

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

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**Wos, Aldona Zofia**

Ambassador [Chief of Mission], Canada, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

Vice-Chair of President's Commission on White House Fellowships (4/2017 - Present)

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Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Wos, Aldona Zofia [electronically signed on 10/24/2019 by Wos, Aldona Zofia in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 02/28/2020 by Huitema, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/04/2020 by Apol, David in Integrity.gov]

## 1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME                                       | CITY, STATE                      | ORGANIZATION TYPE  | POSITION HELD                               | FROM    | TO      |
|---|---|----------------------------------|--------------------|---|---------|---------|
| 1 | The Louis DeJoy & Aldona Z. Wos Family Foundation, Inc. | Greensboro, North Carolina       | Private Foundation | Vice President - non-compensated            | 9/2005  | Present |
| 2 | The Institute of World Politics                         | Washington, District of Columbia | Non-Profit         | Member, Board of Trustees - non-compensated | 6/2007  | Present |
| 3 | The Victims of Communism Memorial Foundation            | Washington, District of Columbia | Non-Profit         | Member, Board of Trustees - non-compensated | 4/2009  | Present |
| 4 | Council of American Ambassadors                         | Washington, District of Columbia | Non-Profit         | Member, Board of Trustees - non-compensated | 10/2011 | Present |
| 5 | Duke University School of Law                           | Durham, North Carolina           | Non-Profit         | Member, Board of Visitors - non-compensated | 8/2018  | Present |
| 6 | Family Trust #3   | Sarasota, Florida                | Trust              | Co-Trustee                                  | 10/2010 | 12/2018 |
| 7 | Family Trust #4   | Sarasota, Florida                | Trust              | Co-Trustee                                  | 9/2010  | 12/2018 |

## 2. Filer's Employment Assets & Income and Retirement Accounts

| #   | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|----------------------|-------------|---------------------------|
| 1   | Profit Sharing Keogh, U.S. Brokerage Account #1 - Institution #1                | No  |                      |             |                           |
| 1.1 | Profit Sharing U.S. Keogh Account - Cash  | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.2 | Procter & Gamble Co Fixed Rate Senior Note                                      | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.3 | Berkshire Hathaway Inc Delaware Fixed Rate Senior Note                          | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.4 | Microsoft Corp Fixed Rate Note  | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.5 | Invesco Conservative Income Fund Institutional Class (ICIFX)                    | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 1.6 | Lord Abbett Ultra Short Bond Fund Class F (LUBFX)                               | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 1.7 | SPDR S&P 500 ETF (SPY)  | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 2   | Retirement Insured Money Market, U.S. Bank Account #4 (Cash) - Institution #1   | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 3   | TransAmerica Financial Life Insurance Company - Max Savers - Annuity - 3% Fixed | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |

### 3. Filer's Employment Agreements and Arrangements

None

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

None

## 5. Spouse's Employment Assets & Income and Retirement Accounts

| #     | DESCRIPTION   | EIF         | VALUE                      | INCOME TYPE                     | INCOME AMOUNT             |
|-------|---|-------------|----------------------------|---------------------------------|---------------------------|
| 1     | LDJ Global Strategies, LLC 401(K) Plan  | No          |                            | Cash Distribution               | \$8,478                   |
| 1.1   | American Funds 2020 Target Date Fund R5   | Yes         | \$500,001 - \$1,000,000    |                                 | None (or less than \$201) |
| 2     | XPO Logistics, Inc.   | N/A         |                            | Director Fees & Ordinary Income |                           |
| 3     | LDJ Global Strategies, LLC (Real Estate Investing & Management, Greensboro, NC) | See Endnote | No                         |                                 |                           |
| 3.1   | Management Fees   | N/A         |                            | Management Fees                 |                           |
| 3.2   | LMD Properties, LLC   | No          |                            |                                 |                           |
| 3.2.1 | Commercial Real Estate, Greensboro/High Point, NC                               | N/A         | \$5,000,001 - \$25,000,000 | Rent or Royalties               | \$100,001 - \$1,000,000   |
| 3.2.2 | U.S. bank account (cash)  | N/A         | \$15,001 - \$50,000        |                                 | None (or less than \$201) |
| 3.3   | 4035 Piedmont Parkway Associates, LLC   | No          |                            |                                 |                           |
| 3.3.1 | Commercial Real Estate, High Point, NC  | N/A         | \$5,000,001 - \$25,000,000 | Rent or Royalties               | \$100,001 - \$1,000,000   |
| 3.3.2 | U.S. bank account (cash)  | N/A         | \$15,001 - \$50,000        |                                 | None (or less than \$201) |
| 3.4   | 4000 Piedmont Parkway Associates, LLC   | No          |                            |                                 |                           |

| #     | DESCRIPTION                            | EIF | VALUE                      | INCOME TYPE       | INCOME AMOUNT             |
|-------|--|-----|----------------------------|-------------------|---------------------------|
| 3.4.1 | Commercial Real Estate, High Point, NC | N/A | \$5,000,001 - \$25,000,000 | Rent or Royalties | \$1,000,001 - \$5,000,000 |
| 3.4.2 | U.S. bank account (cash)               | N/A | \$1,001 - \$15,000         |                   | None (or less than \$201) |
| 3.5   | 3280 General Williams W. Drive, LLC    | No  |                            |                   |                           |
| 3.5.1 | Commercial Real Estate, Florence, NC   | N/A | \$5,000,001 - \$25,000,000 | Rent or Royalties | \$1,000,001 - \$5,000,000 |
| 3.5.2 | U.S. bank account (cash)               | N/A | \$100,001 - \$250,000      |                   | None (or less than \$201) |
| 3.6   | 3401 Old Burlington Rd Associates, LLC | No  |                            |                   |                           |
| 3.6.1 | Commercial Real Estate, Greensboro, NC | N/A | \$1,000,001 - \$5,000,000  | Rent or Royalties | \$100,001 - \$1,000,000   |
| 3.6.2 | U.S. bank account (cash)               | N/A | \$1,001 - \$15,000         |                   | None (or less than \$201) |
| 3.7   | Military Cutoff Associates, LLC        | No  |                            |                   |                           |
| 3.7.1 | Commercial Real Estate, Wilmington, NC | N/A | \$5,000,001 - \$25,000,000 | Rent or Royalties | \$1,000,001 - \$5,000,000 |
| 3.7.2 | U.S. bank account (cash)               | N/A | \$1,001 - \$15,000         |                   | None (or less than \$201) |
| 3.8   | LDJ Davie Industrial Ctr 1, LLC        | No  |                            |                   |                           |
| 3.8.1 | Commercial Real Estate, Mocksville, NC | N/A | \$5,000,001 - \$25,000,000 |                   | None (or less than \$201) |
| 3.9   | 2570 Florence Harllee Boulevard, LLC   | No  |                            |                   |                           |
| 3.9.1 | Commercial Real Estate, Florence, SC   | N/A | \$1,000,001 - \$5,000,000  |                   | None (or less than \$201) |
| 3.9.2 | U.S. bank account (cash)               | N/A | \$250,001 - \$500,000      |                   | None (or less than \$201) |

| #      | DESCRIPTION  | EIF | VALUE                     | INCOME TYPE | INCOME AMOUNT             |
|--------|--|-----|---------------------------|-------------|---------------------------|
| 3.10   | Aircraft Services, LLC   | No  |                           |             |                           |
| 3.10.1 | Aircraft Charter Services, Greensboro, NC                              | N/A | \$500,001 - \$1,000,000   |             | None (or less than \$201) |
| 3.10.2 | U.S. bank account (cash)   | N/A | \$15,001 - \$50,000       |             | None (or less than \$201) |
| 3.11   | U.S. bank account (cash) #1  | N/A | \$1,001 - \$15,000        | Interest    | \$5,001 - \$15,000        |
| 3.12   | U.S. bank account (cash) #2  | N/A | \$50,001 - \$100,000      |             | None (or less than \$201) |
| 3.13   | U.S. Brokerage Account #5 - Institution #6                             | No  |                           |             |                           |
| 3.13.1 | FIDELITY INSTITUTIONAL MONEY MARKET TREASURY PORTFOLIO - CL II (FCEXX) | Yes | \$1,000,001 - \$5,000,000 |             | \$50,001 - \$100,000      |
| 4      | XPO Logistics, Inc., vested restricted stock units                     | N/A | \$250,001 - \$500,000     |             | None (or less than \$201) |

## 6. Other Assets and Income

| #   | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|-----------------------------|-------------|---------------------------|
| 1   | U.S. Brokerage Account #2 Institution #1        | No  |                             |             |                           |
| 1.1 | U.S. Brokerage Account #2 (cash) Institution #1 | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 1.2 | Apple Inc Sr Fixed Rate Note                    | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 1.3 | Procter & Gamble Co Fixed Rate Senior Note      | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |
| 1.4 | Pfizer Inc Fixed Rate Note                      | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |

| #   | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-----|---|-----|-----------------------------|----------------------------|---------------------------|
| 1.5 | Colgate-Palmolive Co Medium Term Notes, Fixed Rate Notes Serg G | N/A | \$15,001 - \$50,000         | Interest                   | \$201 - \$1,000           |
| 1.6 | Berkshire Hathaway Inc Delaware Fixed Rate Senior Note          | N/A | \$15,001 - \$50,000         | Interest                   | \$1,001 - \$2,500         |
| 1.7 | Lord Abbett Growth Leaders Fund (LGLCX)                         | Yes | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 1.8 | Lord Abbett Short Duration Income Fund Class A (LALDX)          | Yes | \$500,001 - \$1,000,000     |                            | \$15,001 - \$50,000       |
| 1.9 | Putnam Growth Opportunities Fund Class C (POGCX)                | Yes | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 2   | U.S. Bank Account #1 (Cash) - Institution #2                    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 3   | U.S. Bank Account #1 (Cash) - Institution #3                    | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 4   | U.S. Bank Account #2 (Cash) - Institution #2                    | N/A | \$5,000,001 - \$25,000,000  |                            | None (or less than \$201) |
| 5   | U.S. Bank Account #3 (Cash) - Institution #2                    | N/A | \$1,000,001 - \$5,000,000   | Interest                   | \$100,001 - \$1,000,000   |
| 6   | U.S. Bank Account #4 (Cash) - Institution #2                    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 7   | U.S. Bank Account #5 (Cash) - Institution #2                    | N/A | \$50,001 - \$100,000        | Interest                   | \$201 - \$1,000           |
| 8   | U.S. Brokerage Account #1 Institution #4                        | No  |                             |                            |                           |
| 8.1 | U.S. Brokerage Account #1 (cash) Institution #4                 | N/A | \$100,001 - \$250,000       | Interest                   | \$1,001 - \$2,500         |
| 8.2 | 3M COMPANY (MMM)  | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000        |
| 8.3 | ABBOTT LABORATORIES (ABT)                                       | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000       |



| #    | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT       |
|------|-------------------------------------|-----|-----------------------------|----------------------------|---------------------|
| 8.4  | ABBVIE INC COM (ABBV)               | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$15,001 - \$50,000 |
| 8.5  | AIR PROD & CHEM INC (APD)           | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000 |
| 8.6  | ALTRIA GROUP INC (MO)               | N/A | None (or less than \$1,001) | Dividends                  | \$15,001 - \$50,000 |
| 8.7  | AMGEN INC (AMGN)                    | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000  |
| 8.8  | AUTOMATIC DATA PROCESSING INC (ADP) | N/A | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000   |
| 8.9  | BB & T CORP (BBT)                   | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000 |
| 8.10 | BLACKROCK INC (BLK)                 | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000  |
| 8.11 | BROADCOM INC (AVGO)                 | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000  |
| 8.12 | CHEVRON CORP (CVX)                  | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000  |
| 8.13 | CISCO SYS INC (CSCO)                | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000 |
| 8.14 | COCA COLA CO (KO)                   | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500   |
| 8.15 | COMCAST CORP (NEW) CLASS A (CMCSA)  | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500   |
| 8.16 | CROWN CASTLE INTL CORP (CCI)        | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000 |
| 8.17 | EXXON MOBIL CORP (XOM)              | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000  |

| #    | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT           |
|------|--------------------------------------|-----|-----------------------------|----------------------------|-------------------------|
| 8.18 | HOME DEPOT INC (HD)                  | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.19 | HONEYWELL INTERNATIONAL INC (HON)    | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.20 | HP INC COM (HPQ)                     | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000       |
| 8.21 | ILL TOOL WORKS INC (ITW)             | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.22 | JOHNSON & JOHNSON (JNJ)              | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.23 | JPMORGAN CHASE & CO (JPM)            | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |
| 8.24 | ELI LILLY & CO (LLY)                 | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500       |
| 8.25 | LOCKHEED MARTIN CORP (LMT)           | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.26 | LYONDELLBASELL NV CL-A (LYB)         | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.27 | MARSH & MCLENNAN COS INC (MMC)       | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.28 | MAXIM INTEGRATED PRODUCTS INC (MXIM) | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000     |
| 8.29 | MCDONALDS CORP (MCD)                 | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.30 | MEDTRONIC PLC SHS (MDT)              | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000      |
| 8.31 | MICROSOFT CORP (MSFT)                | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$100,001 - \$1,000,000 |

| #    | DESCRIPTION                      | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT       |
|------|----------------------------------|-----|-----------------------|----------------------------|---------------------|
| 8.32 | MONDELEZ INTL INC COM (MDLZ)     | N/A | \$250,001 - \$500,000 | Dividends                  | \$1,001 - \$2,500   |
| 8.33 | NEXTERA ENERGY INC (NEE)         | N/A | \$250,001 - \$500,000 | Dividends                  | \$15,001 - \$50,000 |
| 8.34 | ONEOK INC (OKE)                  | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500   |
| 8.35 | PAYCHEX INC (PAYX)               | N/A | \$250,001 - \$500,000 | Dividends                  | \$15,001 - \$50,000 |
| 8.36 | PEPSICO INC NC (PEP)             | N/A | \$250,001 - \$500,000 | Dividends                  | \$15,001 - \$50,000 |
| 8.37 | PFIZER INC (PFE)                 | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.38 | PHILLIPS 66 COM (PSX)            | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.39 | REALTY INCOME CORP (O)           | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.40 | SEMPRA ENERGY (SRE)              | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.41 | SIMON PPTY GROUP INC (SPG)       | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.42 | STARBUCKS CORP WASHINGTON (SBUX) | N/A | \$250,001 - \$500,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.43 | TEXAS INSTRUMENTS (TXN)          | N/A | \$250,001 - \$500,000 | Dividends<br>Capital Gains | \$15,001 - \$50,000 |
| 8.44 | U S BANCORP COM NEW (USB)        | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |
| 8.45 | VALERO ENERGY CP DELA NEW (VLO)  | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000  |

| #    | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 8.46 | WEC ENERGY GROUP INC COM (WEC)     | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 8.47 | WELLS FARGO & CO NEW (WFC)         | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 8.48 | WILLIAMS CO INC (WMB)              | N/A | \$50,001 - \$100,000        | Dividends                  | \$5,001 - \$15,000        |
| 8.49 | HASBRO INC (HAS)                   | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 8.50 | MC CORMICK AND CO NON VOTING (MKC) | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$15,001 - \$50,000       |
| 8.51 | SPDR S&P 500 ETF TRUST (SPY)       | Yes | None (or less than \$1,001) |                            | \$15,001 - \$50,000       |
| 8.52 | DARDEN RESTAURANTS (DRI)           | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 8.53 | EVERSOURCE ENERGY COM (ES)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 8.54 | PNC FINL SVCS GP (PNC)             | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 8.55 | PROLOGIS INC COM (PLD)             | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 8.56 | SYSCO CORP (SYI)                   | N/A | \$100,001 - \$250,000       | Dividends                  | \$201 - \$1,000           |
| 8.57 | ENBRIDGE INC (ENB)                 | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 8.58 | MERCK & CO INC NEW COM (MRK)       | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 8.59 | PHILIP MORRIS INTL INC (PM)        | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000        |

| #    | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT           |
|------|--|-----|-----------------------------|----------------------------|-------------------------|
| 8.60 | PUBLIC STORAGE (PSA)                     | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000         |
| 8.61 | VENTAS INC (VTR)                         | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000       |
| 9    | U.S. Brokerage Account #2 Institution #4 | No  |                             |                            |                         |
| 9.1  | ABBVIE INC COM (ABBV)                    | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$50,001 - \$100,000    |
| 9.2  | ALTRIA GROUP INC (MO)                    | N/A | \$100,001 - \$250,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.3  | AMERICAN ELECTRIC POWER CO (AEP)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000     |
| 9.4  | AT&T INC (T)                             | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.5  | BCE INC (BCE)                            | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.6  | BP PLC ADS (BP)                          | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.7  | BRITISH AMER TOB SPON ADR (BTI)          | N/A | \$100,001 - \$250,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.8  | CDN IMPL BK COMMERCE (CM)                | N/A | \$250,001 - \$500,000       | Dividends                  | \$5,001 - \$15,000      |
| 9.9  | CHEVRON CORP (CVX)                       | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |
| 9.10 | COCA COLA CO (KO)                        | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000     |
| 9.11 | CROWN CASTLE INTL CORP (CCI)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$100,001 - \$1,000,000 |
| 9.12 | DOMINION ENERGY INC (D)                  | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000     |

| #    | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT        |
|------|------------------------------------|-----|-----------------------------|----------------------------|----------------------|
| 9.13 | DUKE ENERGY CORPORATION (DUK)      | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.14 | EXXON MOBIL CORP (XOM)             | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.15 | GENERAL MILLS INC (GIS)            | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000   |
| 9.16 | GLAXOSMITHKLINE PLC ADR (GSK)      | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.17 | HUNTINGTON BANCSHARES (HBAN)       | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000   |
| 9.18 | INVESCO LTD (IVZ)                  | N/A | \$50,001 - \$100,000        | Dividends                  | \$5,001 - \$15,000   |
| 9.19 | KIMBERLY CLARK CORP (KMB)          | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$5,001 - \$15,000   |
| 9.20 | NATIONAL GRID PLC SPON ADR (NGG)   | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.21 | OCCIDENTAL PETROLEUM CORP DE (OXY) | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.22 | PEPSICO INC NC (PEP)               | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.23 | PHILIP MORRIS INTL INC (PM)        | N/A | \$250,001 - \$500,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.24 | PNC FINL SVCS GP (PNC)             | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500    |
| 9.25 | PPL CORPORATION (PPL)              | N/A | \$100,001 - \$250,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.26 | PROCTER & GAMBLE (PG)              | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$50,001 - \$100,000 |

| #    | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT        |
|------|---|-----|-----------------------------|----------------------------|----------------------|
| 9.27 | REALTY INCOME CORP (O)                          | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000   |
| 9.28 | SOUTHERN CO (SO)                                | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.29 | TOTAL S A SPON ADR (TOT)                        | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.30 | UNITED PARCEL SER INC CL-B (UPS)                | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000   |
| 9.31 | VENTAS INC (VTR)                                | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.32 | VERIZON COMMUNICATIONS (VZ)                     | N/A | \$250,001 - \$500,000       | Dividends<br>Capital Gains | \$15,001 - \$50,000  |
| 9.33 | VODAFONE GROUP PLC (VOD)                        | N/A | \$100,001 - \$250,000       | Dividends                  | \$15,001 - \$50,000  |
| 9.34 | WELLTOWER INC (WELL)                            | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000   |
| 9.35 | U.S. Brokerage Account #2 (cash) Institution #4 | N/A | \$100,001 - \$250,000       | Interest                   | \$1,001 - \$2,500    |
| 9.36 | ASTRAZENECA PLC ADS (AZN)                       | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$50,001 - \$100,000 |
| 9.37 | ISHARES CORE S&P U.S. VALUE (IUSV)              | Yes | None (or less than \$1,001) |                            | \$50,001 - \$100,000 |
| 9.38 | MERCK & CO INC NEW COM (MRK)                    | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000   |
| 9.39 | PFIZER INC (PFE)                                | N/A | \$250,001 - \$500,000       | Capital Gains<br>Dividends | \$15,001 - \$50,000  |
| 9.40 | PUBLIC SERVICE ENTERPRISE GP (PEG)              | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$15,001 - \$50,000  |

| #    | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|------|--|-----|-----------------------------|----------------------------|---------------------------|
| 9.41 | PUBLIC STORAGE (PSA)                     | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 9.42 | KRAFT HEINZ CO (KHC)                     | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000         |
| 9.43 | SANOFI ADR (SNY)                         | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000         |
| 9.44 | AMCOR PLC (AMCR)                         | N/A | \$50,001 - \$100,000        | Dividends                  | \$201 - \$1,000           |
| 9.45 | AMGEN INC (AMGN)                         | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 9.46 | ENBRIDGE INC (ENB)                       | N/A | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000         |
| 9.47 | GILEAD SCIENCE (GILD)                    | N/A | \$100,001 - \$250,000       | Dividends                  | \$1,001 - \$2,500         |
| 9.48 | LYONDELLBASELL NV CL-A (LYB)             | N/A | \$100,001 - \$250,000       |                            | None (or less than \$201) |
| 9.49 | REGIONS FINANCIAL CORP NEW (RF)          | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 9.50 | ROYAL DUTCH SHELL PLC CL B (RDS'B)       | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 9.51 | TC ENERGY CORP (TRP)                     | N/A | \$50,001 - \$100,000        |                            | None (or less than \$201) |
| 10   | U.S. Brokerage Account #3 Institution #4 | No  |                             |                            |                           |
| 10.1 | XPO LOGISTICS INC (XPO)                  | N/A | \$25,000,001 - \$50,000,000 | Capital Gains              | \$1,000,001 - \$5,000,000 |
| 10.2 | CLEARFORK CAPITAL FUND LLC               | Yes | \$1,000,001 - \$5,000,000   |                            | \$5,001 - \$15,000        |
| 10.3 | GS EXCHANGE PLACE LP                     | Yes | \$1,000,001 - \$5,000,000   |                            | \$5,001 - \$15,000        |



| #     | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT           |
|-------|---|-----|-----------------------------|---------------|-------------------------|
| 10.4  | U.S. Brokerage Account #3 (cash) Institution #4 | N/A | \$500,001 - \$1,000,000     | Interest      | \$5,001 - \$15,000      |
| 10.5  | CALL XPO 01/17/20 72.500 (XPO 200117C00072500)  | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |
| 10.6  | CALL XPO 05/17/19 85.000 (XPO 190517C00085000)  | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000     |
| 10.7  | CALL XPO 01/18/19 90.000 (XPO 190118C00090000)  | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |
| 10.8  | CALL XPO 01/18/19 110.000 (XPO 190118C00110000) | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |
| 10.9  | CALL XPO 01/18/19 120.000 (XPO 190118C00120000) | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |
| 10.10 | CALL XPO 02/21/20 85.000 (XPO 200221C00085000)  | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000      |
| 10.11 | CARTER'S (CRI)                                  | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.12 | BAXTER INTL INC (BAX)                           | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.13 | FLOWERS FOODS INC (FLO)                         | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.14 | ATMOS ENERGY CP (ATO)                           | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.15 | UNITED TECHNOLOGIES CORP (UTX)                  | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.16 | PHILLIPS 66 COM (PSX)                           | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 10.17 | HARRIS CORPORATION DELAWARE (HRS)               | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |

| #     | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT     |
|-------|--|-----|-----------------------------|-------------|-------------------|
| 10.18 | MC DONALDS CORP (MCD)                    | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.19 | CHURCH & DWIGHT CO INC (CHD)             | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.20 | HIGHWOODS PROPERTIES (HIW)               | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.21 | TAPESTRY INC (TPR)                       | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.22 | AMERICAN WATER WORKS CO (AWK)            | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.23 | AQUA AMER INC (WTR)                      | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.24 | CHEVRON CORP (CVX)                       | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.25 | WALT DISNEY CO HLDG CO (DIS)             | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.26 | BANK OF HAWAII CORP (BOH)                | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.27 | ELI LILLY & CO (LLY)                     | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 10.28 | EXXON MOBIL CORP (XOM)                   | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500 |
| 10.29 | PFIZER INC (PFE)                         | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500 |
| 10.30 | JOHNSON & JOHNSON (JNJ)                  | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500 |
| 10.31 | HAWAIIAN ELECTRIC IND (HE)               | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500 |
| 11    | U.S. Brokerage Account #4 Institution #4 | No  |                             |             |                   |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE           | INCOME AMOUNT      |
|-------|---|-----|-----------------------------|-----------------------|--------------------|
| 11.1  | AEGON NV 6.3750% SERIES (AEH)   | N/A | \$50,001 - \$100,000        | Dividends             | \$1,001 - \$2,500  |
| 11.2  | AEGON NV 6.5000 SERIES (AED)  | N/A | None (or less than \$1,001) | Dividends             | \$201 - \$1,000    |
| 11.3  | AGNC INVT CORP CUM 1/1000 7% C (AGNCN)                                  | N/A | \$15,001 - \$50,000         | Dividends             | \$201 - \$1,000    |
| 11.4  | AIR LEASE CORP NON CUM PFD A (AL.A)                                     | N/A | \$15,001 - \$50,000         | Dividends             | \$1,001 - \$2,500  |
| 11.5  | ALGONQUIN POWER & UTILITIES CORP 6.875%-A NOTE (AQNA)                   | N/A | \$15,001 - \$50,000         | Interest              | \$201 - \$1,000    |
| 11.6  | ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER NOTE (ALL.B) | N/A | \$50,001 - \$100,000        | Interest              | \$1,001 - \$2,500  |
| 11.7  | ALLSTATE CORP 6.625%-E (ALL.E)  | N/A | None (or less than \$1,001) | Dividends             | \$1,001 - \$2,500  |
| 11.8  | AMERICAN HOMES 4 RENT 6.25%-H (AMH.H)                                   | N/A | \$1,001 - \$15,000          | Dividends             | \$201 - \$1,000    |
| 11.9  | ANNALY CAP MGMNT 6.95%-F (NLY.F)  | N/A | \$15,001 - \$50,000         | Dividends             | \$201 - \$1,000    |
| 11.10 | ASPEN INSURANCE HLDG LTD 5.95% (AHL.C)                                  | N/A | \$100,001 - \$250,000       | Dividends             | \$5,001 - \$15,000 |
| 11.11 | ASPEN INSURANCE HOLDINGS 5.625 (AHL.D)                                  | N/A | \$1,001 - \$15,000          | Dividends             | \$201 - \$1,000    |
| 11.12 | AT&T INC 5.625% NOTE (TBC)  | N/A | \$15,001 - \$50,000         | Dividends<br>Interest | \$201 - \$1,000    |
| 11.13 | AXIS CAP HOLDINGS LTD 5.5%-E (AXS.E)                                    | N/A | \$50,001 - \$100,000        | Dividends             | \$1,001 - \$2,500  |
| 11.14 | BANCO SANTANDER SA GTD SECS 6 (SAN.B)                                   | N/A | \$15,001 - \$50,000         | Dividends             | \$201 - \$1,000    |
| 11.15 | BANK OF AMERICA CORP 6%-GG (BAC.B)                                      | N/A | \$15,001 - \$50,000         | Dividends             | \$201 - \$1,000    |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT      |
|-------|---|-----|-----------------------------|----------------------------|--------------------|
| 11.16 | BANK OF AMERICA CORP 6.2%-CC (BAC.C)                              | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500  |
| 11.17 | BANK OF AMERICA CORP 6.5%-Y (BAC.Y)                               | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000    |
| 11.18 | BANK OF AMERICA CORP 6.625%-W (BAC.W)                             | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500  |
| 11.19 | BK OF AMERICA CO 5.875% SER-HH (BAC.K)                            | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.20 | CAPITAL ONE 6.25%-C (COF.C)                                       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.21 | CAPITAL ONE FINANCIAL 6%-B (COF.P)                                | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000    |
| 11.22 | CAPITAL ONE FINANCIAL CO 6%-H (COF.H)                             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000    |
| 11.23 | CAPITAL ONE FINL CORP 6.70%-D (COF.D)                             | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500  |
| 11.24 | CHARLES SCHWAB CORP 5.95%-D (SCHW.D)                              | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500  |
| 11.25 | CHS INC (CHSCN)   | N/A | \$100,001 - \$250,000       | Dividends                  | \$5,001 - \$15,000 |
| 11.26 | CHS INC (CHSCM)   | N/A | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000  |
| 11.27 | CHS INC PERPETUAL PRF CL B (CHSCO)                                | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.28 | CHS INC/RED PFD CL B S 4 (CHSCL)                                  | N/A | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000  |
| 11.29 | CITIGROUP CAPT XIII 7.875% FIXED 10/30/15 FLOATS AFTER NOTE (C.N) | N/A | \$50,001 - \$100,000        | Interest                   | \$1,001 - \$2,500  |
| 11.30 | CITIGROUP INC 6.875%-K (C.K)                                      | N/A | \$100,001 - \$250,000       | Dividends<br>Capital Gains | \$2,501 - \$5,000  |

| #     | DESCRIPTION                            | EIF | VALUE                       | INCOME TYPE           | INCOME AMOUNT     |
|-------|--|-----|-----------------------------|-----------------------|-------------------|
| 11.31 | CITIGRP INC 7.125%-J (C.J)             | N/A | \$50,001 - \$100,000        | Dividends             | \$2,501 - \$5,000 |
| 11.32 | CITIZENS FIN GROUP 6.35%-D (CFG.D)     | N/A | \$15,001 - \$50,000         | Dividends             | \$1,001 - \$2,500 |
| 11.33 | CMS ENERGY CORP 5.875% NOTE (CMSD)     | N/A | \$15,001 - \$50,000         | Interest              | \$201 - \$1,000   |
| 11.34 | CMS ENERGY CORP 5.875% NOTE (CMSC)     | N/A | \$1,001 - \$15,000          | Interest              | \$201 - \$1,000   |
| 11.35 | COLONY CAP 7.125% CUM J (CLNY.J)       | N/A | \$15,001 - \$50,000         | Dividends             | \$1,001 - \$2,500 |
| 11.36 | COLONY CAP INC NEW CUM E PRF (CLNY.E)  | N/A | \$1,001 - \$15,000          | Dividends             | \$201 - \$1,000   |
| 11.37 | DIGITAL REALTY TRST 5.850-K (DLR.K)    | N/A | \$15,001 - \$50,000         | Dividends             | \$201 - \$1,000   |
| 11.38 | DIGITAL REALTY TRUST 7.375%-H (DLR.H)  | N/A | None (or less than \$1,001) | Dividends             | \$201 - \$1,000   |
| 11.39 | DIGITAL RLTY TR INC RED SER C (DLR.C)  | N/A | \$15,001 - \$50,000         | Dividends             | \$1,001 - \$2,500 |
| 11.40 | DUKE ENERGY CORP 5.625% NOTE (DUK.B)   | N/A | \$1,001 - \$15,000          | Interest              | \$201 - \$1,000   |
| 11.41 | ENBRIDGE INC 6.375%-B NOTE (ENBA)      | N/A | \$50,001 - \$100,000        | Dividends<br>Interest | \$2,501 - \$5,000 |
| 11.42 | ENSTAR GROUP LTD 7%-D (ESGRP)          | N/A | \$50,001 - \$100,000        | Dividends             | \$1,001 - \$2,500 |
| 11.43 | F N B CORP FLA DEP SHS REPSTG (FNB.E)  | N/A | \$50,001 - \$100,000        | Dividends             | \$1,001 - \$2,500 |
| 11.44 | FARMLAND PARTNERS INC 6%-B (FPI.B)     | N/A | \$15,001 - \$50,000         | Dividends             | \$1,001 - \$2,500 |
| 11.45 | FIFTH THIRD BANCORP 6.625%-L (FITBL)   | N/A | \$50,001 - \$100,000        | Dividends             | \$2,501 - \$5,000 |
| 11.46 | GLOBAL NET LEASE INC PFD SER A (GNL.A) | N/A | \$1,001 - \$15,000          | Dividends             | \$201 - \$1,000   |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT      |
|-------|---|-----|-----------------------------|----------------------------|--------------------|
| 11.47 | GMAC CAP TRUST I 8.125% TO 2/15/2016 FLOATS AFTER NOTE (ALLY.A) | N/A | \$100,001 - \$250,000       | Interest                   | \$5,001 - \$15,000 |
| 11.48 | GOLDMAN SACHS GRP INC 5.50%-J (GS.J)                            | N/A | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000  |
| 11.49 | GOLDMAN SACHS GRP INC 6.375%-K (GS.K)                           | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$2,501 - \$5,000  |
| 11.50 | HARTFORD FINL SVC GRP 7.875% TO 4/15/22 FLOATS AFTER NOTE (HGH) | N/A | \$15,001 - \$50,000         | Interest                   | \$1,001 - \$2,500  |
| 11.51 | HUNTINGTON BANCSHARES 6.25%-D (HBANO)                           | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500  |
| 11.52 | IBERIABANK CORP SHS PFD SR B (IBKCP)                            | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.53 | ING GROEP NV 6.1250% SER (ISG)                                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000    |
| 11.54 | INVESCO MTG CAP INC 7.75%-B (IVR.B)                             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.55 | JPMORGAN CHASE & CO 5.75-DD (JPM.D)                             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.56 | JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)                           | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.57 | JPMORGAN CHASE & CO 6.15% BB (JPM.H)                            | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000    |
| 11.58 | JPMORGAN CHASE & CO 6.3%-W (JPM.E)                              | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500  |
| 11.59 | KEYCORP 6.125% SER-E (KEY.I)                                    | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$2,501 - \$5,000  |
| 11.60 | MB FINANCIAL INC NEW SER C (MBFIO)                              | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.61 | MORGAN STANLEY 5.85%-K (MS.K)                                   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000    |
| 11.62 | MORGAN STANLEY 6.375%-I (MS.I)                                  | N/A | \$100,001 - \$250,000       | Dividends                  | \$2,501 - \$5,000  |

| #     | DESCRIPTION  | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT      |
|-------|--|-----|-----------------------|----------------------------|--------------------|
| 11.63 | MORGAN STANLEY 6.875%-F (MS.F)                         | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000 |
| 11.64 | MORGAN STANLEY 7.125%-E (MS.E)                         | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500  |
| 11.65 | NEW YORK CMNTY BC INC SER A (NYCB.A)                   | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000  |
| 11.66 | NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% NOTE (NEE.N) | N/A | \$15,001 - \$50,000   | Interest                   | \$201 - \$1,000    |
| 11.67 | NISOURCE INC 6% DEP PFD B (NI.B)                       | N/A | \$15,001 - \$50,000   | Dividends                  | \$1,001 - \$2,500  |
| 11.68 | PARTNERRE LTD 6.50% RED PFD G (PRE.G)                  | N/A | \$1,001 - \$15,000    | Dividends                  | \$201 - \$1,000    |
| 11.69 | PARTNERRE LTD 7.25% RED SER H (PRE.H)                  | N/A | \$100,001 - \$250,000 | Dividends                  | \$5,001 - \$15,000 |
| 11.70 | PEOPLES UNITED FIN INC SER A (PBCTP)                   | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000  |
| 11.71 | PNC FINL-P 6.125% FLTS 5/01/22 (PNC.P)                 | N/A | \$50,001 - \$100,000  | Dividends<br>Capital Gains | \$1,001 - \$2,500  |
| 11.72 | PRUDENTIAL FINANCIAL INC 5.625% NOTE (PRS)             | N/A | \$1,001 - \$15,000    | Interest                   | \$201 - \$1,000    |
| 11.73 | QWEST CORP 6.875% NOTE (CTV)                           | N/A | \$15,001 - \$50,000   | Interest                   | \$1,001 - \$2,500  |
| 11.74 | REGIONS FINANCIAL CO 6.375%-B (RF.B)                   | N/A | \$50,001 - \$100,000  | Dividends                  | \$2,501 - \$5,000  |
| 11.75 | REGIONS FINL CORP 6.375%-A (RF.A)                      | N/A | \$15,001 - \$50,000   | Dividends                  | \$1,001 - \$2,500  |
| 11.76 | REINSURANCE GROUP AMERICA INC NOTE (RZA)               | N/A | \$50,001 - \$100,000  | Interest                   | \$2,501 - \$5,000  |
| 11.77 | REINSURANCE GRP OF AMERICA (RZB)                       | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000  |

| #     | DESCRIPTION                             | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|----------------------------|---------------------------|
| 11.78 | SCE TRUST IV 5.375%-J (SCE.J)           | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.79 | SCE TRUST V 5.45%-K (SCE.K)             | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 11.80 | STATE ST CO 5.90%-D FXD-TO-FLT (STT.D)  | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 11.81 | STATE STREET CORP 5.350%-G (STT.G)      | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 11.82 | STIFEL FINANCIAL CORP 6.25% (SF.A)      | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 11.83 | SYNOVUS FINL CORP PFD SER D (SNV.D)     | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.84 | TAUBMAN CENTERS INC 6.5% SER-J (TCO.J)  | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.85 | THE HARTFORD FIN SER6.0%SER-G (HIG.G)   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.86 | TORCHMARK CORP NOTE (TMK.C)             | N/A | None (or less than \$1,001) | Interest                   | \$201 - \$1,000           |
| 11.87 | TWO HARBORS INVSTMNT C 7.25%-C (TWO.C)  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 11.88 | U.S. BANCORP 5.5%-K (USB.P)             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.89 | URSTADT BIDDLE PPTYS INC SER H (UBP.H)  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 11.90 | US BANCORP-F 6.5% FLTS 1/15/22 (USB.M)  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 11.91 | VALLEY NATL BANCORP SER-A (VLYPP)       | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 11.92 | VALLEY NATL BANCORP 5.50% PFD-B (VLYPO) | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.93 | WELLS FARGO & CO 5.7%-W (WFC.W)         | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 11.94 | WELLS FARGO & COMPANY 6%-V (WFC.V)      | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |



| #      | DESCRIPTION                                     | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|--------|---|-----|-----------------------|----------------------------|---------------------------|
| 11.95  | WELLS FARGO & COMPANY 6.625%-R (WFC.R)          | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 11.96  | WELLS FARGO 5.85-Q FIXD-TO-FLT (WFC.Q)          | N/A | \$50,001 - \$100,000  | Dividends                  | \$2,501 - \$5,000         |
| 11.97  | WINTRUST FINANCIAL CORP (WTFCM)                 | N/A | \$50,001 - \$100,000  | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 11.98  | ZIONS BANCORP NA 6.3000% SRS G (ZB.G)           | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500         |
| 11.99  | U.S. Brokerage Account #4 (cash) Institution #4 | N/A | \$100,001 - \$250,000 | Interest                   | \$201 - \$1,000           |
| 11.100 | AEGON FUNDING COMPANY 5.10% NOTES (AEGOZ)       | N/A | \$15,001 - \$50,000   |                            | None (or less than \$201) |
| 11.101 | AFFILIATED MANAGERS GROUP INC 5.875% NOTE (MGR) | N/A | \$15,001 - \$50,000   | Interest                   | \$201 - \$1,000           |
| 11.102 | AGNC INVESTMENT CORP 06.875%-D (AGNCM)          | N/A | \$1,001 - \$15,000    | Dividends                  | \$201 - \$1,000           |
| 11.103 | ALGONQUIN PWR & UTILS CORP A NOTE (AQNB)        | N/A | \$50,001 - \$100,000  | Interest                   | \$201 - \$1,000           |
| 11.104 | ALLSTATE CORP 5.100 H (ALL.H)                   | N/A | \$15,001 - \$50,000   | Dividends                  | \$201 - \$1,000           |
| 11.105 | ANNALY CAP MGMT INC PFD SER I (NLY.I)           | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |
| 11.106 | ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)          | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 11.107 | ATHENE HOLDING LTD 5.625 SER-B (ATH.B)          | N/A | \$15,001 - \$50,000   |                            | None (or less than \$201) |
| 11.108 | ATHENE HOLDING LTD 6.35 SER A (ATH.A)           | N/A | \$15,001 - \$50,000   | Dividends                  | \$201 - \$1,000           |

| #      | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|-----------------------------|-------------|---------------------------|
| 11.109 | BANK OF AMERICA CO 5.00 SER LL (BAC.N)          | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 11.110 | CAPITAL ONE FINANCIAL 5%-I PRF NOTE (COF.I)     | N/A | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 11.111 | DIGITAL RLTY TST INC 5.20%SERL (DLR.L)          | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 11.112 | DUKE ENERGY CORP 5.75%-A (DUK.A)                | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 11.113 | FIFTH THIRD BANCORP 6% NCUM PF (FITBP)          | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11.114 | GLOBE LIFE INC 6.125 BOND (GL.C)                | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |
| 11.115 | NATIONAL RURAL UTIL COOP 5.50% NOTE (NRUC)      | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11.116 | SOUTH JERSEY INDUSTRIES INC 5.6250% NOTE (SJLJ) | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11.117 | SPIRE INC 5.90% SER-A (SR.A)                    | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11.118 | SYNOVUS FINL CORP SER E 5.875% (SNV.E)          | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11.119 | TCF FINANCIAL CORPORATION NEW (TCFCP)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 12     | U.S. Brokerage Account #1 Institution #5        | No  |                             |             |                           |
| 12.1   | ABBOTT LABS COM (ABT)                           | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500         |
| 12.2   | ALTRIA GROUP INC COM (MO)                       | N/A | None (or less than \$1,001) | Dividends   | \$5,001 - \$15,000        |
| 12.3   | AMDOCS LTD COM GUERNSEY (DOX)                   | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500         |

| #     | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT       |
|-------|---------------------------------------|-----|-----------------------------|----------------------------|---------------------|
| 12.4  | AMERICAN WTR WKS CO INC NEW COM (AWK) | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.5  | ANNALY CAP MGMT INC REIT (NLY)        | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000  |
| 12.6  | AQUA AMERICA INC COM (WTR)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000 |
| 12.7  | AT&T INC COM (T)                      | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000   |
| 12.8  | ATMOS ENERGY CORP COM (ATO)           | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.9  | AUTOZONE INC COM (AZO)                | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000  |
| 12.10 | BANK HAWAII CORP COM (BOH)            | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.11 | BAXTER INTL INC COM (BAX)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.12 | BECTON DICKINSON & CO COM (BDX)       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500   |
| 12.13 | CARTER HLDGS INC COM (CRI)            | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000     |
| 12.14 | CBOE HLDGS INC COM (CBOE)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000 |
| 12.15 | CHEVRON CORP COM (CVX)                | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.16 | CHURCH & DWIGHT INC COM (CHD)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.17 | CLOROX CO COM (CLX)                   | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000   |

| #     | DESCRIPTION                                      | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT       |
|-------|--|-----|-----------------------------|----------------------------|---------------------|
| 12.18 | CVS HEALTH CORP COM (CVS)                        | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000     |
| 12.19 | DAVITA INC COM (DVA)                             | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500   |
| 12.20 | DISNEY WALT CO COM DISNEY (DIS)                  | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.21 | DOLLAR GEN CORP NEW COM (DG)                     | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000   |
| 12.22 | EQUITY COMMONWEALTH REITS (EQC)                  | N/A | None (or less than \$1,001) | Dividends                  | \$15,001 - \$50,000 |
| 12.23 | EQUITY LIFESTYLE PPTYS INC REITS (ELS)           | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000   |
| 12.24 | EXXON MOBIL CORP COM (XOM)                       | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000  |
| 12.25 | FEDERATED GOVT OBLIGS FUND PREMIER CLASS (GOFXX) | Yes | None (or less than \$1,001) |                            | \$5,001 - \$15,000  |
| 12.26 | GENPACT LTD COM (G)                              | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000   |
| 12.27 | HARRIS CORP DEL COM (HRS)                        | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000   |
| 12.28 | HAWAIIAN ELEC INDUSTRIES COM (HE)                | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000  |
| 12.29 | HIGHWOODS PPTYS INC COM (HIW)                    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000   |
| 12.30 | INTERNATIONAL FLAVORS&FRAGRANC COM (IFF)         | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.31 | JOHNSON & JOHNSON COM (JNJ)                      | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000  |

| #     | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|----------------------------|---------------------------|
| 12.32 | KELLOGG CO COM (K)                              | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 12.33 | KEURIG DR PEPPER INC COM (KDP)                  | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 12.34 | LIFE STORAGE INC REITS (LSI)                    | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 12.35 | LILLY ELI & CO COM (LLY)                        | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 12.36 | MADISON SQUARE GARDEN CO NEW COM<br>CL A (MSG)  | N/A | None (or less than \$1,001) |                            | None (or less than \$201) |
| 12.37 | MCDONALDS CORP COM (MCD)                        | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 12.38 | MOTOROLA SOLUTIONS INC NEW COM<br>(MSI)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 12.39 | NXP SEMICONDUCTORS NV COM<br>NETHERLANDS (NXPI) | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 12.40 | PFIZER INC COM (PFE)                            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 12.41 | PHILIP MORRIS INTL INC COM (PM)                 | N/A | None (or less than \$1,001) | Dividends                  | \$5,001 - \$15,000        |
| 12.42 | PHILLIPS 66 COM (PSX)                           | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 12.43 | RAYTHEON CO COM NEW (RTN)                       | N/A | None (or less than \$1,001) | Dividends                  | \$2,501 - \$5,000         |
| 12.44 | RENAISSANCERE HOLDINGS LTD COM<br>BERMUDA (RNR) | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 12.45 | ROYAL GOLD INC COM (RGLD)                       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |

| #     | DESCRIPTION                                | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT      |
|-------|--|-----|-----------------------------|----------------------------|--------------------|
| 12.46 | SUN COMMUNITIES INC REITS (SUI)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000 |
| 12.47 | SYSCO CORP COM (SYI)                       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000 |
| 12.48 | TAPESTRY INC COM (TPR)                     | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500  |
| 12.49 | TWENTY-FIRST CENTY FOX INC CL A COM (FOXA) | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500  |
| 12.50 | U S G CORP COM NEW (USG)                   | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500  |
| 12.51 | UNITED TECHNOLOGIES CORP COM (UTX)         | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000    |
| 12.52 | ZOETIS INC CL A COM (ZTS)                  | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000    |
| 12.53 | AETNA INC (AET)                            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000 |
| 12.54 | AMERISOURCEBERGEN CORP (ABC)               | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500  |
| 12.55 | ASPEN INS HLDGS LTD (AHL)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500  |
| 12.56 | AGILENT TECHNOLOGIES INC (A)               | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000    |
| 12.57 | AGNC INVT CORP (AGNC)                      | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000    |
| 12.58 | BIO RAD LABS INC (BIO)                     | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000 |
| 12.59 | CABOT OIL & GAS CORP (COG)                 | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000    |

| #     | DESCRIPTION                       | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT       |
|-------|-----------------------------------|-----|-----------------------------|----------------------------|---------------------|
| 12.60 | CABLE ONE INC (CABO)              | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000   |
| 12.61 | DISCOVERY INC (DISCA)             | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000     |
| 12.62 | DUNKIN BRANDS GROUP INC (DNKN)    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000 |
| 12.63 | FLOWERS FOODS INC (FLO)           | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000     |
| 12.64 | EBAY INC (EBAY)                   | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000   |
| 12.65 | FACEBOOK INC (FB)                 | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000  |
| 12.66 | GRANITE PT MTG TR INC (GPMT)      | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000     |
| 12.67 | HASBRO INC (HAS)                  | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.68 | IAC / INTERACTIVECORP (IAC)       | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000  |
| 12.69 | IQVIA HLDGS INC (IQV)             | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000  |
| 12.70 | LAUDER ESTEE COS INC (EL)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000   |
| 12.71 | LULULEMON ATHLETICA INC (LULU)    | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000   |
| 12.72 | MAXIM INTEGRATED PRODS INC (MXIM) | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000   |
| 12.73 | MONSANTO CO (MON)                 | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$15,001 - \$50,000 |

| #     | DESCRIPTION                            | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT       |
|-------|--|-----|-----------------------------|----------------------------|---------------------|
| 12.74 | MFA FINL INC (MFA)                     | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.75 | MORNINGSTAR INC (MORN)                 | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000  |
| 12.76 | NEW RESIDENTIAL INVT CORP (NRZ)        | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000     |
| 12.77 | NEW YORK CMNTY BANCORP INC (NYCB)      | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.78 | NEUROCRINE BIOSCIENCES INC (NBIX)      | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500   |
| 12.79 | ORBITAL ATK INC (OA)                   | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500   |
| 12.80 | PATTERSON COS INC (PDCO)               | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500   |
| 12.81 | PERKINELMER INC (PKI)                  | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500   |
| 12.82 | PERRIGO CO (PRGO)                      | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000  |
| 12.83 | ROCKWELL COLLINS (COL)                 | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000  |
| 12.84 | SCRIPPS NETWORKS INTERACTIVE INC (SNI) | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$1,001 - \$2,500   |
| 12.85 | TIME WARNER INC (TWC)                  | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$2,501 - \$5,000   |
| 12.86 | US FOODS HLDG CORP (USFD)              | N/A | None (or less than \$1,001) | Capital Gains              | \$15,001 - \$50,000 |
| 12.87 | WATERS CORP (WAT)                      | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500   |



| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|---------------|---------------------------|
| 12.88 | XL GROUP LTD (XL)   | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000         |
| 12.89 | PROASSURANCE CORP (PRA)   | N/A | None (or less than \$1,001) | Dividends     | \$5,001 - \$15,000        |
| 12.90 | SCHLUMBERGER LTD (SLB)  | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000           |
| 12.91 | SONOCO PRODS CO (SON)   | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000           |
| 12.92 | WESTAR ENERGY INC (WR)  | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000           |
| 13    | U.S. Brokerage Account #1 Institution #6                        | No  |                             |               |                           |
| 13.1  | BB&T CORP NON_CUMULATIVE PERPETUAL PREFERRED SERIES F (BBT.F)   | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 13.2  | BB&T CORP NON_CUMULATIVE PERPETUAL PREFERRED SERIES G (BBT.G)   | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 13.3  | FEDERATED PRIME CASH OBLIGATIONS WS (PCOXX)                     | Yes | \$1,000,001 - \$5,000,000   |               | \$100,001 - \$1,000,000   |
| 13.4  | U.S. Brokerage Account #1 (cash) Institution #6                 | N/A | None (or less than \$1,001) | Interest      | \$1,001 - \$2,500         |
| 13.5  | EATON VANCE FLOATING RATE FUND I (EIBLX)                        | Yes | None (or less than \$1,001) |               | \$100,001 - \$1,000,000   |
| 13.6  | FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND I CLASS (FFRIX) | Yes | None (or less than \$1,001) |               | \$100,001 - \$1,000,000   |
| 13.7  | GENERAL ELECTRIC CO (GE)  | N/A | None (or less than \$1,001) | Dividends     | \$5,001 - \$15,000        |
| 13.8  | PIONEER HIGH INCOME MUNICIPAL Y FUND (HIMYX)                    | Yes | \$5,000,001 - \$25,000,000  |               | None (or less than \$201) |
| 14    | U.S. Brokerage Account #2 Institution #6                        | No  |                             |               |                           |

| #    | DESCRIPTION   | EIF         | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---|-------------|-----------------------------|-------------|---------------------------|
| 14.1 | MILLBURN MULTI MKTS A LP                                  | Yes         | \$250,001 - \$500,000       |             | None (or less than \$201) |
| 14.2 | NUVEEN INTERMEDIATE DURATION MUNICIPAL TERM FUND (NID)    | Yes         | \$250,001 - \$500,000       |             | \$15,001 - \$50,000       |
| 14.3 | HANOVER VA, RATE 4.0%, MATURES 07/01/22 - MUNICIPAL BONDS | N/A         | \$50,001 - \$100,000        | Interest    | \$5,001 - \$15,000        |
| 14.4 | FIDELITY INVESTMENTS MONEY MARKET FUND CL II (FCIXX)      | Yes         | None (or less than \$1,001) |             | \$1,001 - \$2,500         |
| 14.5 | U.S. Brokerage Account (cash) #2 Institution #6           | N/A         | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 14.6 | US TREASURY BILL  | N/A         | \$5,000,001 - \$25,000,000  | Interest    | \$100,001 - \$1,000,000   |
| 14.7 | JPM SECURITIES COMMERCIAL PAPER DISCOUNTED DUE 02/06/20   | N/A         | \$5,000,001 - \$25,000,000  |             | None (or less than \$201) |
| 15   | U.S. Brokerage Account #1 Institution #7                  | No          |                             |             |                           |
| 15.1 | SCHWAB VALUE ADVANTAGE MONEY FUND (SWVXX)                 | Yes         | \$100,001 - \$250,000       |             | \$2,501 - \$5,000         |
| 15.2 | U.S. Brokerage Account #1 (cash) Institution #7           | N/A         | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 16   | WARBURG PINCUS XI FUND                                    | Yes         | \$1,000,001 - \$5,000,000   |             | \$100,001 - \$1,000,000   |
| 17   | WARBURG PINCUS XII FUND                                   | Yes         | \$1,000,001 - \$5,000,000   |             | \$100,001 - \$1,000,000   |
| 18   | DeJoy Investments No. 1 (U.S. bank account (cash))        | N/A         | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 19   | The Louis DeJoy Family Partnership, LLC                   | See Endnote | No                          |             |                           |
| 19.1 | U.S. Bank Account #7 (cash) - Institution #2              | N/A         | \$100,001 - \$250,000       | Interest    | \$15,001 - \$50,000       |

| #      | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|--------|---|-----|-----------------------------|---------------|---------------------------|
| 19.2   | U.S. Bank Account #8 (cash) - Institution #2                    | N/A | \$15,001 - \$50,000         |               | None (or less than \$201) |
| 19.3   | U.S. Brokerage Account #3 Institution #6                        | No  |                             |               |                           |
| 19.3.1 | DWS GOVERNMENT & AGENCY MONEY FUND (DTGXX)                      | Yes | \$1,000,001 - \$5,000,000   |               | \$50,001 - \$100,000      |
| 19.3.2 | EATON VANCE FLOATING RATE FUND I (EIBLX)                        | Yes | None (or less than \$1,001) |               | \$100,001 - \$1,000,000   |
| 19.3.3 | FIDELITY ADVISOR FLOATING RATE HIGH INCOME FUND I CLASS (FFRIX) | Yes | None (or less than \$1,001) |               | \$50,001 - \$100,000      |
| 19.3.4 | U.S. Brokerage Account #3 (cash) Institution #6                 | N/A | None (or less than \$1,001) | Interest      | \$201 - \$1,000           |
| 19.4   | U.S. Brokerage Account #4 Institution #6                        | No  |                             |               |                           |
| 19.4.1 | US TREASURY BILL  | N/A | \$5,000,001 - \$25,000,000  | Interest      | \$100,001 - \$1,000,000   |
| 19.4.2 | U.S. Brokerage Account #4 (cash) Institution #6                 | N/A | None (or less than \$1,001) | Interest      | \$1,001 - \$2,500         |
| 19.4.3 | JP Morgan Securities Commercial Paper                           | N/A | None (or less than \$1,001) | Interest      | \$15,001 - \$50,000       |
| 19.5   | U.S. Brokerage Account #5 Institution #4                        | No  |                             |               |                           |
| 19.5.1 | XPO LOGISTICS INC (XPO)   | N/A | \$5,000,001 - \$25,000,000  | Capital Gains | \$100,001 - \$1,000,000   |
| 19.5.2 | CLEARFORK CAPITAL LLC   | Yes | \$1,000,001 - \$5,000,000   |               | \$5,001 - \$15,000        |
| 19.5.3 | GS EXCHANGE PLACE LP  | Yes | \$1,000,001 - \$5,000,000   |               | \$5,001 - \$15,000        |
| 19.5.4 | U.S. Brokerage Account #5 (cash) Institution #4                 | N/A | \$250,001 - \$500,000       |               | None (or less than \$201) |

| #       | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT           |
|---------|---|-----|-----------------------------|---------------|-------------------------|
| 19.5.5  | CALL XPO 01/17/20 72.500 (XPO 200117C00072500)                          | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000     |
| 19.5.6  | CALL XPO 05/17/19 90.000 (XPO 190517C00090000)                          | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000     |
| 19.5.7  | CALL XPO 01/18/19 120.000 (XPO 190118C00120000)                         | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000 |
| 19.6    | U.S. Brokerage Account #6 Institution #4                                | No  |                             |               |                         |
| 19.6.1  | AEGON NV 6.3750% SERIES (AEH)   | N/A | \$15,001 - \$50,000         | Dividends     | \$1,001 - \$2,500       |
| 19.6.2  | AEGON NV 6.5000 SERIES (AED)  | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000         |
| 19.6.3  | AGNC INVT CORP CUM 1/1000 7% C (AGNCN)                                  | N/A | \$1,001 - \$15,000          | Dividends     | \$201 - \$1,000         |
| 19.6.4  | AIR LEASE CORP NON CUM PFD A (AL.A)                                     | N/A | \$15,001 - \$50,000         | Dividends     | \$201 - \$1,000         |
| 19.6.5  | ALGONQUIN POWER & UTILITIES CORP 6.875%-A NOTE (AQNA)                   | N/A | \$15,001 - \$50,000         | Interest      | \$201 - \$1,000         |
| 19.6.6  | ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER NOTE (ALL.B) | N/A | \$15,001 - \$50,000         | Interest      | \$1,001 - \$2,500       |
| 19.6.7  | ALLSTATE CORP 6.625%-E (ALL.E)  | N/A | None (or less than \$1,001) | Dividends     | \$1,001 - \$2,500       |
| 19.6.8  | AMERICAN HOMES 4 RENT 6.25%-H (AMH.H)                                   | N/A | \$1,001 - \$15,000          | Dividends     | \$201 - \$1,000         |
| 19.6.9  | ANNALY CAP MGMNT 6.95%-F (NLY.F)  | N/A | \$15,001 - \$50,000         | Dividends     | \$201 - \$1,000         |
| 19.6.10 | ASPEN INSURANCE HLDG LTD 5.95% (AHL.C)                                  | N/A | \$50,001 - \$100,000        | Dividends     | \$2,501 - \$5,000       |
| 19.6.11 | ASPEN INSURANCE HOLDINGS 5.625 (AHL.D)                                  | N/A | \$1,001 - \$15,000          | Dividends     | \$201 - \$1,000         |

| #           | DESCRIPTION                            | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------------|--|-----|-----------------------------|-------------|---------------------------|
| 19.6.1<br>2 | AT&T INC 5.625% NOTE (TBC)             | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |
| 19.6.1<br>3 | AXIS CAP HOLDINGS LTD 5.5%-E (AXS.E)   | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |
| 19.6.1<br>4 | BANCO SANTANDER SA GTD SECS 6 (SAN.B)  | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.1<br>5 | BANK OF AMERICA CORP 6%-GG (BAC.B)     | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.1<br>6 | BANK OF AMERICA CORP 6.2%-CC (BAC.C)   | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.1<br>7 | BANK OF AMERICA CORP 6.5%-Y (BAC.Y)    | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.1<br>8 | BANK OF AMERICA CORP 6.625%-W (BAC.W)  | N/A | None (or less than \$1,001) | Dividends   | \$1,001 - \$2,500         |
| 19.6.1<br>9 | BK OF AMERICA CO 5.875% SER-HH (BAC.K) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.2<br>0 | CAPITAL ONE 6.25%-C (COF.C)            | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 19.6.2<br>1 | CAPITAL ONE FINANCIAL 6%-B (COF.P)     | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.2<br>2 | CAPITAL ONE FINANCIAL CO 6%-H (COF.H)  | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.2<br>3 | CAPITAL ONE FINL CORP 6.70%-D (COF.D)  | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |
| 19.6.2<br>4 | CHARLES SCHWAB CORP 5.95%-D (SCHW.D)   | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.2<br>5 | CHS INC (CHSCN)                        | N/A | \$50,001 - \$100,000        | Dividends   | \$2,501 - \$5,000         |

| #           | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT     |
|-------------|---|-----|-----------------------------|----------------------------|-------------------|
| 19.6.2<br>6 | CHS INC (CHSCM)   | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500 |
| 19.6.2<br>7 | CHS INC PERPETUAL PRF CL B (CHSCO)                                | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000   |
| 19.6.2<br>8 | CHS INC/RED PFD CL B S 4 (CHSCL)                                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500 |
| 19.6.2<br>9 | CITIGROUP CAPT XIII 7.875% FIXED 10/30/15 FLOATS AFTER NOTE (C.N) | N/A | \$15,001 - \$50,000         | Interest                   | \$1,001 - \$2,500 |
| 19.6.3<br>0 | CITIGROUP INC 6.875%-K (C.K)                                      | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$2,501 - \$5,000 |
| 19.6.3<br>1 | CITIGRP INC 7.125%-J (C.J)  | N/A | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000 |
| 19.6.3<br>2 | CITIZENS FIN GROUP 6.35%-D (CFG.D)                                | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500 |
| 19.6.3<br>3 | CMS ENERGY CORP 5.875% NOTE (CMSD)                                | N/A | \$15,001 - \$50,000         | Interest                   | \$201 - \$1,000   |
| 19.6.3<br>4 | CMS ENERGY CORP 5.875% NOTE (CMSC)                                | N/A | \$1,001 - \$15,000          | Interest                   | \$201 - \$1,000   |
| 19.6.3<br>5 | COLONY CAP 7.125% CUM J (CLNY.J)                                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000   |
| 19.6.3<br>6 | COLONY CAP INC NEW CUM E PRF (CLNY.E)                             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000   |
| 19.6.3<br>7 | DIGITAL REALTY TRST 5.850-K (DLR.K)                               | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000   |
| 19.6.3<br>8 | DIGITAL REALTY TRUST 7.375%-H (DLR.H)                             | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000   |
| 19.6.3<br>9 | DIGITAL RLTY TR INC RED SER C (DLR.C)                             | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000   |

| #           | DESCRIPTION   | EIF | VALUE                | INCOME TYPE                | INCOME AMOUNT             |
|-------------|---|-----|----------------------|----------------------------|---------------------------|
| 19.6.4<br>0 | DUKE ENERGY CORP 5.625% NOTE (DUK.B)                            | N/A | \$1,001 - \$15,000   | Interest                   | \$201 - \$1,000           |
| 19.6.4<br>1 | ENBRIDGE INC 6.375%-B NOTE (ENBA)                               | N/A | \$15,001 - \$50,000  | Dividends<br>Interest      | \$1,001 - \$2,500         |
| 19.6.4<br>2 | ENSTAR GROUP LTD 7%-D (ESGRP)                                   | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 19.6.4<br>3 | F N B CORP FLA DEP SHS REPSTG (FNB.E)                           | N/A | \$50,001 - \$100,000 | Dividends                  | \$1,001 - \$2,500         |
| 19.6.4<br>4 | FARMLAND PARTNERS INC 6%-B (FPI.B)                              | N/A | \$15,001 - \$50,000  | Dividends                  | \$201 - \$1,000           |
| 19.6.4<br>5 | FIFTH THIRD BANCORP 6.625%-L (FITBL)                            | N/A | \$15,001 - \$50,000  | Dividends                  | \$2,501 - \$5,000         |
| 19.6.4<br>6 | GLOBAL NET LEASE INC PFD SER A (GNL.A)                          | N/A | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 19.6.4<br>7 | GMAC CAP TRUST I 8.125% TO 2/15/2016 FLOATS AFTER NOTE (ALLY.A) | N/A | \$50,001 - \$100,000 | Interest                   | \$2,501 - \$5,000         |
| 19.6.4<br>8 | GOLDMAN SACHS GRP INC 5.50%-J (GS.J)                            | N/A | \$50,001 - \$100,000 | Dividends                  | \$1,001 - \$2,500         |
| 19.6.4<br>9 | GOLDMAN SACHS GRP INC 6.375%-K (GS.K)                           | N/A | \$50,001 - \$100,000 | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 19.6.5<br>0 | HARTFORD FINL SVC GRP 7.875% TO 4/15/22 FLOATS AFTER NOTE (HGH) | N/A | \$15,001 - \$50,000  | Interest                   | \$1,001 - \$2,500         |
| 19.6.5<br>1 | HUNTINGTON BANCSHARES 6.25%-D (HBANO)                           | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 19.6.5<br>2 | IBERIABANK CORP SHS PFD SR B (IBKCP)                            | N/A | \$1,001 - \$15,000   | Dividends                  | \$201 - \$1,000           |
| 19.6.5<br>3 | ING GROEP NV 6.1250% SER (ISG)                                  | N/A | \$15,001 - \$50,000  | Dividends                  | \$201 - \$1,000           |

| #           | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT     |
|-------------|--|-----|-----------------------------|-------------|-------------------|
| 19.6.5<br>4 | INVESCO MTG CAP INC 7.75%-B (IVR.B)                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000   |
| 19.6.5<br>5 | JPMORGAN CHASE & CO 5.75-DD (JPM.D)                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000   |
| 19.6.5<br>6 | JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000   |
| 19.6.5<br>7 | JPMORGAN CHASE & CO 6.15% BB (JPM.H)                   | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000   |
| 19.6.5<br>8 | JPMORGAN CHASE & CO 6.3%-W (JPM.E)                     | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 19.6.5<br>9 | KEYCORP 6.125% SER-E (KEY.I)                           | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000   |
| 19.6.6<br>0 | MB FINANCIAL INC NEW SER C (MBFPP)                     | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000   |
| 19.6.6<br>1 | MORGAN STANLEY 5.85%-K (MS.K)                          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000   |
| 19.6.6<br>2 | MORGAN STANLEY 6.375%-I (MS.I)                         | N/A | \$50,001 - \$100,000        | Dividends   | \$2,501 - \$5,000 |
| 19.6.6<br>3 | MORGAN STANLEY 6.875%-F (MS.F)                         | N/A | \$50,001 - \$100,000        | Dividends   | \$2,501 - \$5,000 |
| 19.6.6<br>4 | MORGAN STANLEY 7.125%-E (MS.E)                         | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500 |
| 19.6.6<br>5 | NEW YORK CMNTY BC INC SER A (NYCB.A)                   | N/A | \$50,001 - \$100,000        | Dividends   | \$2,501 - \$5,000 |
| 19.6.6<br>6 | NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% NOTE (NEE.N) | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000   |
| 19.6.6<br>7 | NISOURCE INC 6% DEP PFD B (NI.B)                       | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000   |



| #           | DESCRIPTION                                | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT     |
|-------------|--|-----|-----------------------|----------------------------|-------------------|
| 19.6.6<br>8 | PARTNERRE LTD 6.50% RED PFD G (PRE.G)      | N/A | \$1,001 - \$15,000    | Dividends                  | \$201 - \$1,000   |
| 19.6.6<br>9 | PARTNERRE LTD 7.25% RED SER H (PRE.H)      | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000 |
| 19.6.7<br>0 | PEOPLES UNITED FIN INC SER A (PBCTP)       | N/A | \$50,001 - \$100,000  | Dividends                  | \$1,001 - \$2,500 |
| 19.6.7<br>1 | PNC FINL-P 6.125% FLTS 5/01/22 (PNC.P)     | N/A | \$50,001 - \$100,000  | Dividends<br>Capital Gains | \$1,001 - \$2,500 |
| 19.6.7<br>2 | PRUDENTIAL FINANCIAL INC 5.625% NOTE (PRS) | N/A | \$1,001 - \$15,000    | Interest                   | \$201 - \$1,000   |
| 19.6.7<br>3 | QWEST CORP 6.875% NOTE (CTV)               | N/A | \$15,001 - \$50,000   | Interest                   | \$201 - \$1,000   |
| 19.6.7<br>4 | REGIONS FINANCIAL CO 6.375%-B (RF.B)       | N/A | \$15,001 - \$50,000   | Dividends                  | \$1,001 - \$2,500 |
| 19.6.7<br>5 | REGIONS FINL CORP 6.375%-A (RF.A)          | N/A | \$15,001 - \$50,000   | Dividends                  | \$1,001 - \$2,500 |
| 19.6.7<br>6 | REINSURANCE GROUP AMERICA INC NOTE (RZA)   | N/A | \$15,001 - \$50,000   | Interest                   | \$1,001 - \$2,500 |
| 19.6.7<br>7 | REINSURANCE GRP OF AMERICA NOTE (RZB)      | N/A | \$50,001 - \$100,000  | Interest                   | \$2,501 - \$5,000 |
| 19.6.7<br>8 | SCE TRUST IV 5.375%-J (SCE.J)              | N/A | \$1,001 - \$15,000    | Dividends                  | \$201 - \$1,000   |
| 19.6.7<br>9 | SCE TRUST V 5.45%-K (SCE.K)                | N/A | \$15,001 - \$50,000   | Dividends                  | \$201 - \$1,000   |
| 19.6.8<br>0 | STATE ST CO 5.90%-D FXD-TO-FLT (STT.D)     | N/A | \$15,001 - \$50,000   | Dividends                  | \$1,001 - \$2,500 |
| 19.6.8<br>1 | STATE STREET CORP 5.350%-G (STT.G)         | N/A | \$50,001 - \$100,000  | Dividends<br>Capital Gains | \$2,501 - \$5,000 |

| #           | DESCRIPTION                             | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------------|---|-----|-----------------------------|-------------|---------------------------|
| 19.6.8<br>2 | STIFEL FINANCIAL CORP 6.25% (SF.A)      | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |
| 19.6.8<br>3 | SYNOVUS FINL CORP PFD SER D (SNV.D)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.8<br>4 | TAUBMAN CENTERS INC 6.5% SER-J (TCO.J)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.8<br>5 | TCF FINANCIAL CORPORATION NEW (TCFCP)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.8<br>6 | THE HARTFORD FIN SER6.0%SER-G (HIG.G)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.8<br>7 | TORCHMARK CORP (TMK.C)                  | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 19.6.8<br>8 | TWO HARBORS INVSTMNT C 7.25%-C (TWO.C)  | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 19.6.8<br>9 | U.S. BANCORP 5.5%-K (USB.P)             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.9<br>0 | URSTADT BIDDLE PPTYS INC SER H (UBP.H)  | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 19.6.9<br>1 | US BANCORP-F 6.5% FLTS 1/15/22 (USB.M)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.9<br>2 | VALLEY NATL BANCORP SER-A (VLYPP)       | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |
| 19.6.9<br>3 | VALLEY NATL BANCORP 5.50% PFD-B (VLYPO) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.9<br>4 | WELLS FARGO & CO 5.7%-W (WFC.W)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 19.6.9<br>5 | WELLS FARGO & COMPANY 6%-V (WFC.V)      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #            | DESCRIPTION                                     | EIF | VALUE                | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---|-----|----------------------|----------------------------|---------------------------|
| 19.6.9<br>6  | WELLS FARGO & COMPANY 6.625%-R (WFC.R)          | N/A | \$50,001 - \$100,000 | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 19.6.9<br>7  | WELLS FARGO 5.85-Q FIXD-TO-FLT (WFC.Q)          | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 19.6.9<br>8  | WINTRUST FINANCIAL CORP (WTFCM)                 | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 19.6.9<br>9  | ZIONS BANCORP NA 6.3000% SRS G (ZB.G)           | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 19.6.1<br>00 | U.S. Brokerage Account #6 (cash) Institution #4 | N/A | \$50,001 - \$100,000 | Interest                   | \$201 - \$1,000           |
| 19.6.1<br>01 | AEGON FUNDING COMPANY 5.10% NOTES (AEGOZ)       | N/A | \$15,001 - \$50,000  |                            | None (or less than \$201) |
| 19.6.1<br>02 | AFFILIATED MANAGERS GROUP INC 5.875% NOTE (MGR) | N/A | \$15,001 - \$50,000  | Interest                   | \$201 - \$1,000           |
| 19.6.1<br>03 | ALGONQUIN PWR & UTILS CORP A NOTE (AQNB)        | N/A | \$15,001 - \$50,000  | Interest                   | \$201 - \$1,000           |
| 19.6.1<br>04 | ALLSTATE CORP 5.100 H (ALL.H)                   | N/A | \$15,001 - \$50,000  |                            | None (or less than \$201) |
| 19.6.1<br>05 | ANNALY CAP MGMT INC PFD SER I (NLY.I)           | N/A | \$15,001 - \$50,000  | Dividends                  | \$201 - \$1,000           |
| 19.6.1<br>06 | ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)          | N/A | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 19.6.1<br>07 | ATHENE HOLDING LTD 6.35 SER A (ATH.A)           | N/A | \$15,001 - \$50,000  | Dividends                  | \$201 - \$1,000           |
| 19.6.1<br>08 | ATHENE HOLDING LTD 5.625 SER-B (ATH.B)          | N/A | \$15,001 - \$50,000  |                            | None (or less than \$201) |
| 19.6.1<br>09 | BANK OF AMERICA CO 5.00 SER LL (BAC.N)          | N/A | \$15,001 - \$50,000  |                            | None (or less than \$201) |

| #            | DESCRIPTION   | EIF         | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---|-------------|-----------------------|----------------------------|---------------------------|
| 19.6.1<br>10 | CAPITAL ONE FINANCIAL 5%-I PRF (COF.I)  | N/A         | \$15,001 - \$50,000   |                            | None (or less than \$201) |
| 19.6.1<br>11 | DIGITAL RLTY TST INC 5.20%SERL (DLR.L)  | N/A         | \$15,001 - \$50,000   |                            | None (or less than \$201) |
| 19.6.1<br>12 | DUKE ENERGY CORP 5.75%-A (DUK.A)  | N/A         | \$15,001 - \$50,000   | Dividends                  | \$201 - \$1,000           |
| 19.6.1<br>13 | FIFTH THIRD BANCORP 6% NCUM PF (FITBP)  | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.6.1<br>14 | GLOBE LIFE INC 6.125 BOND (GL.C)  | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.6.1<br>15 | KEYCORP 6.125% SER-E (KEY.I)  | N/A         | \$15,001 - \$50,000   | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 19.6.1<br>16 | NATIONAL RURAL UTIL COOP 5.50% NOTE (NRUC)  | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.6.1<br>17 | SOUTH JERSEY INDUSTRIES INC 5.6250% NOTE (SJJJ)   | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.6.1<br>18 | SPIRE INC 5.90% SER-A (SR.A)  | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.6.1<br>19 | SYNOVUS FINL CORP SER E 5.875% (SNV.E)  | N/A         | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 19.7         | Bell Olmsted Park NHW, LLC (residential real estate - Boston, MA)   | N/A         | \$250,001 - \$500,000 |                            | None (or less than \$201) |
| 19.8         | BlueVoyant LLC (cybersecurity services)   | N/A         | \$250,001 - \$500,000 |                            | None (or less than \$201) |
| 19.9         | LDJ Global Strategies, LLC (Real Estate Investing and Management, Greensboro, NC) (10% Interest--Assets are listed at Part 5, Line 3) | No          |                       |                            |                           |
| 20           | Sandy Point Investments, LLC  | See Endnote | No                    |                            |                           |

| #       | DESCRIPTION                                  | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|---------|--|-----|-----------------------------|----------------------------|---------------------------|
| 20.1    | U.S. Bank Account #9 (cash) - Institution #2 | N/A | \$50,001 - \$100,000        | Interest                   | \$2,501 - \$5,000         |
| 20.2    | U.S. Brokerage Account #7 Institution #4     | No  |                             |                            |                           |
| 20.2.1  | 3M COMPANY (MMM)                             | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2  | ABAXIS INC (ABAX)                            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3  | ABB LTD (ABB)                                | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.4  | ABBOTT LABORATORIES (ABT)                    | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.5  | ABBVIE INC COM (ABBV)                        | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.6  | ABM INDUSTRIES INCORPORATED (ABM)            | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.7  | ACI WORLDWIDE INC (ACIW)                     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.8  | ADVANCED DISPOSAL SERVICES INC (ADSW)        | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.9  | AFLAC INCORPORATED (AFL)                     | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.10 | AIR LIQUIDE ADR (AIQY)                       | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 20.2.11 | AIR PROD & CHEM INC (APD)                    | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.12 | ALEXANDER & BALDWIN INC (ALEX)               | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.13 | ALLERGAN PLC SHS (AGN)                       | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |

| #           | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|---------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>4 | ALLETE INC NEW (ALE)                  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>5 | ALLSCRIPTS HEALTHCARE SOLU INC (MDRX) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>6 | ALTRA HLDGS INC (AIMC)                | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>7 | ALTRA INDL MOTION CORP (AIMC)         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>8 | ALTRIA GROUP INC (MO)                 | N/A | \$15,001 - \$50,000         | Dividends                  | \$5,001 - \$15,000        |
| 20.2.1<br>9 | AMC NETWORKS INC CL A (AMCX)          | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>0 | AMERICAN ELECTRIC POWER CO (AEP)      | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>1 | AMERICAN EQ INVT LIFE HLDG C (AEL)    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>2 | AMERICAN WATER WORKS CO (AWK)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>3 | AMGEN INC (AMGN)                      | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>4 | AMN HEALTHCARE SVCS INC (AMN)         | N/A | \$1,001 - \$15,000          | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.2<br>5 | AMPHENOL CORP NEW CL A (APH)          | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>6 | ANADARKO PETE (APC)                   | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 20.2.2<br>7 | ANDEAVOR (ANDVZ)                      | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500         |

| #           | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|--------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>8 | APPLIED MATERIALS INC (AMAT)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>9 | APTARGROUP INC (ATR)                 | N/A | \$1,001 - \$15,000          | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 20.2.3<br>0 | AQUA AMER INC (WTR)                  | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>1 | ASBURY AUTOMOTIVE GROUP INC (ABG)    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>2 | ASTRAZENECA PLC ADS (AZN)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.3<br>3 | AT&T INC (T)                         | N/A | \$50,001 - \$100,000        | Dividends                  | \$5,001 - \$15,000        |
| 20.2.3<br>4 | ATKORE INTRL GRP (ATKR)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>5 | AUTODESK INC DELAWARE (ADSK)         | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.3<br>6 | AUTOMATIC DATA PROCESSING INC (ADP)  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>7 | AVALONBAY COMM INC (AVB)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>8 | AVANOS MEDICAL INC (AVNS)            | N/A | \$1,001 - \$15,000          | Capital Gains              | \$201 - \$1,000           |
| 20.2.3<br>9 | BADGER METER INC (BMI)               | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.4<br>0 | BANCORPSOUTH INC (BXS)               | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.4<br>1 | BANK OF NT BUTTERFIELD&SON LTD (NTB) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #           | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.4<br>2 | BARNES GROUP INCORPORATED (B)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.4<br>3 | BAXTER INTL INC (BAX)              | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.4<br>4 | BB & T CORP (BBT)                  | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.4<br>5 | BCE INC (BCE)                      | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.4<br>6 | BECTON DICKINSON & CO (BDX)        | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.4<br>7 | BECTON DICKINSON & CO SER A (BDXA) | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.4<br>8 | BERKLEY W R CORP (WRB)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.4<br>9 | BERRY GLOBAL GROUP INC (BERY)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.5<br>0 | BIOGEN INC COM (BIIB)              | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.5<br>1 | BIOVERATIV INC (BIVV)              | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.5<br>2 | BLACK HILLS CORP (BKH)             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.5<br>3 | BLACKROCK INC (BLK)                | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.5<br>4 | BMC STK HLDGS INC (BMCH)           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.5<br>5 | BOSTON PROPERTIES INC (BXP)        | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |



| #           | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.5<br>6 | BP PLC ADS (BP)                    | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.5<br>7 | BRANDYWINE REALTY TR SBI NEW (BDN) | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.5<br>8 | BRITISH AMER TOB SPON ADR (BTI)    | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.5<br>9 | BROADCOM INC (AVGO)                | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.6<br>0 | BROOKS-AUTOMATION INC (BRKS)       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.6<br>1 | BROWN FORMAN CORP CL B (BF'B)      | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.6<br>2 | BRUNSWICK CORP (BC)                | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.6<br>3 | CABLE ONE INC COM (CABO)           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.6<br>4 | CAL MAINE FOODS INC (CALM)         | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.6<br>5 | CALERES INC (CAL)                  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.6<br>6 | CALIF WATER SVC GP DEL (CWT)       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.6<br>7 | CALLON PETROLEUM COMPANY (CPE)     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.6<br>8 | CARTER'S (CRI)                     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.6<br>9 | CASELLA WASTE SYS INC CL A (CWST)  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #           | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|--------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.7<br>0 | CATALENT INC (CTLT)                  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.7<br>1 | CDN IMPL BK COMMERCE (CM)            | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.7<br>2 | CENTRAL GARDEN & PET CO CL A (CENTA) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.7<br>3 | CERNER CORP (CERN)                   | N/A | \$15,001 - \$50,000         | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 20.2.7<br>4 | CHARLES SCHWAB NEW (SCHW)            | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.7<br>5 | CHEESE CAKE FACTORY INC (CAKE)       | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.7<br>6 | CHEVRON CORP (CVX)                   | N/A | \$50,001 - \$100,000        | Dividends                  | \$2,501 - \$5,000         |
| 20.2.7<br>7 | CHOICE HOTELS INTL INC NEW (CHH)     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.7<br>8 | CHUBB LTD (CB)                       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.7<br>9 | CINEMARK HOLDINGS INC. (CNK)         | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.8<br>0 | CIRRUS LOGIC INC (CRUS)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.8<br>1 | CISCO SYS INC (CSCO)                 | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.8<br>2 | CITRIX SYSTEMS INC (CTXS)            | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.8<br>3 | CLOROX CO (CLX)                      | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |

| #           | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|-------------|---------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.8<br>4 | CMNTY BK SYST INCORPORATED (CBU)      | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.8<br>5 | COBIZ INC (COBZ)                      | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.8<br>6 | COCA COLA CO (KO)                     | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.8<br>7 | COHERENT INC (COHR)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.8<br>8 | COLUMBIA SPORTSWEAR CO (COLM)         | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.8<br>9 | COMCAST CORP (NEW) CLASS A (CMCSA)    | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 20.2.9<br>0 | COMMERCE BANCSHARES (CBSH)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.9<br>1 | COMMSCOPE HOLDING COMPANY INC (COMM)  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.9<br>2 | CONNECTICUT WATER SERVICES INC (CTWS) | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.9<br>3 | CORE MARK HOLDING CO INC (CORE)       | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.9<br>4 | CRACKER BARREL OLD CTRY STORE (CBRL)  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.9<br>5 | CREE RESEARCH INC (CREE)              | N/A | \$1,001 - \$15,000          | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.9<br>6 | CROWN CASTLE INTL CORP (CCI)          | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$15,001 - \$50,000       |
| 20.2.9<br>7 | CVB FINCL CP (CVBF)                   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                     | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.9<br>8  | DANA INCORPORATED (DAN)         | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.9<br>9  | DELEK US HLDGS INC (DK)         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>00 | DELUXE CORPORATION (DLX)        | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>01 | DENTSPLY SIRONA INC (XRAY)      | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>02 | DISCOVERY INC SER A (DISCA)     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>03 | DOLBY CLA A COM STK (DLB)       | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>04 | DOMINION ENERGY INC (D)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.1<br>05 | DOVER CORP (DOV)                | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>06 | DRILL-QUIP INC (DRQ)            | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>07 | DUKE ENERGY CORPORATION (DUK)   | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.1<br>08 | EAST WEST BANCORP (EWBC)        | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>09 | EASTGROUP PROPERTIES INC (EGP)  | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>10 | ECOLAB INC (ECL)                | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.1<br>11 | EDUCATION RLTY TR INC COM (EDR) | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |

| #            | DESCRIPTION                         | EIF | VALUE                          | INCOME TYPE                | INCOME AMOUNT                |
|--------------|-------------------------------------|-----|--------------------------------|----------------------------|------------------------------|
| 20.2.1<br>12 | EL PASO ELECTRIC CO NEW (EE)        | N/A | \$1,001 - \$15,000             | Dividends<br>Capital Gains | \$201 - \$1,000              |
| 20.2.1<br>13 | EMCOR GROUP INC (EME)               | N/A | \$1,001 - \$15,000             | Dividends<br>Capital Gains | \$201 - \$1,000              |
| 20.2.1<br>14 | ENTEGRIS INC (ENTG)                 | N/A | None (or less<br>than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500            |
| 20.2.1<br>15 | EQUITY COMWLTH COM SH BEN INT (EQC) | N/A | \$15,001 -<br>\$50,000         | Dividends<br>Capital Gains | \$1,001 - \$2,500            |
| 20.2.1<br>16 | ESCO TECHNOLOGIES (ESE)             | N/A | \$1,001 - \$15,000             |                            | None (or less<br>than \$201) |
| 20.2.1<br>17 | EVEREST RE GROUP LTD (RE)           | N/A | \$1,001 - \$15,000             | Dividends<br>Capital Gains | \$2,501 - \$5,000            |
| 20.2.1<br>18 | EXXON MOBIL CORP (XOM)              | N/A | \$50,001 -<br>\$100,000        | Dividends                  | \$2,501 - \$5,000            |
| 20.2.1<br>19 | FIRST FINCL BNCP (FFBC)             | N/A | \$1,001 - \$15,000             | Dividends                  | \$201 - \$1,000              |
| 20.2.1<br>20 | FIRST HAWAIIAN INC (FHB)            | N/A | \$1,001 - \$15,000             | Dividends                  | \$201 - \$1,000              |
| 20.2.1<br>21 | FIRST INTERSTATE BANC SYSTEM (FIBK) | N/A | \$1,001 - \$15,000             |                            | None (or less<br>than \$201) |
| 20.2.1<br>22 | FIRST MIDW BNCP DELA (FMBI)         | N/A | \$1,001 - \$15,000             |                            | None (or less<br>than \$201) |
| 20.2.1<br>23 | FLEXTRONICS INTL LTD (FLEX)         | N/A | \$1,001 - \$15,000             |                            | None (or less<br>than \$201) |
| 20.2.1<br>24 | FLUOR CORP NEW (FLR)                | N/A | \$1,001 - \$15,000             | Dividends                  | \$201 - \$1,000              |
| 20.2.1<br>25 | FNB CORPORATION (FNB)               | N/A | \$1,001 - \$15,000             | Dividends                  | \$201 - \$1,000              |

| #            | DESCRIPTION                       | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-----------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>26 | FORWARD AIR CORP (FWRD)           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>27 | FREEPORT-MCMORAN CL-B (FCX)       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>28 | FULLER H B & COMPANY (FUL)        | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>29 | GCI LIBERTY INC CL A (GLIBA)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>30 | GENERAL MILLS INC (GIS)           | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>31 | GIBRALTAR INDUSTRIES INC (ROCK)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>32 | GLACIER BANCORP INC NEW (GBCI)    | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>33 | GLAXOSMITHKLINE PLC ADR (GSK)     | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.1<br>34 | GLOBUS MEDICAL INC A (GMED)       | N/A | \$1,001 - \$15,000          | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.1<br>35 | GRACO INC (GGG)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>36 | GREAT WESTN BANCORP INC (GWB)     | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>37 | H&E EQUIPMENT SVCS INC (HEES)     | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>38 | HAEMONETICS CORP (HAE)            | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.1<br>39 | HANCOCK WHITNEY CORPORATION (HWC) | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>40 | HANOVER INSURANCE GROUP INC (THG)    | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>41 | HASBRO INC (HAS)                     | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>42 | HEALTHCARE REALTY TRUST INCORP (HR)  | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>43 | HELIX ENERGY SOLUTIONS GRP INC (HLX) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>44 | HENKEL AG & CO KGAA (HENKY)          | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>45 | HIGHWOODS PROPERTIES (HIW)           | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>46 | HOME DEPOT INC (HD)                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>47 | HONEYWELL INTERNATIONAL INC (HON)    | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>48 | HORACE MANN EDUCATORS CP (HMN)       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>49 | HP INC COM (HPQ)                     | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>50 | HUB GROUP INC CL A (HUBG)            | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.1<br>51 | HUNTINGTON BANCSHARES (HBAN)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>52 | IBERIA BK CORP (IBKC)                | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>53 | ICU MEDICAL INC (ICUI)               | N/A | \$15,001 - \$50,000         | Capital Gains              | \$2,501 - \$5,000         |

| #            | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>54 | ILL TOOL WORKS INC (ITW)              | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>55 | INDEPENDENT BK MASS (INDB)            | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>56 | INFINITY PPTY & CASUALTY (IPCC)       | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>57 | INGEVITY CORP (NGVT)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.1<br>58 | INSPERITY INC COM (NSP)               | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$5,001 - \$15,000        |
| 20.2.1<br>59 | INTEGER HOLDINGS CORP (ITGR)          | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>60 | INTERNATIONAL SPEEDWAY CRP CLA (ISCA) | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>61 | INVESCO LTD (IVZ)                     | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>62 | IONIS PHARMACEUTICALS INC (IONS)      | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.1<br>63 | ITT INC (ITT)                         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>64 | J&J SNACK FOODS (JJSF)                | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>65 | JOHNSON & JOHNSON (JNJ)               | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>66 | JOHNSON CTLS INTL PLC (JCI)           | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>67 | JPMORGAN CHASE & CO (JPM)             | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |



| #            | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>68 | KAPSTONE PAPER AND PACKAGING (KS)  | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.1<br>69 | KIMBERLY CLARK CORP (KMB)          | N/A | \$1,001 - \$15,000          | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>70 | KIRBY CP (KEX)                     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>71 | KLX INC COM (KLX)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.1<br>72 | KNOLL INC (KNL)                    | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>73 | KRAFT HEINZ CO (KHC)               | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>74 | L3 TECHNOLOGIES INC COM (LLL)      | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>75 | LA Z BOY INCORPORATED (LZB)        | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>76 | LANCASTER COLONY CRP (LANC)        | N/A | \$1,001 - \$15,000          | Dividends<br>Interest      | \$201 - \$1,000           |
| 20.2.1<br>77 | LEGG MASON INC (LM)                | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>78 | LEGRAND SA (LGRDY)                 | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.1<br>79 | LEXINGTON REALTY TRUST (LXP)       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>80 | LIBERTY BROADBAND CORP S-A (LBRDA) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>81 | LIBERTY BROADBAND CORP S-C (LBRDK) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #            | DESCRIPTION                            | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>82 | LIBERTY MEDIA C SER A SIRIUSXM (LSXMA) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>83 | LIBERTY MEDIA C SER C SIRIUSXM (LSXMK) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>84 | LIFE STORAGE INC (LSI)                 | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>85 | LINDSAY MFG CO (LNN)                   | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.1<br>86 | LIONS GATE ENTMTNT CORP CL B (LGF'B)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>87 | LITHIA MOTORS INC A (LAD)              | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.1<br>88 | LITTELFUSE INC (LFUS)                  | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>89 | LOCKHEED MARTIN CORP (LMT)             | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>90 | LOGMEIN INC COM (LOGM)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>91 | LOUISIANA PACIFIC CORP (LPX)           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>92 | LYONDELLBASELL NV CL-A (LYB)           | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.1<br>93 | M K S INSTRUMENTS (MKSI)               | N/A | \$1,001 - \$15,000          | Capital Gains<br>Dividends | \$1,001 - \$2,500         |
| 20.2.1<br>94 | M&T BANK CORP (MTB)                    | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.1<br>95 | MAGNOLIA OIL & GAS CORP CL A (MGY)     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #            | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.1<br>96 | MAIN STREET CAPITAL CORP (MAIN)      | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.1<br>97 | MARSH & MCLENNAN COS INC (MMC)       | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.1<br>98 | MASTEC INC (MTZ)                     | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.1<br>99 | MATADOR RES CO (MTDR)                | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>00 | MAXIM INTEGRATED PRODUCTS INC (MXIM) | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>01 | MAXLINEAR INC CLASS A (MXL)          | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>02 | MC CORMICK AND CO NON VOTING (MKC)   | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>03 | MC DONALDS CORP (MCD)                | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>04 | MEDTRONIC PLC SHS (MDT)              | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>05 | MERCK & CO INC NEW COM (MRK)         | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>06 | MEREDITH CORPORATION (MDP)           | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>07 | MERITAGE HOME CORPORATION (MTH)      | N/A | \$1,001 - \$15,000          | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.2<br>08 | METHODE ELEC INC (MEI)               | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>09 | METLIFE INC 0.0000% SERIES (MET.A)   | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>10 | METLIFE INCORPORATED (MET)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>11 | MGE ENERGY INC (MGEE)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>12 | MICROSOFT CORP (MSFT)              | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.2<br>13 | MIDDLESEX WATER CO (MSEX)          | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>14 | MINERALS TECHNOLOGIES INC (MTX)    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>15 | MONDELEZ INTL INC COM (MDLZ)       | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>16 | MSA SAFETY INC (MSA)               | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>17 | MUELLER WATER PROD INC SER A (MWA) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>18 | MURPHY USA INC COM (MUSA)          | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>19 | NATIONAL GRID PLC SPON ADR (NGG)   | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.2<br>20 | NATIONAL OILWELL VARCO INC (NOV)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>21 | NATUS MEDICAL INC DEL (NTUS)       | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>22 | NBT BANCORP (NBTB)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>23 | NCR CORPORATION (NCR)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #            | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>24 | NETGEAR INC (NTGR)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>25 | NETSCOUT SYSTEMS INC (NTCT)         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>26 | NEXTERA ENERGY INC (NEE)            | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.2<br>27 | NIKE INC B (NKE)                    | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 20.2.2<br>28 | NORTHERN TRUST CORP (NTRS)          | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>29 | NORTHERN TRUST CORP 5.85%-C (NTRSP) | N/A | \$1,001 - \$15,000          | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>30 | NORTHWEST NATURAL HOLDING CO. (NWN) | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$201 - \$1,000           |
| 20.2.2<br>31 | NOW INC (DNOW)                      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>32 | NUANCE COMMUNICATIONS INC (NUAN)    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>33 | NUCOR CORPORATION (NUE)             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>34 | NVENT ELECTRIC PLC (NVT)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>35 | OASIS PETROLEUM INC (OAS)           | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>36 | OCCIDENTAL PETROLEUM CORP DE (OXY)  | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>37 | OLIN CORPORATION (OLN)              | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                          | EIF | VALUE                | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--------------------------------------|-----|----------------------|----------------------------|---------------------------|
| 20.2.2<br>38 | ON SEMICONDUCTOR CORP (ON)           | N/A | \$1,001 - \$15,000   | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>39 | ONE GAS INC (OGS)                    | N/A | \$1,001 - \$15,000   | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>40 | ONEOK INC (OKE)                      | N/A | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 20.2.2<br>41 | OUTFRONT MEDIA INC COM NPV (OUT)     | N/A | \$1,001 - \$15,000   | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>42 | OXFORD INDUSTRIES INC (OXM)          | N/A | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 20.2.2<br>43 | P H GLATFELTER (GLT)                 | N/A | \$1,001 - \$15,000   | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>44 | PATTERSON -UTI ENERGY INC (PTEN)     | N/A | \$1,001 - \$15,000   |                            | None (or less than \$201) |
| 20.2.2<br>45 | PAYCHEX INC (PAYX)                   | N/A | \$15,001 - \$50,000  | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>46 | PEBBLEBROOK HOTEL TR COM (PEB)       | N/A | \$1,001 - \$15,000   | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>47 | PENTAIR PLC (PNR)                    | N/A | \$1,001 - \$15,000   | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>48 | PEPSICO INC NC (PEP)                 | N/A | \$50,001 - \$100,000 | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>49 | PERNOD RICARD SA UNSPONS ADR (PDRDY) | N/A | \$1,001 - \$15,000   | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.2<br>50 | PFIZER INC (PFE)                     | N/A | \$50,001 - \$100,000 | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.2<br>51 | PHILIP MORRIS INTL INC (PM)          | N/A | \$15,001 - \$50,000  | Dividends                  | \$5,001 - \$15,000        |

| #            | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>52 | PHILLIPS 66 COM (PSX)              | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>53 | PHYSICIANS REALTY TRUST (DOC)      | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>54 | PINNACLE FOODS INC (PF)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>55 | PLEXUS CORP (PLXS)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>56 | PNC FINL SVCS GP (PNC)             | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>57 | PPL CORPORATION (PPL)              | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.2<br>58 | PRAXAIR INC (PX)                   | N/A | None (or less than \$1,001) | Capital Gains              | \$2,501 - \$5,000         |
| 20.2.2<br>59 | PRIMORIS SVCS CORP COM (PRIM)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>60 | PROCTER & GAMBLE (PG)              | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.2<br>61 | PROSPERITY BANCSHARES (PB)         | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>62 | PTC INC COM (PTC)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.2<br>63 | PUBLIC SERVICE ENTERPRISE GP (PEG) | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>64 | PUBLIC STORAGE (PSA)               | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>65 | QTS RLTY TR INC COM CL A (QTS)     | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                            | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>66 | QURATE RETAIL INC SER A (QRTEA)        | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>67 | REALTY INCOME CORP (O)                 | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>68 | REINSURANCE GROUP OF AMERICA (RGA)     | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>69 | REXNORD CORP NEW (RXN)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>70 | REXNORD CORP NEW DEP SHS PFD A (RXN.A) | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>71 | ROCKWELL COLLINS INC (COLNZ)           | N/A | None (or less than \$1,001) | Capital Gains              | \$1,001 - \$2,500         |
| 20.2.2<br>72 | ROGERS CORP (ROG)                      | N/A | \$1,001 - \$15,000          | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>73 | RPT REALTY COM SH BEN INT (RPT)        | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>74 | S & T BANCORP (STBA)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>75 | SAIA INC (SAIA)                        | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>76 | SANDERSON FARMS (SAFM)                 | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>77 | SANOFI ADR (SNY)                       | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>78 | SCE TRUST VI 5%-L (SCE.L)              | N/A | None (or less than \$1,001) | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>79 | SCHNEIDER ELEC SA UNSP ADR (SBGSY)     | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |



| #            | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>80 | SEAGATE TECHNOLOGY PLC (STX)       | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.2<br>81 | SELECT ENRG SRVC INC CL A (WTTR)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>82 | SELECTIVE INSURANCE GROUP (SIGI)   | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.2<br>83 | SEMPRA ENERGY (SRE)                | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>84 | SEMTECH CORP (SMTC)                | N/A | \$1,001 - \$15,000          | Capital Gains              | \$201 - \$1,000           |
| 20.2.2<br>85 | SERVICE CORP INTL (SCI)            | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>86 | SIMON PPTY GROUP INC (SPG)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.2<br>87 | SIMPSON MANUFACTURING CO INC (SSD) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>88 | SJW GROUP (SJW)                    | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>89 | SM ENERGY COMPANY (SM)             | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>90 | SMITH & NEPHEW PLC ADR (SNN)       | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.2<br>91 | SONIC CORP (SONC)                  | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.2<br>92 | SOUTH ST CORP COM (SSB)            | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>93 | SOUTHERN CO (SO)                   | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |

| #            | DESCRIPTION                       | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-----------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.2<br>94 | SOUTHWEST GAS HOLDINGS INC (SWX)  | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.2<br>95 | SPECTRUM BRANDS HLDGS INC (SPB)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>96 | SPIRIT RLTY CAP INC (SRC)         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>97 | STANDARD MOTOR PRODUCTS INC (SMP) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>98 | STANDEX INTERNATIONAL CORP (SXI)  | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.2<br>99 | STARBUCKS CORP WASHINGTON (SBUX)  | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>00 | STERIS PLC (STE)                  | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>01 | STEVEN MADDEN LTD (SHOO)          | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>02 | STIFEL FINANCIAL CORPORATION (SF) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>03 | STONERIDGE INC (SRI)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>04 | STRYKER CORP (SYK)                | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>05 | SUMMIT HOTEL PROPERTIES INC (INN) | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>06 | SYMRISE AG UNSPONS ADR (SYIEY)    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>07 | SYNNEX CORP (SNX)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |

| #            | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|--------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.3<br>08 | SYNOPSYS INC (SNPS)                  | N/A | None (or less than \$1,001) | Capital Gains              | \$5,001 - \$15,000        |
| 20.2.3<br>09 | SYNOVUS FINANCIAL CORP (SNV)         | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>10 | SYSCO CORP (SY)                      | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>11 | TE CONNECTIVITY LTD NEW (TEL)        | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>12 | TECH DATA CORP (TECD)                | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>13 | TELEFLEX INC (TFX)                   | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>14 | TERADYNE INC (TER)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>15 | TEXAS INSTRUMENTS (TXN)              | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.3<br>16 | TEXAS ROADHOUSE INC CL A (TXRH)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>17 | THE SCOTTS MIRACLE-GRO COMPANY (SMG) | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>18 | TOTAL S A SPON ADR (TOT)             | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.3<br>19 | TOWER SEMICONDUCTOR LTD NEW (TSEM)   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>20 | TRAVELERS COMPANIES INC COM (TRV)    | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.3<br>21 | TRINSEO S.A. (TSE)                   | N/A | None (or less than \$1,001) | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                       | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-----------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.3<br>22 | TTM TECH INC (TTMI)               | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>23 | TWITTER INC (TWTR)                | N/A | \$15,001 - \$50,000         | Capital Gains              | \$5,001 - \$15,000        |
| 20.2.3<br>24 | U S BANCORP COM NEW (USB)         | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>25 | UMB FINANCIAL CORP (UMBF)         | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>26 | UMPQUA HOLDINGS CORP (UMPQ)       | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>27 | UNIFIRST CP (UNF)                 | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>28 | UNITED BANKSHARES INC W VA (UBSI) | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>29 | UNITED PARCEL SER INC CL-B (UPS)  | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.3<br>30 | UNITEDHEALTH GP INC (UNH)         | N/A | \$50,001 - \$100,000        | Dividends                  | \$1,001 - \$2,500         |
| 20.2.3<br>31 | UNIVERSAL HEALTH SERVICES B (UHS) | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>32 | UNUM GROUP (UNM)                  | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>33 | US ECOLOGY INC NEW (ECOL)         | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>34 | USG CORPORATION NEW 5/93 (USG)    | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>35 | VALERO ENERGY CP DELA NEW (VLO)   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |

| #            | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.3<br>36 | VALIDUS HOLDINGS LTD COM (VR)       | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.3<br>37 | VALLEY NATL BANCORP (VLY)           | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.3<br>38 | VENTAS INC (VTR)                    | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.3<br>39 | VEONEER INCORPORATED (VNE)          | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |
| 20.2.3<br>40 | VERIZON COMMUNICATIONS (VZ)         | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains | \$5,001 - \$15,000        |
| 20.2.3<br>41 | VERTEX PHARMACEUTICALS (VRTX)       | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.3<br>42 | VIAVI SOLUTIONS INC COM (VIAV)      | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>43 | VISHAY INTERTECHNOLOGY INC (VSH)    | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>44 | VISTEON CORP (VC)                   | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>45 | VODAFONE GROUP PLC (VOD)            | N/A | \$15,001 - \$50,000         | Dividends                  | \$2,501 - \$5,000         |
| 20.2.3<br>46 | W.R. BERKLEY CORP 5.625% (WRB.B)    | N/A | \$1,001 - \$15,000          | Dividends<br>Interest      | \$201 - \$1,000           |
| 20.2.3<br>47 | WABCO HLDGS INC (WBC)               | N/A | \$15,001 - \$50,000         |                            | None (or less than \$201) |
| 20.2.3<br>48 | WASH REAL EST INV TR MARYLAND (WRE) | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>49 | WATERS CORP (WAT)                   | N/A | \$1,001 - \$15,000          | Capital Gains              | \$1,001 - \$2,500         |

| #            | DESCRIPTION                       | EIF | VALUE                       | INCOME TYPE                | INCOME AMOUNT             |
|--------------|-----------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 20.2.3<br>50 | WEBSTER FINCL CORP (WBS)          | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>51 | WEC ENERGY GROUP INC COM (WEC)    | N/A | \$15,001 - \$50,000         | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.3<br>52 | WELLS FARGO & CO NEW (WFC)        | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>53 | WELLTOWER INC (WELL)              | N/A | \$15,001 - \$50,000         | Dividends                  | \$1,001 - \$2,500         |
| 20.2.3<br>54 | WERNER ENTERPRISES, INC (WERN)    | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>55 | WESBANCO (WSBC)                   | N/A | \$1,001 - \$15,000          | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>56 | WESCO INTL INC (WCC)              | N/A | \$1,001 - \$15,000          |                            | None (or less than \$201) |
| 20.2.3<br>57 | WESTERN DIGITAL CORPORATION (WDC) | N/A | \$15,001 - \$50,000         | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>58 | WHITE MOUNTAIN GRP BERMUDA (WTM)  | N/A | None (or less than \$1,001) | Capital Gains<br>Dividends | \$2,501 - \$5,000         |
| 20.2.3<br>59 | WILLIAMS CO INC (WMB)             | N/A | \$1,001 - \$15,000          | Dividends                  | \$1,001 - \$2,500         |
| 20.2.3<br>60 | WOLVERINE WORLD WIDE (WWW)        | N/A | \$1,001 - \$15,000          | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>61 | WOODWARD INC COM (WWD)            | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>62 | XILINX INC (XLNX)                 | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 20.2.3<br>63 | XL GROUP LTD (XLGRZ)              | N/A | None (or less than \$1,001) | Capital Gains              | \$201 - \$1,000           |

| #            | DESCRIPTION                                     | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---|-----|-----------------------|----------------------------|---------------------------|
| 20.2.3<br>64 | U.S. Brokerage Account #7 (cash) Institution #4 | N/A | \$100,001 - \$250,000 | Interest                   | \$201 - \$1,000           |
| 20.2.3<br>65 | AQUA AMERICA INC (WTRU)                         | N/A | \$15,001 - \$50,000   | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 20.2.3<br>66 | ATLAS COPCO AS A ADR A NEW (ATLKY)              | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>67 | CERENCE INC (CRNC)                              | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>68 | CHARLES SCHWAB CORP 5.95%-D (SCHW.D)            | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>69 | CULLEN FROST BANKERS INC (CFR)                  | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>70 | DARDEN RESTAURANTS (DRI)                        | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>71 | DEERE & CO (DE)                                 | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>72 | DINE BRANDS GLOBAL INC (DIN)                    | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>73 | ELI LILLY & CO (LLY)                            | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>74 | ENBRIDGE INC (ENB)                              | N/A | \$15,001 - \$50,000   | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>75 | ENVISTA HOLDINGS CORP (NVST)                    | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>76 | EPIROC AKTIEBOLAG ADR (EPOKY)                   | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 20.2.3<br>77 | EVERSOURCE ENERGY COM (ES)                      | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |

| #            | DESCRIPTION                               | EIF | VALUE               | INCOME TYPE                | INCOME AMOUNT             |
|--------------|---|-----|---------------------|----------------------------|---------------------------|
| 20.2.3<br>78 | FERRO CORP (FOE)                          | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>79 | FIREEYE INC (FEYE)                        | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>80 | GCP APPLIED TECHNOLOGIES INC (GCP)        | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>81 | GILEAD SCIENCE (GILD)                     | N/A | \$15,001 - \$50,000 | Dividends                  | \$201 - \$1,000           |
| 20.2.3<br>82 | ICF INTL INC (ICFI)                       | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>83 | INTERNATIONAL FLAVORS & FRAGRANCES (IFFT) | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>84 | JB HUNT TRANS SERV (JBHT)                 | N/A | \$1,001 - \$15,000  | Dividends<br>Capital Gains | \$201 - \$1,000           |
| 20.2.3<br>85 | KB HOME (KBH)                             | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>86 | KEMPER CORP DEL COM (KMPR)                | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>87 | L3HARRIS TECHNOLOGIES INC (LHX)           | N/A | \$15,001 - \$50,000 |                            | None (or less than \$201) |
| 20.2.3<br>88 | MEDIDATA SOLUTIONS INC COM (MDSO)         | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>89 | METLIFE INC 4.0000% SER A (MET.A)         | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>90 | METLIFE INC 5.62% NCUM PFD E (MET.E)      | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |
| 20.2.3<br>91 | PERFORMANCE FOOD GROUP COMPANY (PFGC)     | N/A | \$1,001 - \$15,000  |                            | None (or less than \$201) |



| #            | DESCRIPTION                        | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|--------------|------------------------------------|-----|---------------------|-------------|---------------------------|
| 20.2.3<br>92 | PROLOGIS INC COM (PLD)             | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>93 | RAYMOND JAMES FINCL INC (RJF)      | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>94 | REGIONS FINANCIAL CORP NEW (RF)    | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 20.2.3<br>95 | ROCKWELL AUTOMATION INC (ROK)      | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>96 | ROYAL DUTCH SHELL PLC CL B (RDS'B) | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>97 | SCHWAB CHARLES CORP SER C (SCHW.C) | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>98 | SOUTH JERSEY IND INC (SJI)         | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.3<br>99 | TC ENERGY CORP (TRP)               | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.4<br>00 | TD AMERITRADE HOLDING CORP (AMTD)  | N/A | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 20.2.4<br>01 | TOWNEBANK VA (TOWN)                | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.4<br>02 | VARIAN MEDICAL SYS INC (VAR)       | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.4<br>03 | VERRA MOBILITY CORPORATION (VRRM)  | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.4<br>04 | WESTERN ALLIANCE BANCORP (WAL)     | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 20.2.4<br>05 | WPX ENERGY INC (WPX)               | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|------|---|-----|-----------------------------|---------------|---------------------------|
| 20.3 | Metlife Life Insurance, Universal Life  | N/A | \$100,001 - \$250,000       |               | None (or less than \$201) |
| 20.4 | Hartford Life Insurance, Universal Life   | N/A | \$100,001 - \$250,000       |               | None (or less than \$201) |
| 21   | Family Trust #1   | No  |                             |               |                           |
| 21.1 | Sandy Point Investments LLC (50% interest--Assets Listed at Line 20)              | No  |                             |               |                           |
| 21.2 | The Louis DeJoy Family Partnership, LLC (40% Interest---Assets Listed at Line 19) | No  |                             |               |                           |
| 22   | Family Trust #2   | No  |                             |               |                           |
| 22.1 | Sandy Point Investments, LLC (50% Interest--Assets Listed at Line 20)             | No  |                             |               |                           |
| 22.2 | The Louis DeJoy Family Partnership, LLC (40% Interest--Assets Listed at Line 19)  | No  |                             |               |                           |
| 23   | Rhode Island CollegeBoundFund 529 Plan - Account #1                               | No  |                             | Cash Payments | \$31,000                  |
| 23.1 | Invesco CollegeBound Today Portfolio A  | Yes | \$100,001 - \$250,000       |               | None (or less than \$201) |
| 23.2 | Invesco CollegeBound Today Portfolio BX   | Yes | \$50,001 - \$100,000        |               | None (or less than \$201) |
| 24   | Rhode Island CollegeBoundFund 529 Plan - Account #2                               | No  |                             | Cash Payments | \$103,480                 |
| 24.1 | Invesco CollegeBound Today Portfolio A  | Yes | \$50,001 - \$100,000        |               | None (or less than \$201) |
| 24.2 | Invesco CollegeBound Today Portfolio BX   | Yes | None (or less than \$1,001) |               | None (or less than \$201) |
| 24.3 | Invesco CollegeBound Today Portfolio C  | Yes | None (or less than \$1,001) |               | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE  | INCOME AMOUNT             |
|------|---|-----|-----------------------------|--|---------------------------|
| 25   | U.S. Bank Account #15 (cash) - Institution #2             | N/A | \$1,001 - \$15,000          |  | None (or less than \$201) |
| 26   | Hartford Life Insurance, Universal Life                   | N/A | \$100,001 - \$250,000       |  | None (or less than \$201) |
| 27   | Allstate Life Insurance, Universal Life                   | N/A | \$100,001 - \$250,000       |  | None (or less than \$201) |
| 28   | WARBURG PINCUS GLOBAL GROWTH FUND                         | Yes | \$500,001 - \$1,000,000     |  | None (or less than \$201) |
| 29   | Wos Associates, LLC                                       | No  |                             |  |                           |
| 29.1 | Mixed-Use Real Estate, New York, NY                       | N/A | None (or less than \$1,001) | Distribution of proceeds from the sale of a property | \$849,660                 |
| 29.2 | Mixed-Use Real Estate, New York, NY                       | N/A | None (or less than \$1,001) | Rent or Royalties<br>Capital Gains                   | \$5,001 - \$15,000        |
| 30   | Family Trust #3   | No  |                             |  |                           |
| 30.1 | Wos Associates, LLC (Mixed Use Real Estate, New York, NY) | N/A | None (or less than \$1,001) | Capital Gains<br>Rent or Royalties                   | \$100,001 - \$1,000,000   |
| 31   | Family Trust #4   | No  |                             |  |                           |
| 31.1 | Wos Associates, LLC (Mixed Use Real Estate, New York, NY) | N/A | None (or less than \$1,001) | Capital Gains<br>Rent or Royalties                   | \$100,001 - \$1,000,000   |
| 32   | U.S. Bank Account #5 (Cash) - Institution #1              | N/A | \$1,001 - \$15,000          |  | None (or less than \$201) |
| 33   | Allstate Life Insurance, Universal Life                   | N/A | \$15,001 - \$50,000         |  | None (or less than \$201) |
| 34   | BlueVoyant LLC (cybersecurity services)                   | N/A | \$500,001 - \$1,000,000     |  | None (or less than \$201) |

| #     | DESCRIPTION                                   | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|-------|---|-----|-----------------------|----------------------------|---------------------------|
| 35    | U.S. Bank Account #16 (cash) - Institution #2 | N/A | \$1,001 - \$15,000    |                            | None (or less than \$201) |
| 36    | U.S. Brokerage Account #8 Institution #4      | No  |                       |                            |                           |
| 36.1  | ABBOTT LABORATORIES (ABT)                     | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |
| 36.2  | ACTIVISION BLIZZARD INC (ATVI)                | N/A | \$100,001 - \$250,000 |                            | None (or less than \$201) |
| 36.3  | AMERICAN WATER WORKS CO (AWK)                 | N/A | \$100,001 - \$250,000 | Dividends                  | \$201 - \$1,000           |
| 36.4  | ATMOS ENERGY CP (ATO)                         | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |
| 36.5  | BANK OF AMERICA CORP (BAC)                    | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.6  | BAXTER INTL INC (BAX)                         | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |
| 36.7  | BLACKROCK INC (BLK)                           | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.8  | BOEING CO (BA)                                | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.9  | CHEVRON CORP (CVX)                            | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.10 | CHURCH & DWIGHT CO INC (CHD)                  | N/A | \$100,001 - \$250,000 | Dividends                  | \$201 - \$1,000           |
| 36.11 | CVS HEALTH CORP COM (CVS)                     | N/A | \$100,001 - \$250,000 |                            | None (or less than \$201) |
| 36.12 | DOLLAR GEN CORP NEW COM (DG)                  | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 36.13 | DOW INC (DOW)                                 | N/A | \$100,001 - \$250,000 | Dividends                  | \$2,501 - \$5,000         |

| #     | DESCRIPTION                       | EIF | VALUE                 | INCOME TYPE                | INCOME AMOUNT             |
|-------|-----------------------------------|-----|-----------------------|----------------------------|---------------------------|
| 36.14 | ELI LILLY & CO (LLY)              | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 36.15 | EMERSON ELECTRIC CO (EMR)         | N/A | \$100,001 - \$250,000 |                            | None (or less than \$201) |
| 36.16 | EQUITY LIFESTYLE PROPERTIES (ELS) | N/A | \$250,001 - \$500,000 | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 36.17 | FOX CORP CL A (FOXA)              | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.18 | HAWAIIAN ELECTRIC IND (HE)        | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.19 | INTEL CORP (INTC)                 | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.20 | INTL BUSINESS MACHINES CORP (IBM) | N/A | \$100,001 - \$250,000 |                            | None (or less than \$201) |
| 36.21 | JOHNSON & JOHNSON (JNJ)           | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$1,001 - \$2,500         |
| 36.22 | L3HARRIS TECHNOLOGIES INC (LHX)   | N/A | \$100,001 - \$250,000 | Dividends                  | \$201 - \$1,000           |
| 36.23 | LAS VEGAS SANDS CORPORATION (LVS) | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |
| 36.24 | MC DONALDS CORP (MCD)             | N/A | \$50,001 - \$100,000  | Dividends                  | \$201 - \$1,000           |
| 36.25 | MOTOROLA SOLUTIONS INC (MSI)      | N/A | \$100,001 - \$250,000 | Dividends<br>Capital Gains | \$2,501 - \$5,000         |
| 36.26 | NXP SEMICONDUCTORS NV (NXPI)      | N/A | \$100,001 - \$250,000 | Dividends                  | \$201 - \$1,000           |
| 36.27 | PFIZER INC (PFE)                  | N/A | \$100,001 - \$250,000 | Dividends                  | \$1,001 - \$2,500         |

| #     | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE                            | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|--|---------------------------|
| 36.28 | RENAISSANCE RE HOLDINGS LTD (RNR)               | N/A | \$50,001 - \$100,000        | Dividends<br>Capital Gains             | \$1,001 - \$2,500         |
| 36.29 | SUN COMMUNITIES INC (SUI)                       | N/A | \$100,001 - \$250,000       | Dividends                              | \$1,001 - \$2,500         |
| 36.30 | SYSCO CORP (SYI)                                | N/A | \$50,001 - \$100,000        | Dividends                              | \$201 - \$1,000           |
| 36.31 | THE CARLYLE GROUP LP (CG)                       | N/A | \$100,001 - \$250,000       | Dividends<br>Interest<br>Capital Gains | \$1,001 - \$2,500         |
| 36.32 | VALERO ENERGY CP DELA NEW (VLO)                 | N/A | \$100,001 - \$250,000       | Dividends                              | \$1,001 - \$2,500         |
| 36.33 | WALT DISNEY CO HLDG CO (DIS)                    | N/A | \$100,001 - \$250,000       |  | None (or less than \$201) |
| 36.34 | U.S. Brokerage Account #8 (cash) Institution #4 | N/A | \$500,001 - \$1,000,000     | Interest                               | \$1,001 - \$2,500         |
| 36.35 | ALTRIA GROUP INC (MO)                           | N/A | None (or less than \$1,001) | Dividends                              | \$1,001 - \$2,500         |
| 36.36 | AT&T INC (T)                                    | N/A | None (or less than \$1,001) | Dividends                              | \$2,501 - \$5,000         |
| 36.37 | EMPIRE ST RLTY TR INC CL A (ESRT)               | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains             | \$201 - \$1,000           |
| 36.38 | INTL FLAVORS & FRAGRANCES (IFF)                 | N/A | None (or less than \$1,001) | Dividends                              | \$201 - \$1,000           |
| 36.39 | KEURIG DR PEPPER INC (KDP)                      | N/A | None (or less than \$1,001) | Dividends<br>Capital Gains             | \$5,001 - \$15,000        |
| 36.40 | PHILIP MORRIS INTL INC (PM)                     | N/A | None (or less than \$1,001) | Dividends                              | \$1,001 - \$2,500         |
| 36.41 | AQUA AMER INC (WTR)                             | N/A | None (or less than \$1,001) | Capital Gains                          | \$15,001 - \$50,000       |

| #     | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT       |
|-------|-------------------------------------|-----|-----------------------------|---------------|---------------------|
| 36.42 | ARCH CAPITAL GROUP LTD (ACGL)       | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 36.43 | BECTON DICKINSON & CO (BDX)         | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000  |
| 36.44 | CBOE GLOBAL MARKETS INC (CBOE)      | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000  |
| 36.45 | CLOROX CO (CLX)                     | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 36.46 | EQUITY COMWLTH COM SH BEN INT (EQC) | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 36.47 | FLOWERS FOODS INC (FLO)             | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000   |
| 36.48 | GENPACT LTD (G)                     | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000  |
| 36.49 | HASBRO INC (HAS)                    | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 36.50 | HERSHEY COMPANY (HSY)               | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000   |
| 36.51 | IAC INTERACTIVECORP COM (IAC)       | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000     |
| 36.52 | IQVIA HOLDINGS INC (IQV)            | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000   |
| 36.53 | LIFE STORAGE INC (LSI)              | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000     |
| 36.54 | LULULEMON ATHLETICA INC (LULU)      | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000   |
| 36.55 | MADISON SQUARE GARDEN CL A (MSG)    | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000  |

| #     | DESCRIPTION              | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT       |
|-------|--------------------------|-----|-----------------------------|---------------|---------------------|
| 36.56 | ROYAL GOLD INC (RGLD)    | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000  |
| 36.57 | ZOETIS INC CLASS-A (ZTS) | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

| # | CREDITOR NAME                     | TYPE                                   | AMOUNT                     | YEAR INCURRED | RATE                       | TERM               |
|---|-----------------------------------|--|----------------------------|---------------|----------------------------|--------------------|
| 1 | BB&T                              | Exercised Line of Credit               | \$5,000,001 - \$25,000,000 | 2014          | WSJ Prime Rate minus 1.35% | Renewable Annually |
| 2 | BB&T                              | Personal Loan                          | \$500,001 - \$1,000,000    | 2018          | 4.4% Fixed                 | 15 Years           |
| 3 | BB&T                              | Mortgage on Personal Residence         | \$1,000,001 - \$5,000,000  | 2016          | 4.25%                      | 30 Years           |
| 4 | Warburg Pincus XII Fund           | Private Equity Fund Capital Commitment | \$250,001 - \$500,000      | 2015          | N/A                        | On Demand          |
| 5 | Warburg Pincus Global Growth Fund | Private Equity Fund Capital Commitment | \$5,000,001 - \$25,000,000 | 2019          | N/A                        | On Demand          |



## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

### Endnotes

| PART | #  | ENDNOTE  |
|------|----|--|
| 5.   | 3  | 10% of this company is held by the Louis DeJoy Family Partnership, LLC (Part 6, Line 19). The total value and income are reported in Part 5, Line 3.                     |
| 6.   | 19 | 20% of this fund is held by filer's spouse. 40% is held by Family Trust 1 and 40% is held by Family Trust 2. The total value and income are reported in Part 6, Line 19. |
| 6.   | 20 | 50% of this fund is owned by Family Trust #1 and 50% of this fund is owned by Family Trust #2. The total value and income are reported in Part 6, Line 20.               |

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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