	10/03/19	138.64	124.11			14.53			
Subtotals				1,417.57	1,318.45						

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Short-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
NUVEEN AMT FREE QLTYMUN INCOME COM, NEA, 670657105											
Sale	5,000	02/13/19	04/25/19	65.59	65.44			0.15			
Sale	340,000	02/13/19	07/12/19	4,732.70	4,449.72			282.98			
Sale	50,000	07/10/19	07/12/19	695.98	695.65			0.33			
Sale	3,000	02/13/19	08/28/19	43.07	39.26			3.81			
Sale	2,000	02/13/19	11/06/19	28.48	26.17			2.31			
Sale	1,000	02/13/19	12/11/19	14.30	13.09			1.21			
Subtotals				5,580.12	5,289.33						
NUVEEN CREDIT STRATEGIES INCOME FUND, JOC, 67073D102											
Sale	241,000	02/14/18	02/13/19	1,865.31	1,925.59			-60.28			
Sale	92,000	04/04/18	02/13/19	712.07	727.46			-15.39			
Sale	228,000	05/03/18	02/13/19	1,764.69	1,835.74			-71.05			
Sale	94,000	06/07/18	02/13/19	727.55	756.04			-28.49			
Sale	134,000	06/08/18	02/13/19	1,037.14	1,079.98			-42.84			
Sale	143,000	09/26/18	02/13/19	1,106.80	1,133.12			-26.32			
Sale	136,000	09/27/18	02/13/19	1,052.62	1,079.95			-27.33			
Sale	91,000	09/28/18	02/13/19	704.33	720.79			-16.46			
Sale	119,000	07/18/18	07/11/19	949.60	907.59			42.01			
Subtotals				9,920.11	10,166.26						
NUVEEN QUALITY MUNCPINCOME FD COM, NAD, 67066V101											
Sale	5,000	02/13/19	04/25/19	66.70	66.41			0.29			
Sale	312,000	02/13/19	07/12/19	4,414.70	4,144.05			270.65			
Sale	74,000	07/10/19	07/12/19	1,047.07	1,043.76			3.31			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
NUVEEN QUALITY MUNICIPAL BOND FUND, NAD, 67066V101											
Sale	3,000	02/13/19	08/28/19	43.61	39.85			3.76			
Sale	1,000	02/13/19	11/06/19	14.45	13.28			1.17			
Sale	1,000	02/13/19	12/11/19	14.63	13.28			1.35			
Subtotals				5,601.16	5,320.63						
OLD REPUBLIC INTL CORP, ORI, 680223104											
Sale	6,000	07/12/19	12/09/19	136.49	139.20			-2.71			
OSHKOSH CORP COM, OSK, 688239201											
Sale	4,000	08/28/18	03/29/19	298.20	285.24			12.96			
Sale	4,000	08/28/18	06/21/19	328.91	285.24			43.67			
Sale	2,000	08/28/18	06/27/19	165.05	142.62			22.43			
Subtotals				792.16	713.10						
PGIM GLOBAL HIGH YIELD FD INC COM, GHY, 69346J106											
Sale	1,000	04/25/19	07/10/19	14.61	14.14			0.47			
Sale	27,000	09/26/18	07/11/19	392.03	373.43			18.60			
Sale	65,000	09/27/18	07/11/19	943.78	901.04			42.74			
Sale	39,000	04/25/19	07/11/19	566.26	551.57			14.69			
Sale	36,000	05/30/19	07/11/19	522.70	501.66			21.04			
Sale	1,000	08/29/19	12/11/19	14.66	14.23			0.43			
Sale	154,000	02/14/18	02/13/19	2,148.27	2,155.93			-7.66			
Sale	100,000	04/04/18	02/13/19	1,394.98	1,382.76			12.22			
Sale	17,000	06/08/18	02/13/19	237.14	235.20			1.94			

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Short-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax	16 State Tax Withheld
PGIM GLOBAL HIGH YIELD FD INC COM, GHY, 69346J106											
Sale	56.000	09/28/18	02/13/19	781.18	778.02			3.16			
Subtotals				7,015.61	6,907.98						
PGIM HIGH YIELD BOND FUND INC COM, ISD, 69346H100											
Sale	8.000	07/18/18	07/11/19	118.15	112.00			6.15			
Sale	24.000	11/02/18	07/11/19	354.47	328.01			26.46			
Sale	38.000	03/20/19	07/11/19	561.24	542.89			18.35			
Sale	31.000	05/30/19	07/11/19	457.86	440.85			17.01			
Sale	123.000	02/14/18	02/13/19	1,721.97	1,783.89		61.92	-61.92			
Sale	65.000	04/04/18	02/13/19	909.98	920.51		10.53	-10.53			
Sale	43.000	05/03/18	02/13/19	601.99	608.45		2.10	-6.46			
Sale	81.000	06/07/18	02/13/19	1,133.98	1,146.30			-12.32			
Sale	41.000	06/08/18	02/13/19	573.99	579.65			-5.66			
Sale	17.000	07/18/18	02/13/19	237.99	237.99			0.00			
Sale	26.000	07/19/18	02/13/19	363.99	364.59			-0.60			
Sale	45.000	08/23/18	02/13/19	629.99	637.78			-7.79			
Sale	41.000	09/26/18	02/13/19	573.99	580.95			-6.96			
Sale	16.000	09/27/18	02/13/19	223.99	227.17			-3.18			
Sale	20.000	09/28/18	02/13/19	279.99	284.41			-4.42			
Subtotals				8,743.57	8,795.44		74.55				
PIONEER FLOATING RATE TRUST, PHD, 72369J102											
Sale	57.000	07/18/18	01/23/19	585.77	631.69			-45.92			
Sale	21.000	08/23/18	01/23/19	215.80	231.36			-15.56			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

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PIONEER FLOATING RATE TRUST, PHD, 72369J102											
Sale	25.000	08/24/18	01/23/19	256.91	275.84			-18.93			
Sale	5.000	08/23/18	01/24/19	51.17	55.08			-3.91			
Sale	44.000	11/15/18	01/24/19	450.36	468.15			-17.79			
Sale	40.000	11/16/18	01/24/19	409.42	425.39			-15.97			
Sale	67.000	12/12/18	01/24/19	685.78	691.44			-5.66			
Subtotals				2,655.21	2,778.95						
PIONEER MUNICIPAL HIGH INCOME ADVANTAGE, MAV, 723762100											
Sale	18.000	03/20/19	07/11/19	193.31	189.95			3.36			
PIONEER MUNICIPAL HIGH INCOME TRUST, MHI, 723763108											
Sale	32.000	02/13/19	03/20/19	372.76	360.96			11.80			
Sale	28.000	02/13/19	04/25/19	330.87	315.84			15.03			
Sale	30.000	02/13/19	05/30/19	361.38	338.40			22.98			
Sale	32.000	02/13/19	07/10/19	398.31	360.96			37.35			
Subtotals				1,463.32	1,376.16						
PNM RESOURCES INC, PNM, 69349H107											
Sale	4.000	08/28/18	07/11/19	201.59	155.60			45.99			
PUTNAM MUN OPPORTUNITIES TR SH BEN INT, PMO, 746922103											
Sale	27.000	02/13/19	04/25/19	329.31	321.57			7.74			
Sale	27.000	02/13/19	05/30/19	334.16	321.57			12.59			
Sale	29.000	02/13/19	07/10/19	371.13	345.39			25.74			
Sale	49.000	02/13/19	07/11/19	629.63	583.59			46.04			

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PUTNAM MUN OPPORTUNITIES TR SH BEN INT, PMO, 746922103											
Sale	9,000	02/13/19	10/02/19	118.16	107.19			10.97			
Sale	18,000	02/13/19	10/03/19	236.07	214.38			21.69			
Sale	28,000	02/13/19	11/06/19	365.92	333.48			32.44			
Sale	27,000	02/13/19	12/11/19	353.84	321.57			32.27			
Subtotals				2,738.22	2,548.74						
QORVO INC COM, QORVO, 74736K101											
Sale	6,000	08/28/18	03/04/19	420.29	478.98			-58.69			
SANMINA CORPORATION COM, SANM, 801056102											
Sale	7,000	08/28/18	01/23/19	180.17	218.75			-38.58			
SAREPTA THERAPEUTICS INC COM, SRPT, 803607100											
Sale	2,000	08/28/18	07/11/19	308.47	269.46			39.01			
SCHOLASTIC CORP COM, SCHL, 807066105											
Sale	6,000	08/28/18	07/11/19	196.01	250.80		54.79	-54.79			
Sale	3,000	08/28/18	08/26/19	102.65	125.40			-22.75			
Sale	6,000	08/29/18	08/26/19	205.31	253.27			-47.96			
Subtotals				503.97	629.47		54.79				
SELECTIVE INS GROUP INC COM, SIGI, 816300107											
Sale	3,000	08/28/18	07/11/19	228.29	190.95			37.34			
SINCLAIR BROADCAST GROUP INC CL A, SBGI, 829226109											
Sale	6,000	07/25/19	11/19/19	223.61	334.08			-110.47			

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SKECHERS USA INC, SKX, 830566105											
Sale	1.000	08/28/18	07/23/19	39.79	29.76			10.03			
Sale	6.000	02/13/19	07/23/19	238.79	195.24			43.55			
Sale	4.000	07/12/19	07/23/19	159.19	136.44			22.75			
Subtotals				437.77	361.44						
SKYWEST INC, SKYW, 830879102											
Sale	3.000	08/28/18	07/11/19	181.19	193.65		12.46	-12.46			
SOTHEBYS INC COM STKUSD0.01, 835898107											
Sale	2.000	08/28/18	06/20/19	113.05	95.66			17.39			
Sale	8.000	06/18/19	06/20/19	452.23	449.68			2.55			
Sale	9.000	08/28/18	07/11/19	520.63	430.47			90.16			
Sale	6.000	07/12/19	09/04/19	342.11	348.54			-6.43			
Subtotals				1,428.02	1,324.35						
SOUTHWEST GAS HOLDINGS INC COM, SWX, 844895102											
Sale	1.000	07/12/19	10/10/19	90.35	90.55			-0.20			
SPX FLOW INC COM, FLOW, 78469X107											
Sale	8.000	08/28/18	03/15/19	271.83	386.00			-114.17			
Sale	2.000	08/28/18	03/19/19	68.39	96.50			-28.11			
Subtotals				340.22	482.50						

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SRC ENERGY INC COM, SRCI, 78470V108											
Sale	52,000	08/28/18	01/28/19	262.07	502.32			-240.25			
Sale	17,000	08/28/18	01/31/19	87.99	164.22			-76.23			
Subtotals				350.06	666.54						
STEELCASE INC CL A, SCS, 858155203											
Sale	16,000	08/28/18	05/20/19	268.63	231.20			37.43			
Sale	12,000	08/28/18	07/11/19	206.03	173.40			32.63			
Sale	12,000	07/12/19	09/05/19	189.71	210.36			-20.65			
Subtotals				664.37	614.96						
SUN CMNTYS INC, SUI, 866674104											
Sale	1,000	07/12/19	10/31/19	160.62	133.29			27.33			
TEMPLETON EMERG MKTSINCOME FD COM, TEI, 880192109											
Sale	27,000	11/01/18	01/23/19	273.81	262.12			11.69			
Sale	6,000	11/01/18	01/24/19	60.91	58.25			2.66			
Sale	30,000	11/02/18	01/24/19	304.57	290.12			14.45			
Subtotals				639.29	610.49						
TEMPLETON GLOBAL INCOME FD INC DELAWARE, GIM, 880198106											
Sale	58,000	08/24/18	02/13/19	370.03	351.80			18.23			
Sale	139,000	09/26/18	02/13/19	886.80	842.94			43.86			
Sale	152,000	01/23/19	02/13/19	969.74	956.84			12.90			
Sale	74,000	05/30/19	07/11/19	475.07	466.90			8.17			
Subtotals				2,701.64	2,618.48						

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2019 Informational Tax Reporting Statement

THE WILLIAM J SHAW FAMILY FDTN Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

Note: This information is not reported to the IRS. It may assist you in tax return preparation.

2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP Action	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax 16 State Tax Withheld
VERINT SYS INC COM, VRNT, 92343X100										
Sale	5,000	08/28/18	05/16/19	304.79	246.00			58.79		
Sale	4,000	08/28/18	07/11/19	217.91	196.80			21.11		
Subtotals				522.70	442.80					
VOYA PRIME RATE TR SH BEN INT, PPR, 92913A100										
Sale	275,000	11/15/18	01/23/19	1,284.40	1,329.24			-44.84		
Sale	27,000	11/16/18	01/23/19	126.10	130.35			-4.25		
Sale	251,000	11/16/18	01/24/19	1,167.31	1,211.81			-44.50		
Sale	131,000	12/12/18	01/24/19	609.23	616.88			-7.65		
Sale	71,000	12/13/18	01/24/19	330.19	334.89			-4.70		
Sale	34,000	07/10/19	07/12/19	161.83	162.86			-1.03		
Subtotals				3,679.06	3,786.03					
WELLCARE HEALTH PLANS INC FORMERLY WELLC, WCG, 94946T106										
Sale	1,000	08/28/18	07/11/19	286.75	303.22			-16.47		
WESTERN ASSET GLB HIINCOME FD COM, EHI, 95766B109										
Sale	69,000	02/14/18	02/13/19	642.06	664.72		22.66	-22.66		
Sale	21,000	08/28/19	11/06/19	204.88	206.03			-1.15		
Sale	9,000	08/29/19	11/06/19	87.80	88.73			-0.93		
Subtotals				934.74	959.48		22.66			
WESTERN ASSET HIGH INC II, HIX, 95766J102										
Sale	79,000	09/26/18	01/23/19	485.15	502.46			-17.31		
Sale	63,000	09/27/18	01/23/19	386.89	401.35			-14.46		

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
WESTERN ASSET HIGH INC II, HIX, 95766J102											
Sale	22,000	09/28/18	01/23/19	135.10	140.19			-5.09			
Sale	24,000	09/26/18	01/24/19	147.41	152.65			-5.24			
Sale	48,000	11/01/18	01/24/19	294.83	293.15			1.68			
Sale	40,000	11/02/18	01/24/19	245.69	245.41			0.28			
Sale	123,000	11/15/18	01/24/19	755.52	752.74			2.78			
Sale	97,000	11/16/18	01/24/19	595.81	590.12			5.69			
Sale	87,000	12/12/18	01/24/19	534.39	520.40			13.99			
Sale	23,000	12/13/18	01/24/19	141.27	137.69			3.58			
Subtotals				3,722.06	3,736.16						
WESTERN ASSET INTM MUNI FD INC COM, SBI, 958435109											
Sale	29,000	02/13/19	07/11/19	260.70	251.72			8.98			
WESTERN ASST MN PRT FD INC COM, MNP, 95766P108											
Sale	15,000	02/13/19	07/11/19	224.99	216.45			8.54			
TOTALS				141,401.56	138,596.08	0.00	412.41	6,821.22	0.00		
								-4,015.74			

Short-Term Realized Gain
Short-Term Realized Loss

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a	Description of property, Stock or Other Symbol, CUSIP										4 Federal	14 State
Action	Quantity	1b Date	1c Date	1d	1e	1f	1g	Wash	Gain/Loss	Income Tax	Withheld	16 State Tax
		Acquired	or Disposed	Proceeds	Cost or Other Basis (a)	Accrued Market Discount	Sale Loss Disallowed		(-)			Withheld
ALDER BIOPHARMACEUTICALS TENDER FROM CUS, 014991087												
Tender	32.000	08/28/18	10/24/19	576.00	566.40				9.60			
ALLIANCEBERNSTEIN GBL HGH INCM COM, AWF, 01879R106												
Sale	59.000	02/01/17	01/23/19	647.95	750.89				-102.94			
Sale	45.000	02/15/17	01/23/19	494.19	576.55				-82.36			
Subtotals				1,142.14	1,327.44							
APOLLO TACTICAL INCOME FD INC COM, AIF, 037638103												
Sale	26.000	02/01/17	02/13/19	374.91	415.19				-40.28			
Sale	199.000	02/15/17	02/13/19	2,869.54	3,164.10				-294.56			
Sale	46.000	03/01/17	02/13/19	663.31	743.82				-80.51			
Sale	38.000	03/30/17	02/13/19	547.95	619.65				-71.70			
Sale	161.000	09/05/17	02/13/19	2,321.58	2,603.49				-281.91			
Sale	81.000	09/07/17	02/13/19	1,168.00	1,318.77				-150.77			
Sale	6.000	01/24/18	02/13/19	86.51	94.53				-8.02			
Sale	1.000	01/24/18	04/25/19	14.82	15.75				-0.93			
Sale	22.000	01/12/17	07/11/19	329.33	346.28				-16.95			
Sale	43.000	01/24/18	07/11/19	643.69	677.46				-33.77			
Subtotals				9,019.64	9,999.04							
ARES DYNAMIC CR ALLOCATION FD INC COM US, ARDC, 04014F102												
Sale	35.000	02/01/17	02/13/19	521.84	550.37		28.53		-28.53			
Sale	222.000	02/15/17	02/13/19	3,309.97	3,505.80				-195.83			
Sale	10.000	03/01/17	02/13/19	149.10	162.38				-13.28			

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
ARES DYNAMIC CR ALLOCATION FD INC COM US, ARDC, 04014F102											
Sale	53.000	03/01/17	02/13/19	790.21	850.74			-60.53			
Sale	69.000	03/30/17	02/13/19	1,028.77	1,097.10			-68.33			
Sale	43.000	06/08/17	02/13/19	641.12	700.19		59.07	-59.07			
Sale	25.000	08/03/17	02/13/19	372.74	416.20			-43.46			
Sale	214.000	09/05/17	02/13/19	3,190.69	3,476.03		268.01	-285.34			
Sale	65.000	09/07/17	02/13/19	969.13	1,069.00			-99.87			
Sale	67.000	10/19/17	02/13/19	998.95	1,095.06		96.11	-96.11			
Sale	27.000	12/13/17	02/13/19	402.56	441.23		38.67	-38.67			
Sale	15.000	01/24/18	02/13/19	223.64	246.24			-22.60			
Sale	1.000	02/01/17	04/25/19	14.99	15.72			-0.73			
Sale	74.000	01/12/17	07/12/19	1,134.39	1,128.50			5.89			
Sale	1.000	01/12/17	08/28/19	14.82	15.25			-0.43			
Subtotals				13,762.92	14,769.81		490.39				
ATLAS AIR WORLDWIDE HOLDINGS INC COM NEW, AAWW, 049164205											
Sale	3.000	08/28/18	10/16/19	66.71	186.15			-119.44			
Sale	4.000	08/29/18	10/16/19	88.95	255.61			-166.66			
Subtotals				155.66	441.76						
AVNET INC COM USD1.00, AVT, 053807103											
Sale	8.000	08/28/18	10/14/19	321.90	388.96			-67.06			

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a	Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
BLACKROCK CORPORATE HIGH YIELD INC COM S, HYT, 09255P107												
Sale	45,000	08/03/17	01/23/19		440.21	513.25			-73.04			
Sale	87,000	08/04/17	01/23/19		851.07	990.07			-139.00			
Sale	160,000	09/05/17	01/23/19		1,565.19	1,787.55			-222.36			
Sale	31,000	10/19/17	01/23/19		303.25	350.30			-47.05			
Sale	237,000	09/05/17	01/24/19		2,315.69	2,647.81			-332.12			
Sale	70,000	02/01/17	01/25/19		684.25	773.43			-89.18			
Sale	124,000	02/15/17	01/25/19		1,212.10	1,368.91			-156.81			
Sale	46,000	06/08/17	01/25/19		449.65	517.16			-67.51			
Sale	9,000	09/05/17	01/25/19		87.97	100.55			-12.58			
Sale	55,000	01/12/17	02/13/19		560.99	602.25			-41.26			
Sale	404,000	02/15/17	02/13/19		4,120.74	4,460.00			-339.26			
Sale	70,000	01/24/18	02/13/19		713.99	772.22			-58.23			
Sale	1,000	01/12/17	04/25/19		10.46	10.95			-0.49			
Sale	59,000	01/12/17	07/11/19		637.18	646.05			-8.87			
Sale	97,000	01/12/17	12/11/19		1,087.54	1,060.08			27.46			
Subtotals					15,040.28	16,600.58						
BLACKROCK DEBT STRATFD INC COM NEW, DSU, 09255R202												
Sale	32,000	03/01/17	01/23/19		330.33	376.03			-45.70			
Sale	2,000	03/01/17	01/23/19		20.64	23.78			-3.14			
Sale	60,000	06/08/17	01/23/19		619.37	709.05			-89.68			
Sale	48,000	08/03/17	01/23/19		495.49	568.50			-73.01			
Sale	60,000	10/19/17	01/23/19		619.37	704.12			-84.75			

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Recipient ID No. ****7437** Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
BLACKROCK DEBT STRATFD INC COM NEW, DSU, 09255R202											
Sale	272.000	02/15/17	01/24/19	2,793.13	3,165.94			-372.81			
Sale	1.000	03/01/17	01/24/19	10.26	11.89			-1.63			
Sale	22.000	10/19/17	01/24/19	225.91	258.18			-32.27			
Sale	0.788	02/01/17	02/13/19	8.33	9.11			-0.78			
Sale	46.000	02/01/17	02/13/19	486.21	531.85			-45.64			
Sale	49.276	02/15/17	02/13/19	520.84	573.55			-52.71			
Sale	0.724	03/01/17	02/13/19	7.65	8.61			-0.96			
Sale	0.751	03/01/17	02/13/19	7.94	8.82			-0.88			
Sale	53.981	03/30/17	02/13/19	570.57	625.59			-55.02			
Sale	0.044	06/08/17	02/13/19	0.47	0.52			-0.05			
Sale	1.907	08/03/17	02/13/19	20.16	22.59			-2.43			
Sale	0.506	09/05/17	02/13/19	5.35	5.87			-0.52			
Sale	281.000	09/05/17	02/13/19	2,970.13	3,260.64			-290.51			
Sale	0.620	09/07/17	02/13/19	6.55	7.21			-0.66			
Sale	153.000	09/07/17	02/13/19	1,617.18	1,778.64			-161.46			
Sale	0.341	10/19/17	02/13/19	3.60	4.00			-0.40			
Sale	0.317	10/19/17	02/13/19	3.34	3.72			-0.38			
Sale	0.578	01/24/18	02/13/19	6.11	6.78			-0.67			
Sale	22.000	01/12/17	07/12/19	236.71	250.76		14.05	-14.05			
Sale	1.000	04/26/18	07/12/19	10.75	11.44			-0.69			
Sale	80.000	04/26/18	07/12/19	860.78	912.06		8.33	-51.28			
Sale	1.000	01/12/17	08/28/19	10.72	11.40			-0.68			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
BLACKROCK DEBT STRATFD INC COM NEW, DSU, 09255R202											
Sale	1.000	01/12/17	11/06/19	10.75	11.39			-0.64			
Subtotals				12,478.64	13,862.04		22.38				
BLACKROCK MULTI-SECTOR INCOME TR COM USD, BIT, 09258A107											
Sale	2.000	09/05/17	01/23/19	32.00	36.66			-4.66			
Sale	7.000	09/07/17	01/23/19	112.02	128.96			-16.94			
Sale	14.000	09/05/17	01/24/19	222.86	256.64			-33.78			
Sale	90.000	02/15/17	02/13/19	1,477.78	1,545.86			-68.08			
Sale	173.000	09/05/17	02/13/19	2,840.62	3,171.28			-330.66			
Sale	11.000	01/24/18	02/13/19	180.61	199.66			-19.05			
Sale	31.000	02/15/17	03/20/19	516.57	530.61			-14.04			
Sale	38.000	02/15/17	04/25/19	633.40	649.29			-15.89			
Sale	38.000	02/15/17	05/30/19	636.45	648.15			-11.70			
Sale	41.000	02/15/17	07/10/19	709.69	698.10			11.59			
Sale	14.000	02/15/17	07/11/19	244.85	238.37			6.48			
Sale	12.000	02/15/17	08/28/19	204.94	203.70			1.24			
Sale	10.000	02/15/17	08/29/19	170.43	169.75			0.68			
Subtotals				7,982.22	8,477.03						
BMC STK HLDGS INC COM, BMCH, 05591B109											
Sale	9.000	08/28/18	08/30/19	228.86	202.50			26.36			
Sale	1.000	08/29/18	08/30/19	25.42	22.74			2.68			
Sale	9.000	08/29/18	09/23/19	233.14	204.67			28.47			
Subtotals				487.42	429.91						

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
EATON VANCE LTD DURATION INCOME FD, EVV, 27828H105											
Sale	529.000	01/12/17	02/13/19	6,622.99	7,092.06		469.07	-469.07			
Sale	127.000	01/12/17	02/13/19	1,590.01	1,677.38			-87.37			
Sale	120.000	02/15/17	02/13/19	1,502.38	1,695.65		127.24	-193.27			
Sale	2.000	06/08/17	02/13/19	25.03	28.85		3.82	-3.82			
Sale	50.000	09/05/17	02/13/19	625.99	693.83			-67.84			
Sale	4.000	01/24/18	02/13/19	50.07	53.54		3.47	-3.47			
Subtotals				10,416.47	11,241.31		603.60				
EMPIRE ST RLTY TR INC CL A, ESRT, 292104106											
Sale	23.000	08/28/18	11/26/19	314.86	397.90			-83.04			
FINISAR CORP COM NEWCASH ELECTION FROM C, 317CSH906											
Tender	45.000	08/28/18	09/27/19	1,067.77	923.85(f)			143.92			
INTL SPEEDWAY CL A, 460335201											
Merger	7.000	08/28/18	10/21/19	315.00	308.70			6.30			
INVESCO DYNAMIC CREDIT OPPORTUN FD COM U, VTA, 46132R104											
Sale	148.000	01/12/17	01/23/19	1,573.27	1,770.76			-197.49			
Sale	89.000	02/15/17	01/23/19	946.09	1,087.87			-141.78			
Sale	140.000	01/12/17	01/24/19	1,482.89	1,675.04			-192.15			
Sale	45.000	08/03/17	01/24/19	476.64	538.73			-62.09			
Sale	34.000	08/04/17	01/24/19	360.12	407.56			-47.44			
Sale	151.000	09/05/17	01/24/19	1,599.39	1,751.15			-151.76			
Sale	220.000	09/07/17	01/24/19	2,330.24	2,562.29			-232.05			

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2019 Informational Tax Reporting Statement

THE WILLIAM J SHAW FAMILY FDTN Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

Note: This information is not reported to the IRS. It may assist you in tax return preparation.

2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
INVESCO DYNAMIC CREDIT OPPORTUN FD COM U, VTA, 46132R104											
Sale	54.000	10/19/17	01/24/19	571.97	633.31			-61.34			
Sale	7.000	12/13/17	01/24/19	74.14	80.61			-6.47			
Sale	246.000	12/13/17	02/13/19	2,644.46	2,832.84			-188.38			
Subtotals				12,059.21	13,340.16						
INVESCO DYNAMIC CREDIT OPPORTUN FD COM U, 461996589											
Tender	23.242	11/15/18	12/13/19	282.39	260.20			22.19			
Tender	26.222	12/12/18	12/13/19	318.60	281.92			36.68			
Subtotals				600.99	542.12						
MEDICINES CO COM ISIN #US5846881051 SEDO, MDCO, 584688105											
Sale	6.000	08/28/18	09/05/19	286.31	236.40			49.91			
Sale	9.000	08/28/18	12/11/19	756.61	354.60			402.01			
Subtotals				1,042.92	591.00						
MORGAN STANLEY EMERGING MKTS DEB FDINC, MSD, 61744H105											
Sale	147.000	01/12/17	02/13/19	1,308.28	1,358.28			-50.00			
Sale	180.000	02/15/17	02/13/19	1,601.97	1,699.81		77.18	-97.84			
Sale	33.000	03/30/17	02/13/19	293.69	309.09		15.40	-15.40			
Sale	33.000	06/08/17	02/13/19	293.69	337.14		43.45	-43.45			
Sale	60.000	09/05/17	02/13/19	533.99	611.71		77.72	-77.72			
Sale	1.000	01/12/17	04/25/19	9.04	9.24			-0.20			
Sale	35.000	01/12/17	07/11/19	329.34	323.40			5.94			

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
MORGAN STANLEY EMERGING MKTS DEB FDINC, MSD, 61744H105											
Sale	16.000	02/15/17	07/11/19	150.55	149.47			1.08			
Subtotals				4,520.55	4,798.14		213.75				
NEUBERGER BERMAN HIGH YIELD STRATEGIES F, NHS, 64128C106											
Sale	13.000	02/15/17	01/23/19	135.10	154.89			-19.79			
Sale	47.000	09/07/17	01/23/19	488.45	564.98			-76.53			
Sale	23.000	02/01/17	01/24/19	239.73	273.49			-33.76			
Sale	64.000	02/15/17	01/24/19	667.09	762.52			-95.43			
Subtotals				1,530.37	1,755.88						
NUVEEN CREDIT STRATEGIES INCOME FUND, JQC, 67073D102											
Sale	172.000	01/12/17	02/13/19	1,331.26	1,502.95			-171.69			
Sale	58.000	09/05/17	02/13/19	448.91	487.40			-38.49			
Sale	83.000	09/07/17	02/13/19	642.41	699.51			-57.10			
Sale	76.000	12/13/17	02/13/19	588.23	619.41			-31.18			
Sale	6.000	01/24/18	02/13/19	46.43	48.89			-2.46			
Sale	95.000	04/04/18	05/30/19	733.44	731.17			2.27			
Sale	187.000	04/04/18	07/10/19	1,483.81	1,429.35			54.46			
Sale	16.000	04/04/18	07/11/19	127.67	122.30			5.37			
Sale	7.000	07/18/18	12/11/19	53.01	51.39			1.62			
Sale	116.000	08/23/18	12/11/19	878.59	850.64			27.95			
Subtotals				6,333.76	6,543.01						

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Recipient ID No. ****7437** Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
NUVEEN GLOBAL HIGH INCOME FUND COM OF BE, JGH, 67075G103											
Sale	67.000	01/12/17	02/13/19	1,006.32	1,060.02			-53.70			
Sale	14.000	02/01/17	02/13/19	210.27	228.94			-18.67			
Sale	15.000	02/02/17	02/13/19	225.29	245.88			-20.59			
Sale	173.000	02/15/17	02/13/19	2,598.42	2,860.35			-261.93			
Sale	1.000	01/12/17	04/25/19	15.58	15.82			-0.24			
Sale	29.000	01/12/17	07/11/19	449.78	458.82			-9.04			
Subtotals				4,505.66	4,869.83						
OASIS PETROLEUM INC COM USD0.01, OAS, 674215108											
Sale	69.000	08/28/18	11/27/19	171.11	885.27			-714.16			
OLD REPUBLIC INTL CORP, ORI, 680223104											
Sale	7.000	08/28/18	12/09/19	159.24	157.15			2.09			
PGIM GLOBAL HIGH YIELD FD INC COM, GHY, 69346J106											
Sale	29.000	06/07/18	07/11/19	421.07	400.85			20.22			
Sale	13.000	06/08/18	07/11/19	188.75	179.86			8.89			
Sale	243.000	01/12/17	02/13/19	3,389.80	3,603.01		213.21	-213.21			
Sale	16.000	02/01/17	02/13/19	223.19	239.87			-16.68			
Sale	279.000	02/15/17	02/13/19	3,891.99	4,146.23			-254.24			
Sale	13.000	08/03/17	02/13/19	181.34	199.61		18.27	-18.27			
Sale	193.000	09/05/17	02/13/19	2,692.31	2,839.55		147.24	-147.24			
Sale	283.000	09/07/17	02/13/19	3,947.79	4,172.72		224.93	-224.93			
Sale	62.000	10/19/17	02/13/19	864.88	910.07			-45.19			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
PGIM GLOBAL HIGH YIELD FD INC COM, GHY, 69346J106										
Sale	106.000	12/13/17	02/13/19	1,478.68	1,524.08		-45.40			
Sale	244.000	01/24/18	02/13/19	3,403.75	3,508.88	30.84	-105.13			
Subtotals			20,683.55	21,724.73		634.49				
PGIM SHORT DURATION HIGH YIELD COM, ISD, 69346H100										
Sale	14.000	08/03/17	02/13/19	195.99	219.86		-23.87			
Sale	22.000	08/04/17	02/13/19	307.99	342.83		-34.84			
Sale	30.000	09/07/17	02/13/19	419.99	462.45	42.46	-42.46			
Sale	87.000	10/19/17	02/13/19	1,217.98	1,314.21		-96.23			
Sale	132.000	12/13/17	02/13/19	1,847.97	1,961.78	113.81	-113.81			
Sale	3.000	01/24/18	02/13/19	41.99	44.82	2.83	-2.83			
Subtotals			4,031.91	4,345.95		159.10				
PORTLAND GEN ELEC COCOM NEW, POR, 736508847										
Sale	5.000	08/28/18	09/05/19	287.39	230.80		56.59			
Sale	6.000	08/28/18	09/25/19	340.19	276.96		63.23			
Sale	3.000	08/28/18	09/27/19	170.45	138.48		31.97			
Subtotals			798.03	646.24						
PROGENICS PHARMACEUTICALS, PGNX, 743187106										
Sale	47.000	08/28/18	10/09/19	227.47	376.00		-148.53			
REGAL BELOIT CORP COM STK USD0.01, RBC, 758750103										
Sale	3.000	08/28/18	11/05/19	248.33	253.50		-5.17			

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Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
SEATTLE GENETICS INC, SGEN, 812578102											
Sale	3,000	08/28/18	10/01/19	257.99	225.24			32.75			
SKYWEST INC, SKYW, 830879102											
Sale	5,000	08/28/18	10/23/19	293.24	322.75			-29.51			
SM ENERGY CO COM, SM, 78454L100											
Sale	33,000	08/28/18	12/17/19	340.22	984.72			-644.50			
SOTHEBYS INC COM STKUSD0.01, 835898107											
Sale	2,000	08/28/18	09/04/19	114.03	95.66			18.37			
Sale	11,000	08/28/18	10/01/19	626.98	526.13			100.85			
Merger	5,000	08/28/18	10/03/19	285.00	239.15			45.85			
Subtotals				1,026.01	860.94						
SOUTHWEST GAS HOLDINGS INC COM, SWX, 844895102											
Sale	2,000	08/28/18	10/10/19	180.70	153.30			27.40			
SPARK THERAPEUTICS INC COM TENDER FROM C, 846992188											
Tender	6,000	08/28/18	12/17/19	687.00	370.14			316.86			
STEELCASE INC CL A, SCS, 858155203											
Sale	7,000	08/28/18	09/05/19	110.66	101.15			9.51			
Sale	10,000	08/28/18	10/10/19	176.19	144.50			31.69			
Subtotals				286.85	245.65						

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Long-term transactions

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SUN CMNTYS INC, SUI, 866674104											
Sale	1.000	08/28/18	10/31/19	160.62	101.31			59.31			
WELLFARGO HEALTH PLANS INC FORMERLY WELLC, WCG, 94946T106											
Sale	1.000	08/28/18	10/31/19	299.90	303.22			-3.32			
WELLS FARGO INCOME OPPORTUNITIESFUND, EAD, 94987B105											
Sale	30.000	01/12/17	02/13/19	232.36	249.76			-17.40			
Sale	27.000	02/01/17	02/13/19	209.12	227.53			-18.41			
Sale	625.000	02/15/17	02/13/19	4,840.93	5,243.78			-402.85			
Sale	307.000	09/05/17	02/13/19	2,377.86	2,616.91		38.15	-239.05			
Sale	37.000	09/07/17	02/13/19	286.58	317.68			-31.10			
Sale	2.000	01/12/17	04/25/19	15.95	16.56			-0.61			
Sale	115.000	01/12/17	07/11/19	946.43	952.28			-5.85			
Sale	38.000	01/12/17	12/11/19	319.32	314.67			4.65			
Subtotals				9,228.55	9,939.17		38.15				
WELLS FARGO MULTI SECTOR INCOM COM, ERC, 94987D101											
Sale	32.000	09/05/17	01/23/19	374.23	396.59			-22.36			
Sale	1.000	02/15/17	01/24/19	11.68	11.86			-0.18			
Sale	0.298	02/15/17	01/24/19	3.48	3.53			-0.05			
Sale	1.000	08/03/17	01/24/19	11.69	12.56			-0.87			
Sale	9.702	08/03/17	01/24/19	113.38	124.83			-11.45			
Sale	2.000	09/05/17	01/24/19	23.37	24.79			-1.42			
Sale	1.000	09/05/17	01/24/19	11.69	12.39			-0.70			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

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WELLS FARGO MULTI SECTOR INCOM COM, ERC, 94987D101											
Sale	34.000	09/07/17	01/24/19	397.37	424.22			-26.85			
Subtotals				946.89	1,010.77						
WESTERN ASSET EMER MKTS DEBT FD INC COMU, EMD, 95766A101											
Sale	316.000	01/12/17	02/13/19	4,280.73	4,682.32			-401.59			
Sale	720.000	02/15/17	02/13/19	9,753.57	10,902.29		1,104.05	-1,148.72			
Sale	62.000	06/08/17	02/13/19	839.88	978.74			-138.86			
Sale	106.000	08/03/17	02/13/19	1,435.94	1,654.04		218.10	-218.10			
Sale	548.000	09/05/17	02/13/19	7,423.55	8,531.51			-1,107.96			
Sale	102.000	09/07/17	02/13/19	1,381.75	1,584.91			-203.16			
Sale	47.000	12/13/17	02/13/19	636.69	713.65		76.96	-76.96			
Sale	36.000	01/24/18	02/13/19	487.67	563.60		75.93	-75.93			
Sale	3.000	01/12/17	04/25/19	41.66	44.32			-2.66			
Sale	1.000	01/12/17	07/10/19	14.39	14.74			-0.35			
Sale	219.000	01/12/17	07/11/19	3,160.93	3,228.82			-67.89			
Sale	3.000	04/04/18	07/11/19	43.29	42.99			0.30			
Sale	1.000	04/04/18	12/11/19	13.93	14.26			-0.33			
Subtotals				29,513.98	32,956.19		1,475.04				
WESTERN ASSET FUNDS INC COM USD0.001, HYL, 95768B107											
Sale	13.000	02/01/17	02/13/19	188.49	199.15			-10.66			
Sale	58.000	02/15/17	02/13/19	840.98	887.40		46.42	-46.42			
Sale	22.000	03/01/17	02/13/19	318.99	342.03			-23.04			
Sale	35.000	03/30/17	02/13/19	507.49	536.35			-28.86			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

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1a Description of property, Stock or Other Symbol, CUSIP											
Action	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
WESTERN ASSET FUNDS INC COM USD0.001, HYL 95768B107											
Sale	33.000	06/08/17	02/13/19	478.49	517.49			-39.00			
Sale	75.000	09/05/17	02/13/19	1,087.48	1,152.45			-64.97			
Sale	110.000	09/07/17	02/13/19	1,594.97	1,696.75		2.78	-101.78			
Sale	24.000	10/19/17	02/13/19	347.99	373.15			-25.16			
Sale	32.000	12/13/17	02/13/19	463.99	489.31			-25.32			
Sale	4.000	12/13/17	03/20/19	58.26	61.16			-2.90			
Sale	21.000	01/24/18	03/20/19	305.89	318.70			-12.81			
Sale	26.000	01/24/18	04/25/19	380.49	394.59			-14.10			
Sale	5.000	01/24/18	07/10/19	76.07	75.88			0.19			
Sale	17.000	06/07/18	07/10/19	258.66	248.37			10.29			
Sale	5.000	01/12/17	07/11/19	75.55	74.51			1.04			
Sale	9.000	02/01/17	07/11/19	135.98	135.28			0.70			
Sale	19.000	06/07/18	07/11/19	287.08	277.59			9.49			
Sale	13.000	01/12/17	08/28/19	194.22	193.72			0.50			
Sale	7.000	01/12/17	08/29/19	104.24	104.31			-0.07			
Sale	11.000	01/12/17	10/02/19	164.70	163.91			0.79			
Sale	1.000	04/04/18	10/02/19	14.97	14.60			0.37			
Sale	15.000	04/04/18	10/03/19	223.88	218.93			4.95			
Sale	20.000	09/28/18	11/06/19	305.50	290.66			14.84			
Sale	18.000	09/27/18	12/11/19	274.31	261.29			13.02			
Sale	2.000	09/28/18	12/11/19	30.47	29.07			1.40			
Subtotals				8,719.14	9,056.65		49.20				

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Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a	Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
WESTERN ASSET GLB HIINCOME FD COM, EHI, 95766B109												
Sale	318.000	01/12/17	02/13/19	2,959.08	3,106.38				-147.30			
Sale	32.000	02/01/17	02/13/19	297.76	318.72				-20.96			
Sale	344.000	02/15/17	02/13/19	3,201.01	3,462.46				-261.45			
Sale	36.000	03/01/17	02/13/19	334.98	365.57			19.54	-30.59			
Sale	14.000	03/01/17	02/13/19	130.27	144.14				-13.87			
Sale	94.000	03/30/17	02/13/19	874.69	941.49				-66.80			
Sale	53.000	06/08/17	02/13/19	493.18	546.06				-52.88			
Sale	8.000	06/29/17	02/13/19	74.44	79.12			4.68	-4.68			
Sale	18.000	08/24/17	02/13/19	167.49	182.49			15.00	-15.00			
Sale	28.000	08/25/17	02/13/19	260.55	281.83			21.28	-21.28			
Sale	314.000	09/05/17	02/13/19	2,921.86	3,163.92			242.06	-242.06			
Sale	63.000	12/13/17	02/13/19	586.23	627.89				-41.66			
Sale	2.000	02/14/18	04/25/19	19.38	19.21				0.17			
Sale	5.000	02/14/18	05/30/19	48.29	48.01				0.28			
Sale	29.000	04/04/18	05/30/19	280.15	273.74				6.41			
Sale	36.000	04/04/18	07/10/19	356.97	339.81				17.16			
Sale	22.000	04/04/18	07/11/19	218.89	207.66				11.23			
Sale	74.000	05/03/18	07/11/19	736.28	696.53				39.75			
Sale	12.000	06/07/18	07/11/19	119.39	110.75				8.64			
Sale	35.000	06/08/18	07/11/19	348.24	323.36				24.88			
Sale	1.000	06/07/18	11/06/19	9.75	9.23				0.52			
Subtotals				14,438.88	15,248.37			302.56				

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2019 Informational Tax Reporting Statement

THE WILLIAM J SHAW FAMILY FDTN Account No. 663-143398 Customer Service: 888-750-7284
Recipient ID No. **_***7437 Payer's Fed ID Number: 04-3523567

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a	Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
WESTERN ASSET HI INCOPPORT, HIO, 95766K109												
Sale		395.000	01/12/17	02/13/19	1,888.50	2,011.23		67.42	-122.73			
Sale		532.000	02/15/17	02/13/19	2,543.51	2,724.92			-181.41			
Sale		333.000	03/01/17	02/13/19	1,592.08	1,730.42			-138.34			
Sale		41.000	08/03/17	02/13/19	196.02	218.11		22.09	-22.09			
Sale		97.000	08/04/17	02/13/19	463.76	509.43		45.67	-45.67			
Sale		513.000	09/05/17	02/13/19	2,452.66	2,631.51			-178.85			
Sale		749.000	09/07/17	02/13/19	3,580.99	3,836.53		255.54	-255.54			
Sale		152.000	10/19/17	02/13/19	726.72	778.21			-51.49			
Sale		78.000	01/12/17	03/20/19	377.66	397.15			-19.49			
Sale		64.000	01/12/17	04/25/19	314.87	325.87			-11.00			
Sale		6.000	01/12/17	07/10/19	30.62	30.55			0.07			
Sale		40.000	01/24/18	07/10/19	204.20	201.60			2.60			
Sale		91.000	12/13/17	07/11/19	463.18	456.19			6.99			
Sale		6.000	01/24/18	07/11/19	30.53	30.24			0.29			
Sale		185.000	02/14/18	07/11/19	941.63	903.06			38.57			
Sale		1.000	02/14/18	08/28/19	5.00	4.88			0.12			
Sale		63.000	02/14/18	11/06/19	316.04	307.53			8.51			
Sale		1.000	02/14/18	12/11/19	4.96	4.88			0.08			
Subtotals					16,132.93	17,102.31		390.72				
WESTERN ASSET HIGH INC II, HIX, 95766J102												
Sale		131.000	12/13/17	01/23/19	804.49	909.54			-105.05			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
TOTALS				213,311.41	230,353.98	0.00	4,379.38	1,934.53 -18,977.10	0.00		

Long-Term Realized Gain
Long-Term Realized Loss

- (a) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed, amortization, accretion, acquisition premium, bond premium, market discount, market premium, and option premium.
- (f) Gain/loss information for this transaction is provided based on information available from the company or other sources regarding the aggregate cash and fair market value of shares and other property received on the date of the merger. Consult your tax advisor for information on how to report this transaction on your return.
- Amortization, accretion, and similar adjustments to cost basis are not provided for short-term instruments and unit investment trusts.

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2019 Proceeds from Broker and Barter Exchange Transactions*

Short-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
DELAWARE EMERGING MKTS FD-INSTITUT CL, DEMIX, 245914817											
Sale	22.482	12/24/18	07/10/19	418.91	366.01			52.90			
DFA US CORE EQUITY II, DFQTX, 233203397											
Sale	66.179	09/27/18	07/10/19	1,478.11	1,527.42			-49.31			
Sale	65.373	03/28/19	07/10/19	1,460.11	1,394.40			65.71			
Sale	71.390	06/27/19	07/10/19	1,594.50	1,567.73			26.77			
Subtotals				4,532.72	4,489.55						
RBC EMERGING MARKETSEQUIY FD CL I, REEIX, 74926P316											
Sale	35.190	12/20/18	07/10/19	437.80	383.57			54.23			
Sale	63.439	12/20/18	07/10/19	789.25	691.49			97.76			
Sale	315.680	12/20/18	07/10/19	3,927.41	3,440.91			486.50			
Subtotals				5,154.46	4,515.97						
WCM FOCUSED INTL GROWTH FUND INSTL, WCMIX, 461418444											
Sale	8.308	12/06/18	07/10/19	144.90	119.38			25.52			
Sale	25.331	12/06/18	07/10/19	441.80	364.01			77.79			
Sale	247.088	12/06/18	07/10/19	4,309.53	3,550.66			758.87			
Subtotals				4,896.23	4,034.05						
TOTALS				15,002.32	13,405.58	0.00	0.00	1,646.05			
								-49.31			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
DELAWARE EMERGING MKTS FD-INSTITUT CL, DEMIX, 245914817											
Sale	507.616	01/19/17	07/10/19	9,458.44	7,698.54			1,759.90			
Sale	59.714	12/26/17	07/10/19	1,112.65	1,203.83			-91.18			
Subtotals				10,571.09	8,902.37						
DFA US CORE EQUITY II, DFQTX, 233203397											
Sale	54.127	06/29/17	07/10/19	1,208.93	1,061.42			147.51			
Sale	65.687	09/28/17	07/10/19	1,467.13	1,343.29			123.84			
Sale	2.822	12/14/17	07/10/19	63.03	59.75			3.28			
Sale	95.597	12/14/17	07/10/19	2,135.17	2,023.78			111.39			
Sale	159.560	12/14/17	07/10/19	3,563.79	3,377.89			185.90			
Sale	27.404	03/28/18	07/10/19	612.07	575.76			36.31			
Sale	63.002	06/28/18	07/10/19	1,407.16	1,379.12			28.04			
Subtotals				10,457.28	9,821.01						
RBC EMERGING MARKETSEQUIY FD CL I, REEIX, 74926P316											
Sale	664.584	01/19/17	07/10/19	8,268.16	6,834.66			1,433.50			
Sale	1.441	12/13/17	07/10/19	17.93	18.53			-0.60			
Sale	44.164	12/13/17	07/10/19	549.45	567.95			-18.50			
Subtotals				8,835.54	7,421.14						
WCM FOCUSED INTL GROWTH FUND INSTL, WCMIX, 461418444											
Sale	833.025	01/19/17	07/10/19	14,529.02	10,323.61			4,205.41			
Sale	0.701	12/08/17	07/10/19	12.23	10.84			1.39			

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2019 Proceeds from Broker and Barter Exchange Transactions*

Long-term transactions

(IRS Form 1099-B box numbers are shown below in bold type)

1a Description of property, Stock or Other Symbol, CUSIP	Quantity	1b Date Acquired	1c Date Sold or Disposed	1d Proceeds	1e Cost or Other Basis (a)	1f Accrued Market Discount	1g Wash Sale Loss Disallowed	Gain/Loss (-)	4 Federal Income Tax Withheld	14 State Tax Withheld	16 State Tax Withheld
WCM FOCUSED INTL GROWTH FUND INSTL, WCMIX, 461418444											
Sale	31.679	12/08/17	07/10/19	552.52	489.76			62.76			
Subtotals				15,093.77	10,824.21						
TOTALS				44,957.68	36,968.73	0.00	0.00		8,099.23		-110.28
Long-Term Realized Gain											
Long-Term Realized Loss											

(a) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed, amortization, accretion, acquisition premium, bond premium, market discount, market premium, and option premium.
Amortization, accretion, and similar adjustments to cost basis are not provided for short-term instruments and unit investment trusts.

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