

Executive Branch Personnel Public Financial Disclosure Report(OGE Form 278e)

Filer's Information

FAUCI, Anthony S.

NIAID/OD -- Director, National Institute of Allergy and Infectious Diseases, DHHS/NIH

Date of Appointment: 2/1/1985

Other Federal Government Positions Held During the Preceding 12 Months:

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/ FAUCI, Anthony S [electronically signed on 4/21/2020 by FAUCI, Anthony S in NEES]

Agency Ethics Official 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/ TABAK, Lawrence Allan [electronically signed on 5/18/2020 by TABAK, Lawrence Allan in NEES]

Other review conducted by

U.S office of Government Ethics Certification



1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	Doris Duke Charitable Foundation (DDCF) (Filer Changes)	New York, NY	Foundation	Member	10/1996	Present
2	McGraw-Hill Publishing Company (Filer Changes)	Burr Ridge, IL	Publisher/Journal	Editor, Associate	11/1983	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Jackson-Fillmore (Italian Restaurant), Partnership or Joint Venture, Restaurant), San Francisco, CA	N/A	\$1,001 - \$15,000		None
2	McGraw-Hill Publishers, Inc. - New York, New York, Book Royalty for editing "Harrison's Principles of Internal Medicine"	N/A	None	Rents and Royalties	\$100,001 - \$1,000,000
3	Attachment: 2019 - Filer - Revocable Trust - Account Summary				
4	Attachment: 2019 - Filer - Defined Benefit Plan - Account Summary				
5	Attachment: 2019 - Filer - Contributory IRA - Account Summary				
6	Attachment: 2019 - Spouse - Revocable Trust - Account Summary				

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 and Income

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Dreyfus Liquid Assets Class I - Money Market, Mutual Fund, Investment Fund, or Pool (Filer Changes)	Y	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
2	Learning Quest 529 Education Plan for Child #3: Moderate track, Short-term Portfolio., Mutual Fund, Investment Fund, or Pool	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Attachment: 2019 - Spouse - IRA Contributory - Transactions			
2	Attachment: 2019 - Spouse - Revocable Trust - Transactions			
3	Attachment: 2019 - Filer - Defined Benefit Plan - Transactions			
4	Attachment: 2019 - Filer - IRA Contributory - Transactions			
5	Attachment: 2019 - Filer - Revocable Trust - Transactions			

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Lurie Prize - Foundation for NIH (Filer Changes)	Bethesda,, MD	WAG - Attended the 2019 Awards Ceremony and served as presenter of the Lurie Prize in Biomedical Research on 03/13/2019 in Washington, DC	\$500

2	Reimbursement expense, Doris Duke Charitable Foundation (DDCF) (Filer Changes)	New York, NY	Reimbursement for travel to New York City on 11/11/2019 to attend meeting of the Board of Directors of the Doris Duke Charitable Foundation	\$422
3	Reimbursement expense, McGraw-Hill Publishing Company (Filer Changes)	Burr Ridge, IL	Travel expense reimbursement for trip to La Jolla, CA to attend meeting of the Editorial Board of Harrison's Principles of Internal Medicine (McGraw-Hill Publishing) from 07/07/2019 to 07/13/2019	\$6328
4	Research!America (Filer Changes)	Washington, DC	WAG - Attended Annual Advocacy Awards Dinner on March 13, 2019 in Washington, DC.	\$500

Endnotes

COVER PAGE COMMENTS

NEO Reviewer - DAVID L HARRIS: (05/01/2020 7:41 a.m.)

Initial Review 4/28/20 Dharrisadditional info requested from filer on 4/28/20 - additional info received from filer 4/30/20. Revisions made pursuant to filer. Compliant with applicable rules. DHarris



Schwab One® Trust Account of
ANTHONY S FAUCI TTEE
ANTHONY S FAUCI REVOCABLE TR
 U/A DTD 03/19/2014

(b) (6)

Investment Detail - Cash and Money Market Funds [Sweep]

(b) (6)

Money Market Funds [Sweep]	Quantity	Market Price	Market Value	Current Yield	% of Account Assets
SCHWAB GOVT MONEY FUND: SWGXX					(b) (6)
					(b) (6)

Investment Detail - Mutual Funds

Bond Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
PIMCO INVESTMENT GRADE CREDIT BD INST SYMBOL: PIGIX						(b) (6)	9,531.31
T ROWE PRICE SUMMIT MUNI INTERM INV SYMBOL: PRSMX							27,471.46
							(b) (6)



Schwab One® Trust Account of
ANTHONY S FAUCI TTEE
ANTHONY S FAUCI REVOCABLE TR
U/A DTD 03/19/2014

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
CIBC ATLAS DISCIPLINED EQTY FD INST SYMBOL: AWEIX						(b) (6)	390,644.58
CIBC ATLAS INCM OPPTY FD INST SYMBOL: AWIX							60,516.47
CIBC ATLAS MID CAP EQTY FD INST SYMBOL: AWMIX							69,199.24
HARDING LOEVNER INST EMRG MKTS CL I SYMBOL: HLMEX							43,767.74
JPMORGAN MID CAP VALUE L SYMBOL: FLMVX							31,301.93
MAINSTAY EPOCH GLOBAL EQTY YIELD I SYMBOL: EPSYX							7,723.88
MATTHEWS PACIFIC TIGER FD INSTL SYMBOL: MIPTX							7,758.75
MFS INSTL INTL EQUITY SYMBOL: MIEIX							560.95



Schwab One® Trust Account of
ANTHONY S FAUCI TTEE
ANTHONY S FAUCI REVOCABLE TR
U/A DTD 03/19/2014

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
TWEEDY BROWNE GLOBAL VAL UE FUND SYMBOL: TBGVX						(b) (6)	1,917.92
VANGUARD SMALL CAP INDEX ADMIRAL SHARE SYMBOL: VSMAX							8,325.13
VERSUS CAP MULTI MNGR REAL ESTATE INCM FD INST SYMBOL: VCMIX							2,373.59
VERSUS CAP REAL ASSET FUND SYMBOL: VCRRX							2,496.93



Brokerage Trust Account of
ANTHONY S FAUCI TTEE
FAUCI DEFINED BENEFIT PLAN
 U/A DTD 12/08/1995

(b) (6)

Investment Detail - Cash and Bank Sweep

[Redacted Investment Detail - Cash and Bank Sweep]							
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Investment Detail - Mutual Funds

Bond Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
PIMCO INVESTMENT GRADE CREDIT BD INST SYMBOL: PIGIX						(b) (6)	22,393.22
Total Bond Funds							22,393.22
Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
CIBC ATLAS DISCIPLINED ◊ EQTY FD INST SYMBOL: AWEIX						(b) (6)	268,378.74

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Brokerage Trust Account of
ANTHONY S FAUCI TTEE
FAUCI DEFINED BENEFIT PLAN
 U/A DTD 12/08/1995

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
CIBC ATLAS INCM OPPTY FD INST SYMBOL: AWIIX						(b) (6)	32,675.13
CIBC ATLAS MID CAP EQTY FD INST SYMBOL: AWMIX							11,835.18
EDGEWOOD GROWTH INSTL SYMBOL: EGFIX							13,843.88
HAMLIN HIGH DIV EQTY INSTL SYMBOL: HHDFX							20,982.51
IVA INTL FD CL I ◊ SYMBOL: IVIQX							(511.41)
JPMORGAN MID CAP VALUE ◊ L SYMBOL: FLMVX							33,127.49
MAINSTAY EPOCH GLOBAL ◊ EQTY YIELD I SYMBOL: EPSYX							7,352.56
MATTHEWS PACIFIC TIGER FD INSTL SYMBOL: MIPTX							4,709.05
TWEEDY BROWNE GLOBAL VAL UE FUND SYMBOL: TBGVX							804.96

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Brokerage Trust Account of
ANTHONY S FAUCI TTEE
FAUCI DEFINED BENEFIT PLAN
U/A DTD 12/08/1995

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
VIRTUS VONTOBEL EMRG ◊ MKTS OPPTY FD I SYMBOL: HIEMX						(b) (6)	8,568.30
							(b) (6)
							(b) (6)

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Contributory IRA of
ANTHONY S FAUCI
CHARLES SCHWAB & CO INC CUST
IRA CONTRIBUTORY

(b) (6)

Investment Detail - Bank Sweep

	% of Account
(b) (6)	

Investment Detail - Mutual Funds

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
CIBC ATLAS DISCIPLINED [◇] EQTY FD INST SYMBOL: AWEIX						(b) (6)	77,106.95
CIBC ATLAS INCM OPPTY FD INST SYMBOL: AWIIX							10,355.63
CIBC ATLAS MID CAP EQTY FD INST SYMBOL: AWMIX							12,563.65
EDGEWOOD GROWTH INSTL SYMBOL: EGFIX							2,814.56
JPMORGAN MID CAP VALUE L SYMBOL: FLMVX							13,021.74

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Contributory IRA of
ANTHONY S FAUCI
CHARLES SCHWAB & CO INC CUST
IRA CONTRIBUTORY

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
MAINSTAY EPOCH GLOBAL ^o EQTY YIELD I SYMBOL: EPSYX						(b) (6)	2,634.55
MATTHEWS PACIFIC TIGER FD INSTL SYMBOL: MIPTX							1,633.63
MFS INSTL INTL EQUITY SYMBOL: MIEIX							1,476.21
TWEEDY BROWNE GLOBAL VAL UE FUND SYMBOL: TBGVX							2,416.73
VIRTUS VONTOBEL EMRG MKTS OPPTY FD I SYMBOL: HIEMX							2,068.19
							(b) (6)

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(b) (6)

(b) (6)

Investment Detail - Cash and Money Market Funds [Sweep]

(b) (6)

Money Market Funds [Sweep]	Quantity	Market Price	Market Value	Current Yield	% of Account Assets
Schwab Govt Money Fund: SWGXX					(b) (6)
					(b) (6)

Investment Detail - Mutual Funds

Bond Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
T ROWE PRICE SUMMIT MUNI INTERM INV SYMBOL: PRSMX						(b) (6)	7,285.09
Total Bond Funds							7,285.09
Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
CIBC ATLAS INCM OPPTY FD INST SYMBOL: AWIIX						(b) (6)	23,330.02

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(b) (6)

(b) (6)

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
JPMORGAN MID CAP VALUE L SYMBOL: FLMVX						(b) (6)	35,913.49
MAINSTAY EPOCH GLOBAL EQTY YIELD I SYMBOL: EPSYX							165.43
PARNASSUS CORE EQTY FD INST SYMBOL: PRILX							114,528.61
PAX SMALL CAP INST SYMBOL: PXSIX							6,263.14
TOUCHSTONE GLOBAL ESG EQUITY INST SYMBOL: TROCX							55,016.83
							(b) (6)

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Contributory IRA of
 (b) (6)
CHARLES SCHWAB & CO INC CUST
IRA CONTRIBUTORY

(b) (6)

Investment Detail - Bank Sweep

(b) (6)

Investment Detail - Mutual Funds

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
BOSTON COMMON ESG IMPACT INTL FD SYMBOL: BCAIX						(b) (6)	2,989.13
CIBC ATLAS INCM OPPTY FD INST SYMBOL: AWIIX							2,599.90
PARNASSUS CORE EQTY FD INST SYMBOL: PRILX							294.49
TOUCHSTONE GLOBAL ESG EQUITY INST SYMBOL: TROCX							(2,608.97)
							(b) (6)

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IRA Contributory Transactions 2019



Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
12/30/2019	Cash Dividend		AWIX	CIBC ATLAS INCM OPPTY FD INST				\$89.66
12/27/2019	Cash Dividend		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST				\$527.72
12/27/2019	Cash Dividend		PRILX	PARNASSUS CORE EQTY FD INST				\$29.15
12/17/2019	Cash Dividend		BCAIX	BOSTON COMMON ESG IMPACT INTL FD				\$450.46
12/16/2019 as of 12/15/2019	Bank Interest							(b) (6)
12/11/2019	Reinvest Shares		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST		(b) (6)		-\$885.73
12/11/2019	Long Term Cap Gain Reinvest		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST				\$885.73
11/21/2019	Long Term Cap Gain Reinvest		PRILX	PARNASSUS CORE EQTY FD INST				\$761.66
11/21/2019	Reinvest Shares		PRILX	PARNASSUS CORE EQTY FD INST				-\$761.66
11/18/2019 as of 11/15/2019	Bank Interest							(b) (6)
10/16/2019 as of 10/15/2019	Bank Interest							(b) (6)
09/30/2019	Cash Dividend		PRILX	PARNASSUS CORE EQTY FD INST				\$25.64
09/27/2019	Cash Dividend		AWIX	CIBC ATLAS INCM OPPTY FD INST				\$60.81
09/16/2019 as of 09/15/2019	Bank Interest							(b) (6)

Quote

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06/28/2019	Cash Dividend	PRILX	PARNASSUS CORE EQTY FD INST	\$21.24
06/27/2019	Cash Dividend	AWIIX	CIBC ATLAS INCM OPPTY FD INST	\$80.18
06/17/2019 as of 06/15/2019	Bank Interest			(b) (6)
05/16/2019 as of 05/15/2019	Bank Interest			(b) (6)
04/16/2019 as of 04/15/2019	Bank Interest			(b) (6)
03/29/2019	Cash Dividend	PRILX	PARNASSUS CORE EQTY FD INST	\$25.99
03/28/2019	Cash Dividend	AWIIX	CIBC ATLAS INCM OPPTY FD INST	\$67.27
03/18/2019 as of 03/15/2019	Bank Interest			(b) (6)
02/19/2019 as of 02/15/2019	Bank Interest			(b) (6)
01/16/2019 as of 01/15/2019	Bank Interest			(b) (6)

Transactions Total

(b) (6)

*Transactions may include Bank Sweep deposit information. Bank Sweep deposits are held at the FDIC-insured depository institution(s) referenced on the Balances detail page, your account statements and disclosed in your account documents. SIPC does not cover balances held in the Bank Sweep feature.

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Independent Investment Advisor*
CIBC PRIVATE WEALTH ADVRS, INC



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*Revocable Trust
Transactions 2019*

Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
12/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$752.78
12/31/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				(b) (6)
12/31/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$997.74
12/30/2019	Cash Dividend		AWIX	CIBC ATLAS INCM OPPTY FD INST				\$997.74
12/30/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$4,704.60
12/27/2019	Cash Dividend		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST				\$3,081.96
12/27/2019	Cash Dividend		PRILX	PARNASSUS CORE EQTY FD INST				\$1,622.64
12/20/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$2,317.76
12/19/2019	Cash Dividend		FLMVX	JPMORGAN MID CAP VALUE L				\$2,317.76
12/12/2019	Long Term Cap Gain Reinvest		FLMVX	JPMORGAN MID CAP VALUE L				\$6,685.94
12/12/2019	Reinvest Shares		FLMVX	JPMORGAN MID CAP VALUE L				-\$6,685.94
12/11/2019	Reinvest Shares		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST				-\$5,172.73
12/11/2019	Long Term Cap Gain Reinvest		TROCX	TOUCHSTONE GLOBAL ESG EQUITY INST				\$5,172.73
12/11/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$11.83

Quote [Show Indices Symbol Lookup](#) **DJIA** ([https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart/&symbol=\\$DJI](https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart/&symbol=$DJI)) 23,650.44 -592.05 (-2.44%)

(b) (6)

Date	Description	Symbol	Fund Name	Amount	
12/10/2019	Cash Dividend	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$11.83	
<p>S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$) 2,823.16 -51.40 (-1.79%)</p> <p>Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$) 1,213.35 -15.75 (-1.28%)</p>					
12/10/2019	Reinvest Shares	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	-\$47.27	
12/02/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$756.80
11/29/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$756.80	
11/21/2019	Long Term Cap Gain Reinvest	PRILX	PARNASSUS CORE EQTY INST	\$42,403.29	
11/21/2019	Reinvest Shares	PRILX	PARNASSUS CORE EQTY INST	-\$42,403.29	
11/18/2019 as of 11/15/2019	Cash Dividend	SWGXX	SCHWAB GOVT MONEY FUND		
11/13/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	\$3,386.76
11/12/2019	Advisor Fee			(b) (6)	
11/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$758.75
10/31/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$758.75	
10/16/2019 as of 10/15/2019	Cash Dividend	SWGXX	SCHWAB GOVT MONEY FUND		
10/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$2,130.20
09/30/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$687.41	
09/30/2019	Cash Dividend	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$15.41	
09/30/2019	Cash Dividend	PRILX	PARNASSUS CORE EQTY FD INST	\$1,427.38	
09/30/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$676.76
09/27/2019	Cash Dividend	AWIIX	CIBC ATLAS INCM OPPTY FD INST	\$676.76	
09/17/2019 as of 09/16/2019	Cash Dividend	SWGXX	SCHWAB GOVT MONEY FUND		
09/03/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$809.87
08/30/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$809.87	
08/16/2019 as of 08/15/2019	Cash Dividend	SWGXX	SCHWAB GOVT MONEY FUND		
08/13/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	\$3,372.07
08/12/2019	Advisor Fee			(b) (6)	
08/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	772.72 \$1.00 -\$772.72
07/31/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$772.72	
07/16/2019 as of 07/15/2019	Cash Dividend	SWGXX	SCHWAB GOVT MONEY FUND	31.81	

07/01/2019	Buy		NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SPX) 8,560.73 -89.41 (-1.03%)	SCHWAB GOVT MONEY FUND	(b) (6)	\$-1,925.36
06/28/2019	Cash Dividend		PRILX	PARNASSUS CORE EQTY FD INST		\$1,182.47
06/28/2019	Cash Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$33.49
06/28/2019	Buy	Trade Details	SWCXX	SCHWAB GOVT MONEY FUND		-\$892.24
06/27/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST		\$892.24
06/21/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		-\$870.89
06/20/2019	Cash Dividend		PXSIX	PAX SMALL CAP INST		\$870.89

Transactions Total

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Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
06/18/2019 as of 06/17/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND		(b) (6)		
06/03/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$837.89
05/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$837.89
05/16/2019 as of 05/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				
05/14/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				\$3,280.53
05/13/2019	Advisor Fee							(b) (6)
05/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		(b) (6)		-\$758.71
04/30/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$758.71
04/16/2019 as of 04/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				
04/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$2,253.62
03/29/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV				\$779.82
03/29/2019	Cash Dividend		PRILX	PARNASSUS CORE EQTY FD INST				\$1,447.17
03/29/2019	Cash Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I				\$26.63
03/29/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$748.59

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23,650.44 -592.05 (-2.44%)

03/28/2019	Cash Dividend			NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SSP) 8,560.73 -89.41 (-1.03%)	(b) (6)	\$748.59
03/28/2019	Cash Dividend			S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SSP) 2,823.16 -51.40 (-1.79%)	(b) (6)	
03/28/2019	Cash Dividend			Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=RSX) 1,213.34 -15.75 (-1.28%)	(b) (6)	
03/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	(b) (6)	-\$711.08
02/28/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV		\$711.08
02/19/2019 as of 02/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND		
02/12/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		\$2,991.65
02/11/2019	Advisor Fee				(b) (6)	
02/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	(b) (6)	-\$764.10
01/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV		\$764.10
01/16/2019 as of 01/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND		
01/02/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	(b) (6)	-\$795.03

Transactions Total

(b) (6)

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Transactions 2019*

Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
12/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,557.18
12/30/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST				\$1,616.95
12/30/2019	Cash Dividend		HHDFX	HAMLIN HIGH DIV EQTY INSTL				\$1,614.99
12/30/2019	Reinvest Dividend		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$5,234.46
12/30/2019	Reinvest Shares		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				-\$5,234.46
12/20/2019	Reinvest Shares		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				-\$353.75
12/20/2019	Reinvest Shares		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				-\$2,903.43
12/20/2019	Reinvest Shares		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				-\$247.29
12/20/2019	Long Term Cap Gain Reinvest		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$353.75
12/20/2019	Reinvest Dividend		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$2,903.43
12/20/2019	Short Term Cap Gain Reinvest		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$247.29
12/19/2019	Long Term Cap Gain Reinvest		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$8,037.19
12/19/2019	Reinvest Dividend		FLMVX	JPMORGAN MID CAP VALUE L				\$2,574.68
12/19/2019	Long Term Cap Gain Reinvest		EGFIX	EDGEWOOD GROWTH INSTL				\$402.67

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23,650.44 -592.05 (-2.44%)

(b) (6)

12/19/2019	Reinvest Shares	EGFIX	EDGEWOOD GROWTH INSTL	-\$2,574.68
<p>S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SPX) 2,823.16 -51.40 (-1.79%)</p> <p>Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$RUT) 1,213.35 -15.75 (-1.28%)</p>				
12/18/2019	Long Term Cap Gain Reinvest	IVIQX	IVA INTL FD CL I	\$789.81
12/18/2019	Reinvest Dividend	IVIQX	IVA INTL FD CL I	\$1,031.57
12/18/2019	Short Term Cap Gain Reinvest	IVIQX	IVA INTL FD CL I	\$179.38
12/18/2019	Reinvest Shares	IVIQX	IVA INTL FD CL I	-\$789.81
12/18/2019	Reinvest Shares	IVIQX	IVA INTL FD CL I	-\$1,031.57
12/18/2019	Reinvest Shares	IVIQX	IVA INTL FD CL I	-\$179.38
12/17/2019	Cash Dividend	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	\$1,072.99
12/17/2019	Long Term Cap Gain Reinvest	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	\$4,632.85
12/17/2019	Reinvest Shares	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	-\$4,632.85
12/16/2019 as of 12/15/2019	Bank Interest			(b) (6)
12/12/2019	Cash Dividend	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$776.18
12/12/2019	Long Term Cap Gain Reinvest	FLMVX	JPMORGAN MID CAP VALUE L	\$7,427.04
12/12/2019	Short Term Cap Gain Reinvest	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$43.51
12/12/2019	Long Term Cap Gain Reinvest	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$93.98
12/12/2019	Reinvest Shares	FLMVX	JPMORGAN MID CAP VALUE L	-\$7,427.04
12/12/2019	Reinvest Shares	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	-\$93.98
12/12/2019	Reinvest Shares	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	-\$43.51
12/10/2019	Long Term Cap Gain Reinvest	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$1,229.94
12/10/2019	Reinvest Dividend	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$307.83
12/10/2019	Reinvest Shares	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	-\$1,229.94
12/10/2019	Reinvest Shares	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	-\$307.83
11/29/2019	Cash Dividend	PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,634.66
11/18/2019 as of 11/15/2019	Bank Interest			(b) (6)
11/12/2019	Advisor Fee			
11/07/2019	Journal			

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11/06/2019	Sell	NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SPX)	8,560.73 -89.41 (-1.03%)	CIBC ATLAS DISCIPLINED EQTY FD INST	\$99,985.00
11/06/2019	Sell	NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SPX)	1,900.00 -15.75 (-1.28%)	PIMCO INVESTMENT GRADE CREDIT BD INST	\$99,985.00
10/31/2019	Cash Dividend	FIGIX		PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,834.93
10/16/2019 as of 10/15/2019	Bank Interest				(b) (6)
09/30/2019	Cash Dividend	FIGIX		PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,696.65
09/30/2019	Reinvest Dividend	EPSYX		MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$398.56
09/30/2019	Reinvest Shares	EPSYX		MAINSTAY EPOCH GLOBAL EQTY YIELD I	-\$398.56
09/27/2019	Cash Dividend	AWIIX		CIBC ATLAS INCM OPPTY FD INSM	\$1,098.76

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Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
09/19/2019	Bank Interest							(b) (6)
09/16/2019 as of 09/15/2019	Bank Interest							(b) (6)
08/30/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,956.73
08/16/2019 as of 08/15/2019	Bank Interest							(b) (6)
08/12/2019	Advisor Fee							(b) (6)
07/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,837.94
07/16/2019 as of 07/15/2019	Bank Interest							(b) (6)
06/28/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,759.69
06/28/2019	Cash Dividend		HHDFX	HAMLIN HIGH DIV EQTY INSTL				\$2,040.13
06/28/2019	Reinvest Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		(b) (6)		\$854.72
06/28/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		(b) (6)		-\$854.72
06/27/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST				\$1,445.98
06/17/2019 as of 06/15/2019	Bank Interest							(b) (6)
05/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,998.92

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23,650.44 -592.05 (-2.44%)

04/30/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST		\$1,852.18
04/24/2019	Sell	Trade Details	HHDFX	HAMLIN HIGH DIV EQTY INSTL	(b) (6)	\$199,985.00
04/24/2019	Sell	Trade Details	IVIQX	IVA INTL FD CL I	(b) (6)	\$44,985.00
04/24/2019	Buy	Trade Details	AWIIX	CIBC ATLAS INCM OPPTY FD INST	(b) (6)	-\$100,015.00
04/24/2019	Sell	Trade Details	TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	(b) (6)	\$34,985.00
04/24/2019	Buy	Trade Details	EGFIX	EDGEWOOD GROWTH INSTL	(b) (6)	-\$50,015.00
04/24/2019	Buy	Trade Details	HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I	(b) (6)	-\$100,015.00
04/24/2019	Buy	Trade Details	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	(b) (6)	-\$100,015.00
04/16/2019 as of 04/15/2019	Bank Interest				(b) (6)	
04/15/2019	Journal				(b) (6)	
03/29/2019	Reinvest Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$672.56
03/29/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST		\$1,894.44
03/29/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	(b) (6)	-\$672.56
03/28/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST		\$656.87
03/18/2019 as of 03/15/2019	Bank Interest				(b) (6)	
02/28/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST		\$1,771.06
02/19/2019 as of 02/15/2019	Bank Interest				(b) (6)	
02/11/2019	Advisor Fee				(b) (6)	
01/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST		\$1,723.60
01/16/2019 as of 01/15/2019	Bank Interest				(b) (6)	
Transactions Total						(b) (6)

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IRA Contributory Transactions 2019

Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
12/30/2019	Cash Dividend		AWIX	CIBC ATLAS INCM OPPTY FD INST				\$384.87
12/30/2019	Reinvest Dividend		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$1,462.70
12/30/2019	Reinvest Shares		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				-\$1,462.70
12/20/2019	Cash Dividend		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$385.93
12/20/2019	Reinvest Shares		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				-\$47.02
12/20/2019	Reinvest Shares		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				-\$32.87
12/20/2019	Long Term Cap Gain Reinvest		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$47.02
12/20/2019	Short Term Cap Gain Reinvest		HIEMX	VIRTUS VONTOBEL EMRG MKTS OPPTY FD I				\$32.87
12/19/2019	Long Term Cap Gain		EGFIX	EDGEWOOD GROWTH INSTL				\$93.15
12/19/2019	Cash Dividend		FLMVX	JPMORGAN MID CAP VALUE L				\$1,080.04
12/19/2019	Long Term Cap Gain Reinvest		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$2,245.88
12/19/2019	Reinvest Shares		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				-\$2,245.88
12/17/2019	Cash Dividend		MIPTX	MATTHEWS PACIFIC TIGER FD INSTL				\$519.85
12/17/2019	Long Term Cap Gain Reinvest		MIPTX	MATTHEWS PACIFIC TIGER FD INSTL				\$2,244.56

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12/12/2019	Cash Dividend		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND		\$735.85
12/12/2019	Cash Dividend		MIEIX	MFS INSTL INTL EQUITY		\$373.76
12/12/2019	Long Term Cap Gain Reinvest		FLMVX	JPMORGAN MID CAP VALUE L		\$3,115.54
12/12/2019	Long Term Cap Gain Reinvest		MIEIX	MFS INSTL INTL EQUITY		\$140.73
12/12/2019	Short Term Cap Gain Reinvest		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND		\$41.25
12/12/2019	Long Term Cap Gain Reinvest		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND		\$89.09
12/12/2019	Reinvest Shares		FLMVX	JPMORGAN MID CAP VALUE L	(b) (6)	-\$3,115.54
12/12/2019	Reinvest Shares		MIEIX	MFS INSTL INTL EQUITY	(b) (6)	-\$140.73
12/12/2019	Reinvest Shares		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	(b) (6)	-\$89.09
12/12/2019	Reinvest Shares		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	(b) (6)	-\$41.25
12/10/2019	Long Term Cap Gain Reinvest		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$475.01
12/10/2019	Reinvest Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$118.88
12/10/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		-\$475.01
12/10/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		-\$118.88
11/18/2019 as of 11/15/2019	Bank Interest				(b) (6)	
10/16/2019	Tax Withholding			DC STATE TAX W/H IRA7		-\$2,296.49
10/16/2019	Tax Withholding			FED INC TAX WHLD IRA7		-\$2,551.65
10/16/2019	Journal				(b) (6)	
10/16/2019 as of 10/15/2019	Bank Interest				(b) (6)	
10/10/2019	Sell	Trade Details	AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST	(b) (6)	\$20,000.00
09/30/2019	Reinvest Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$153.93
09/30/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I		-\$153.93
09/27/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST		\$260.92
09/16/2019 as of 09/15/2019	Bank Interest				(b) (6)	
08/16/2019 as of 08/15/2019	Bank Interest				(b) (6)	
07/16/2019 as of 07/15/2019	Bank Interest				(b) (6)	

06/28/2019	Reinvest Dividend	NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart/&symbol=\$SPX)	8,560.73 -89.41 (-1.03%)	MAINSTAY EPOCH GLOBAL EQTY YIELD I	(b) (6)	\$330.10
		S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart/&symbol=\$SPX)	2,823.16 -51.40 (-1.79%)			
		Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart/&symbol=\$RUS2000)	1,213.35 -15.75 (-1.28%)			
06/27/2019	Cash Dividend	AWIIX		CIBC ATLAS INCM OPPTY FD INST		\$343.99
06/17/2019 as of 06/15/2019	Bank Interest				(b) (6)	
05/16/2019 as of 05/15/2019	Bank Interest					
04/16/2019 as of 04/15/2019	Bank Interest					
03/29/2019	Reinvest Dividend	EPSYX		MAINSTAY EPOCH GLOBAL EQTY YIELD I		\$259.75
03/29/2019	Reinvest Shares	EPSYX		MAINSTAY EPOCH GLOBAL EQTY YIELD I	(b) (6)	-\$259.75
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Transactions From 01/01/2019 To 12/31/2019

Table with columns: Date, Action, Details, Symbol, Description, Quantity, Price, Fees & Comm, Amount. Includes rows for Cash Dividend, Bank Interest, Sell, Buy, and another Bank Interest entry.

Transactions Total

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*Revocable Trust
Transactions - 2019*

Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
12/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$1,896.46
12/31/2019	Cash Dividend		FIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,217.61
12/31/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				(b) (6)
12/31/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$11,969.93
12/30/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST				\$2,159.43
12/30/2019	Cash Dividend		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$9,810.50
12/24/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				\$249,446.05
12/23/2019	Cash Dividend		VSMAX	VANGUARD SMALL CAP INDEX ADMIRAL SHARE				\$583.95
12/23/2019	Buy	Trade Details	MIEIX	MFS INSTL INTL EQUITY				-\$200,015.00
12/23/2019	Buy	Trade Details	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I				-\$50,015.00
12/20/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$2,667.81
12/19/2019	Cash Dividend		FLMVX	JPMORGAN MID CAP VALUE L				\$2,667.81
12/19/2019	Long Term Cap Gain Reinvest		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				\$15,063.42
12/19/2019	Reinvest Shares		AWEIX	CIBC ATLAS DISCIPLINED EQTY FD INST				-\$15,063.42

Date	Type	Details	Symbol	Description	Amount
12/18/2019	Buy		SWGXX	SCHWAB GOVT MONEY FUND	-\$5,586.84
<p>S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SSP) 2,912.43 -27.08 (-0.92%)</p> <p>Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=RUS2000) 1,310.66 -50.10 (-3.68%)</p>					
12/17/2019	Cash Dividend		MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	\$1,579.03
12/17/2019	Long Term Cap Gain Reinvest		MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	\$6,817.79
12/17/2019	Reinvest Shares		MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	-\$6,817.79
12/13/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$2,540.08
12/12/2019	Cash Dividend		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$2,540.08
12/12/2019	Long Term Cap Gain Reinvest		FLMVX	JPMORGAN MID CAP VALUE L	\$7,695.70
12/12/2019	Short Term Cap Gain Reinvest		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$142.38
12/12/2019	Long Term Cap Gain Reinvest		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	\$307.54
12/12/2019	Reinvest Shares		FLMVX	JPMORGAN MID CAP VALUE L	-\$7,695.70
12/12/2019	Reinvest Shares		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	-\$307.54
12/12/2019	Reinvest Shares		TBGVX	TWEEDY BROWNE GLOBAL VALUE FUND	-\$142.38
12/11/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$248.89
12/10/2019	Cash Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$248.89
12/10/2019	Long Term Cap Gain Reinvest		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$994.46
12/10/2019	Reinvest Shares		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	-\$994.46
12/02/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$3,133.94
11/29/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV	\$1,906.56
11/29/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,227.36
11/18/2019 as of 11/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND	
11/13/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	\$5,686.72
11/12/2019	Advisor Fee				
11/08/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	-\$247,531.84
11/07/2019	Cash Dividend		VCRRX	VERSUS CAP REAL ASSET FUND	\$865.12
11/07/2019	Journal			(b) (4), (b) (6)	\$246,666.72
11/06/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	\$75,015.00
11/04/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND	\$50,015.00

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Quote

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 24,345.72 -288.14 (-1.17%)

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Transactions From 01/01/2019 To 12/31/2019

Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
10/11/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		(b) (6)		-\$1,060.77
10/10/2019	Cash Dividend		VCMIX	VERSUS CAP MULTI MNGR REAL ESTATE INCM FD INST				\$1,060.77
10/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$3,146.44
09/30/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$1,731.78
09/30/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,090.46
09/30/2019	Cash Dividend		EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I				\$324.20
09/30/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$1,464.72
09/27/2019	Cash Dividend		AWIIX	CIBC ATLAS INCM OPPTY FD INST				\$1,464.72
09/17/2019 as of 09/16/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				
09/16/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$294.16
09/13/2019	Cash Dividend		VSMAX	VANGUARD SMALL CAP INDEX ADMIRAL SHARE				\$294.16
09/10/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$6,240.00
09/09/2019	Journal			(b) (4), (b) (6)				\$3,080.00
09/09/2019	Journal							\$3,160.00

Date	Type	Symbol	Description	Amount
09/03/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$3,260.54
08/30/2019	Cash Dividend	PIGIX	PIMCO Investment Grade Credit Bd Inst	\$1,236.60
08/29/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$75,000.00
08/28/2019	Funds Received		Funds Received	\$75,000.00
08/16/2019 as of 08/15/2019	Cash Dividend	SWGXX	Schwab Govt Money Fund	
08/13/2019	Sell	SWGXX	Schwab Govt Money Fund	\$5,561.34
08/12/2019	Advisor Fee			
08/09/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$865.12
08/08/2019	Cash Dividend	VCRRX	Versus Cap Real Asset Fund	\$865.12
08/05/2019	Sell	SWGXX	Schwab Govt Money Fund	\$200,060.00
08/02/2019	Buy	AWMIX	CIBC Atlas Mid Cap Eqty Fd Inst	-\$50,015.00
08/02/2019	Buy	PIGIX	PIMCO Investment Grade Credit Bd Inst	-\$50,015.00
08/02/2019	Buy	FLMVX	JPMorgan Mid Cap Value L	-\$25,015.00
08/02/2019	Buy	AWEIX	CIBC Atlas Disciplined Eqty Fd Inst	-\$25,015.00
08/02/2019	Buy	PRSMX	T Rowe Price Summit Muni Interim Inv	-\$50,000.00
08/01/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$2,859.99
07/31/2019	Cash Dividend	PRSMX	T Rowe Price Summit Muni Interim Inv	\$1,844.01
07/31/2019	Cash Dividend	PIGIX	PIMCO Investment Grade Credit Bd Inst	\$1,015.98
07/25/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$100,000.00
07/24/2019	Funds Received		Funds Received	\$100,000.00
07/16/2019 as of 07/15/2019	Cash Dividend	SWGXX	Schwab Govt Money Fund	
07/12/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$1,078.75
07/11/2019	Cash Dividend	VCMIX	Versus Cap Multi Mngr Real Estate Incm Fd Inst	\$1,078.75
07/01/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$3,370.04
06/28/2019	Cash Dividend	PRSMX	T Rowe Price Summit Muni Interim Inv	\$1,692.85
06/28/2019	Cash Dividend	PIGIX	PIMCO Investment Grade Credit Bd Inst	\$972.70
06/28/2019	Cash Dividend	EPSYX	Mainstay Epoch Global Eqty Yield I	\$704.49

06/28/2019	Buy					(b) (6)	
<p>NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SPX) 8,889.55 -25.16 (-0.28%)</p> <p>S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SPX) 2,912.43 -27.08 (-0.92%)</p> <p>Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SPX) 1,310.66 -50.10 (-3.68%)</p>							
06/27/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND			-\$1,931.10
06/26/2019	Cash Dividend		VSMAX	VANGUARD SMALL CAP INDEX ADMIRAL SHARE			\$1,931.10
06/18/2019 as of 06/17/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND			-\$316.95
06/11/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND			\$316.95
06/10/2019	Journal				(b) (4), (b) (6)		-\$6,240.00
06/10/2019	Journal				(b) (4), (b) (6)		\$3,080.00
06/10/2019	Journal				(b) (4), (b) (6)		\$3,160.00

Transactions Total

(b) (6)

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Date ▼	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
06/03/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND			(b) (6)	-\$2,974.59
05/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				\$1,869.65
05/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST				\$1,104.94
05/20/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				\$100,015.00
05/17/2019	Buy	Trade Details	VSMAX	VANGUARD SMALL CAP INDEX ADMIRAL SHARE				-\$100,015.00
05/17/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				\$100,000.00
05/16/2019	Buy	Trade Details	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM INV				-\$100,000.00
05/16/2019 as of 05/15/2019	Cash Dividend		SWGXX	SCHWAB GOVT MONEY FUND				
05/14/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				\$5,042.62
05/13/2019	Advisor Fee							(b) (6)
05/10/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		(b) (6)		-\$904.44
05/09/2019	Cash Dividend		VARRX	VERSUS CAP REAL ASSET FUND				\$904.44
05/09/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND				-\$300,000.00
▶ 05/08/2019	Funds Received	Deposit Details		FUNDS RECEIVED				\$300,000.00

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 24,345.72 -288.14 (-1.17%)

Date	Type	Symbol	Description	Amount	
05/01/2019	Buy	SWGXX	Schwab Govt Money Fund	-\$2,697.04	
<p>NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SPX) S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=SPX) Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=RUS2000)</p>					
04/30/2019	Cash Dividend	PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,023.83	
04/29/2019	Sell	Trade Details	SWGXX	Schwab Govt Money Fund	\$4,395.47
04/24/2019	Buy	Trade Details	HLMEX	HARDING LOEVNER INST EMRG MKTS CL I	-\$25,015.00
04/24/2019	Sell	Trade Details	IVIQX	IVA INTL FD CL I	\$45,634.53
04/24/2019	Buy	Trade Details	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	-\$25,015.00
04/18/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	-\$2,281.00
04/17/2019	Journal		(b) (4), (b) (6)	\$2,281.00	
04/17/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	-\$8,433.00
04/16/2019	Journal		(b) (4), (b) (6)	\$8,433.00	
04/16/2019 as of 04/15/2019	Cash Dividend	SWGXX	Schwab Govt Money Fund		
04/16/2019	Sell	Trade Details	SWGXX	Schwab Govt Money Fund	\$28,885.29
04/15/2019	Cash Dividend	VCMIX	VERSUS CAP MULTI MNGR REAL ESTATE INCM FD INST	\$1,114.71	
04/15/2019	Journal		(b) (4), (b) (6)	-\$100,000.00	
04/12/2019	Sell	Trade Details	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV	\$70,000.00
04/01/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	-\$3,407.00
03/29/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV	\$1,799.60	
03/29/2019	Cash Dividend	PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST	\$1,047.20	
03/29/2019	Cash Dividend	EPSYX	MAINSTAY EPOCH GLOBAL EQTY YIELD I	\$560.20	
03/29/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	-\$1,620.18
03/28/2019	Cash Dividend	AWIX	CIBC ATLAS INCM OPPTY FD INST	\$1,620.18	
03/18/2019 as of 03/15/2019	Cash Dividend	SWGXX	Schwab Govt Money Fund		
03/01/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	-\$2,620.00
02/28/2019	Cash Dividend	PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV	\$1,640.99	
02/28/2019	Cash Dividend	PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST	\$979.01	
02/19/2019 as of 02/15/2019	Cash Dividend	SWGXX	Schwab Govt Money Fund		
02/12/2019	Sell	Trade Details	SWGXX	Schwab Govt Money Fund	\$3,878.01

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(b) (4), (b) (6)

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(b) (6)

02/11/2019	Cash Dividend			NASDAQ (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SPX; 8,889.55 -25.16 (-0.28%)		\$865.12
				S&P 500 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol=\$SP; 2,912.43 -27.08 (-0.92%)		
				Russell 2000 (https://client.schwab.com/secure/cc/nn/gw/wsod?path=/retail/research/markets/chart&symbol= 1,310.66 -50.10 (-3.68%)		
02/11/2019	Sell	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		\$49,891.77
02/08/2019	Sell	Trade Details	MIEIX	MFS INSTL INTL EQUITY		\$123.23
02/08/2019	Buy	Trade Details	MIPTX	MATTHEWS PACIFIC TIGER FD INSTL		-\$50,015.00
02/01/2019	Buy	Trade Details	SWGXX	SCHWAB GOVT MONEY FUND		-\$2,716.06
01/31/2019	Cash Dividend		PRSMX	T ROWE PRICE SUMMIT MUNI INTERM FUND INV		\$1,763.32
01/31/2019	Cash Dividend		PIGIX	PIMCO INVESTMENT GRADE CREDIT BD INST		\$952.74

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Transactions From 01/01/2019 To 12/31/2019

Date	Action	Details	Symbol	Description*	Quantity	Price	Fees & Comm	Amount
01/16/2019 as of 01/15/2019	Cash Dividend		SWGXX	Schwab Govt Money Fund				
01/15/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund				-\$1,114.71
01/14/2019	Cash Dividend		VCMIX	Versus Cap Multi Mngr Real Estate Incm Fd Inst				\$1,114.71
01/02/2019	Buy	Trade Details	SWGXX	Schwab Govt Money Fund	2,699.8			-\$2,699.80

Transactions Total

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