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
JOE F AND ROBERTA NAPIER FOUNDATION

**A Employer identification number**
83-0266070

Number and street (or P.O. box number if mail is not delivered to street address) 810 COFFEEN AVE | Room/suite

**B** Telephone number (see instructions)
(307) 672-5805

City or town, state or province, country, and ZIP or foreign postal code
SHERIDAN, WY 82801

**C** If exemption application is pending, check here ▶ ☐

**G** Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

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

**H** Check type of organization: ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

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

**I** Fair market value of all assets at end of year (from Part II, col. (c), *line 16)* ▶$ 4,058,375

**J** Accounting method: ☑ Cash ☐ Accrual ☐ Other (specify)
*(Part I, column (d) must be on cash basis.)*

**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).)*

| | | Line | Description | (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) | | | | |
| | 2 | | Check ▶ ☑ if the foundation is **not** required to attach Sch. B | | | | |
| | 3 | | Interest on savings and temporary cash investments | 22,042 | 22,042 | 22,042 | |
| | 4 | | Dividends and interest from securities | 50,024 | 50,024 | 50,024 | |
| | 5a | | Gross rents | 151,718 | 151,718 | 151,718 | |
| | b | | Net rental income or (loss) | | | | |
| | 6a | | Net gain or (loss) from sale of assets not on line 10 | 106,878 | | | |
| | b | | Gross sales price for all assets on line 6a 1,874,133 | | | | |
| | 7 | | Capital gain net income (from Part IV, line 2) | | 106,878 | | |
| | 8 | | Net short-term capital gain | | | 0 | |
| | 9 | | Income modifications | | | | |
| | 10a | | Gross sales less returns and allowances | | | | |
| | b | | Less: Cost of goods sold | | | | |
| | c | | Gross profit or (loss) (attach schedule) | 0 | | | |
| | 11 | | Other income (attach schedule) | 22,043 | 22,043 | 22,043 | |
| | 12 | | **Total.** Add lines 1 through 11 | 352,705 | 352,705 | 245,827 | |
| Operating and Administrative Expenses | 13 | | Compensation of officers, directors, trustees, etc. | 18,000 | 18,000 | 18,000 | 18,000 |
| | 14 | | Other employee salaries and wages | | | | |
| | 15 | | Pension plans, employee benefits | | | | |
| | 16a | | Legal fees (attach schedule) | 1,950 | 1,950 | 1,950 | 1,950 |
| | b | | Accounting fees (attach schedule) | 3,500 | 3,500 | 3,500 | 3,500 |
| | c | | Other professional fees (attach schedule) | 38,379 | 38,379 | 38,379 | 38,379 |
| | 17 | | Interest | | | | |
| | 18 | | Taxes (attach schedule) (see instructions) | 3,449 | 3,449 | 3,449 | 3,449 |
| | 19 | | Depreciation (attach schedule) and depletion | 0 | | | |
| | 20 | | Occupancy | | | | |
| | 21 | | Travel, conferences, and meetings | | | | |
| | 22 | | Printing and publications | | | | |
| | 23 | | Other expenses (attach schedule) | 14 | 14 | 14 | 14 |
| | 24 | | **Total operating and administrative expenses.** Add lines 13 through 23 | 65,292 | 65,292 | 65,292 | 65,292 |
| | 25 | | Contributions, gifts, grants paid | 155,500 | | | 155,500 |
| | 26 | | **Total expenses and disbursements.** Add lines 24 and 25 | 220,792 | 65,292 | 65,292 | 220,792 |
| | 27 | | Subtract line 26 from line 12: | | | | |
| | a | | **Excess of revenue over expenses and disbursements** | 131,913 | | | |
| | b | | **Net investment income** (if negative, enter -0-) | | 287,413 | | |
| | c | | **Adjusted net income** (if negative, enter -0-) | | | 180,535 | |

| 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 (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| Assets 1 | Cash—non-interest-bearing | | | |
| 2 | Savings and temporary cash investments | 87,196 | 110,081 | 110,081 |
| 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) | | 0 | |
| 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | 0 | |
| 8 | Inventories for sale or use | | | |
| 9 | Prepaid expenses and deferred charges | | | |
| 10a | Investments—U.S. and state government obligations (attach schedule) | 291,073 | 380,113 | 382,007 |
| b | Investments—corporate stock (attach schedule) | 2,573,978 | 2,548,285 | 3,016,906 |
| c | Investments—corporate bonds (attach schedule) | 480,061 | 533,517 | 549,381 |
| 11 | Investments—land, buildings, and equipment: basis ▶ | | | |
| | Less: accumulated depreciation (attach schedule) ▶ | | 0 | |
| 12 | Investments—mortgage loans | | | |
| 13 | Investments—other (attach schedule) | | 0 | |
| 14 | Land, buildings, and equipment: basis ▶ | | | |
| | Less: accumulated depreciation (attach schedule) ▶ | | 0 | |
| 15 | Other assets (describe ▶ ) | 0 | 0 | 0 |
| 16 | **Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I) | 3,432,308 | 3,571,996 | 4,058,375 |
| Liabilities 17 | Accounts payable and accrued expenses | | | |
| 18 | Grants payable | | | |
| 19 | Deferred revenue | | | |
| 20 | Loans from officers, directors, trustees, and other disqualified persons | | 0 | |
| 21 | Mortgages and other notes payable (attach schedule) | | 0 | |
| 22 | Other liabilities (describe ▶ ) | 0 | 0 | |
| 23 | **Total liabilities**(add lines 17 through 22) | | 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 | 336,018 | 336,018 | |
| 27 | Paid-in or capital surplus, or land, bldg., and equipment fund | | | |
| 28 | Retained earnings, accumulated income, endowment, or other funds | 3,096,290 | 3,235,978 | |
| 29 | **Total net assets or fund balances** (see instructions) | 3,432,308 | 3,571,996 | |
| 30 | **Total liabilities and net assets/fund balances** (see instructions) | 3,432,308 | 3,571,996 | |

## 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 | 3,432,308 |
| 2 | Enter amount from Part I, line 27a | 2 | 131,913 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 7,775 |
| 4 | Add lines 1, 2, and 3 | 4 | 3,571,996 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29 | 6 | 3,571,996 |

## 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.) |
|---|---|---|---|---|
| 1a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (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 | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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 | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | 2 | 106,878 |
| 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 | -10,920 |

## 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 | 202,155 | 3,513,520 | 0.057536 |
| 2017 | 212,462 | 3,594,158 | 0.059113 |
| 2016 | 183,493 | 3,345,996 | 0.054840 |
| 2015 | 174,228 | 3,430,543 | 0.050787 |
| 2014 | 166,346 | 3,504,238 | 0.047470 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.269746 |
| 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 | 0.053949 |
| 4 | Enter the net value of noncharitable-use assets for 2019 from Part X, line 5 | 4 | 3,668,200 |
| 5 | Multiply line 4 by line 3 | 5 | 197,896 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 2,874 |
| 7 | Add lines 5 and 6 | 7 | 200,770 |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 220,792 |

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 | 2,874 |
| 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 | 0 |
| 3 | Add lines 1 and 2 | | | 3 | 2,874 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0 |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 2,874 |
| 6 | Credits/Payments: | | | | |
| a | 2019 estimated tax payments and 2018 overpayment credited to 2019 | 6a | 3,302 | | |
| b | Exempt foreign organizations—tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 0 | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments. Add lines 6a through 6d | | | 7 | 3,302 |
| 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 | 428 |
| 11 | Enter the amount of line 10 to be: **Credited to 2020 estimated tax** ▶ 428 | **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). | 1b | | No |
| | *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.* | | | |
| 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? *If "Yes," attach a detailed description of the activities.* | 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? *If "Yes," attach a conformed copy of the changes* | 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? *If "Yes," attach the statement required by General Instruction T.* | 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? *If "Yes," complete Part II, col. (c), and Part XV.* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ WY | | | |
| 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? *If "No," attach explanation* | 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. If "Yes," complete Part XIV | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.* | 10 | | No |

## Part VII-A Statements Regarding Activities (continued)

| | | | Yes | No |
|---|---|---|---|---|
| 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? | 13 | Yes | |

Website address ▶N/A

14 The books are in care of ▶Tracy & Aksamit Telephone no. ▶(307) 672-5805

Located at ▶810 Coffeen Ave Sheridan WY ZIP+4 ▶82801

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 | | 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.** | | | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly): | | | | |
| | **(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 | | |
| 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)*

| | | | Yes | No |
|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to: | | | |
| | **(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 | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | No |
| | *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 | | | |
| **b** | If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction? | 7b | | |
| **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 |
|---|---|---|---|---|
| Paul Fall<br>97 Sherri View Dr<br>Sheridan, WY 82801 | President<br>20.00 | 6,000 | 0 | 0 |
| Richard Davis<br>PO Box 728<br>Sheridan, WY 82801 | Director<br>20.00 | 6,000 | 0 | 0 |
| Tonya Aksamit<br>810 Coffeen Ave<br>Sheridan, WY 82801 | Treasurer<br>20.00 | 6,000 | 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 |
|---|---|---|---|---|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**Total** number of other employees paid over $50,000. ▶ 0

**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 |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services. . . . . . . . . . . . . ▶ | | 0 |

**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** Donations to various charities in the community from investment income. | 155,500 |
| **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 | 3,702,271 |
| b | Average of monthly cash balances. | | 1b | 21,790 |
| c | Fair market value of all other assets (see instructions). | | 1c | 0 |
| d | **Total** (add lines 1a, b, and c). | | 1d | 3,724,061 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). | 1e 0 | | |
| 2 | Acquisition indebtedness applicable to line 1 assets. | | 2 | |
| 3 | Subtract line 2 from line 1d. | | 3 | 3,724,061 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). | | 4 | 55,861 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 3,668,200 |
| 6 | **Minimum investment return.** Enter 5% of line 5. | | 6 | 183,410 |

## 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 | 183,410 |
| 2a | Tax on investment income for 2019 from Part VI, line 5. | 2a 2,874 | | |
| b | Income tax for 2019. (This does not include the tax from Part VI.). | 2b | | |
| c | Add lines 2a and 2b. | | 2c | 2,874 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1. | | 3 | 180,536 |
| 4 | Recoveries of amounts treated as qualifying distributions. | | 4 | |
| 5 | Add lines 3 and 4. | | 5 | 180,536 |
| 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 | 180,536 |

## 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 | 220,792 |
| b | Program-related investments—total from Part IX-B. | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required). | 3a | |
| b | Cash distribution test (attach the required schedule). | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 220,792 |
| 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 | 2,874 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4. | 6 | 217,918 |

**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 | | | | | 180,536 |
| **2** Undistributed income, if any, as of the end of 2019: | | | | | |
| **a** Enter amount for 2018 only. . . . . . . | | | | | |
| **b** Total for prior years: 20___ , 20___ , 20___ | | | | | |
| **3** Excess distributions carryover, if any, to 2019: | | | | | |
| **a** From 2014. . . . . . . | 0 | | | | |
| **b** From 2015. . . . . . . | 6,824 | | | | |
| **c** From 2016. . . . . . . | 18,593 | | | | |
| **d** From 2017. . . . . . . | 40,938 | | | | |
| **e** From 2018. . . . . . . | 29,053 | | | | |
| **f** **Total** of lines 3a through e. . . . . . . . . . | | 95,408 | | | |
| **4** Qualifying distributions for 2019 from Part XII, line 4: ▶ $ 220,792 | | | | | |
| **a** Applied to 2018, but not more than line 2a | | | | | |
| **b** Applied to undistributed income of prior years (Election required—see instructions). . . . . | | | | | |
| **c** Treated as distributions out of corpus (Election required—see instructions). . . . . . . . . | | 0 | | | |
| **d** Applied to 2019 distributable amount. . . . . | | | | | 180,536 |
| **e** Remaining amount distributed out of corpus | | 40,256 | | | |
| **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 | | 135,664 | | | |
| **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) . . . | | 0 | | | |
| **9** **Excess distributions carryover to 2020.** Subtract lines 7 and 8 from line 6a . . . . . . . | | 135,664 | | | |
| **10** Analysis of line 9: | | | | | |
| **a** Excess from 2015. . . . | 6,824 | | | | |
| **b** Excess from 2016. . . . | 18,593 | | | | |
| **c** Excess from 2017. . . . | 40,938 | | | | |
| **d** Excess from 2018. . . . | 29,053 | | | | |
| **e** Excess from 2019. . . . | 40,256 | | | | |

**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)

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | **(a)** 2019 | **(b)** 2018 | **(c)** 2017 | **(d)** 2016 | |
| **2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **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).)

None

**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.

None

**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 e-mail address of the person to whom applications should be addressed:

Tonya Aksamit
810 Coffeen Ave
Sheridan, WY 82801
(307) 672-5805

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

Any

**c** Any submission deadlines:

None

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

Must be tax exempt and should be in Sheridan County

**Part XV** **Supplementary Information** (continued)

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year*<br>See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3b** | | | | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments. . . . | | | | | |
| 3 Interest on savings and temporary cash investments . . . . . . . . . . . . . | | | | | |
| 4 Dividends and interest from securities. . . . | | | | | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property. . . . . . | | | | | |
| b Not debt-financed property. . . . . | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income. . . . . | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory . . . . . . . . . . . . . . | | | | | 106,878 |
| 9 Net income or (loss) from special events: | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e). . | | | | | 106,878 |

**13 Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . . . . . 13 106,878

(See worksheet in line 13 instructions to verify calculations.)

## Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.) |
|---|---|
| 8 | Income to be distributed to Charity |

## Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

| | | Yes | No |
|---|---|---|---|
| **1** Did the organization directly or indirectly engage in any of the following with any other organization described in section 501 (c) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| **a** Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| **(1)** Cash. | **1a(1)** | | No |
| **(2)** Other assets. | **1a(2)** | | No |
| **b** Other transactions: | | | |
| **(1)** Sales of assets to a noncharitable exempt organization. | **1b(1)** | | No |
| **(2)** Purchases of assets from a noncharitable exempt organization. | **1b(2)** | | No |
| **(3)** Rental of facilities, equipment, or other assets. | **1b(3)** | | No |
| **(4)** Reimbursement arrangements. | **1b(4)** | | No |
| **(5)** Loans or loan guarantees. | **1b(5)** | | No |
| **(6)** Performance of services or membership or fundraising solicitations. | **1b(6)** | | No |
| **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.

| **(a)** Line No. | **(b)** Amount involved | **(c)** Name of noncharitable exempt organization | **(d)** Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | | |

**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 |
|---|---|---|
| | | |

**Sign Here**

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.

| ****** | 2020-08-26 | ****** |
|---|---|---|
| Signature of officer or trustee | 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 | Preparer's Signature | Date | Check if self-employed ▶ ☑ | PTIN |
|---|---|---|---|---|
| Tonya Aksamit | | 2020-08-27 | | P01072139 |
| Firm's name ▶ TRACY AND AKSAMIT | | | | Firm's EIN ▶ |
| Firm's address ▶ 810 COFFEEN AVENUE<br>SHERIDAN, WY 82801 | | | | Phone no. (307) 672-5805 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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.) |
|---|---|---|---|
| Attachment 36717889 ST | P | 2018-12-18 | 2019-09-06 |
| Attachment 36717889 LT | P | 2017-12-19 | 2019-09-06 |
| Attachment 19271926 ST | P | 2018-06-20 | 2019-04-04 |
| Attachment 19271926 LT | P | 2016-10-31 | 2019-09-20 |
| Attachment 50002879 LT | P | 2017-01-31 | 2019-04-24 |
| Attachment 55783517 ST | P | 2018-12-03 | 2019-07-18 |
| Attachment 55783517 LT | P | 2017-12-18 | 2019-10-18 |
| Attachment 55783522 ST | P | 2018-05-02 | 2019-04-29 |
| Attachment 55783522 LT | P | 2015-08-07 | 2019-04-29 |
| Attachment 55783503 ST | P | 2018-10-04 | 2019-01-31 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 3,646 | 0 | 3,376 | 270 |
| 49,147 | 0 | 52,246 | -3,099 |
| 90,587 | 0 | 99,928 | -9,341 |
| 124,952 | 0 | 137,657 | -12,705 |
| 85,866 | 0 | 83,087 | 2,779 |
| 22,207 | 0 | 20,646 | 1,561 |
| 212,030 | 0 | 187,324 | 24,706 |
| 363,852 | 0 | 358,569 | 5,283 |
| 292,560 | 0 | 201,745 | 90,815 |
| 514 | 0 | 429 | 85 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|---|---|---|
| (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 | |
| 0 | 0 | 0 | 270 |
| 0 | 0 | 0 | -3,099 |
| 0 | 0 | 0 | -9,341 |
| 0 | 0 | 0 | -12,705 |
| 0 | 0 | 0 | 2,779 |
| 0 | 0 | 0 | 1,561 |
| 0 | 0 | 0 | 24,706 |
| 0 | 0 | 0 | 5,283 |
| 0 | 0 | 0 | 90,815 |
| 0 | 0 | 0 | 85 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| (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.) |
|---|---|---|---|
| Attachment 55783503 LT | P | 2017-01-17 | 2019-01-22 |
| Attachment 55783536 ST | P | 2018-11-13 | 2019-11-11 |
| Attachment 55783536 LT | P | 2017-09-27 | 2019-01-23 |
| Attachment 55783739 ST | P | 2019-04-17 | 2019-11-11 |
| Attachment 55783739 LT | P | 2009-08-18 | 2019-11-11 |
| Attachment 55783744 LT | P | 2017-08-16 | 2019-04-25 |
| Attachment 55783541 LT | P | 2016-07-26 | 2019-02-11 |
| Attachment 55783541 - Return of Princ | P | 2019-01-31 | 2019-02-25 |
| Attachment 55783490 ST | P | 2018-11-16 | 2019-05-09 |
| Attachment 55783490 LT | P | 2018-03-01 | 2019-05-09 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (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) |
|---|---|---|---|
| 5,344 | 0 | 4,010 | 1,334 |
| 9,354 | 0 | 9,096 | 258 |
| 130,698 | 0 | 120,153 | 10,545 |
| 6,361 | 0 | 5,607 | 754 |
| 19,848 | 0 | 16,486 | 3,362 |
| 500 | 0 | 518 | -18 |
| 369,165 | 0 | 368,487 | 678 |
| 590 | 0 | 590 | 0 |
| 11,506 | 0 | 11,289 | 217 |
| 75,406 | 0 | 76,005 | -599 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) **or** Losses (from col.(h)) |
|---|---|---|---|
| (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 | |
| 0 | 0 | 0 | 1,334 |
| 0 | 0 | 0 | 258 |
| 0 | 0 | 0 | 10,545 |
| 0 | 0 | 0 | 754 |
| 0 | 0 | 0 | 3,362 |
| 0 | 0 | 0 | -18 |
| 0 | 0 | 0 | 678 |
| 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 217 |
| 0 | 0 | 0 | -599 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| (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.) |
|---|---|---|---|
| DA Davidson - Change in Cost Basis | P | 2019-01-01 | 2019-12-31 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|---|---|---|---|
| 0 | 0 | 10,007 | -10,007 |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) **or** Losses (from col.(h)) |
|---|---|---|---|
| (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 | |
| 0 | 0 | 0 | -10,007 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Sheridan CasaPO Box 6022<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,500 |
| CHAPSPMB 201 1842 Sugarland Dr<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 2,000 |
| Dog & Cat Shelter84 East Ridge<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| People Assistance Food BankPO Box 312<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 500 |
| Sheridan Co Library Foundation<br>335 W Alger St<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 5,000 |
| Good Fellow FundPO Box 2006<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Sheridan Historical Society Building<br>PO Box 73<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 2,500 |
| Our CampPO Box 7100<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 2,500 |
| Senior Center211 Smith St<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 25,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Center for Vital Community<br>245 Broadwater St<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 2,000 |
| Sheridan College3059 College Ave<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 25,000 |
| Sheridan Community Land Trust<br>PO Box 7185<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 2,500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Sheridan Public Arts Committee<br>PO Box 848<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 500 |
| St Peters Episcopal Church<br>1 S Tschirgi St<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,000 |
| Wyo TheaterPO Box 528<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 30,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Yellowstone Boys Ranch<br>2050 Overland Ave<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,000 |
| YMCA417 N Jefferson<br>Sheridan, WY 82801 | | Tax Exept | Charity | 25,000 |
| Sheridan Arts CouncilPO Box 844<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| Anetelope Butte FoundationPO Box 6624<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 15,000 |
| Sheridan Kids LifePO Box 7296<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 10,000 |
| Genesis Foundation444 Crescent Dr<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 1,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

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

| Recipient<br>Name and address (home or business) | 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 |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| KROE - Make a Wish FundPO Box 5086<br>Sheridan, WY 82801 | | Tax Exempt | Charity | 500 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 155,500 |

# TY 2019 Accounting Fees Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Tracy & Aksamit Accounting | 3,500 | 3,500 | 3,500 | 3,500 |

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

# TY 2019 Gain/Loss from Sale of Other Assets Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

**Gain Loss Sale Other Assets Schedule**

| Name | Date Acquired | How Acquired | Date Sold | Purchaser Name | Gross Sales Price | Basis | Basis Method | Sales Expenses | Total (net) | Accumulated Depreciation |
|---|---|---|---|---|---|---|---|---|---|---|
| Attachment 36717889 ST | 2018-12 | Purchased | 2019-09 | DA Davidson | 3,646 | 3,376 | Cost | | 270 | |
| Attachment 36717889 LT | 2017-12 | Purchased | 2019-09 | DA Davidson | 49,147 | 52,246 | Cost | | -3,099 | |
| Attachment 19271926 ST | 2018-06 | Purchased | 2019-04 | DA Davidson | 90,587 | 99,928 | Cost | | -9,341 | |
| Attachment 19271926 LT | 2016-10 | Purchased | 2019-09 | DA Davidson | 124,952 | 137,657 | Cost | | -12,705 | |
| Attachment 50002879 LT | 2017-01 | Purchased | 2019-04 | DA Davidson | 85,866 | 83,087 | Cost | | 2,779 | |
| Attachment 55783517 ST | 2018-12 | Purchased | 2019-07 | DA Davidson | 22,207 | 20,646 | Cost | | 1,561 | |
| Attachment 55783517 LT | 2017-12 | Purchased | 2019-10 | DA Davidson | 212,030 | 187,324 | Cost | | 24,706 | |
| Attachment 55783522 ST | 2018-05 | Purchased | 2019-04 | DA Davidson | 363,852 | 358,569 | Cost | | 5,283 | |
| Attachment 55783522 LT | 2015-08 | Purchased | 2019-04 | DA Davidson | 292,560 | 201,745 | Cost | | 90,815 | |
| Attachment 55783503 ST | 2018-10 | Purchased | 2019-01 | DA Davidson | 514 | 429 | Cost | | 85 | |
| Attachment 55783503 LT | 2017-01 | Purchased | 2019-01 | DA Davidson | 5,344 | 4,010 | Cost | | 1,334 | |
| Attachment 55783536 ST | 2018-11 | Purchased | 2019-11 | DA Davidson | 9,354 | 9,096 | Cost | | 258 | |
| Attachment 55783536 LT | 2017-09 | Purchased | 2019-01 | DA Davidson | 130,698 | 120,153 | Cost | | 10,545 | |
| Attachment 55783739 ST | 2019-04 | Purchased | 2019-11 | DA Davidson | 6,361 | 5,607 | Cost | | 754 | |
| Attachment 55783739 LT | 2009-08 | Purchased | 2019-11 | DA Davidson | 19,848 | 16,486 | Cost | | 3,362 | |
| Attachment 55783744 LT | 2017-08 | Purchased | 2019-04 | DA Davidson | 500 | 518 | Cost | | -18 | |
| Attachment 55783541 LT | 2016-07 | Purchased | 2019-02 | DA Davidson | 369,165 | 367,874 | Cost | 613 | 678 | |
| Attachment 55783541 - Return of Princpal | 2019-01 | Purchased | 2019-02 | DA Davidson | 590 | 590 | Cost | | 0 | |
| Attachment 55783490 ST | 2018-11 | Purchased | 2019-05 | DA Davidson | 11,506 | 11,289 | Cost | | 217 | |
| Attachment 55783490 LT | 2018-03 | Purchased | 2019-05 | DA Davidson | 75,406 | 76,005 | Cost | | -599 | |
| DA Davidson Change in Cost Basis | 2019-01 | Purchased | 2019-12 | DA Davidson | 0 | 10,007 | Cost | | -10,007 | |

# TY 2019 Investments Corporate Bonds Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

**Investments Corporate Bonds Schedule**

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| See Attachment C | 533,517 | 549,381 |

# TY 2019 Investments Corporate Stock Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

**Investments Corporation Stock Schedule**

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| See Attachment B | 2,548,285 | 3,016,906 |

# TY 2019 Investments Government Obligations Schedule

| | |
|---|---|
| **Name:** | JOE F AND ROBERTA NAPIER FOUNDATION |
| **EIN:** | 83-0266070 |
| **US Government Securities - End of Year Book Value:** | 380,113 |
| **US Government Securities - End of Year Fair Market Value:** | 382,007 |
| **State & Local Government Securities - End of Year Book Value:** | |
| **State & Local Government Securities - End of Year Fair Market Value:** | |

# TY 2019 Other Expenses Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

## Other Expenses Schedule

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Office | 14 | 14 | 14 | 14 |

# TY 2019 Other Income Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

## Other Income Schedule

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| Capital Gain Distribution | 3,059 | 3,059 | 3,059 |
| Valkyrie Resources LLC - 1099 | 922 | 922 | 922 |
| Plains Marketing - 1099 | 3,127 | 3,127 | 3,127 |
| Shell Trading - 1099 | 6,864 | 6,864 | 6,864 |
| Sheridan Production Co - 1099 | 157 | 157 | 157 |
| Stroud Petroleum, Inc - 1099 | 4,983 | 4,983 | 4,983 |
| Vanguard Operations - 1099 | 2,931 | 2,931 | 2,931 |

# TY 2019 Other Increases Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

| Description | Amount |
|---|---|
| Non Taxable Distr | 7,161 |
| Market Disc - 1099 DA Davidson | 614 |

# TY 2019 Other Professional Fees Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| DA Davidson Investment | 38,379 | 38,379 | 38,379 | 38,379 |

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491240002120

# TY 2019 Taxes Schedule

**Name:** JOE F AND ROBERTA NAPIER FOUNDATION

**EIN:** 83-0266070

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| Taxes - Royalites | 2,413 | 2,413 | 2,413 | 2,413 |
| Foreign Taxes | 1,011 | 1,011 | 1,011 | 1,011 |
| Taxes - General | 25 | 25 | 25 | 25 |

Attachment C (Part II 10c 1of3)



## Holdings details

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the Pending Trades section for more information. The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. For more details on pricing, cost basis, estimated annual income and current estimated yield see the disclosures section of the statement.

New Treasury regulations require that we report on Form 1099-B, after the close of the tax year, your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfer by gift or inheritance, which will be reflected on your form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Cost information is presented as a general guide to portfolio performance. Please refer to the disclosures section of this statement for additional information. An "M" in the purchase date indicates a position is made up of multiple trades/tax lots.

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Corporate Bonds | | | | | | | | | |
| 20,000.0000 | CBS CORP NEW<br>GTD SR NOTE<br>CPN 4.300% DUE 02/15/21<br>DTD 10/08/10 FC 02/15/11<br>CALL 11/15/20 @ 100.000 | 124857AE3<br>S&P BBB<br>Moodys BAA2 | 9/8/15 | 101.099 | 20,219.86 | 102.088 | 20,417.60 | 197.74 | 860.00 | 4.21 |
| 20,000.0000 | KINDER MORGAN ENERGY<br>PRTNRS LP SR NOTE<br>CPN 3.500% DUE 03/01/21<br>DTD 02/24/14 FC 09/01/14<br>CALL 01/01/21 @ 100.000 | 494550BT2<br>S&P BBB<br>Moodys BAA2 | 3/23/17 | 100.454 | 20,090.89 | 101.277 | 20,255.40 | 164.51 | 700.00 | 3.45 |
| 40,000.0000 | XYLEM INC<br>SR NOTE<br>CPN 4.875% DUE 10/01/21<br>DTD 04/01/12 FC 10/01/12 | 98419MAB6<br>S&P BBB<br>Moodys BAA2 | 4/1/19 | 103.294 | 41,317.77 | 104.810 | 41,924.00 | 606.23 | 1,950.00 | 4.65 |
| 20,000.0000 | STANLEY BLACK & DECKER<br>INC GTD NOTE<br>CPN 3.400% DUE 12/01/21<br>DTD 11/22/11 FC 06/01/12<br>CALL 09/01/21 @ 100.000 | 854502AC5<br>S&P A<br>Moodys BAA1 | 1/18/19 | 100.286 | 20,057.24 | 102.162 | 20,432.40 | 375.16 | 680.00 | 3.33 |
| 45,000.0000 | ROYAL CARIBBEAN CRUISES<br>LTD SR NOTE<br>CPN 5.250% DUE 11/15/22<br>DTD 11/07/12 FC 05/15/13 | 780153AU6<br>S&P BBB-<br>Moodys BAA2 | M | 105.413 | 47,435.85 | 108.287 | 48,729.15 | 1,293.30 | 2,362.50 | 4.85 |
| 20,000.0000 | CONSTELLATON BRANDS INC<br>SR NOTE<br>CPN 4.250% DUE 05/01/23<br>DTD 05/14/13 FC 11/01/13 | 21036PAL2<br>S&P BBB<br>Moodys BAA3 | 5/8/17 | 104.055 | 20,811.04 | 106.295 | 21,259.00 | 447.96 | 850.00 | 4.00 |
| 40,000.0000 | IHS MARKIT LTD<br>SR NOTE<br>CPN 4.125% DUE 08/01/23<br>DTD 07/23/18 FC 02/01/19<br>CALL 07/01/23 @ 100.000 | 44962LAG2<br>S&P BBB-<br>Moodys BA1 | 4/12/19 | 101.959 | 40,783.57 | 106.257 | 42,502.80 | 1,719.23 | 1,650.00 | 3.88 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Corporate Bonds (continued) | | | | | | | | | |
| 25,000.0000 | BANK AMERICA CORP<br>MEDIUM TERM NOTE<br>CPN 4.000% DUE 04/01/24<br>DTD 04/01/14 FC 10/01/14 | 06051GFF1<br>S&P A-<br>Moodys A2 | 3/27/14 | 100.105 | 25,026.15 | 107.108 | 26,777.00 | 1,750.85 | 1,000.00 | 3.73 |
| 35,000.0000 | PNC FINL SVCS GRP INC<br>SUB NOTE<br>CPN 3.900% DUE 04/29/24<br>DTD 04/28/14 FC 10/29/14<br>CALL 03/29/24 @ 100.000 | 693475AP0<br>S&P BBB+<br>Moodys A3 | 11/20/19 | 106.602 | 37,310.74 | 106.410 | 37,243.50 | (67.24) | 1,365.00 | 3.66 |
| 50,000.0000 | SHERWIN WILLIAMS CO<br>SR NOTE<br>CPN 3.125% DUE 06/01/24<br>DTD 05/16/17 FC 12/01/17<br>CALL 04/01/24 @ 100.000 | 824348AV8<br>S&P BBB<br>Moodys BAA3 | M | 98.693 | 49,346.62 | 103.382 | 51,691.00 | 2,344.38 | 1,562.50 | 3.02 |
| 25,000.0000 | MARTIN MARIETTA MATLS<br>INC SR NOTE<br>CPN 4.250% DUE 07/02/24<br>DTD 07/02/14 FC 01/02/15<br>CALL 04/02/24 @ 100.000 | 573284AN6<br>S&P BBB+<br>Moodys BAA3 | 5/3/17 | 103.372 | 25,843.12 | 107.067 | 26,766.75 | 923.63 | 1,062.50 | 3.97 |
| 45,000.0000 | MCCORMICK & CO INC<br>SR NOTE<br>CPN 3.150% DUE 08/15/24<br>DTD 08/11/17 FC 02/15/18<br>CALL 06/15/24 @ 100.000 | 579780AM9<br>S&P BBB<br>Moodys BAA2 | 10/1/19 | 103.816 | 46,717.26 | 103.846 | 46,730.70 | 13.44 | 1,417.50 | 3.03 |
| 50,000.0000 | VISA INC<br>SR NOTE<br>CPN 3.150% DUE 12/14/25<br>DTD 12/14/15 FC 06/14/16<br>CALL 09/14/25 @ 100.000 | 92826CAD4<br>S&P AA-<br>Moodys AA3 | M | 101.061 | 50,530.49 | 105.726 | 52,863.00 | 2,332.51 | 1,575.00 | 2.98 |
| 40,000.0000 | EXPEDIA INC<br>SR NOTE<br>CPN 5.000% DUE 02/15/26<br>DTD 08/15/16 FC 02/15/17<br>CALL 11/15/25 @ 100.000 | 30212PAM7<br>S&P BBB<br>Moodys BAA3 | 5/20/19 | 106.516 | 42,606.53 | 110.324 | 44,129.60 | 1,523.07 | 2,000.00 | 4.53 |

Attachment C (Part II 10c 3 of 3)



## Holdings details (continued)

| Quantity | Holding Description | Security identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Corporate Bonds (continued) | | | | | | | | | |
| 45,000.0000 | APPLE INC<br>NOTE<br>CPN 3.250% DUE 02/23/26<br>DTD 02/23/16 FC 08/23/16<br>CALL 11/23/25 @ 100.000 | 037833BY5<br>S&P AA+<br>Moodys AA1 | M | 100.933 | 45,420.10 | 105.908 | 47,658.60 | 2,238.50 | 1,462.50 | 3.07 |
| 520,000.0000 | Subtotal - Corporate Bonds | | | | 533,517.23 | | 549,380.50 | 15,863.27 | 20,497.50 | |
| | US Government bonds | | | | | | | | | |
| 25,000.0000 | FEDL NATL MTG ASSN<br>NOTE<br>CPN 1.750% DUE 03/06/20<br>DTD 03/06/13 FC 09/06/13 | 3135G0UU5<br>S&P AA+<br>Moodys AAA | 6/30/16 | 100.137 | 25,034.37 | 100.025 | 25,006.25 | (28.12) | 437.50 | 1.75 |
| 35,000.0000 | U S TREASURY NOTE<br>CPN 1.625% DUE 03/15/20<br>DTD 03/15/17 FC 09/15/17 | 912828W63<br>Moodys AAA | M | 99.950 | 34,982.36 | 99.992 | 34,997.20 | 14.84 | 568.75 | 1.62 |
| 35,000.0000 | FEDL HOME LOAN MTG CORP<br>MEDIUM TERM NOTE<br>CPN 1.375% DUE 05/01/20<br>DTD 04/04/13 FC 11/01/13 | 3137EADR7<br>S&P AA+<br>Moodys AAA | 4/17/15 | 99.787 | 34,925.45 | 99.908 | 34,967.80 | 42.35 | 481.25 | 1.38 |
| 35,000.0000 | U S TREASURY NOTE<br>CPN 1.375% DUE 10/31/20<br>DTD 10/31/15 FC 04/30/16 | 912828L99<br>Moodys AAA | 11/2/15 | 99.305 | 34,756.65 | 99.770 | 34,919.50 | 162.85 | 481.25 | 1.38 |
| 10,000.0000 | U S TREASURY NOTE<br>CPN 2.000% DUE 11/30/20<br>DTD 11/30/13 FC 05/31/14 | 912828A42<br>Moodys AAA | 5/24/18 | 98.590 | 9,858.98 | 100.324 | 10,032.40 | 173.42 | 200.00 | 1.99 |
| 45,000.0000 | FEDL NATL MTG ASSN<br>NOTE<br>CPN 1.600% DUE 12/24/20<br>DTD 12/24/12 FC 06/24/13<br>CALL 12/24/18 @ 100.000 | 3135G0SY0<br>S&P AA+<br>Moodys AAA | 7/17/14 | 96.130 | 43,258.50 | 99.941 | 44,973.45 | 1,714.95 | 720.00 | 1.60 |
| 20,000.0000 | U S TREASURY NOTE<br>CPN 2.375% DUE 08/15/24<br>DTD 08/15/14 FC 02/15/15 | 912828D56<br>Moodys AAA | 12/19/17 | 100.062 | 20,012.44 | 103.063 | 20,612.60 | 600.16 | 475.00 | 2.30 |

Attachment A (Part II 10a 1 of 3)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Corporate Bonds (continued) | | | | | | | | | |
| 45,000.0000 | APPLE INC<br>NOTE<br>CPN 3.250% DUE 02/23/26<br>DTD 02/23/16 FC 08/23/16<br>CALL 11/23/25 @ 100.000 | 037833BY5<br>S&P AA+<br>Moodys AA1 | M | 100.933 | 45,420.10 | 105.908 | 47,658.60 | 2,238.50 | 1,462.50 | 3.07 |
| 520,000.0000 | Subtotal - Corporate Bonds | | | | 533,517.23 | | 549,380.50 | 15,863.27 | 20,497.50 | |
| | US Government bonds | | | | | | | | | |
| 25,000.0000 | FEDL NATL MTG ASSN<br>NOTE<br>CPN 1.750% DUE 03/06/20<br>DTD 03/06/13 FC 09/06/13 | 3135G0UU5<br>S&P AA+<br>Moodys AAA | 6/30/16 | 100.137 | 25,034.37 | 100.025 | 25,006.25 | (28.12) | 437.50 | 1.75 |
| 35,000.0000 | U S TREASURY NOTE<br>CPN 1.625% DUE 03/15/20<br>DTD 03/15/17 FC 09/15/17 | 912828W63<br>Moodys AAA | M | 99.950 | 34,982.36 | 99.992 | 34,997.20 | 14.84 | 568.75 | 1.62 |
| 35,000.0000 | FEDL HOME LOAN MTG CORP<br>MEDIUM TERM NOTE<br>CPN 1.375% DUE 05/01/20<br>DTD 04/04/13 FC 11/01/13 | 3137EADR7<br>S&P AA+<br>Moodys AAA | 4/17/15 | 99.787 | 34,925.45 | 99.908 | 34,967.80 | 42.35 | 481.25 | 1.38 |
| 35,000.0000 | U S TREASURY NOTE<br>CPN 1.375% DUE 10/31/20<br>DTD 10/31/15 FC 04/30/16 | 912828L99<br>Moodys AAA | 11/2/15 | 99.305 | 34,756.65 | 99.770 | 34,919.50 | 162.85 | 481.25 | 1.38 |
| 10,000.0000 | U S TREASURY NOTE<br>CPN 2.000% DUE 11/30/20<br>DTD 11/30/13 FC 05/31/14 | 912828A42<br>Moodys AAA | 5/24/18 | 98.590 | 9,858.98 | 100.324 | 10,032.40 | 173.42 | 200.00 | 1.99 |
| 45,000.0000 | FEDL NATL MTG ASSN<br>NOTE<br>CPN 1.600% DUE 12/24/20<br>DTD 12/24/12 FC 06/24/13<br>CALL 12/24/18 @ 100.000 | 3135G0SY0<br>S&P AA+<br>Moodys AAA | 7/17/14 | 96.130 | 43,258.50 | 99.941 | 44,973.45 | 1,714.95 | 720.00 | 1.60 |
| 20,000.0000 | U S TREASURY NOTE<br>CPN 2.375% DUE 08/15/24<br>DTD 08/15/14 FC 02/15/15 | 912828D56<br>Moodys AAA | 12/19/17 | 100.062 | 20,012.44 | 103.063 | 20,612.60 | 600.16 | 475.00 | 2.30 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | US Government bonds (continued) | | | | | | | | | |
| 10,000.0000 | U S TREASURY NOTE<br>CPN 2.250% DUE 10/31/24<br>DTD 10/31/17 FC 04/30/18 | 9128283D0<br>Moodys AAA | 11/30/17 | 99.555 | 9,955.47 | 102.617 | 10,261.70 | 306.23 | 225.00 | 2.19 |
| 30,000.0000 | U S TREASURY NOTE<br>CPN 2.250% DUE 11/15/25<br>DTD 11/15/15 FC 05/15/16 | 912828M56<br>Moodys AAA | 11/23/15 | 99.812 | 29,943.75 | 102.723 | 30,816.90 | 873.15 | 675.00 | 2.19 |
| 20,000.0000 | U S TREASURY NOTE<br>CPN 2.375% DUE 05/15/27<br>DTD 05/15/17 FC 11/15/17 | 912828X88<br>Moodys AAA | 12/19/17 | 99.328 | 19,865.63 | 103.731 | 20,746.20 | 880.57 | 475.00 | 2.29 |
| 40,000.0000 | U S TREASURY NOTE<br>CPN 2.750% DUE 02/15/28<br>DTD 02/15/18 FC 08/15/18 | 9128283W8<br>Moodys AAA | 8/26/19 | 109.496 | 43,798.25 | 106.613 | 42,645.20 | (1,153.05) | 1,100.00 | 2.58 |
| 65,000.0000 | U S TREASURY NOTE<br>CPN 2.625% DUE 02/15/29<br>DTD 02/15/19 FC 08/15/19 | 9128286B1<br>Moodys AAA | 9/4/19 | 109.908 | 71,440.48 | 106.055 | 68,935.75 | (2,504.73) | 1,706.25 | 2.47 |
| 10,000.0000 | FEDL NATL MTG ASSN<br>POOL #826153<br>CPN 5.500% DUE 05/01/35<br>DTD 07/01/05 FC 08/25/05<br>0.023226780000 | 31407BZS1 | 8/31/05 | 3.181 | 318.09 | 112.430 | 261.13 | (56.95) | 12.77 | 4.89 |
| 6,000.0000 | FEDL HOME LOAN MTG CORP<br>POOL #G01827 GOLD<br>CPN 4.500% DUE 06/01/35<br>DTD 05/01/05 FC 06/15/05<br>0.030656640000 | 3128LXA42 | M | 0.479 | 28.72 | 108.629 | 199.81 | 171.09 | 8.27 | 4.14 |
| 16,000.0000 | FEDL NATL MTG ASSN<br>POOL #821718<br>CPN 5.500% DUE 06/01/35<br>DTD 05/01/05 FC 06/25/05<br>0.013944640000 | 31406V4B9 | 6/9/05 | 2.603 | 416.47 | 107.548 | 239.95 | (176.51) | 12.27 | 5.11 |
| 8,000.0000 | FEDL NATL MTG ASSN<br>POOL #826202<br>CPN 5.500% DUE 07/01/35<br>DTD 06/01/05 FC 07/25/05<br>0.019105960000 | 31407B3K3 | 7/5/05 | 2.858 | 228.62 | 107.592 | 164.45 | (64.17) | 8.40 | 5.11 |

Attachment A (Part II 10a 3 of 3)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | US Government bonds (continued) | | | | | | | | | |
| 11,000.0000 | FEDL NATL MTG ASSN POOL #842288 CPN 6.000% DUE 09/01/35 DTD 09/01/05 FC 10/25/05 0.030620030000 | 31407VXR1 | 10/26/05 | 4.048 | 445.34 | 112.617 | 379.31 | (66.02) | 20.20 | 5.33 |
| 16,000.0000 | FEDL NATL MTG ASSN POOL #841922 CPN 5.500% DUE 10/01/35 DTD 11/01/05 FC 12/25/05 0.036919540000 | 31407VLB9 | 11/18/05 | 2.282 | 365.21 | 112.428 | 664.12 | 298.91 | 32.48 | 4.89 |
| 13,000.0000 | FEDL NATL MTG ASSN POOL #844342 CPN 5.500% DUE 11/01/35 DTD 11/01/05 FC 12/25/05 0.017365790000 | 31407YBK4 | 11/9/05 | N/A | N/A | 109.301 | 246.75 | N/A | 12.41 | 5.03 |
| 14,000.0000 | FEDL NATL MTG ASSN POOL #843991 CPN 6.000% DUE 11/01/35 DTD 10/01/05 FC 11/25/05 0.016190030000 | 31407XUQ2 | 11/3/05 | 1.999 | 279.85 | 110.776 | 251.08 | (28.77) | 13.59 | 5.42 |
| 11,000.0000 | FEDL NATL MTG ASSN POOL #844232 CPN 5.500% DUE 11/01/35 DTD 11/01/05 FC 12/25/05 0.021880860000 | 31407X4R9 | 11/16/05 | 0.426 | 46.86 | 112.439 | 270.62 | 223.77 | 13.23 | 4.89 |
| 6,000.0000 | FEDL NATL MTG ASSN POOL #848358 CPN 5.500% DUE 12/01/35 DTD 11/01/05 FC 12/25/05 0.024392620000 | 31408DQK3 | 11/23/05 | 1.394 | 83.63 | 112.424 | 164.53 | 80.91 | 8.04 | 4.89 |
| 16,000.0000 | FEDL NATL MTG ASSN POOL #849299 CPN 5.500% DUE 01/01/36 DTD 01/01/06 FC 02/25/06 0.013922670000 | 31408ERU8 | 2/27/06 | 0.425 | 68.04 | 112.377 | 250.33 | 182.29 | 12.25 | 4.89 |
| 497,000.0000 | Subtotal - US Government bonds | | | | 380,113.16 | | 382,007.03 | 1,647.17 | 7,698.91 | |

Attachment B (Part II 10b 1 of 20)



## Holdings details

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the Pending Trades section for more information. The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. For more details on pricing, cost basis, estimated annual income and current estimated yield see the disclosures section of the statement.

New Treasury regulations require that we report on Form 1099-B, after the close of the tax year, your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfer by gift or inheritance, which will be reflected on your form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Cost information is presented as a general guide to portfolio performance. Please refer to the disclosures section of this statement for additional information. An "M" in the purchase date indicates a position is made up of multiple trades/tax lots.

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Gain/Loss ($) Client Investment | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Mutual Funds | | | | | | | | | | |
| | AQR DIVERSIFIED ARBITRAGE CL I | ADAIX | | | | | | | | | |
| 575.4900 | Client investment | | M | 9.380 | 5,398.01 | 9.300 | 5,352.06 | (45.95) | (45.95) | – | – |
| 57.3350 | Total reinvested | | M | 8.886 | 509.49 | 9.300 | 533.21 | 23.72 | 533.21 | | |
| 632.8250 | Total quantity | | | | 5,907.50 | | 5,885.27 | (22.23) | 487.26 | 364.38 | 6.19 |
| | CALAMOS MARKET NEUTRAL INCOME CL I | CMNIX | | | | | | | | | |
| 476.9910 | Client investment | | M | 13.298 | 6,342.97 | 13.310 | 6,348.74 | 5.78 | 5.77 | – | – |
| 50.2590 | Total reinvested | | M | 12.836 | 645.11 | 13.310 | 668.95 | 23.84 | 668.95 | | |
| 527.2500 | Total quantity | | | | 6,988.08 | | 7,017.69 | 29.62 | 674.72 | 121.90 | 1.74 |
| | CAPITAL INCOME BUILDER CL F2 | CAIFX | | | | | | | | | |
| 71.2770 | Client investment | | M | 61.166 | 4,359.77 | 63.270 | 4,509.69 | 149.93 | 149.92 | – | – |
| 10.0590 | Total reinvested | | M | 60.010 | 603.64 | 63.270 | 636.43 | 32.79 | 636.43 | | |
| 81.3360 | Total quantity | | | | 4,963.41 | | 5,146.12 | 182.72 | 786.35 | 187.42 | 3.64 |
| | COLUMBIA CONVERTIBLE SECURITIES ADVISOR CL | COVRX | | | | | | | | | |
| 199.6390 | Client investment | | M | 20.389 | 4,070.41 | 22.440 | 4,479.89 | 409.49 | 409.48 | – | – |
| 30.8270 | Total reinvested | | M | 20.699 | 638.10 | 22.440 | 691.76 | 53.66 | 691.76 | | |
| 230.4660 | Total quantity | | | | 4,708.51 | | 5,171.65 | 463.15 | 1,101.24 | 115.37 | 2.23 |
| | FPA NEW INCOME | FPNIX | | | | | | | | | |
| 569.7620 | Client investment | | M | 9.872 | 5,624.87 | 9.980 | 5,686.22 | 61.35 | 61.35 | – | – |
| 26.9380 | Total reinvested | | M | 9.918 | 267.18 | 9.980 | 268.84 | 1.66 | 268.84 | | |
| 596.7000 | Total quantity | | | | 5,892.05 | | 5,955.06 | 63.01 | 330.19 | 189.27 | 3.18 |

Attachment B (Part II 10b 2 of 20)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Gain/Loss ($) Client Investment | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Mutual Funds (continued) | | | | | | | | | | |
| | FIRST EAGLE GLOBAL CL I | SGIIX | | | | | | | | | |
| 122.7150 | Client investment | | M | 58.327 | 7,157.59 | 58.210 | 7,143.24 | (14.35) | (14.35) | – | – |
| 18.6730 | Total reinvested | | M | 54.659 | 1,020.65 | 58.210 | 1,086.95 | 66.30 | 1,086.95 | | |
| 141.3880 | Total quantity | | | | 8,178.24 | | 8,230.19 | 51.95 | 1,072.60 | 82.04 | 1.00 |
| | LORD ABBETT ULTRA SHORT BOND CL F | LUBFX | | | | | | | | | |
| 762.2130 | Client investment | | M | 10.030 | 7,645.00 | 10.030 | 7,644.99 | – | (0.01) | – | – |
| 4.6900 | Total reinvested | | M | 10.028 | 47.03 | 10.030 | 47.04 | – | 47.04 | | |
| 766.9030 | Total quantity | | | | 7,692.03 | | 7,692.03 | – | 47.03 | 190.95 | 2.48 |
| | NUVEEN REAL ASSET INCOME CL I | NRIIX | | | | | | | | | |
| 205.9070 | Client investment | | M | 22.878 | 4,710.67 | 24.760 | 5,098.26 | 387.59 | 387.59 | – | – |
| 39.9860 | Total reinvested | | M | 23.236 | 929.13 | 24.760 | 990.05 | 60.92 | 990.05 | | |
| 245.8930 | Total quantity | | | | 5,639.80 | | 6,088.31 | 448.51 | 1,377.64 | 303.65 | 4.99 |
| | T ROWE PRICE CAP APPREC INSTL CL | TRAIX | | | | | | | | | |
| 133.8950 | Client investment | | M | 28.365 | 3,798.01 | 31.240 | 4,182.88 | 384.87 | 384.87 | – | – |
| 29.2780 | Total reinvested | | M | 28.446 | 832.85 | 31.240 | 914.64 | 81.80 | 914.64 | | |
| 163.1730 | Total quantity | | | | 4,630.86 | | 5,097.52 | 466.67 | 1,299.51 | 109.37 | 2.14 |
| | T ROWE PRICE INSTL FLOATING RATE INVESTOR CL | RPIFX | | | | | | | | | |
| 776.5410 | Client investment | | M | 10.010 | 7,773.17 | 9.890 | 7,679.98 | (93.18) | (93.19) | – | – |
| 115.7460 | Total reinvested | | M | 9.866 | 1,141.93 | 9.890 | 1,144.73 | 2.78 | 1,144.73 | | |
| 892.2870 | Total quantity | | | | 8,915.10 | | 8,824.71 | (90.40) | 1,051.54 | 460.59 | 5.22 |
| | THORNBURG LTD TERM U S GOVT CL I | LTUIX | | | | | | | | | |
| 618.7030 | Client investment | | M | 12.810 | 7,925.57 | 13.040 | 8,067.88 | 142.32 | 142.31 | – | – |
| 41.5270 | Total reinvested | | M | 12.839 | 533.16 | 13.040 | 541.51 | 8.36 | 541.51 | | |
| 660.2300 | Total quantity | | | | 8,458.73 | | 8,609.39 | 150.68 | 683.82 | 176.14 | 2.05 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Gain/Loss ($) Client Investment | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Mutual Funds (continued) | | | | | | | | | | |
| | VANGUARD SHORT TERM BOND INDEX ADMIRAL CL | VBIRX | | | | | | | | | |
| 386.8160 | Client investment | | M | 10.290 | 3,980.33 | 10.570 | 4,088.64 | 108.32 | 108.31 | – | – |
| 66.7650 | Total reinvested | | M | 10.325 | 689.38 | 10.570 | 705.71 | 16.33 | 705.71 | | |
| 453.5810 | Total quantity | | | | 4,669.71 | | 4,794.35 | 124.65 | 814.02 | 107.18 | 2.23 |
| | VIRTUS NEWFLEET MULTI SECTOR SHORT TERM BOND CL I | PIMSX | | | | | | | | | |
| 2,046.0470 | Client investment | | M | 4.678 | 9,572.33 | 4.730 | 9,677.80 | 105.47 | 105.47 | – | – |
| 202.5230 | Total reinvested | | M | 4.675 | 946.72 | 4.730 | 957.93 | 11.20 | 957.93 | | |
| 2,248.5700 | Total quantity | | | | 10,519.05 | | 10,635.73 | 116.67 | 1,063.40 | 342.90 | 3.22 |
| | WESTERN ASSET CORE BOND CL I | WATFX | | | | | | | | | |
| 583.1430 | Client investment | | M | 13.110 | 7,645.00 | 13.010 | 7,586.69 | (58.31) | (58.31) | – | – |
| 8.3890 | Total reinvested | | M | 13.050 | 109.48 | 13.010 | 109.14 | (0.34) | 109.14 | | |
| 591.5320 | Total quantity | | | | 7,754.48 | | 7,695.83 | (58.65) | 50.83 | 228.21 | 2.96 |
| | Subtotal - Mutual Funds | | | | 94,917.55 | | 96,843.85 | 1,926.35 | 10,840.15 | 2,979.37 | |

Included in "Client Investment" are initial purchases and shares not obtained at D.A. Davidson or shares received as a transfer. "Total reinvested" is the total of all dividends and capital gains reinvested. Gain/Loss Client Investment represents a full gain or loss on the total reinvested shares.

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 94,917.55 | 96,843.85 | 1,926.35 | 2,979.37 |

Attachment B (Part II 106 4 of 20)



## Holdings details

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the Pending Trades section for more information. The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. For more details on pricing, cost basis, estimated annual income and current estimated yield see the disclosures section of the statement.

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| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options | | | | | | | | | |
| 73.0000 | AGREE REALTY CORP | ADC | M | 40.674 | 2,969.18 | 70.170 | 5,122.41 | 2,153.23 | 170.82 | 3.33 |
| 58.0000 | ALEXANDRIA REAL ESTATE EQUITIES INC | ARE | M | 89.995 | 5,219.70 | 161.580 | 9,371.64 | 4,151.94 | 238.96 | 2.55 |
| 46.0000 | AMERICAN CAMPUS COMMUNITIES INC | ACC | M | 42.049 | 1,934.28 | 47.030 | 2,163.38 | 229.10 | 86.48 | 4.00 |
| 67.0000 | AMERICAN TOWER CORP NEW | AMT | M | 100.277 | 6,718.55 | 229.820 | 15,397.94 | 8,679.39 | 270.68 | 1.76 |
| 82.0000 | AMERICOLD REALTY TRUST | COLD | M | 30.979 | 2,540.32 | 35.060 | 2,874.92 | 334.60 | 65.60 | 2.28 |
| 88.0000 | APARTMENT INVESTMENT & MANAGEMENT COMPANY CL A NEW | AIV | M | 27.211 | 2,394.54 | 51.650 | 4,545.20 | 2,150.66 | 137.28 | 3.02 |
| 26.0000 | AVALONBAY COMMNTYS INC | AVB | 8/18/09 | 61.970 | 1,611.22 | 209.700 | 5,452.20 | 3,840.98 | 158.08 | 2.90 |
| 42.0000 | BOSTON PROPERTIES INC | BXP | M | 81.473 | 3,421.86 | 137.860 | 5,790.12 | 2,368.26 | 164.64 | 2.84 |
| 41.0000 | CAMDEN PROPERTY TRUST SBI | CPT | 6/8/18 | 90.802 | 3,722.90 | 106.100 | 4,350.10 | 627.20 | 131.20 | 3.02 |
| 17.0000 | CORESITE REALTY CORP REIT | COR | 9/27/18 | 108.889 | 1,851.12 | 112.120 | 1,906.04 | 54.92 | 82.96 | 4.35 |
| 73.0000 | CROWN CASTLE INTL CORP NEW | CCI | M | 86.349 | 6,303.51 | 142.150 | 10,376.95 | 4,073.44 | 350.40 | 3.38 |
| 116.0000 | CUBESMART | CUBE | 10/14/15 | 26.903 | 3,120.71 | 31.480 | 3,651.68 | 530.97 | 153.12 | 4.19 |
| 30.0000 | DIGITAL REALTY TRUST INC | DLR | 6/13/17 | 113.316 | 3,399.48 | 119.740 | 3,592.20 | 192.72 | 129.60 | 3.61 |
| 61.0000 | EASTGROUP PROPERTIES INC | EGP | M | 37.679 | 2,298.41 | 132.670 | 8,092.87 | 5,794.46 | 183.00 | 2.26 |
| 74.0000 | EPR PROPERTIES BEN INT | EPR | M | 58.505 | 4,329.41 | 70.640 | 5,227.36 | 897.95 | 333.00 | 6.37 |

Attachment B (Part II 10b 5 of 20)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 16.0000 | EQUINIX INC PAR $0.001 | EQIX | M | 446.484 | 7,143.74 | 583.700 | 9,339.20 | 2,195.46 | 157.44 | 1.68 |
| 82.0000 | EQUITY LIFESTYLE PROPERTIES INC | ELS | M | 45.090 | 3,697.41 | 70.390 | 5,771.98 | 2,074.57 | 100.45 | 1.74 |
| 13.0000 | ESSEX PROPERTY TRUST INC | ESS | M | 279.448 | 3,632.82 | 300.860 | 3,911.18 | 278.36 | 101.40 | 2.59 |
| 20.0000 | EXTRA SPACE STORAGE INC | EXR | 9/5/17 | 77.819 | 1,556.38 | 105.620 | 2,112.40 | 556.02 | 72.00 | 3.41 |
| 42.0000 | FEDERAL REALTY INVESTMENT TRUST SBI MARYLAND | FRT | M | 85.577 | 3,594.23 | 128.730 | 5,406.66 | 1,812.43 | 176.40 | 3.26 |
| 170.0000 | FIRST INDUSTRIAL REALTY TRUST | FR | M | 23.961 | 4,073.36 | 41.510 | 7,056.70 | 2,983.34 | 156.40 | 2.22 |
| 132.0000 | GAMING & LEISURE PROPERTIES INC | GLPI | M | 32.604 | 4,303.72 | 43.050 | 5,682.60 | 1,378.88 | 369.60 | 6.50 |
| 347.0000 | HOST HOTELS & RESORTS INC | HST | M | 14.229 | 4,937.59 | 18.550 | 6,436.85 | 1,499.26 | 277.60 | 4.31 |
| 159.0000 | INVITATION HOMES INC | INVH | M | 19.654 | 3,125.06 | 29.970 | 4,765.23 | 1,640.17 | 82.68 | 1.73 |
| 74.0000 | LTC PROPERTIES INC | LTC | 8/18/09 | 21.557 | 1,595.21 | 44.770 | 3,312.98 | 1,717.77 | 168.72 | 5.09 |
| 76.0000 | NEXPOINT RESIDENTIAL TRUST INC | NXRT | M | 46.475 | 3,532.12 | 45.000 | 3,420.00 | (112.12) | 95.00 | 2.78 |
| 179.0000 | PHYSICIANS REALTY TRUST | DOC | M | 16.425 | 2,940.02 | 18.940 | 3,390.26 | 450.24 | 164.68 | 4.86 |
| 64.0000 | SAFEHOLD INC | SAFE | M | 35.514 | 2,272.88 | 40.300 | 2,579.20 | 306.32 | 39.93 | 1.55 |
| 141.0000 | SERVICE PROPERTIES TR SBI | SVC | M | 27.547 | 3,884.20 | 24.330 | 3,430.53 | (453.67) | 304.56 | 8.88 |
| 56.0000 | SIMON PROPERTY GROUP INC NEW | SPG | M | 81.703 | 4,575.38 | 148.960 | 8,341.76 | 3,766.38 | 470.40 | 5.64 |
| 37.0000 | SL GREEN REALTY CORP | SLG | 7/16/18 | 101.630 | 3,760.31 | 91.880 | 3,399.56 | (360.75) | 130.98 | 3.85 |
| 52.0000 | STORE CAPITAL CORP | STOR | 9/17/19 | 37.148 | 1,931.71 | 37.240 | 1,936.48 | 4.77 | 72.80 | 3.76 |
| 134.0000 | TERRENO REALTY CORP | TRNO | M | 25.405 | 3,404.34 | 54.140 | 7,254.76 | 3,850.42 | 144.72 | 1.99 |

Attachment B (Part II 106 6 of 20)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 215.0000 | VICI PROPERTIES INC | VICI | 7/12/19 | 22.189 | 4,770.70 | 25.550 | 5,493.25 | 722.55 | 255.85 | 4.66 |
| 48.0000 | VORNADO REALTY TRUST | VNO | M | 81.640 | 3,918.71 | 66.500 | 3,192.00 | (726.71) | 126.72 | 3.97 |
| 107.0000 | WEINGARTEN REALTY INVESTORS SBI | WRI | 8/18/09 | 17.247 | 1,845.49 | 31.240 | 3,342.68 | 1,497.19 | 169.06 | 5.06 |
| 74.0000 | WELLTOWER INC | WELL | 8/18/09 | 34.344 | 2,541.50 | 81.780 | 6,051.72 | 3,510.22 | 257.52 | 4.25 |
| 237.0000 | WEYERHAEUSER CO | WY | M | 30.093 | 7,132.15 | 30.200 | 7,157.40 | 25.25 | 322.32 | 4.50 |
| | Subtotal - Equities / options | | | | 136,004.22 | | 200,700.39 | 64,696.17 | 6,873.05 | |

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 136,004.22 | 200,700.39 | 64,696.17 | 6,873.05 |

## Activity details

| Date | Activity | Quantity | Price ($) | Description | Total ($) | Cash ($) | Margin ($) | Money Market ($) | Bank Insured Deposit ($) |
|---|---|---|---|---|---|---|---|---|---|
| | Opening Balance | | | | 6,272.77 | 165.98 | – | 6,106.79 | – |
| 12/2/19 | Cash Sweep Out | | 1.0000 | DREYFUS GOVT INSTL FD (09999276) | – | (165.98) | – | – | – |
| 12/2/19 | MMKT Sweep In | | 1.0000 | DREYFUS GOVT INSTL FD (09999276) | – | – | – | 165.98 | – |
| 12/3/19 | PURCHASE | 4 | 306.1918 | ESSEX PROPERTY TRUST INC (297178105) | (1,224.77) | (1,224.77) | – | – | – |
| 12/5/19 | MMKT Sweep Out | | 1.0000 | DREYFUS GOVT INSTL FD (09999276) | – | – | – | (1,224.77) | – |
| 12/5/19 | Cash Sweep In | | 1.0000 | DREYFUS GOVT INSTL FD (09999276) | – | 1,224.77 | – | – | – |
| 12/11/19 | DIVIDEND | | 0.0000 | EQUINIX INC PAR $0.001 121119 16 (29444U700) | 39.36 | 39.36 | – | – | – |

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## Holdings details

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| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Gain/Loss ($) Client Investment | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Mutual Funds | | | | | | | | | | |
| | ISHARES RUSSELL 2000 VALUE ETF | IWN | | | | | | | | | |
| 165.0000 | Client investment | | M | 125.134 | 20,647.12 | 128.580 | 21,215.70 | 568.58 | 568.58 | 375.87 | 1.77 |
| | ISHARES RUSSELL 2000 GROWTH ETF | IWO | | | | | | | | | |
| 74.0000 | Client investment | | 12/19/17 | 186.680 | 13,814.32 | 214.220 | 15,852.28 | 2,037.96 | 2,037.96 | 102.41 | 0.65 |
| | ISHARES CORE MSCI TOTAL INTL STOCK ETF | IXUS | | | | | | | | | |
| 887.0000 | Client investment | | 9/6/19 | 57.540 | 51,037.98 | 61.900 | 54,905.30 | 3,867.32 | 3,867.32 | 1,439.60 | 2.62 |
| | VANGUARD GROWTH ETF | VUG | | | | | | | | | |
| 339.0000 | Client investment | | 12/19/17 | 141.880 | 48,097.28 | 182.170 | 61,755.63 | 13,658.35 | 13,658.35 | 595.62 | 0.96 |
| | VANGUARD VALUE ETF | VTV | | | | | | | | | |
| 609.0000 | Client investment | | 12/19/17 | 106.780 | 65,028.96 | 119.850 | 72,988.65 | 7,959.69 | 7,959.69 | 1,704.59 | 2.33 |
| | Subtotal - Mutual Funds | | | | 198,625.66 | | 226,717.56 | 28,091.90 | 28,091.90 | 4,218.09 | |

Included in "Client Investment" are initial purchases and shares not obtained at D.A. Davidson or shares received as a transfer. "Total reinvested" is the total of all dividends and capital gains reinvested. Gain/Loss Client Investment represents a full gain or loss on the total reinvested shares.

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 198,625.66 | 226,717.56 | 28,091.90 | 4,218.09 |

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## Holdings details

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| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | **Equities / options** | | | | | | | | | |
| 43.0000 | ALPHABET INC CL A | GOOGL | M | 1,024.804 | 44,066.56 | 1,339.390 | 57,593.77 | 13,527.21 | – | – |
| 276.0000 | AMPHENOL CORP CLASS A NEW | APH | M | 90.924 | 25,095.17 | 108.230 | 29,871.48 | 4,776.31 | 276.00 | 0.92 |
| 250.0000 | APPLE INC | AAPL | M | 149.866 | 37,466.47 | 293.650 | 73,412.50 | 35,946.03 | 770.00 | 1.05 |
| 110.0000 | BECTON DICKINSON & CO | BDX | M | 238.441 | 26,228.49 | 271.970 | 29,916.70 | 3,688.21 | 347.60 | 1.16 |
| 98.0000 | BERKSHIRE HATHAWAY INC CL B NEW | BRK/B | 12/18/17 | 199.785 | 19,578.93 | 226.500 | 22,197.00 | 2,618.07 | – | – |
| 23.0000 | BOOKING HOLDINGS INC | BKNG | M | 1,792.190 | 41,220.38 | 2,053.730 | 47,235.79 | 6,015.41 | – | – |
| 213.0000 | BROADRIDGE FINANCIAL SOLUTIONS INC | BR | M | 98.369 | 20,952.65 | 123.540 | 26,314.02 | 5,361.37 | 460.08 | 1.75 |
| 322.0000 | CVS HEALTH CORP | CVS | M | 66.172 | 21,307.45 | 74.290 | 23,921.38 | 2,613.93 | 644.00 | 2.69 |
| 348.0000 | DOLLAR TREE INC | DLTR | M | 94.249 | 32,798.69 | 94.050 | 32,729.40 | (69.29) | – | – |
| 247.0000 | EXPEDIA GROUP INC | EXPE | M | 125.304 | 30,950.14 | 108.140 | 26,710.58 | (4,239.56) | 335.92 | 1.26 |
| 288.0000 | FACEBOOK INC CL A | FB | M | 166.002 | 47,808.48 | 205.250 | 59,112.00 | 11,303.52 | – | – |
| 211.0000 | FORTUNE BRANDS HOME & SECURITY INC | FBHS | 10/4/18 | 52.552 | 11,088.58 | 65.340 | 13,786.74 | 2,698.16 | 202.56 | 1.47 |
| 183.0000 | HOME DEPOT INC | HD | M | 184.126 | 33,695.07 | 218.380 | 39,963.54 | 6,268.47 | 995.52 | 2.49 |
| 300.0000 | IAA INC | IAA | 4/29/19 | 35.529 | 10,658.59 | 47.060 | 14,118.00 | 3,459.41 | – | – |
| 934.0000 | KAR AUCTION SERVICES INC | KAR | M | 23.768 | 22,199.05 | 21.790 | 20,351.86 | (1,847.19) | 709.84 | 3.49 |
| 127.0000 | MASTERCARD INC CL A | MA | 12/18/17 | 153.709 | 19,521.10 | 298.590 | 37,920.93 | 18,399.83 | 203.20 | 0.53 |
| 147.0000 | MIDDLEBY CORP | MIDD | M | 126.392 | 18,579.62 | 109.520 | 16,099.44 | (2,480.18) | – | – |
| 154.0000 | PERKINELMER INC | PKI | 11/27/19 | 93.263 | 14,362.59 | 97.100 | 14,953.40 | 590.81 | 43.12 | 0.29 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 229.0000 | PHILLIPS 66 | PSX | M | 99.221 | 22,721.62 | 111.410 | 25,512.89 | 2,791.27 | 824.40 | 3.23 |
| 110.0000 | S&P GLOBAL INC | SPGI | M | 200.510 | 22,056.08 | 273.050 | 30,035.50 | 7,979.42 | 250.80 | 0.83 |
| 36.0000 | SHERWIN WILLIAMS CO | SHW | 12/18/17 | 407.950 | 14,686.19 | 583.540 | 21,007.44 | 6,321.25 | 162.72 | 0.77 |
| 126.0000 | THERMO FISHER SCIENTIFIC INC | TMO | 12/18/17 | 193.050 | 24,324.28 | 324.870 | 40,933.62 | 16,609.34 | 95.76 | 0.23 |
| 488.0000 | TJX COS INC NEW | TJX | M | 39.216 | 19,137.45 | 61.060 | 29,797.28 | 10,659.83 | 448.96 | 1.51 |
| 59.0000 | ULTA BEAUTY INC | ULTA | M | 293.004 | 17,287.25 | 253.140 | 14,935.26 | (2,351.99) | – | – |
| 136.0000 | UNION PACIFIC CORP | UNP | 12/18/17 | 132.366 | 18,001.82 | 180.790 | 24,587.44 | 6,585.62 | 527.68 | 2.15 |
| 196.0000 | UNITED TECHNOLOGIES CORP | UTX | M | 102.620 | 20,113.50 | 149.760 | 29,352.96 | 9,239.46 | 576.24 | 1.96 |
| 207.0000 | VISA INC CL A | V | 12/18/17 | 113.760 | 23,548.30 | 187.900 | 38,895.30 | 15,347.00 | 248.40 | 0.64 |
| 257.0000 | WALT DISNEY CO | DIS | M | 113.642 | 29,206.10 | 144.630 | 37,169.91 | 7,963.81 | 452.32 | 1.22 |
| 376.0000 | WELLS FARGO & CO NEW | WFC | M | 58.847 | 22,126.43 | 53.800 | 20,228.80 | (1,897.63) | 767.04 | 3.79 |
| 138.0000 | ZEBRA TECHNOLOGIES CORP CL A | ZBRA | M | 195.271 | 26,947.44 | 255.440 | 35,250.72 | 8,303.28 | – | – |
| 216.0000 | ZOETIS INC CL A | ZTS | 1/7/19 | 86.344 | 18,650.37 | 132.350 | 28,587.60 | 9,937.23 | 141.69 | 0.49 |
| | Subtotal - Equities / options | | | | 756,384.84 | | 962,503.25 | 206,118.41 | 9,483.85 | |

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 756,384.84 | 962,503.25 | 206,118.41 | 9,483.85 |

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## Holdings details

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| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options | | | | | | | | | |
| 36.0000 | ADIDAS AG SPONS ADR | ADDYY | M | 130.327 | 4,691.79 | 162.800 | 5,860.80 | 1,169.01 | 67.73 | 1.15 |
| 250.0000 | AIA GROUP LTD SPON ADR | AAGIY | M | 29.808 | 7,451.93 | 42.090 | 10,522.50 | 3,070.57 | 187.82 | 1.78 |
| 143.0000 | AIR LIQUIDE ADR | AIQUY | 9/27/17 | 21.546 | 3,081.04 | 28.050 | 4,011.15 | 930.11 | 57.77 | 1.44 |
| 166.0000 | ALFA LAVAL AB SWEDEN ADR | ALFVY | 10/10/16 | 15.790 | 2,621.14 | 25.140 | 4,173.24 | 1,552.10 | 86.68 | 2.08 |
| 381.0000 | ALLIANZ SE SPONSORED ADR REPSTG 1/10 SH | AZSEY | M | 19.128 | 7,287.68 | 24.210 | 9,224.01 | 1,936.33 | 385.00 | 4.17 |
| 68.0000 | AMADEUS IT GROUP SA ADS | AMADY | 7/19/19 | 81.460 | 5,539.28 | 82.320 | 5,597.76 | 58.48 | 93.18 | 1.66 |
| 1,086.0000 | AMBEV S A SPONS ADR | ABEV | M | 4.514 | 4,901.88 | 4.660 | 5,060.76 | 158.88 | 126.95 | 2.51 |
| 236.0000 | ATLAS COPCO AB SPON ADR REPSTG COM SER A | ATLKY | M | 26.254 | 6,196.04 | 40.150 | 9,475.40 | 3,279.36 | 118.70 | 1.25 |
| 50.0000 | BAIDU INC SPON ADR REPSTG ORD SHS CL A | BIDU | 10/10/16 | 181.760 | 9,087.99 | 126.400 | 6,320.00 | (2,767.99) | – | – |
| 1,346.0000 | BANCO BILBAO VIZCAYA ARGENTARIA S A SPON ADR | BBVA | M | 6.548 | 8,813.11 | 5.580 | 7,510.68 | (1,302.43) | 390.74 | 5.20 |
| 78.0000 | CANADIAN NATIONAL RAILWAY COMPANY | CNI | 10/10/16 | 66.940 | 5,221.31 | 90.450 | 7,055.10 | 1,833.79 | 126.25 | 1.79 |
| 80.0000 | CHECK POINT SOFTWARE TECHNOLOGIES LTD | CHKP | M | 88.159 | 7,052.70 | 110.960 | 8,876.80 | 1,824.10 | – | – |
| 108.0000 | CHINA MOBILE LIMITED SPONSORED ADRS | CHL | 3/27/19 | 51.776 | 5,591.87 | 42.270 | 4,565.16 | (1,026.71) | 201.32 | 4.41 |
| 32.0000 | CHUGAI PHARMACEUTICALS COMPANY LTD | CHGCY | 3/6/19 | 140.233 | 4,487.46 | 185.570 | 5,938.24 | 1,450.78 | 60.72 | 1.02 |

Attachment B (Part II 10b 11 of 20)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 40.0000 | DASSAULT SYSTEMES S A SPON ADR | DASTY | M | 95.645 | 3,825.79 | 164.510 | 6,580.40 | 2,754.61 | 56.06 | 0.85 |
| 106.0000 | DBS GROUP HLDGS LTD SPON ADR | DBSDY | M | 48.060 | 5,094.38 | 77.160 | 8,178.96 | 3,084.58 | 440.96 | 5.39 |
| 97.0000 | DENTSU INC TOKYO UNSPON ADR | DNTUY | M | 43.453 | 4,214.95 | 34.240 | 3,321.28 | (893.67) | 121.55 | 3.66 |
| 40.0000 | DIAGEO PLC NEW SPON ADR | DEO | 3/6/19 | 158.160 | 6,326.42 | 168.420 | 6,736.80 | 410.38 | 137.32 | 2.04 |
| 382.0000 | EPIROC AKTIEBOLAG ADR | EPOKY | M | 9.808 | 3,746.76 | 12.160 | 4,645.12 | 898.36 | 83.46 | 1.80 |
| 174.0000 | FANUC CORP ADR | FANUY | 10/10/16 | 17.940 | 3,121.56 | 18.420 | 3,205.08 | 83.52 | 85.53 | 2.67 |
| 57.0000 | FOMENTO ECON MEX S A B SPON ADR REP UNIT 1 SER B & 2 SER DB & 2 SER DL | FMX | M | 89.340 | 5,092.39 | 94.510 | 5,387.07 | 294.68 | 86.19 | 1.60 |
| 276.0000 | FUCHS PETROLUB SE ADR | FUPBY | 10/10/16 | 11.360 | 3,135.36 | 12.210 | 3,369.96 | 234.60 | 73.55 | 2.18 |
| 64.0000 | HDFC BANK LTD ADR REPSTG 3 SHS | HDB | 7/3/17 | 43.635 | 2,792.64 | 63.370 | 4,055.68 | 1,263.04 | 20.22 | 0.50 |
| 185.0000 | HSBC HOLDINGS PLC SPONSORED ADR NEW | HSBC | M | 39.229 | 7,257.31 | 39.090 | 7,231.65 | (25.66) | 471.75 | 6.52 |
| 380.0000 | ICICI BANK LIMITED SPONSORED ADR | IBN | 12/15/16 | 7.007 | 2,662.80 | 15.090 | 5,734.20 | 3,071.40 | 10.71 | 0.19 |
| 478.0000 | INFINEON TECHNOLOGIES AG SPONSORED ADR | IFNNY | M | 21.028 | 10,051.62 | 22.400 | 10,707.20 | 655.58 | 146.45 | 1.37 |
| 387.0000 | ITAU UNIBANCO HOLDING SA SPONSORED ADR REPRESENTING 500 PFD | ITUB | 10/10/16 | 7.230 | 2,798.10 | 9.150 | 3,541.05 | 742.95 | 274.07 | 7.74 |
| 117.0000 | KOMATSU LTD SPON ADR NEW | KMTUY | 11/13/18 | 26.899 | 3,147.18 | 24.040 | 2,812.68 | (334.50) | 122.38 | 4.35 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 66.0000 | KUBOTA CORP ADR | KUBTY | M | 76.512 | 5,049.83 | 79.000 | 5,214.00 | 164.17 | 14.05 | 0.27 |
| 146.0000 | L OREAL COMPANY ADR | LRLCY | M | 39.499 | 5,766.93 | 58.870 | 8,595.02 | 2,828.09 | 98.55 | 1.15 |
| 31.0000 | LINDE PLC | LIN | 12/13/18 | 158.284 | 4,906.80 | 212.900 | 6,599.90 | 1,693.10 | 108.50 | 1.64 |
| 161.0000 | LONZA GROUP AG ADR | LZAGY | 5/21/18 | 27.100 | 4,363.10 | 36.360 | 5,853.96 | 1,490.86 | 43.30 | 0.74 |
| 119.0000 | NESTLE S A SPON ADR REPSTG REG SHS | NSRGY | M | 81.618 | 9,712.54 | 108.260 | 12,882.94 | 3,170.40 | 241.80 | 1.88 |
| 66.0000 | NOVOZYMES A/S SPON ADR | NVZMY | 3/28/18 | 51.950 | 3,428.70 | 48.810 | 3,221.46 | (207.24) | 50.14 | 1.56 |
| 239.0000 | PING AN INSURANCE GROUP CO CHINA LTD SPON ADR REPSTG 20 H SHS | PNGAY | 3/27/19 | 21.853 | 5,222.94 | 23.800 | 5,688.20 | 465.26 | 129.65 | 2.28 |
| 56.0000 | PJSC LUKOIL SPON ADR | LUKOY | M | 88.350 | 4,947.59 | 98.710 | 5,527.76 | 580.17 | 306.28 | 5.54 |
| 58.0000 | RIO TINTO PLC SPONSORED ADR | RIO | 4/16/19 | 60.308 | 3,497.86 | 59.360 | 3,442.88 | (54.98) | 191.98 | 5.58 |
| 312.0000 | ROCHE HOLDING LIMITED SPONSORED ADR | RHHBY | M | 32.047 | 9,998.68 | 40.660 | 12,685.92 | 2,687.24 | 335.27 | 2.64 |
| 75.0000 | ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHARES | RDS/B | 10/10/16 | 55.769 | 4,182.66 | 59.970 | 4,497.75 | 315.09 | 282.00 | 6.27 |
| 95.0000 | SAP SE SPON ADR | SAP | M | 100.033 | 9,503.11 | 133.990 | 12,729.05 | 3,225.94 | 114.28 | 0.90 |
| 95.0000 | SASOL LTD SPON ADR | SSL | 10/10/16 | 29.050 | 2,759.74 | 21.610 | 2,052.95 | (706.79) | 66.59 | 3.24 |
| 128.0000 | SCHLUMBERGER LTD | SLB | M | 68.106 | 8,717.55 | 40.200 | 5,145.60 | (3,571.95) | 256.00 | 4.97 |
| 208.0000 | SCHNEIDER ELECTRIC SE ADR | SBGSY | 12/11/19 | 20.290 | 4,220.32 | 20.400 | 4,243.20 | 22.88 | 109.47 | 2.58 |
| 131.0000 | SGS SA ADR | SGSOY | 4/16/19 | 26.055 | 3,413.17 | 27.230 | 3,567.13 | 153.96 | 60.12 | 1.68 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 107.0000 | SONOVA HOLDINGS AG ADR | SONVY | 10/10/16 | 27.750 | 2,969.25 | 45.755 | 4,895.78 | 1,926.54 | 62.08 | 1.27 |
| 210.0000 | SYMRISE AG ADR | SYIEY | 10/10/16 | 17.830 | 3,744.30 | 26.150 | 5,491.50 | 1,747.20 | 52.83 | 0.96 |
| 114.0000 | SYSMEX CORP ADR | SSMXY | 10/10/16 | 36.730 | 4,187.22 | 34.000 | 3,876.00 | (311.22) | 37.84 | 0.98 |
| 268.0000 | TAIWAN SEMICONDUCTOR MANUFACTURING CO LTD SPON ADR | TSM | M | 36.081 | 9,669.85 | 58.100 | 15,570.80 | 5,900.95 | 439.94 | 2.82 |
| 110.0000 | TENCENT HOLDINGS LTD UNSPON ADR | TCEHY | M | 41.601 | 4,576.10 | 48.010 | 5,281.10 | 705.00 | 26.36 | 0.50 |
| 492.0000 | UNICHARM CORP SPONSORED ADR | UNICY | 3/6/19 | 6.986 | 3,437.17 | 6.830 | 3,360.36 | (76.81) | 23.51 | 0.70 |
| 73.0000 | UNILEVER PLC SPONSORED ADR NEW | UL | 10/10/16 | 46.489 | 3,393.69 | 57.170 | 4,173.41 | 779.72 | 131.10 | 3.14 |
| 105.0000 | YANDEX N V CL A | YNDX | 10/26/18 | 26.704 | 2,803.96 | 43.490 | 4,566.45 | 1,762.49 | – | – |
| | Subtotal - Equities / options | | | | 269,765.54 | | 318,861.85 | 49,096.32 | 7,214.70 | |

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 269,765.54 | 318,861.85 | 49,096.32 | 7,214.70 |

## Activity details

| Date | Activity | Quantity | Price ($) | Description | Total ($) | Cash ($) | Margin ($) | Money Market ($) | Bank Insured Deposit ($) |
|---|---|---|---|---|---|---|---|---|---|
| | Opening Balance | | | | 12,921.11 | – | – | 12,921.11 | – |
| 12/4/19 | DIVIDEND | | 0.0000 | UNILEVER PLC SPONSORED ADR NEW 120419 101 (904767704) | 45.11 | 45.11 | – | – | – |
| 12/5/19 | Cash Sweep Out | | 1.0000 | DREYFUS GOVT INSTL FD (09999276) | – | (45.11) | – | – | – |

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|---|---|---|---|---|---|---|---|---|---|---|---|
| | Mutual Funds | | | | | | | | | | |
| | CREDIT SUISSE COMMODITY RETURN STRATEGY INSTL CL | CRSOX | | | | | | | | | |
| 18,512.4500 | Client investment | | M | 4.786 | 88,607.79 | 4.640 | 85,897.75 | (2,710.02) | (2,710.04) | – | – |
| 788.9270 | Total reinvested | | M | 4.860 | 3,834.36 | 4.640 | 3,660.63 | (173.73) | 3,660.63 | | |
| 19,301.3770 | Total quantity | | | | 92,442.15 | | 89,558.38 | (2,883.75) | 950.59 | 1,229.49 | 1.37 |
| | NUVEEN REAL ASSET INCOME CL I | NRIIX | | | | | | | | | |
| 3,108.0430 | Client investment | | M | 24.107 | 74,926.46 | 24.760 | 76,955.12 | 2,028.69 | 2,028.66 | – | – |
| 172.5400 | Total reinvested | | M | 23.834 | 4,112.32 | 24.760 | 4,272.11 | 159.79 | 4,272.11 | | |
| 3,280.5830 | Total quantity | | | | 79,038.78 | | 81,227.23 | 2,188.48 | 6,300.77 | 4,051.19 | 4.99 |
| | Subtotal - Mutual Funds | | | | 171,480.93 | | 170,785.61 | (695.27) | 7,251.36 | 5,280.68 | |

Included in "Client Investment" are initial purchases and shares not obtained at D.A. Davidson or shares received as a transfer. "Total reinvested" is the total of all dividends and capital gains reinvested. Gain/Loss Client Investment represents a full gain or loss on the total reinvested shares.

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 171,480.93 | 170,785.61 | (695.27) | 5,280.68 |

Attachment B (Part II 10b 15 of 20)



## Holdings details

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the Pending Trades section for more information. The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. For more details on pricing, cost basis, estimated annual income and current estimated yield see the disclosures section of the statement.

New Treasury regulations require that we report on Form 1099-B, after the close of the tax year, your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfer by gift or inheritance, which will be reflected on your form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Cost information is presented as a general guide to portfolio performance. Please refer to the disclosures section of this statement for additional information. An "M" in the purchase date indicates a position is made up of multiple trades/tax lots.

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | **Equities / options** | | | | | | | | | |
| 108.0000 | ALBANY INTL CORP CL A | AIN | 4/29/19 | 73.970 | 7,988.76 | 75.920 | 8,199.36 | 210.60 | 82.08 | 1.00 |
| 190.0000 | AMERICAN ASSETS TRUST INC | AAT | 4/29/19 | 46.350 | 8,806.50 | 45.900 | 8,721.00 | (85.50) | 228.00 | 2.61 |
| 338.0000 | APERGY CORP | APY | M | 36.027 | 12,177.20 | 33.780 | 11,417.64 | (759.56) | – | – |
| 83.0000 | APTARGROUP INC | ATR | 4/29/19 | 110.940 | 9,208.01 | 115.620 | 9,596.46 | 388.45 | 119.52 | 1.24 |
| 233.0000 | AQUA AMERICA INC | WTR | 4/29/19 | 38.437 | 8,955.86 | 46.940 | 10,937.02 | 1,981.16 | 218.36 | 2.00 |
| 108.0000 | BANK OF HAWAII CORP | BOH | 4/29/19 | 83.501 | 9,018.11 | 95.160 | 10,277.28 | 1,259.17 | 289.44 | 2.82 |
| 58.0000 | BRIGHT HORIZONS FAMILY SOLUTIONS INC | BFAM | 4/29/19 | 128.280 | 7,440.23 | 150.290 | 8,716.82 | 1,276.59 | – | – |
| 185.0000 | BROOKS AUTOMATION INC | BRKS | 7/30/19 | 41.024 | 7,589.46 | 41.960 | 7,762.60 | 173.14 | 74.00 | 0.95 |
| 162.0000 | CARPENTER TECHNOLGY CORP | CRS | 4/29/19 | 50.367 | 8,159.54 | 49.780 | 8,064.36 | (95.18) | 129.60 | 1.61 |
| 55.0000 | CAVCO INDS INC DEL | CVCO | 6/18/19 | 156.140 | 8,587.69 | 195.380 | 10,745.90 | 2,158.21 | – | – |
| 148.0000 | CHART INDUSTRIES INC PAR $0.01 | GTLS | M | 81.538 | 12,067.60 | 67.490 | 9,988.52 | (2,079.08) | – | – |
| 62.0000 | COHERENT INC | COHR | M | 154.931 | 9,605.73 | 166.350 | 10,313.70 | 707.97 | – | – |
| 64.0000 | CORESITE REALTY CORP REIT | COR | 4/29/19 | 109.860 | 7,031.03 | 112.120 | 7,175.68 | 144.65 | 312.32 | 4.35 |
| 216.0000 | FIVE9 INC | FIVN | 4/29/19 | 53.383 | 11,530.69 | 65.580 | 14,165.28 | 2,634.59 | – | – |
| 167.0000 | FLIR SYSTEMS INC | FLIR | 4/29/19 | 52.858 | 8,827.29 | 52.070 | 8,695.69 | (131.60) | 113.56 | 1.30 |
| 186.0000 | FLOWSERVE CORP | FLS | M | 49.517 | 9,210.12 | 49.770 | 9,257.22 | 47.10 | 141.36 | 1.53 |
| 323.0000 | GENTEX CORP | GNTX | 4/29/19 | 23.306 | 7,527.93 | 28.980 | 9,360.54 | 1,832.61 | 148.58 | 1.59 |
| 540.0000 | GRAFTECH INTL LTD | EAF | 9/11/19 | 13.701 | 7,398.54 | 11.620 | 6,274.80 | (1,123.74) | 183.60 | 2.92 |

 Attachment B (Part II 10b 16 of 20) 

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 261.0000 | HAWAIIAN ELECTRIC INDUSTRIES INC | HE | 4/29/19 | 41.020 | 10,706.22 | 46.860 | 12,230.46 | 1,524.24 | 334.08 | 2.73 |
| 371.0000 | HORIZON THERAPEUTICS PUBLIC LTD COMPANY | HZNP | 4/29/19 | 26.360 | 9,779.56 | 36.200 | 13,430.20 | 3,650.64 | – | – |
| 222.0000 | IAA INC | IAA | M | 36.411 | 8,083.30 | 47.060 | 10,447.32 | 2,364.02 | – | – |
| 73.0000 | IDACORP INC | IDA | 8/7/19 | 103.389 | 7,547.39 | 106.800 | 7,796.40 | 249.01 | 195.64 | 2.51 |
| 143.0000 | INTEGRA LIFESCIENCES HLDGS CORP | IART | 6/18/19 | 51.966 | 7,431.14 | 58.280 | 8,334.04 | 902.90 | – | – |
| 457.0000 | KNOWLES CORP | KN | M | 18.126 | 8,283.62 | 21.150 | 9,665.55 | 1,381.93 | – | – |
| 433.0000 | KRATOS DEFENSE & SECURITY SOLUTIONS INC | KTOS | 4/29/19 | 15.899 | 6,884.44 | 18.010 | 7,798.33 | 913.89 | – | – |
| 93.0000 | LIGAND PHARMACEUTICALS INC NEW | LGND | 4/29/19 | 127.060 | 11,816.58 | 104.290 | 9,698.97 | (2,117.61) | – | – |
| 45.0000 | LITTELFUSE INC | LFUS | M | 196.831 | 8,857.39 | 191.300 | 8,608.50 | (248.89) | 86.40 | 1.00 |
| 333.0000 | LOUISIANA PACIFIC CORP | LPX | 4/29/19 | 24.660 | 8,211.68 | 29.670 | 9,880.11 | 1,668.43 | 179.82 | 1.82 |
| 110.0000 | MERCURY SYSTEM INC | MRCY | 4/29/19 | 72.420 | 7,966.18 | 69.110 | 7,602.10 | (364.08) | – | – |
| 533.0000 | NEOGENOMICS INC NEW | NEO | 4/29/19 | 21.207 | 11,303.60 | 29.250 | 15,590.25 | 4,286.65 | – | – |
| 307.0000 | NEW YORK TIMES CL A | NYT | 4/29/19 | 33.059 | 10,149.11 | 32.170 | 9,876.19 | (272.92) | 61.40 | 0.62 |
| 103.0000 | NOVOCURE LTD | NVCR | 4/29/19 | 44.709 | 4,605.01 | 84.270 | 8,679.81 | 4,074.80 | – | – |
| 111.0000 | PAYLOCITY HOLDING CORP | PCTY | 4/29/19 | 95.570 | 10,608.27 | 120.820 | 13,411.02 | 2,802.75 | – | – |
| 213.0000 | PENTAIR PLC | PNR | M | 38.889 | 8,283.34 | 45.870 | 9,770.31 | 1,486.97 | 161.88 | 1.66 |
| 161.0000 | PLANET FITNESS INC CL A | PLNT | M | 55.265 | 8,897.64 | 74.680 | 12,023.48 | 3,125.84 | – | – |
| 99.0000 | PRA HEALTH SCIENCES INC | PRAH | M | 98.340 | 9,735.70 | 111.150 | 11,003.85 | 1,268.15 | – | – |
| 198.0000 | REXFORD INDUSTRIAL REALTY INC | REXR | M | 36.869 | 7,300.17 | 45.670 | 9,042.66 | 1,742.49 | 146.52 | 1.62 |
| 78.0000 | ROYAL GOLD INC | RGLD | 4/29/19 | 86.950 | 6,782.10 | 122.250 | 9,535.50 | 2,753.40 | 87.36 | 0.92 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 142.0000 | SITEONE LANDSCAPE SUPPLY INC | SITE | M | 69.028 | 9,801.98 | 90.650 | 12,872.30 | 3,070.32 | – | – |
| 293.0000 | SKECHERS USA INC CL A | SKX | 4/29/19 | 31.629 | 9,267.30 | 43.190 | 12,654.67 | 3,387.37 | – | – |
| 254.0000 | TEREX CORP NEW | TEX | 12/17/19 | 29.940 | 7,604.91 | 29.780 | 7,564.12 | (40.79) | 111.76 | 1.48 |
| 192.0000 | TIMKEN CO | TKR | M | 49.096 | 9,426.47 | 56.310 | 10,811.52 | 1,385.05 | 215.04 | 1.99 |
| 256.0000 | TTEC HOLDINGS INC | TTEC | M | 36.164 | 9,258.08 | 39.620 | 10,142.72 | 884.64 | 163.84 | 1.61 |
| 210.0000 | US FOODS HOLDING CORP | USFD | 4/29/19 | 36.078 | 7,576.50 | 41.890 | 8,796.90 | 1,220.40 | – | – |
| 99.0000 | VIASAT INC | VSAT | 11/20/19 | 73.814 | 7,307.59 | 73.195 | 7,246.30 | (61.28) | – | – |
| 182.0000 | WEBSTER FINANCIAL CORP WATERBURY CT | WBS | M | 50.747 | 9,236.04 | 53.360 | 9,711.52 | 475.48 | 291.20 | 3.00 |
| 153.0000 | WESCO INTL INC | WCC | 10/22/19 | 47.909 | 7,330.14 | 59.390 | 9,086.67 | 1,756.53 | – | – |
| 86.0000 | WEST PHARMACEUTICAL SERVICES INC | WST | M | 122.629 | 10,546.11 | 150.330 | 12,928.38 | 2,382.27 | 55.04 | 0.42 |
| 88.0000 | WIX LTD | WIX | 4/29/19 | 133.660 | 11,762.07 | 122.380 | 10,769.44 | (992.63) | – | – |
| 103.0000 | ZENDESK INC | ZEN | 4/29/19 | 87.306 | 8,992.53 | 76.630 | 7,892.89 | (1,099.64) | – | – |
| | Subtotal - Equities / options | | | | 442,472.45 | | 494,572.35 | 52,099.91 | 4,130.40 | |

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 442,472.45 | 494,572.35 | 52,099.91 | 4,130.40 |

## Activity details

| Date | Activity | Quantity | Price ($) | Description | Total ($) | Cash ($) | Margin ($) | Money Market ($) | Bank Insured Deposit ($) |
|---|---|---|---|---|---|---|---|---|---|
| | Opening Balance | | | | 10,233.96 | 27.44 | – | 10,206.52 | – |
| 12/2/19 | DIVIDEND | | 0.0000 | AQUA AMERICA INC 120119 262 (03836W103) | 61.39 | 61.39 | – | – | – |

Attachment B (Part II 10b 18 of 20)



## Holdings details

This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month. Please see the Pending Trades section for more information. The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market. For more details on pricing, cost basis, estimated annual income and current estimated yield see the disclosures section of the statement.

New Treasury regulations require that we report on Form 1099-B, after the close of the tax year, your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfer by gift or inheritance, which will be reflected on your form 1099-B. Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns. Cost information is presented as a general guide to portfolio performance. Please refer to the disclosures section of this statement for additional information. An "M" in the purchase date indicates a position is made up of multiple trades/tax lots.

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options | | | | | | | | | |
| 45.0000 | AMERCO | UHAL | M | 370.131 | 16,655.89 | 375.820 | 16,911.90 | 256.01 | 90.00 | 0.53 |
| 319.0000 | ARAMARK | ARMK | M | 32.221 | 10,278.49 | 43.400 | 13,844.60 | 3,566.11 | 140.36 | 1.01 |
| 413.0000 | ARCONIC INC | ARNC | M | 20.614 | 8,513.46 | 30.770 | 12,708.01 | 4,194.55 | 33.04 | 0.26 |
| 232.0000 | AVISTA CORP | AVA | M | 43.801 | 10,161.90 | 48.090 | 11,156.88 | 994.98 | 359.60 | 3.22 |
| 461.0000 | AXALTA COATING SYS SYSTEMS LTD | AXTA | M | 28.329 | 13,059.83 | 30.400 | 14,014.40 | 954.57 | – | – |
| 153.0000 | BOK FINANCIAL CORP COM NEW | BOKF | M | 87.538 | 13,393.29 | 87.400 | 13,372.20 | (21.09) | 312.12 | 2.33 |
| 68.0000 | CARLISLE COMPANIES INC | CSL | M | 102.576 | 6,975.15 | 161.840 | 11,005.12 | 4,029.97 | 136.00 | 1.23 |
| 121.0000 | CERNER CORP | CERN | 1/2/19 | 52.136 | 6,308.47 | 73.390 | 8,880.19 | 2,571.72 | 87.12 | 0.98 |
| 453.0000 | CITIZENS FINANCIAL GROUP INC | CFG | M | 30.355 | 13,751.04 | 40.610 | 18,396.33 | 4,645.29 | 652.32 | 3.54 |
| 101.0000 | CITRIX SYSTEMS INC | CTXS | 10/21/19 | 103.858 | 10,489.64 | 110.900 | 11,200.90 | 711.26 | 141.40 | 1.26 |
| 280.0000 | COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A | CTSH | M | 58.248 | 16,309.42 | 62.020 | 17,365.60 | 1,056.18 | 224.00 | 1.29 |
| 508.0000 | DISCOVERY INC SER A | DISCA | M | 22.013 | 11,182.60 | 32.740 | 16,631.92 | 5,449.32 | – | – |
| 317.0000 | EBAY INC | EBAY | M | 31.452 | 9,970.25 | 36.110 | 11,446.87 | 1,476.62 | 177.52 | 1.55 |
| 247.0000 | ENCOMPASS HEALTH CORP | EHC | M | 51.199 | 12,646.23 | 69.270 | 17,109.69 | 4,463.46 | 276.64 | 1.62 |
| 153.0000 | EXPEDIA GROUP INC | EXPE | M | 116.552 | 17,832.44 | 108.140 | 16,545.42 | (1,287.02) | 208.08 | 1.26 |
| 231.0000 | FIDELITY NATIONAL FINANCIAL INC NEW FNF GROUP COM | FNF | 3/25/19 | 36.622 | 8,459.69 | 45.350 | 10,475.85 | 2,016.16 | 304.92 | 2.91 |
| 380.0000 | FIFTH THIRD BANCORP | FITB | 10/10/16 | 20.670 | 7,854.55 | 30.740 | 11,681.20 | 3,826.65 | 364.80 | 3.12 |

## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 757.0000 | HANESBRANDS INC | HBI | M | 14.745 | 11,161.75 | 14.850 | 11,241.45 | 79.70 | 454.20 | 4.04 |
| 198.0000 | INGREDION INC | INGR | M | 103.923 | 20,576.83 | 92.950 | 18,404.10 | (2,172.73) | 498.96 | 2.71 |
| 713.0000 | INTERPUBLIC GROUP COMPANY INC | IPG | M | 21.504 | 15,332.09 | 23.100 | 16,470.30 | 1,138.21 | 670.22 | 4.07 |
| 893.0000 | INVESCO LTD | IVZ | M | 26.690 | 23,834.37 | 17.980 | 16,056.14 | (7,778.23) | 1,107.32 | 6.90 |
| 95.0000 | JONES LANG LASALLE INC | JLL | M | 132.451 | 12,582.85 | 174.090 | 16,538.55 | 3,955.70 | 81.70 | 0.49 |
| 355.0000 | LKQ CORP | LKQ | M | 28.189 | 10,007.06 | 35.700 | 12,673.50 | 2,666.44 | – | – |
| 214.0000 | LOEWS CORP | L | M | 50.470 | 10,800.55 | 52.490 | 11,232.86 | 432.31 | 53.50 | 0.48 |
| 229.0000 | MASCO CORP | MAS | M | 35.215 | 8,064.36 | 47.990 | 10,989.71 | 2,925.35 | 123.66 | 1.12 |
| 763.0000 | NATIONAL OILWELL VARCO INC | NOV | M | 24.813 | 18,932.08 | 25.050 | 19,113.15 | 181.07 | 152.60 | 0.80 |
| 137.0000 | NORTHERN TRUST CORP | NTRS | M | 73.623 | 10,086.43 | 106.240 | 14,554.88 | 4,468.45 | 383.60 | 2.63 |
| 106.0000 | PIONEER NATURAL RESOURCES CO | PXD | M | 121.502 | 12,879.27 | 151.370 | 16,045.22 | 3,165.95 | 186.56 | 1.16 |
| 139.0000 | RYMAN HOSPITALITY PPTYS INC | RHP | M | 58.219 | 8,092.47 | 86.660 | 12,045.74 | 3,953.27 | 500.40 | 4.15 |
| 115.0000 | SIGNATURE BANK NEW YORK NY | SBNY | M | 113.677 | 13,072.91 | 136.610 | 15,710.15 | 2,637.24 | 257.60 | 1.64 |
| 92.0000 | SNAP ON INC | SNA | M | 144.523 | 13,296.11 | 169.400 | 15,584.80 | 2,288.69 | 397.44 | 2.55 |
| 163.0000 | THOR INDUSTRIES INC | THO | M | 55.021 | 8,968.37 | 74.290 | 12,109.27 | 3,140.90 | 260.80 | 2.15 |
| 327.0000 | UGI CORP NEW | UGI | M | 46.583 | 15,232.52 | 45.160 | 14,767.32 | (465.20) | 425.10 | 2.88 |
| 65.0000 | UNIVERSAL HEALTH SERVICES CL B | UHS | M | 119.089 | 7,740.82 | 143.460 | 9,324.90 | 1,584.08 | 52.00 | 0.56 |
| 237.0000 | VENTAS INC | VTR | M | 56.408 | 13,368.61 | 57.740 | 13,684.38 | 315.77 | 751.29 | 5.49 |
| 706.0000 | VISTRA ENERGY CORP | VST | M | 21.100 | 14,896.86 | 22.990 | 16,230.94 | 1,334.08 | 353.00 | 2.17 |
| 525.0000 | WEYERHAEUSER CO | WY | M | 31.986 | 16,792.52 | 30.200 | 15,855.00 | (937.52) | 714.00 | 4.50 |

Attachment B (Part II 10b 20 of 20)



## Holdings details (continued)

| Quantity | Holding Description | Security Identifier Ratings | Purchase Date | Cost Basis ($) | Total Cost Basis ($) | Market Value ($) | Total Market Value ($) | Gain/Loss ($) | Est. Annual Income ($) | Current Yield (%) |
|---|---|---|---|---|---|---|---|---|---|---|
| | Equities / options (continued) | | | | | | | | | |
| 22.0000 | WHITE MOUNTAINS INSURANCE GROUP LTD | WTM | M | 866.941 | 19,072.70 | 1,115.510 | 24,541.22 | 5,468.52 | 22.00 | 0.09 |
| | Subtotal - Equities / options | | | | 478,633.87 | | 545,920.66 | 67,286.79 | 10,953.87 | |

| | Total Cost Basis ($) | Total Market Value ($) | Gain/Loss ($) | Estimated Annual Income ($) |
|---|---|---|---|---|
| Total security value | | | | |
| | 478,633.87 | 545,920.66 | 67,286.79 | 10,953.87 |

## Activity details

| Date | Activity | Quantity | Price ($) | Description | Total ($) | Cash ($) | Margin ($) | Money Market ($) | Bank Insured Deposit ($) |
|---|---|---|---|---|---|---|---|---|---|
| | Opening Balance | | | | 20,446.30 | 4,504.84 | – | – | 15,941.46 |
| 12/2/19 | DIVIDEND | | 0.0000 | CARLISLE COMPANIES INC 120219 68 (142339100) | 34.00 | 34.00 | – | – | – |
| 12/2/19 | DIVIDEND | | 0.0000 | INVESCO LTD 120219 650 (G491BT108) | 201.50 | 201.50 | – | – | – |
| 12/2/19 | Cash Sweep Out | | 1.0000 | BANK INSD DEPOSIT ACCT FDIC INSURED | – | (4,504.84) | – | – | – |
| 12/2/19 | BIDP Sweep In | | 1.0000 | BANK INSD DEPOSIT ACCT FDIC INSURED | – | – | – | – | 4,504.84 |
| 12/3/19 | DIVIDEND | | 0.0000 | HANESBRANDS INC 120319 864 (410345102) | 129.60 | 129.60 | – | – | – |
| 12/3/19 | Cash Sweep Out | | 1.0000 | BANK INSD DEPOSIT ACCT FDIC INSURED | – | (235.50) | – | – | – |
| 12/3/19 | BIDP Sweep In | | 1.0000 | BANK INSD DEPOSIT ACCT FDIC INSURED | – | – | – | – | 235.50 |
| 12/4/19 | SALE | (412) | 34.2511 | ZAYO GROUP HOLDINGS INC (98919V105) | 14,111.15 | 14,111.15 | – | – | – |
| 12/4/19 | Cash Sweep Out | | 1.0000 | BANK INSD DEPOSIT ACCT FDIC INSURED | – | (129.60) | – | – | – |

Attachment



D|A|DAVIDSON

**Income Summary Statement**
**Account 36717889**

**Statement Date:** 02/13/2020
**Document ID:** FFJ3 H64 022J

**2019**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

JOE & ROBERTA NAPIER FND #11
MGD ASSETS MFP INDEX ALL EQ
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

Not reported to the IRS*

| | |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 4,636.01 |
| 1b- Qualified dividends | 3,965.74 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 118.16 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: See detail 7- Foreign tax paid: | 116.65 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

Not reported to the IRS*

| | |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

Not reported to the IRS*

| | |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 3,645.65 | 3,375.50 | 0.00 | 0.00 | 270.15 |
| Long | F (Form 1099-B not received) | 49,146.96 | 52,245.63 | 0.00 | 0.00 | -3,098.67 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **52,792.61** | **55,621.13** | **0.00** | **0.00** | **-2,828.52** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



D|A|DAVIDSON

**Income ~~Summary Statement~~**
**Account 19271926**

**Statement Date:** 02/13/2020
**Document ID:** 2252 910 W799

**2019**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

JOSEPH & ROBERTA NAPIER FD 10
MGD ASSETS REINHART MID CAP
810 COFFEEN AVE
SHERIDAN WY
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

Not reported to the IRS*

| | | |
|---|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | | 8,672.45 |
| 1b- Qualified dividends | | 7,898.44 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | | 731.34 |
| 2b- Unrecaptured Section 1250 gain | | 10.69 |
| 2c- Section 1202 gain | | 0.00 |
| 2d- Collectibles (28%) gain | | 0.00 |
| 3- Nondividend distributions | | 228.08 |
| **4- Federal income tax withheld** | | **0.00** |
| 5- Section 199A dividends | | 723.27 |
| 6- Investment expenses | | 0.00 |
| 8- Foreign country or US possession: See detail | 7- Foreign tax paid: | 4.87 |
| 9- Cash liquidation distributions | | 0.00 |
| 10- Noncash liquidation distributions | | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | | 0.00 |

### MISCELLANEOUS INCOME

Not reported to the IRS*

| | |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

Not reported to the IRS*

| | |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 90,586.71 | 99,927.81 | 0.00 | 0.00 | -9,341.10 |
| Long | F (Form 1099-B not received) | 124,951.85 | 137,656.66 | 0.00 | 0.00 | -12,704.81 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **215,538.56** | **237,584.47** | **0.00** | **0.00** | **-22,045.91** |

| **Withholding** | **Amount** |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



D|A|DAVIDSON
8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

# Income ~~Summary Statement~~
Account 50002879

JOSEPH & ROBERTA ~~NAPIER FD 9~~
C/O TONYA AKSAMIT
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

**Statement Date:** 02/13/2020
**Document ID:** PXY1 J88 WRMS

**2019**

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 34.41 |
| 1b- Qualified dividends | 2.62 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 760.14 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 0.00 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Long | F (Form 1099-B not received) | 85,866.48 | 83,087.16 | 0.00 | 0.00 | 2,779.32 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **85,866.48** | **83,087.16** | **0.00** | **0.00** | **2,779.32** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



*0208400*

| D\|A\|DAVIDSON | Income Summary Statement<br>Account 55783517 | Statement Date: 02/13/2020<br>Document ID: 81R6 PK9 1358 | 2019 |
|---|---|---|---|
| 8 Third Street North<br>P.O. Box 5015<br>Great Falls, MT 59401<br>Customer Service: 800-332-5915<br><br>PAYER'S TIN: 81-0139474 | JOE & ROBERTA NAPIER FND #3<br>C/O TONYA AKSAMIT PA<br>MGD ASSETS ALTA LARGE CAP<br>810 COFFEEN AVE<br>SHERIDAN, WY 82801-5318<br><br>RECIPIENT'S TIN: XX-XXX6070 | TRACY SWANSON, FRANK BOLEY<br>& MEGAN COOK<br>800-406-7333<br><br>Office Code: 1143<br>Rep Code: 0547 | |

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 10,500.67 |
| 1b- Qualified dividends | 9,988.79 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 0.00 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 22,206.54 | 20,645.74 | 0.00 | 0.00 | 1,560.80 |
| Long | F (Form 1099-B not received) | 212,030.31 | 187,324.26 | 0.00 | 0.00 | 24,706.05 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **234,236.85** | **207,970.00** | **0.00** | **0.00** | **26,266.85** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



**D|A|DAVIDSON**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

**Income ~~Summary Statement~~**
**Account 55783522**

JOE & ROBERTA NAPIER FND #4
C/O TONYA AKSAMIT PA
MGD ASSETS GRANITE SM CO SEL
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

**Statement Date:** 02/13/2020
**Document ID:** P22U X21 486B

**2019**

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 3,948.22 |
| 1b- Qualified dividends | 3,088.31 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 20.98 |
| 2b- Unrecaptured Section 1250 gain | 10.54 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 190.91 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 638.99 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: See detail 7- Foreign tax paid: | 3.34 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

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### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 363,852.08 | 358,569.14 | 0.00 | 0.00 | 5,282.94 |
| Long | F (Form 1099-B not received) | 292,559.86 | 201,744.62 | 0.00 | 0.00 | 90,815.24 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **656,411.94** | **560,313.76** | **0.00** | **0.00** | **96,098.18** |

| **Withholding** | **Amount** |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



D|A|DAVIDSON

**Income Summary Statement**
**Account 55783503**

**Statement Date: 02/13/2020**
**Document ID: 10PX 92M 357B**

**2019**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

JOE & ROBERTA NAPIER FND #2
C/O TONYA AKSAMIT PA
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 471.42 |
| 1b- Qualified dividends | 417.18 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 38.21 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 32.34 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

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### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 513.73 | 428.67 | 0.00 | 0.00 | 85.06 |
| Long | F (Form 1099-B not received) | 5,344.18 | 4,009.51 | 0.00 | 0.00 | 1,334.67 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **5,857.91** | **4,438.18** | **0.00** | **0.00** | **1,419.73** |

| **Withholding** | **Amount** |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



D|A|DAVIDSON

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

**Income Summary Statement**
**Account 55783536**

JOE & ROBERTA NAPIER FND #5
MGD ASSETS HARDING LOEVNER
C/O TONYA AKSAMIT PA
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

**Statement Date:** 02/13/2020
**Document ID:** 75EE 7ZX VPEW

**2019**

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 8,595.35 |
| 1b- Qualified dividends | 7,627.73 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 0.00 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: See detail 7- Foreign tax paid: | 886.48 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 9,354.46 | 9,095.80 | 0.00 | 0.00 | 258.66 |
| Long | F (Form 1099-B not received) | 130,698.38 | 120,152.56 | 0.00 | 0.00 | 10,545.82 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **140,052.84** | **129,248.36** | **0.00** | **0.00** | **10,804.48** |

| **Withholding** | **Amount** |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

*** 479 240 18 28.0011 ***

Attachment



D|A|DAVIDSON

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

PAYER'S TIN: 81-0139474

Income ~~Summary Statement~~
Account 55783739

JOE & ROBERTA NAPIER FND #7
MGD ASSETS UNIPLAN REITS
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

RECIPIENT'S TIN: XX-XXX6070

Statement Date: 02/27/2020
Document ID: 0S34 585 5DUS

**2019**

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 5,589.52 |
| 1b- Qualified dividends | 227.01 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 1,309.09 |
| 2b- Unrecaptured Section 1250 gain | 278.64 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 674.43 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 5,034.21 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 6,360.55 | 5,607.29 | 0.00 | 0.00 | 753.26 |
| Long | F (Form 1099-B not received) | 19,847.52 | 16,486.25 | 0.00 | 0.00 | 3,361.27 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **26,208.07** | **22,093.54** | **0.00** | **0.00** | **4,114.53** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



D|A|DAVIDSON

Income ~~Summary Statement~~
Account 55783744

Statement Date: 02/27/2020
Document ID: 2P98 A0T P3U0

**2019**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

JOE & ROBERTA NAPIER FND #8
CHOICE ACCOUNT
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

PAYER'S TIN: 81-0139474

RECIPIENT'S TIN: XX-XXX6070

*0207300*

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 3,642.44 |
| 1b- Qualified dividends | 620.09 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 72.68 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 422.87 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Long | F (Form 1099-B not received) | 500.00 | 518.24 | 0.00 | 0.00 | -18.24 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **500.00** | **518.24** | **0.00** | **0.00** | **-18.24** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Attachment



| D\|A\|DAVIDSON | ~~Income Summary~~ Statement<br>Account 55783541 | Statement Date: 03/06/2020<br>Document ID: 5F08 577 WQUF | 2019 |
|---|---|---|---|
| 8 Third Street North<br>P.O. Box 5015<br>Great Falls, MT 59401<br>Customer Service: 800-332-5915<br><br>PAYER'S TIN: 81-0139474 | JOE & ROBERTA NAPIER FND #6<br>MGD ASSETS DIA INT FIXED INC<br>C/O TONYA AKSAMIT PA<br>810 COFFEEN AVE<br>SHERIDAN, WY 82801-5318<br><br>RECIPIENT'S TIN: XX-XXX6070 | TRACY SWANSON, FRANK BOLEY<br>& MEGAN COOK<br>800-406-7333<br><br>Office Code: 1143<br>Rep Code: 0547 | |

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 394.20 |
| 1b- Qualified dividends | 0.00 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 0.00 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 0.00 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Long | F (Form 1099-B not received) | 369,165.43 | 367,873.62 | 612.50 | 0.00 | 679.31 |
| Undetermined | C or F (Form 1099-B not received) - Return of Principle | 589.75 | ~~0.00~~ 589.75 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **369,755.18** | ~~**367,873.62**~~ 368,463.37 | **612.50** | **0.00** | **679.31** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Attachment



D|A|DAVIDSON

**Income Summary Statement**
**Account 55783490**

**Statement Date:** 02/27/2020
**Document ID:** 04WC 7UN WMPK

**2019**

8 Third Street North
P.O. Box 5015
Great Falls, MT 59401
Customer Service: 800-332-5915

JOE & ROBERTA NAPIER FND #1
C/O TONYA AKSAMIT, PA
MGD ASSETS PARAGON
810 COFFEEN AVE
SHERIDAN, WY 82801-5318

TRACY SWANSON, FRANK BOLEY
& MEGAN COOK
800-406-7333

Office Code: 1143
Rep Code: 0547

PAYER'S TIN: 81-0139474

RECIPIENT'S TIN: XX-XXX6070

## Summary Information

### DIVIDENDS AND DISTRIBUTIONS

| | Not reported to the IRS* |
|---|---|
| 1a- Total ordinary dividends (includes lines 1b, 5) | 3,538.93 |
| 1b- Qualified dividends | 581.20 |
| 2a- Total capital gain distributions (includes lines 2b, 2c, 2d) | 697.70 |
| 2b- Unrecaptured Section 1250 gain | 0.00 |
| 2c- Section 1202 gain | 0.00 |
| 2d- Collectibles (28%) gain | 0.00 |
| 3- Nondividend distributions | 69.33 |
| **4- Federal income tax withheld** | **0.00** |
| 5- Section 199A dividends | 86.03 |
| 6- Investment expenses | 0.00 |
| 8- Foreign country or US possession: 7- Foreign tax paid: | 0.00 |
| 9- Cash liquidation distributions | 0.00 |
| 10- Noncash liquidation distributions | 0.00 |
| 11- Exempt-interest dividends (includes line 12) | 0.00 |
| 12- Specified private activity bond interest dividends (AMT) | 0.00 |

### MISCELLANEOUS INCOME

| | Not reported to the IRS* |
|---|---|
| 2- Royalties | 0.00 |
| 3- Other income | 0.00 |
| **4- Federal income tax withheld** | **0.00** |
| 8- Substitute payments in lieu of dividends or interest | 0.00 |

### SECTION 1256 CONTRACTS

| | Not reported to the IRS* |
|---|---|
| 8- Profit or (loss) realized in 2019 on closed contracts | 0.00 |
| 9- Unrealized profit or (loss) on open contracts-12/31/2018 | 0.00 |
| 10- Unrealized profit or (loss) on open contracts-12/31/2019 | 0.00 |
| 11- Aggregate profit or (loss) on contracts | 0.00 |

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

*** This statement displays activity for this account which has NOT been reported to the IRS. Any transactions that are being furnished to the IRS are provided on Forms 1099, either packaged with this statement or sent separately. Because the formatting is similar to Forms 1099, we have provided the related instructions with this document.**

### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

*Refer to the* Proceeds not reported to the IRS *pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.*

| Term | Form 8949 type | Proceeds | Cost basis | Market discount | Wash sale loss disallowed | Net gain or loss(-) |
|---|---|---|---|---|---|---|
| Short | C (Form 1099-B not received) | 11,506.20 | 11,289.06 | 0.00 | 0.00 | 217.14 |
| Long | F (Form 1099-B not received) | 75,405.67 | 76,005.41 | 0.00 | 0.00 | -599.74 |
| Undetermined | C or F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | **Grand total** | **86,911.87** | **87,294.47** | **0.00** | **0.00** | **-382.60** |

| Withholding | Amount |
|---|---|
| Federal income tax withheld | 0.00 |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.