

# Executive Branch Personnel

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

### Filer's Information

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DeJoy, Louis

Postmaster General, U.S. Postal Service

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ DeJoy, Louis [electronically signed on 05/17/2021 by DeJoy, Louis 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/ Bonanno, Natalie A, Certifying Official [electronically signed on 07/02/2021 by Bonanno, Natalie A in Integrity.gov]

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Other review conducted by

/s/ Brewster-Johnson, Jessica Y., Ethics Official [electronically signed on 06/07/2021 by Brewster-Johnson, Jessica Y. in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 02/17/2022 by Apol, David in Integrity.gov]

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Data Revised 07/22/2021

Data Revised 06/07/2021

Data Revised 06/04/2021

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	LDJ Global Strategies, LLC		Greensboro, North Carolina	Limited Liability Company	President	1/2016	Present
2	The Louis DeJoy and Aldona Z. Wos Family Foundation, Inc.		Greensboro, North Carolina	Private Foundation	President (Uncompensated)	9/2005	Present
3	The Louis DeJoy Family Partnership, LLC	See Endnote	Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	6/2011	11/2020
4	LMD Properties, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	9/1998	Present
5	DeJoy Investments No. 1		Greensboro, North Carolina	Partnership	Managing Partner (Uncompensated)	8/1999	Present
6	3280 General Williams W. Drive, LLC		Florence, South Carolina	Limited Liability Company	Managing Member (Uncompensated)	4/2017	Present
7	3401 Old Burlington Rd .Associates, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	2/2017	Present
8	4035 Piedmont Parkway Associates, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	1/2013	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
9	Elon University	Elon, North Carolina	University/College	Member, Board of Trustees - non-compensated	1/2007	Present
10	Fund For American Studies	Washington, District of Columbia	Non-Profit	Member, Board of Directors - non-compensated	2/2004	12/2020
11	Piedmont Triad Charitable Foundation - Wyndham Championship	Greensboro, North Carolina	Non-Profit	Member, Board of Directors - non-compensated	8/2011	Present
12	Piedmont Triad Partnership	Greensboro, North Carolina	Private Leadership Organization	Member, Board of Directors - non-compensated	4/2017	Present
13	LDJ Global Holdings, LLC	Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	3/2016	Present
14	Military Cutoff Associates, LLC	Wilmington, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	9/2018	Present
15	LDJ Davie Industrial Ctr 1, LLC	Mocksville, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	8/2018	Present
16	2570 Florence Harlee Boulevard, LLC	Florence, South Carolina	Limited Liability Company	Managing Member (Uncompensated)	1/2019	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
17	2494 Florence Harllee Boulevard, LLC		Florence, South Carolina	Limited Liability Company	Managing Member (Uncompensated)	6/2019	Present
18	4000 Piedmont Parkway, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	12/2017	Present
19	500 Taylor Street, LLC		Columbia, South Carolina	Limited Liability Company	Managing Member (Uncompensated)	10/2019	Present
20	Aircraft Services, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	9/2014	Present
21	LDJ Development 1, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	1/2020	Present
22	LDJ Portfolio II, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	10/2019	Present
23	4000 Ossi Court Associates, LLC		Greensboro, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	11/2019	Present
24	Sandy Point Investments, LLC	See Endnote	Greensboro, North Carolina	Limited Liability Company	Manager (uncompensated)	3/2015	9/2020
25	647 Hargrave Road, LLC		Lexington, North Carolina	Limited Liability Company	Managing Member (Uncompensated)	11/2020	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	LDJ Global Strategies, LLC 401(K) Plan	No			
1.1	American Funds 2020 Target Date Fund R5	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
2	LDJ Global Strategies, LLC (Real Estate Investing & Management, Greensboro, NC)	No			
2.1	Management Fees	N/A		Management Fees	\$2,591,500
2.2	LMD Properties, LLC	No			
2.2.1	Commercial Real Estate, Greensboro/High Point, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
2.2.2	U.S. bank account (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.3	4035 Piedmont Parkway Associates, LLC	No			
2.3.1	Commercial Real Estate, High Point, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
2.3.2	U.S. bank account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.4	4000 Piedmont Parkway Associates, LLC	No			
2.4.1	Commercial Real Estate, High Point, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$1,000,001 - \$5,000,000
2.4.2	U.S. bank account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.5	3280 General Williams W. Drive, LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5.1	Commercial Real Estate, Florence, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$1,000,001 - \$5,000,000
2.5.2	U.S. bank account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.6	3401 Old Burlington Rd Associates, LLC	No			
2.6.1	Commercial Real Estate, Greensboro, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$1,000,001 - \$5,000,000
2.6.2	U.S. bank account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.7	Military Cutoff Associates, LLC	No			
2.7.1	Commercial Real Estate, Wilmington, NC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$1,000,001 - \$5,000,000
2.7.2	U.S. bank account (cash) #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7.3	U.S. bank account (cash) #2	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.8	LDJ Davie Industrial Ctr 1, LLC	No			
2.8.1	Commercial Real Estate, Mocksville, NC	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
2.9	2570 Florence Harllee Boulevard, LLC	No			
2.9.1	Commercial Real Estate, Florence, SC	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
2.9.2	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Aircraft Services, LLC	No			
2.10.1	Aircraft Charter Services, Greensboro, NC	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10.2	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	U.S. bank account (cash) #1	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
2.12	U.S. bank account (cash) #2	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.13	U.S. Brokerage Account #5 - Institution #6	No			
2.13.1	FIDELITY INSTITUTIONAL MONEY MARKET TREASURY PORTFOLIO - CL II (FCEXX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.14	LDJ Portfolio II, LLC	No			
2.14.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14.2	2494 Florence Harllee Boulevard LLC	No			
2.14.2.1	Commercial Real Estate, Florence, SC	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.14.2.2	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14.3	500 Taylor Street, LLC	No			
2.14.3.1	Commercial Real Estate, Columbia, SC	N/A	\$5,000,001 - \$25,000,000	Rent or Royalties	\$100,001 - \$1,000,000
2.14.3.2	U.S. bank account (cash) #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14.3.3	U.S. bank account (cash) #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.14.4	647 Hargrave Road, LLC	No			
2.14.4.1	Commercial Real Estate, Lexington, NC	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.14.4. 2	U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	LDJ Development 1, LLC	No			
3.1	U.S. bank account (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	LDJ Global Strategies, LLC	Greensboro, North Carolina	I do not currently contribute to the LDJ Global Strategies 401K plan. The assets in this account represent what was rolled from a previous employer.	6/2016

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Profit Sharing Keogh, U.S. Brokerage Account #1 - Institution #3	No			
1.1	Profit Sharing U.S. Keogh Account - Cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Berkshire Hathaway Inc Delaware Fixed Rate Senior Note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	Microsoft Corp Fixed Rate Note	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
1.4	Invesco Conservative Income Fund Institutional Class (ICIFX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.5	SPDR S&P 500 ETF (SPY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	PUTNAM SHORT DURATION BOND FUND CL Y (PARYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2	Retirement Insured Money Market, U.S. Bank Acct #4 (Cash) - Institution #1	N/A	\$15,001 - \$50,000		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)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. Brokerage Account #2 Institution #3	No			
1.1	U.S. Brokerage Account #2 (cash) Institution #3	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Pfizer Inc Fixed Rate Note	N/A	None (or less than \$1,001)	Interest Capital Gains	\$2,501 - \$5,000
1.3	Colgate-Palmolive Co Medium Term Notes, Fixed Rate Notes Serg G	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
1.4	Berkshire Hathaway Inc Delaware Fixed Rate Senior Note	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.5	Lord Abbett Growth Leaders Fund (LGLCX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.6	Lord Abbett Short Duration Income Fund Class A (LALDX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.7	Putnam Growth Opportunities Fund Class C (POGCX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.8	MAINSTAY MACKAY TAX FREE BOND FUND CLASS A (MTBAX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
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	\$500,001 - \$1,000,000		None (or less than \$201)
5	U.S. Bank Account #4 (Cash) - Institution #2	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	U.S. Bank Account #5 (Cash) - Institution #2	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7	U.S. Brokerage Account #1 Institution #4	No			
7.1	U.S. Brokerage Account #1 (cash) Institution #4	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.2	ABBOTT LABORATORIES (ABT)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
7.3	ABBVIE INC COM (ABBV)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.4	AIR PROD & CHEM INC (APD)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.5	AMGEN INC (AMGN)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.6	AUTOMATIC DATA PROCESSING INC (ADP)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.7	BLACKROCK INC (BLK)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.8	BROADCOM INC (AVGO)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.9	CHEVRON CORP (CVX)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
7.10	CISCO SYS INC (CSCO)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
7.11	COCA COLA CO (KO)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.12	COMCAST CORP (NEW) CLASS A (CMCSA)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.13	CROWN CASTLE INTL CORP (CCI)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
7.14	EATON CORP PLC SHS (ETN)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
7.15	ELI LILLY & CO (LLY)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.16	EVERSOURCE ENERGY COM (ES)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.17	HOME DEPOT INC (HD)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
7.18	HONEYWELL INTERNATIONAL INC (HON)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
7.19	ILL TOOL WORKS INC (ITW)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.20	JOHNSON & JOHNSON (JNJ)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.21	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
7.22	LOCKHEED MARTIN CORP (LMT)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
7.23	LYONDELLBASELL NV CL-A (LYB)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
7.24	MARSH & MCLENNAN COS INC (MMC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.25	MAXIM INTEGRATED PRODUCTS INC (MXIM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
7.26	MC DONALDS CORP (MCD)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
7.27	MEDTRONIC PLC SHS (MDT)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.28	MERCK & CO INC NEW COM (MRK)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.29	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
7.30	MONDELEZ INTL INC COM (MDLZ)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.31	NEXTERA ENERGY INC (NEE)	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$15,001 - \$50,000
7.32	PAYCHEX INC (PAYX)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.33	PEPSICO INC NC (PEP)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.34	PHILLIPS 66 COM (PSX)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.35	PNC FINL SVCS GP (PNC)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.36	PROCTER & GAMBLE (PG)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
7.37	PROLOGIS INC COM (PLD)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.38	REALTY INCOME CORP (O)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.39	SEMPRA ENERGY (SRE)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.40	STARBUCKS CORP WASHINGTON (SBUX)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.41	TEXAS INSTRUMENTS (TXN)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
7.42	TRUIST FINL CORP (TFC)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.43	U S BANCORP COM NEW (USB)	N/A	\$1,001 - \$15,000	Dividends	\$5,001 - \$15,000
7.44	VALERO ENERGY CP DELA NEW (VLO)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
7.45	VERIZON COMMUNICATIONS (VZ)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
7.46	WEC ENERGY GROUP INC COM (WEC)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
7.47	EXXON MOBIL CORP (XOM)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
7.48	ONEOK INC (OKE)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.49	PFIZER INC (PFE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.50	SIMON PPTY GROUP INC (SPG)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
7.51	SYSCO CORP (SYY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.52	WELLS FARGO & CO NEW (WFC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.53	AMERICAN TOWER REIT COM (AMT)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.54	QUALCOMM INC (QCOM)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
7.55	ISHARES CORE HIGH DIVIDEND ETF (HDV)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
8	U.S. Brokerage Account #2 Institution #4	No			
8.1	U.S. Brokerage Account #2 (cash) Institution #4	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
8.2	ABBVIE INC COM (ABBV)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
8.3	AMERICAN ELECTRIC POWER CO (AEP)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
8.4	AMGEN INC (AMGN)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
8.5	AT&T INC (T)	N/A	None (or less than \$1,001)	Dividends	\$15,001 - \$50,000
8.6	BCE INC (BCE)	N/A	\$1,001 - \$15,000	Dividends	\$5,001 - \$15,000
8.7	BP PLC ADS (BP)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
8.8	BRITISH AMER TOB SPON ADR (BTI)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.9	CDN IMPL BK COMMERCE (CM)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.10	CHEVRON CORP (CVX)	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
8.11	CISCO SYS INC (CSCO)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.12	COCA COLA CO (KO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
8.13	DOMINION ENERGY INC (D)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
8.14	DUKE ENERGY CORPORATION (DUK)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
8.15	ENBRIDGE INC (ENB)	N/A	\$1,001 - \$15,000	Dividends	\$5,001 - \$15,000
8.16	EXXON MOBIL CORP (XOM)	N/A	\$1,001 - \$15,000	Dividends	\$15,001 - \$50,000
8.17	GILEAD SCIENCE (GILD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
8.18	GLAXOSMITHKLINE PLC ADR (GSK)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
8.19	HUNTINGTON BANCSHARES (HBAN)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8.20	INTL BUSINESS MACHINES CORP (IBM)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
8.21	MERCK & CO INC NEW COM (MRK)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.22	NATIONAL GRID PLC SPON ADR (NGG)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
8.23	PEPSICO INC NC (PEP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.24	PFIZER INC (PFE)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
8.25	PHILIP MORRIS INTL INC (PM)	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
8.26	PNC FINL SVCS GP (PNC)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
8.27	PPL CORPORATION (PPL)	N/A	\$1,001 - \$15,000	Dividends	\$5,001 - \$15,000
8.28	REGIONS FINANCIAL CORP NEW (RF)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
8.29	SOUTHERN CO (SO)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
8.30	TC ENERGY CORP (TRP)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.31	UNILEVER PLC (NEW) ADS (UL)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
8.32	UNITED PARCEL SER INC CL-B (UPS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
8.33	VERIZON COMMUNICATIONS (VZ)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
8.34	VODAFONE GROUP PLC (VOD)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
8.35	ALTRIA GROUP INC (MO)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.36	AMCOR PLC (AMCR)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.37	CROWN CASTLE INTL CORP (CCI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
8.38	GENERAL MILLS INC (GIS)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.39	INVESCO LTD (IVZ)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.40	KIMBERLY CLARK CORP (KMB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
8.41	ISHARES SELECT DIVIDEND ETF (DIV)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
8.42	LYONDELLBASELL NV CL-A (LYB)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.43	OCCIDENTAL PETROLEUM CORP DE (OXY)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.44	REALTY INCOME CORP (O)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
8.45	ROYAL DUTCH SHELL PLC CL B (RDS'B)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.46	VENTAS INC (VTR)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.47	WELLTOWER INC (WELL)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
8.48	PUBLIC SERVICE ENTERPRISE GP (PEG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.49	3M COMPANY (MMM)	See Endnote	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.50	BRISTOL MYERS SQUIBB CO (BMY)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.51	EATON CORP PLC SHS (ETN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.52	VIATRIS INC (VTRS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
9	U.S. Brokerage Account #3 Institution #4	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	XPO LOGISTICS INC (XPO)	N/A	None (or less than \$1,001)	Capital Gains	Over \$5,000,000
9.2	CLEARFORK CAPITAL FUND LLC	Yes	None (or less than \$1,001)		\$1,000,001 - \$5,000,000
9.3	GS EXCHANGE PLACE LP	Yes	None (or less than \$1,001)		\$1,000,001 - \$5,000,000
9.4	U.S. Brokerage Account #3 (cash) Institution #4	N/A	\$5,000,001 - \$25,000,000	Interest	\$201 - \$1,000
9.5	XPO LOGISTICS INC (XPO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
9.6	XPO LOGISTICS INC (XPO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
10	U.S. Brokerage Account #4 Institution #4	No			
10.1	U.S. Brokerage Account #4 (cash) Institution #4	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
10.2	AFFILIATED MANAGERS GROUP INC 5.875% NOTE (MGR)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10.3	AGNC INVESTMENT CORP 06.875%-D (AGNCM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.4	AGNC INVMNT CO 6.125% SER-F (AGNCP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.5	AGNC INVSTMNT CORP 6.50% SER-E (AGNCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.6	AGNC INVT CORP CUM 1/1000 7% C (AGNCN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.7	AIR LEASE CORP NON CUM PFD A (AL.A)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.8	ALGONQUIN POWER & UTILITIES CORP 6.875%-A NOTE (AQNA)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	ALGONQUIN PWR & UTILS CORP A NOTE (AQNB)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
10.10	ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER NOTE (ALL.B)	N/A	\$50,001 - \$100,000	Interest Capital Gains	\$2,501 - \$5,000
10.11	ALLSTATE CORP 5.100 H (ALL.H)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.12	AMER EQ INV HLDG CO 5.95%-A (AEL.A)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.13	AMERICAN HMS 4 RENT PFD D 6.5% (AMH.D)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.14	AMERICAN HOMES 4 RENT 6.25%-H (AMH.H)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.15	ANNALY CAP MGMNT 6.95%-F (NLY.F)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.16	ANNALY CAP MGMT INC PFD SER I (NLY.I)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.17	ASPEN INSURANCE HLDG LTD 5.95% (AHL.C)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.18	ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.19	ASPEN INSURANCE HOLDINGS 5.625 (AHL.D)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.20	AT&T INC 4.750% SER-C (T.C)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.21	AT&T INC 5.625% NOTE (TBC)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$2,501 - \$5,000
10.22	ATHENE HOLDING LTD 5.625 SER-B (ATH.B)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.23	ATHENE HOLDING LTD 6.35 SER A (ATH.A)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.24	AXIS CAP HOLDINGS LTD 5.5%-E (AXS.E)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.25	BANCO SANTANDER SA GTD SECS 6 (SAN.B)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.26	BANK OF AMERICA CO 5.00 SER LL (BAC.N)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.27	BANK OF AMERICA CORP 6%-GG (BAC.B)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.28	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.29	BK OF AMERICA CO 5.875% SER-HH (BAC.K)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.30	CAPITAL ONE FINANCIAL 5%-I PRF (COF.I)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
10.31	CAPITAL ONE FINANCIAL CO 6%-H (COF.H)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.32	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
10.33	CHS INC (CHSCN)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.34	CHS INC (CHSCM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.35	CHS INC PERPETUAL PRF CL B (CHSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.36	CHS INC/RED PFD CL B S 4 (CHSCL)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
10.37	CITIGROUP CAPT XIII 7.875% FIXED 10/30/15 FLOATS AFTER NOTE (C.N)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.38	CITIGROUP INC 6.875%-K (C.K)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.39	CITIGRP INC 7.125%-J (C.J)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
10.40	CITIZENS FIN GROUP 6.35%-D (CFG.D)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.41	CMS ENERGY CORP 5.875% NOTE (CMSD)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10.42	CMS ENERGY CORP 5.875% NOTE (CMSC)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.43	DIGITAL REALTY TRST 5.850-K (DLR.K)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.44	DIGITAL RLTY TR INC RED SER C (DLR.C)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.45	DIGITAL RLTY TST INC 5.20% SERL (DLR.L)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.46	DUKE ENERGY CORP 5.625% NOTE (DUKB)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
10.47	DUKE ENERGY CORP 5.75%-A (DUK.A)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.48	ENBRIDGE INC 6.375%-B NOTE (ENBA)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.49	ENSTAR GROUP LTD 7%-D (ESGRP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.50	EQUITABLE HLDGS DEP RP PFD A (EQH.A)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.51	F N B CORP FLA DEP SHS REPSTG (FNB.E)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
10.52	FARMLAND PARTNERS INC 6%-B (FPI.B)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.53	FIFTH THIRD BANCORP 6% NCUM PF (FITBP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.54	FIFTH THIRD BANCORP 6.625%-I (FITBI)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.55	GLOBAL NET LEASE INC PFD SER A (GNL.A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.56	GLOBE LIFE INC 6.125 BOND (GL.C)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
10.57	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
10.58	GOLDMAN SACHS GRP INC 5.50%-J (GS.J)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.59	GOLDMAN SACHS GRP INC 6.375%-K (GS.K)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
10.60	HARTFORD FINL SVC GRP 7.875% TO 4/15/22 FLOATS AFTER NOTE (HGH)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
10.61	HUNTINGTON BANCSHARES 6.25%-D (HBANO)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.62	IBERIABANK CORP SHS PFD SR B (IBKCP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.63	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.64	JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.65	JPMORGAN CHASE & CO 6.1%-AA (JPM.G)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.66	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.67	KEYCORP 6.125% SER-E (KEY.I)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
10.68	MORGAN STANLEY 5.85%-K (MS.K)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.69	MORGAN STANLEY 6.375%-I (MS.I)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.70	MORGAN STANLEY 7.125%-E (MS.E)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.71	MORGAN STANLEY 6.875%-F (MS.F)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.72	NATIONAL RURAL UTIL COOP 5.50% NOTE (NRUC)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
10.73	NEW YORK CMNTY BC INC SER A (NYCB.A)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.74	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% NOTE (NEE.N)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$2,501 - \$5,000
10.75	NISOURCE INC 6.5% DEPSHS PFDB (NI.B)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.76	PARTNERRE LTD 6.50% RED PFD G (PRE.G)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.77	PARTNERRE LTD 7.25% RED SER H (PRE.H)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.78	PEOPLES UNITED FIN INC SER A (PBCTP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
10.79	PNC FINL-P 6.125% FLTS 5/01/22 (PNC.P)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.80	PRUDENTIAL FINANCIAL INC 5.625% NOTE (PRS)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
10.81	PS BUSINESS PARKS INC 4.875%-Z (PSB.Z)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.82	QWEST CORP 6.875% NOTE (CTV)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
10.83	REGIONS FINANCIAL CO 6.375%-B (RF.B)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.84	REGIONS FINL CORP 6.375%-A (RF.A)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.85	REINSURANCE GROUP AMERICA INC NOTE (RZA)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
10.86	REINSURANCE GRP OF AMERICA NOTE (RZB)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
10.87	SCE TRUST IV 5.375%-J (SCE.J)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.88	SCE TRUST V 5.45%-K (SCE.K)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.89	SOUTH JERSEY INDUSTRIES INC 5.6250% NOTE (SJIJ)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.90	SPIRE INC 5.90% SER-A (SR.A)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.91	STATE ST CO 5.90%-D FXD-TO-FLT (STT.D)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.92	STATE STREET CORP 5.350%-G (STT.G)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.93	STIFEL FINANCIAL CORP 6.25% (SF.A)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.94	TCF FINANCIAL CORPORATION NEW (TCFCP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.95	THE HARTORD FIN SER6.0%SER-G (HIG.G)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
10.96	THE SOUTHERN CO 4.95% SER-A NOTE (SOJD)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.97	U.S. BANCORP 5.5%-K (USB.P)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.98	URSTADT BIDDLE PPTYS INC SER H (UBP.H)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.99	US BANCORP-F 6.5% FLTS 1/15/22 (USB.M)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.100	VALLEY NATL BANCORP SER-A (VLYPP)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
10.101	VALLEY NATL BANCORP 5.50% PFD-B (VLYPO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.102	W R BERKLEY CORP 5.10% BOND (WRB.F)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.103	WELLS FARGO & CO 4.75% SER-Z (WFC.Z)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.104	WELLS FARGO & CO 5.5% SER-X (WFC.X)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.105	WELLS FARGO & CO 5.7%-W (WFC.W)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.106	WELLS FARGO & COMPANY 6%-V (WFC.V)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.107	WELLS FARGO & COMPANY 6.625%-R (WFC.R)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
10.108	WELLS FARGO 5.85-Q FIXD-TO-FLT (WFC.Q)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.109	WELLS FARGO 7.5 NON-CUM CL A (WFC.L)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
10.110	WINTRUST FINANCIAL CORP (WTFM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.111	WINTRUST FINL COR DEP REP SR E (WTFCP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.112	ZIONS BANCORP NA 6.3000% SRS G (ZIONO)		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
10.113	COLONY CAP 7.125% CUM J (CLNY.J)		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.114	ING GROEP NV 6.1250% SER (ISG)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.115	INVESCO MTG CAP INC 7.75%-B (IVR.B)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.116	SYNOVUS FINL CORP SER E 5.875% (SNV.E)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.117	TAUBMAN CENTERS INC 6.5% SER-J (TCO.J)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.118	TWO HARBORS INVSTMNT C 7.25%-C (TWO.C)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.119	PINNACLE FIN PRTNRS 6.75%-B (PNFPP)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.120	TRUIST FINANCIAL CORP 5.25%-O (TFC.O)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.121	AFFILIATED MANAGERS GR 4.75% (MGRB)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.122	AMER EQ INV HLDG CO 6.625%-A (AEL.B)		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
10.123	AMERICAN FINANCIAL GROUP 5.625% (AFGD)	See Endnote	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.124	ASSURANT INC 5.25% NOTE (AIZN)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.125	ATHENE HOLDING LTD 6.375%-C (ATH.C)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.126	ATLANTIC UN BANKSHARES 6.875-A (AUBAP)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.127	BANK OF AMERICA COR 4.375%-NN (BAC.O)		N/A	\$50,001 - \$100,000		None (or less than \$201)
10.128	BROOKFIELD FIN I UK 4.50% (BAMI)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.129	BROOKFIELD FIN INC 4.625% SER-50 (BAMH)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.130	FIRST HORI CORP 6.50DP RP PFD (FHN.E)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.131	FIRST HORIZON COR DP NCM PFD B (FHN.B)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.132	FIRST REPUBLIC BK 4.125% PFD K (FRC.K)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.133	PRUDENTIAL FINANCIAL INC (PFH)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10.134	PUBLIC STORAGE 3.9% SER-O (PSA.O)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.135	PUBLIC STORAGE 4.625%-L (PSA.L)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
10.136	QWEST CORP 6.5% (CTBB)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.137	SCE TRUST VI 5%-L (SCE.L)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.138	SIGNATURE BK NY 5.00% SER-A (SBNYP)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10.139	TRUIST FINCL CORP 4.75% SER-R (TFC.R)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.140	THE SOUTHERN CO 4.20% (SOJE)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.141	U.S. BANCORP 3.75% SER-L (USB.Q)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.142	UNITED STATES CELLULAR CORP 5.50% (UZE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.143	VORNADO REALTY TR 5.25% SER-N (VNO.N)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.144	WELLS FARGO CO DEP SH PFD CL A (WFC.A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.145	WESBANCO INC 6.75% SER-A (WSBCP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.146	WESCO INTL INC DP SH FXRT PFD (WCC.A)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	U.S. Brokerage Account #1 Institution #6	No			
11.1	TRUIST FINANCIAL CORP NON_CUMULATIVE PERPETUAL PREFERRED SERIES F (TFC.F)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	TRUIST FINANCIAL CORP NON_CUMULATIVE PERPETUAL PREFERRED SERIES G (TFC.G)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.3	PIONEER HIGH INCOME MUNICIPAL FUND CLASS Y (HIMYX)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
11.4	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS Y(PSDYX)	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
11.5	EATON VANCE FLOATING RATE FUND I (EIBLX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
11.6	FEDERATED PRIME CASH OBLIGATIONS WS (PCOXX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
11.7	U.S. Brokerage Account #1 (cash) Institution #6	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	U.S. Brokerage Account #2 Institution #6	No			
12.1	MILLBURN MULTI MKTS A LP	Yes	\$250,001 - \$500,000		None (or less than \$201)
12.2	NUVEEN INTERMEDIATE DURATION MUNICIPAL TERM FUND (NID)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12.3	HANOVER VA, RATE 4.0%, MATURES 07/01/22 - MUNICIPAL BONDS	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
12.4	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS A (PSDTX)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
12.5	TIAA-CREF MONEY MARKET FUND PREMIER (TPPXX)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
12.6	FIDELITY INVESTMENTS MONEY MARKET FUND CL II (FCIXX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
12.7	U.S. Brokerage Account #2 (cash) Institution #6	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
12.8	JPM SECURITIES COMMERCIAL PAPER DISCOUNTED DUE 02/06/20	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
12.9	EXXON MOBIL COMMERCIAL PAPER DISCOUNTED DUE 02/21/20	N/A	None (or less than \$1,001)	Interest	\$15,001 - \$50,000
13	U.S. Brokerage Account #1 Institution #7	No			
13.1	SCHWAB VALUE ADVANTAGE MONEY FUND (SWVXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13.2	U.S. Brokerage Account #1 (cash) Institution #7	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	WARBURG PINCUS XI FUND	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
15	WARBURG PINCUS XII FUND	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	DeJoy Investments No. 1 (U.S. bank account (cash))	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Rhode Island CollegeBoundFund 529 Plan - Account #1	No		Cash Payments	\$66,500
17.1	Invesco CollegeBound Today Portfolio A	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.2	Invesco CollegeBound Today Portfolio BX	Yes	None (or less than \$1,001)		None (or less than \$201)
18	Rhode Island CollegeBoundFund 529 Plan - Account #2	No		Cash Payments	\$66,530
18.1	Invesco CollegeBound Today Portfolio A	Yes	None (or less than \$1,001)		None (or less than \$201)
18.2	Invesco CollegeBound Today Portfolio BX	Yes	None (or less than \$1,001)		None (or less than \$201)
18.3	Invesco CollegeBound Today Portfolio C	Yes	None (or less than \$1,001)		None (or less than \$201)
19	U.S. Bank Account #11 (cash) - Institution #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	Hartford Life Insurance, Universal Life	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Allstate Life Insurance, Universal Life	N/A	\$100,001 - \$250,000		None (or less than \$201)
22	WARBURG PINCUS GLOBAL GROWTH FUND	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
23	U.S. Bank Account #1 (Cash) - Institution #1	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Allstate Life Insurance, Universal Life	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
25	BlueVoyant LLC (cybersecurity services)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26	U.S. Bank Account #12 (cash) - Institution #2	N/A	\$15,001 - \$50,000		None (or less than \$201)
27	U.S. Brokerage Account #8 Institution #4	No			
27.1	ABBOTT LABORATORIES (ABT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
27.2	ACTIVISION BLIZZARD INC (ATVI)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
27.3	AMAZON COM INC (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
27.4	AT&T INC (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
27.5	BANK OF AMERICA CORP (BAC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
27.6	BAXTER INTL INC (BAX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.7	BLACKROCK INC (BLK)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
27.8	BOEING CO (BA)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
27.9	CARLYLE GROUP INC (CG)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
27.10	CHEVRON CORP (CVX)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
27.11	CHURCH & DWIGHT CO INC (CHD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
27.12	CVS HEALTH CORP COM (CVS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.13	DISCOVER FINCL SVCS (DFS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.14	DOW INC (DOW)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
27.15	ELI LILLY & CO (LLY)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
27.16	EXELON CORP (EXC)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
27.17	FOX CORP CL A (FOXA)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
27.18	GENERAL ELECTRIC CO (GE)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
27.19	INTEL CORP (INTC)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
27.20	INTL BUSINESS MACHINES CORP (IBM)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
27.21	JOHNSON & JOHNSON (JNJ)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
27.22	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
27.23	LAS VEGAS SANDS CORPORATION (LVS)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
27.24	LINCOLN NTL CORP IND (LNC)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
27.25	LOWES COMPANIES INC (LOW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.26	MC DONALDS CORP (MCD)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.27	MOTOROLA SOLUTIONS INC (MSI)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
27.28	PENN NATIONAL GAMING (PENN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.29	PENSKE AUTO GP INC (PAG)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
27.30	PFIZER INC (PFE)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
27.31	SPDR S&P 500 ETF TRUST (SPY)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
27.32	UBER TECHNOLOGIES INC (UBER)	N/A	\$250,001 - \$500,000		None (or less than \$201)
27.33	VALERO ENERGY CP DELA NEW (VLO)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
27.34	VANGUARD FTSE EMERGING MARKETS (VWO)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
27.35	VIACOMCBS INC CL B (VIAC)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
27.36	WALT DISNEY CO HLDG CO (DIS)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
27.37	U.S. Brokerage Account #8 (cash) Institution #4	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
27.38	ABBOTT LABORATORIES (ABT), OPEN POSITION FOR WRITTEN CALL OPTION: 800 SHARES, STRIKE \$95.00, EXP. 1/2021	N/A			None (or less than \$201)
27.39	ACTIVISION BLIZZARD INC (ATVI), OPEN POSITION FOR WRITTEN CALL OPTION: 1,500 SHARES, STRIKE \$85.00, EXP. 5/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.40	ACTIVISION BLIZZARD INC (ATVI), OPEN POSITION FOR WRITTEN CALL OPTION: 2,500 SHARES, STRIKE \$90.00, EXP. 6/2021	N/A			None (or less than \$201)
27.41	BANK OF AMERICA CORP (BAC), OPEN POSITION FOR WRITTEN CALL OPTION: 6,000 SHARES, STRIKE \$30.00, EXP. 6/2021	N/A			None (or less than \$201)
27.42	BARRICK GOLD CORP (GOLD), OPEN POSITION FOR WRITTEN CALL OPTION: 6,000 SHARES, STRIKE \$30.00, EXP. 1/2021	N/A			None (or less than \$201)
27.43	BLACKROCK INC (BLK), OPEN POSITION FOR WRITTEN CALL OPTION: 500 SHARES, STRIKE \$580.00, EXP. 4/2021	N/A			None (or less than \$201)
27.44	BRISTOL MYERS SQUIBB CO (BMY), OPEN POSITION FOR WRITTEN CALL OPTION: 2,000 SHARES, STRIKE \$62.50, EXP. 6/2021	N/A			None (or less than \$201)
27.45	CARLYLE GROUP INC (CG), OPEN POSITION FOR WRITTEN CALL OPTION: 8,000 SHARES, STRIKE \$30.00, EXP. 6/2021	N/A			None (or less than \$201)
27.46	CHARLES SCHWAB NEW (SCHW), OPEN POSITION FOR WRITTEN CALL OPTION: 5,000 SHARES, STRIKE \$42.00, EXP. 6/2021	N/A			None (or less than \$201)
27.47	COMCAST CORP (NEW) CLASS A (CMCSA), OPEN POSITION FOR WRITTEN CALL OPTION: 3,000 SHARES, STRIKE \$52.50, EXP. 7/2021	N/A			None (or less than \$201)
27.48	DOW INC (DOW), OPEN POSITION FOR WRITTEN CALL OPTION: 4,000 SHARES, STRIKE \$52.50, EXP. 1/2021	N/A			None (or less than \$201)
27.49	ELI LILLY & CO (LLY), OPEN POSITION FOR WRITTEN CALL OPTION: 1,400 SHARES, STRIKE \$140.00, EXP. 4/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.50	EXELON CORP (EXC), OPEN POSITION FOR WRITTEN CALL OPTION: 5,500 SHARES, STRIKE \$45.00, EXP. 1/2021	N/A			None (or less than \$201)
27.51	GENERAL ELECTRIC CO (GE), OPEN POSITION FOR WRITTEN CALL OPTION: 15,000 SHARES, STRIKE \$13.00, EXP. 6/2021	N/A			None (or less than \$201)
27.52	INTEL CORP (INTC), OPEN POSITION FOR WRITTEN CALL OPTION: 4,000 SHARES, STRIKE \$60.00, EXP. 2/2021	N/A			None (or less than \$201)
27.53	JOHNSON & JOHNSON (JNJ), OPEN POSITION FOR WRITTEN CALL OPTION: 1,400 SHARES, STRIKE \$155.00, EXP. 6/2021	N/A			None (or less than \$201)
27.54	SPDR S&P REGIONAL BANKING ETF (KRE), OPEN POSITION FOR WRITTEN CALL OPTION: 2,500 SHARES, STRIKE \$51.00, EXP. 6,2021	N/A			None (or less than \$201)
27.55	LAS VEGAS SANDS CORPORATION (LVS), OPEN POSITION FOR WRITTEN CALL OPTION: 2,500 SHARES, STRIKE \$65.00, EXP. 3/2021	N/A			None (or less than \$201)
27.56	LINCOLN NTL CORP IND (LNC), OPEN POSITION FOR WRITTEN CALL OPTION: 3,000 SHARES, STRIKE \$60.00, EXP. 7/2021	N/A			None (or less than \$201)
27.57	MC DONALDS CORP (MCD), OPEN POSITION FOR WRITTEN CALL OPTION: 1,000 SHARES, STRIKE \$210.00, EXP. 6/2021	N/A			None (or less than \$201)
27.58	MOTOROLA SOLUTIONS INC (MSI), OPEN POSITION FOR WRITTEN CALL OPTION: 1,300 SHARES, STRIKE \$160.00, EXP. 7/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.59	NORTHROP GRUMMAN CP(HLDG CO) (NOC), OPEN POSITION FOR WRITTEN CALL OPTION: 300 SHARES, STRIKE \$305.00, EXP. 5/2021	N/A			None (or less than \$201)
27.60	PENN NATIONAL GAMING (PENN), OPEN POSITION FOR WRITTEN CALL OPTION: 5,000 SHARES, STRIKE \$70.00, EXP. 7/2021	N/A			None (or less than \$201)
27.61	PENSKE AUTO GP INC (PAG), OPEN POSITION FOR WRITTEN CALL OPTION: 4,000 SHARES, STRIKE \$50.00, EXP. 2/2021	N/A			None (or less than \$201)
27.62	PFIZER INC (PFE), OPEN POSITION FOR WRITTEN CALL OPTION: 4,500 SHARES, STRIKE \$39.00, EXP. 1/2021	N/A			None (or less than \$201)
27.63	RAYTHEON TECHNOLOGIES CORP (RTX), OPEN POSITION FOR WRITTEN CALL OPTION: 2,000 SHARES, STRIKE \$65.00, EXP. 2/2021	N/A			None (or less than \$201)
27.64	ROCKET COS INC CL A (RKT), OPEN POSITION FOR WRITTEN CALL OPTION: 8,000 SHARES, STRIKE \$28.00, EXP. 3/2021	N/A			None (or less than \$201)
27.65	UBER TECHNOLOGIES INC (UBER), OPEN POSITION FOR WRITTEN CALL OPTION: 5,000 SHARES, STRIKE \$45.00, EXP. 6/2021	N/A			None (or less than \$201)
27.66	VIACOMCBS INC CL B (VIAC), OPEN POSITION FOR WRITTEN CALL OPTION: 9,000 SHARES, STRIKE \$27.00, EXP. 6/2021	N/A			None (or less than \$201)
27.67	WALT DISNEY CO HLDG CO (DIS), OPEN POSITION FOR WRITTEN CALL OPTION: 1,500 SHARES, STRIKE \$170.00, EXP. 6/2021	N/A			None (or less than \$201)
27.68	1LIFE HEALTHCARE INC (ONEM), OPEN POSITION FOR WRITTEN CALL OPTION: 3,000 SHARES, STRIKE \$45.00, EXP. 2/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.69	AMERICAN AIRLS GROUP INC (AAL)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
27.70	AMERICAN WATER WORKS CO (AWK)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
27.71	ATMOS ENERGY CP (ATO)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.72	DOLLAR GEN CORP NEW COM (DG)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
27.73	EQUITY LIFESTYLE PROPERTIES (ELS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
27.74	HAWAIIAN ELECTRIC IND (HE)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
27.75	L3HARRIS TECHNOLOGIES INC (LHX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.76	NXP SEMICONDUCTORS NV (NXPI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.77	RENAISSANCE RE HOLDINGS LTD (RNR)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.78	SUN COMMUNITIES INC (SUI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
27.79	SYSCO CORP (SYY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
27.80	AMERICAN AIRLS GROUP INC (AAL), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.81	ABBOTT LABORATORIES (ABT), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
27.82	CHURCH & DWIGHT CO INC (CHD), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.83	CHEVRON CORP (CVX), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.84	WALT DISNEY CO HLDG CO (DIS), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.85	DOW INC (DOW), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
27.86	FOX CORP CL A (FOXA), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.87	INTL BUSINESS MACHINES CORP (IBM), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.88	JOHNSON & JOHNSON (JNJ), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.89	MC DONALDS CORP (MCD), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
27.90	MOTOROLA SOLUTIONS INC (MSI), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.91	PENN NATIONAL GAMING (PENN), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.92	PFIZER INC (PFE), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.93	EXELON CORP (EXC), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.94	BARRICK GOLD CORP (GOLD)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
27.95	BRISTOL MYERS SQUIBB CO (BMY)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.96	CHARLES SCHWAB NEW (SCHW)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
27.97	COMCAST CORP (NEW) CLASS A (CMCSA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.98	NORTHROP GRUMMAN CP(HLDG CO) (NOC)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27.99	RAYTHEON TECHNOLOGIES CORP (RTX)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
27.100	VIATRIS INC (VTRS)	See Endnote	\$1,001 - \$15,000		None (or less than \$201)
27.101	1LIFE HEALTHCARE INC (ONEM)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27.102	SPDR S&P REGIONAL BANKING ETF (KRE)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
27.103	SEAGATE TECHNOLOGY PLC (STX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
27.104	ABBOTT LABORATORIES (ABT), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
27.105	BOEING CO (BA), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.106	BANK OF AMERICA CORP (BAC), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.107	BAXTER INTL INC (BAX), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.108	CARLYLE GROUP INC (CG), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.109	CARLYLE GROUP INC (CG), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.110	CVS HEALTH CORP COM (CVS), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.111	CHEVRON CORP (CVX), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.112	WALT DISNEY CO HLDG CO (DIS), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.113	DOW INC (DOW), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.114	FOX CORP CL A (FOXA), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.115	GENERAL ELECTRIC CO (GE), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.116	INTL BUSINESS MACHINES CORP (IBM), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.117	INTEL CORP (INTC), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.118	JOHNSON & JOHNSON (JNJ), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.119	JOHNSON & JOHNSON (JNJ), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
27.120	LINCOLN NTL CORP IND (LNC), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.121	LAS VEGAS SANDS CORPORATION (LVS), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.122	MC DONALDS CORP (MCD), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27.123	MOTOROLA SOLUTIONS INC (MSI), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.124	PENSKE AUTO GP INC (PAG), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.125	PFIZER INC (PFE), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.126	AT&T INC (T), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.127	UBER TECHNOLOGIES INC (UBER), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27.128	VALERO ENERGY CP DELA NEW (VLO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.129	VANGUARD FTSE EMERGING MARKETS (VWO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
27.130	VANGUARD FTSE EMERGING MARKETS (VWO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
27.131	VANGUARD FTSE EMERGING MARKETS (VWO), CLOSED POSITION FOR WRITTEN CALL OPTION	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
27.132	ROCKET COS INC CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)
28	U.S. Brokerage Account #9 Institution #4	No			
28.1	INTL BUSINESS MACHINES CORP (IBM)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
28.2	CVS HEALTH CORP COM (CVS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28.3	DISCOVER FINCL SVCS (DFS)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
28.4	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
29	U.S. Brokerage Account #10 Institution #4	No			
29.1	U.S. Brokerage Account #10 (cash) Institution #4	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
29.2	AT&T INC 4.750% SER-C (T.C)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
29.3	CAPITAL ONE FINANCIAL 5%-I PRF (COF.I)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
29.4	CAPITAL ONE FINANCIAL CO 6%-H (COF.H)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
29.5	DOMINION ENERGY INC (D)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
29.6	HONEYWELL INTERNATIONAL INC (HON)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
29.7	INTL BUSINESS MACHINES CORP (IBM)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
29.8	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
29.9	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
29.10	JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
29.11	LOCKHEED MARTIN CORP (LMT)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$100,001 - \$1,000,000
29.12	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.13	REGIONS FINANCIAL CORP NEW (RF)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
29.14	REGIONS FINL CORP 6.375%-A (RF.A)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
29.15	VERIZON COMMUNICATIONS (VZ)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
30	U.S. Brokerage Account #11 Institution #4	No			
30.1	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
30.2	EATON VANCE TAX MG CEF (ETY)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
30.3	FT-PREFERRED SECUR & INC ETF (FPE)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
30.4	GLOBAL X NASD 100 COV CALL (QYLD)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
30.5	INVESCO BULLETSHARES 2022 MU (BSMM)	Yes	\$100,001 - \$250,000		None (or less than \$201)
30.6	INVESCO BULLETSHARES 2023 MU (BSMN)	Yes	\$100,001 - \$250,000		None (or less than \$201)
30.7	INVESCO BULLETSHARES 2024 MU (BSMO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
30.8	INVESCO BULLETSHARES 2025 MU (BSMP)	Yes	\$100,001 - \$250,000		None (or less than \$201)
30.9	ISHARES CORE MSCI EAFE ETF (IEFA)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
30.10	ISHARES CORE S&P 500 ETF (IVV)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
30.11	ISHARES RUSSELL 2000 ETF (IWM)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30.12	ISHARES RUSSELL MID-CAP ETF (IWR)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
30.13	NUVEEN S&P 500 BUY-WRITE INC (BXMV)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
30.14	PIMCO ACTIVE BOND ETF (BOND)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
30.15	VANGUARD FTSE ALL WO X-US SC (VSS)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
30.16	VANGUARD FTSE DEVELOPED MKTS ETF (VEA)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
30.17	VANGUARD LARGE CAP ETF (VV)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
30.18	VANGUARD MID-CAP ETF INDEX (VO)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
30.19	VANGUARD SMALL CAP ETF (VB)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
30.20	U.S. Brokerage Account #11 (cash) Institution #4	N/A	\$100,001 - \$250,000		None (or less than \$201)
31	U.S. Brokerage Account #12 Institution #4	No			
31.1	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
31.2	EATON VANCE TAX MG CEF (ETY)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.3	FT-PREFERRED SECUR & INC ETF (FPE)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
31.4	GLOBAL X NASD 100 COV CALL (QYLD)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
31.5	INVESCO BULLETSHARES 2022 MU (BSMM)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31.6	INVESCO BULLETSHARES 2023 MU (BSMN)	Yes	\$250,001 - \$500,000		None (or less than \$201)
31.7	INVESCO BULLETSHARES 2024 MU (BSMO)	Yes	\$250,001 - \$500,000		None (or less than \$201)
31.8	INVESCO BULLETSHARES 2025 MU (BSMP)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
31.9	ISHARES CORE MSCI EAFE ETF (IEFA)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.10	ISHARES CORE S&P 500 ETF (IVV)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
31.11	ISHARES RUSSELL 2000 ETF (IWM)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
31.12	ISHARES RUSSELL MID-CAP ETF (IWR)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
31.13	NUVEEN S&P 500 BUY-WRITE INC (BXMV)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.14	PIMCO ACTIVE BOND ETF (BOND)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
31.15	VANGUARD FTSE ALL WO X-US SC (VSS)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.16	VANGUARD FTSE DEVELOPED MKTS ETF (VEA)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.17	VANGUARD LARGE CAP ETF (VV)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.18	VANGUARD MID-CAP ETF INDEX (VO)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
31.19	VANGUARD SMALL CAP ETF (VB)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31.20	U.S. Brokerage Account #12 (cash) Institution #4	N/A	\$100,001 - \$250,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	JOHNSON & JOHNSON (JNJ)	Sale	07/07/2020	\$50,001 - \$100,000
2	ABBVIE INC COM (ABBV)	Purchase	07/07/2020	\$1,001 - \$15,000
3	WEC ENERGY GROUP INC COM (WEC)	Sale	07/07/2020	\$15,001 - \$50,000
4	PPL CORPORATION (PPL)	Sale	06/29/2020	\$15,001 - \$50,000
5	PROLOGIS INC COM (PLD)	Purchase	07/07/2020	\$15,001 - \$50,000
6	BRITISH AMER TOB SPON ADR (BTI)	Purchase	06/30/2020	\$15,001 - \$50,000
7	BRITISH AMER TOB SPON ADR (BTI)	Purchase	06/29/2020	\$15,001 - \$50,000
8	SOUTHERN CO (SO)	Purchase	06/24/2020	\$1,001 - \$15,000
9	PUBLIC SERVICE ENTERPRISE GP (PEG)	Purchase	06/24/2020	\$1,001 - \$15,000
10	PEPSICO INC NC (PEP)	Purchase	06/24/2020	\$1,001 - \$15,000
11	PFIZER INC (PFE)	Purchase	06/24/2020	\$1,001 - \$15,000
12	PNC FINL SVCS GP (PNC)	Purchase	06/24/2020	\$1,001 - \$15,000
13	INTL BUSINESS MACHINES CORP (IBM)	Purchase	06/24/2020	\$1,001 - \$15,000
14	HUNTINGTON BANCSHARES (HBAN)	Purchase	06/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	COCA COLA CO (KO)	Purchase	06/24/2020	\$1,001 - \$15,000
16	CISCO SYS INC (CSCO)	Purchase	06/24/2020	\$1,001 - \$15,000
17	CDN IMPL BK COMMERCE (CM)	Purchase	06/24/2020	\$1,001 - \$15,000
18	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	06/24/2020	\$1,001 - \$15,000
19	AMERICAN ELECTRIC POWER CO (AEP)	Purchase	06/24/2020	\$1,001 - \$15,000
20	TC ENERGY CORP (TRP)	Purchase	06/24/2020	\$1,001 - \$15,000
21	VODAFONE GROUP PLC (VOD)	Purchase	06/24/2020	\$1,001 - \$15,000
22	MERCK & CO INC NEW COM (MRK)	Purchase	06/24/2020	\$1,001 - \$15,000
23	BCE INC (BCE)	Purchase	06/24/2020	\$1,001 - \$15,000
24	ABBVIE INC COM (ABBV)	Purchase	06/24/2020	\$1,001 - \$15,000
25	DUKE ENERGY CORPORATION (DUK)	Purchase	06/24/2020	\$1,001 - \$15,000
26	NATIONAL GRID PLC SPON ADR (NGG)	Purchase	06/24/2020	\$1,001 - \$15,000
27	AT&T INC (T)	Purchase	06/24/2020	\$1,001 - \$15,000
28	CHEVRON CORP (CVX)	Purchase	06/24/2020	\$1,001 - \$15,000
29	PPL CORPORATION (PPL)	Purchase	06/24/2020	\$1,001 - \$15,000
30	REGIONS FINANCIAL CORP NEW (RF)	Purchase	06/24/2020	\$1,001 - \$15,000
31	3M COMPANY (MMM)	Purchase	06/24/2020	\$1,001 - \$15,000
32	EXXON MOBIL CORP (XOM)	Purchase	06/24/2020	\$1,001 - \$15,000
33	ENBRIDGE INC (ENB)	Purchase	06/24/2020	\$1,001 - \$15,000
34	BRITISH AMER TOB SPON ADR (BTI)	Purchase	06/24/2020	\$1,001 - \$15,000
35	DOMINION ENERGY INC (D)	Purchase	06/24/2020	\$1,001 - \$15,000
36	BP PLC ADS (BP)	Purchase	06/24/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
37	VERIZON COMMUNICATIONS (VZ)	Purchase	06/24/2020	\$1,001 - \$15,000
38	UNILEVER PLC (NEW) ADS (UL)	Purchase	06/24/2020	\$1,001 - \$15,000
39	UNITED PARCEL SER INC CL-B (UPS)	Sale	06/24/2020	\$250,001 - \$500,000
40	GLAXOSMITHKLINE PLC ADR (GSK)	Purchase	06/24/2020	\$1,001 - \$15,000
41	GILEAD SCIENCE (GILD)	Purchase	06/24/2020	\$1,001 - \$15,000
42	PHILIP MORRIS INTL INC (PM)	Purchase	06/24/2020	\$1,001 - \$15,000
43	TC ENERGY CORP (TRP)	Purchase	06/23/2020	\$1,001 - \$15,000
44	COCA COLA CO (KO)	Sale	06/22/2020	\$50,001 - \$100,000
45	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	06/22/2020	\$50,001 - \$100,000
46	PPL CORPORATION (PPL)	Sale	06/22/2020	\$15,001 - \$50,000
47	TC ENERGY CORP (TRP)	Purchase	06/22/2020	\$15,001 - \$50,000
48	LOWES COMPANIES INC (LOW)	Sale	07/20/2020	\$1,001 - \$15,000
49	LOWES COMPANIES INC (LOW), OPENED WRITTEN CALL OPTION POSITION		07/17/2020	\$100,001 - \$250,000
50	CHURCH & DWIGHT CO INC (CHD), OPENED WRITTEN CALL OPTION POSITION		07/17/2020	\$100,001 - \$250,000
51	DOW INC (DOW), OPENED WRITTEN CALL OPTION POSITION		07/16/2020	\$1,001 - \$15,000
52	PFIZER INC (PFE), OPENED WRITTEN CALL OPTION POSITION		07/13/2020	\$1,001 - \$15,000
53	MC DONALDS CORP (MCD), OPENED WRITTEN CALL OPTION POSITION		07/07/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
54	CHARLES SCHWAB NEW (SCHW)	Purchase	07/01/2020	\$100,001 - \$250,000
55	CHARLES SCHWAB (SCHW), OPENED WRITTEN CALL OPTION POSITION		07/01/2020	\$15,001 - \$50,000
56	AMAZON COM INC (AMZN), CLOSED WRITTEN CALL OPTION POSITION		06/24/2020	\$50,001 - \$100,000
57	AMAZON COM INC (AMZN)	Sale	06/24/2020	\$250,001 - \$500,000
58	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	06/22/2020	\$100,001 - \$250,000
59	BANK OF AMERICA CORP (BAC), OPENED WRITTEN CALL OPTION POSITION		06/22/2020	\$1,001 - \$15,000
60	INTL BUSINESS MACHIN (IBM), OPENED WRITTEN CALL OPTION POSITION		06/22/2020	\$1,001 - \$15,000
61	UBER TECHNOLOGIES INC (UBER), OPENED WRITTEN CALL OPTION POSITION		06/22/2020	\$1,001 - \$15,000
62	JOHNSON & JOHNSON (JNJ), OPENED WRITTEN CALL OPTION POSITION		06/22/2020	\$1,001 - \$15,000
63	BRISTOL MYERS SQUIBB CO (BMY), OPENED WRITTEN CALL OPTION POSITION		06/22/2020	\$1,001 - \$15,000
64	ABBOTT LABORATORIES (ABT), CLOSED WRITTEN CALL OPTION POSITION		06/19/2020	\$1,001 - \$15,000
65	ABBOTT LABORATORIES (ABT), OPENED WRITTEN CALL OPTION POSITION		06/19/2020	\$1,001 - \$15,000
66	CARLYLE GROUP INC (CG), OPENED WRITTEN CALL OPTION POSITION		06/18/2020	\$15,001 - \$50,000
67	CARLYLE GROUP INC (CG), CLOSED WRITTEN CALL OPTION POSITION		06/18/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
68	INTEL CORP (INTC), CLOSED WRITTEN CALL OPTION POSITION		06/15/2020	\$15,001 - \$50,000
69	MORGAN STANLEY 6.875%-F (MS.F)	Sale	07/15/2020	\$1,001 - \$15,000
70	INTEL CORP (INTC), OPENED WRITTEN CALL OPTION POSITION		06/15/2020	\$15,001 - \$50,000
71	XPO LOGISTICS INC (XPO), OPENED WRITTEN CALL OPTION POSITION		06/18/2020	\$50,001 - \$100,000
72	XPO LOGISTICS INC (XPO), OPENED WRITTEN CALL OPTION POSITION		06/18/2020	\$50,001 - \$100,000
73	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	06/22/2020	\$1,001 - \$15,000
74	WHITE MOUNTAIN GRP BERMUDA (WTM)	Purchase	06/15/2020	\$1,001 - \$15,000
75	EQUITY COMWLTH COM SH BEN INT (EQC)	Purchase	06/25/2020	\$1,001 - \$15,000
76	PROLOGIS INC COM (PLD)	Purchase	07/07/2020	\$1,001 - \$15,000
77	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	06/22/2020	\$1,001 - \$15,000
78	BRITISH AMER TOB SPON ADR (BTI)	Purchase	06/29/2020	\$1,001 - \$15,000
79	BRINK'S COMPANY COM (BCO)	Purchase	07/08/2020	\$1,001 - \$15,000
80	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	06/26/2020	\$1,001 - \$15,000
81	TD AMERITRADE HOLDING CORP (AMTD)	Purchase	06/23/2020	\$1,001 - \$15,000
82	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	07/01/2020	\$1,001 - \$15,000
83	TC ENERGY CORP (TRP)	Purchase	06/22/2020	\$1,001 - \$15,000
84	BRITISH AMER TOB SPON ADR (BTI)	Purchase	06/30/2020	\$1,001 - \$15,000
85	SMITH & NEPHEW PLC ADR (SNN)	Purchase	06/24/2020	\$1,001 - \$15,000
86	NATIONAL HEALTH INVESTORS INC (NHI)	Purchase	07/20/2020	\$1,001 - \$15,000
87	WHITE MOUNTAIN GRP BERMUDA (WTM)	Purchase	06/16/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	06/23/2020	\$1,001 - \$15,000
89	CHARLES SCHWAB NEW (SCHW)	Purchase	07/20/2020	\$1,001 - \$15,000
90	DENTSPLY SIRONA INC (XRAY)	Purchase	06/23/2020	\$1,001 - \$15,000
91	WRIGHT MEDICAL GROUP (WMGI)	Purchase	06/15/2020	\$1,001 - \$15,000
92	INTEGRA LIFESCIENCES CRP NEW (IART)	Purchase	07/14/2020	\$1,001 - \$15,000
93	CBIZ INC (CBZ)	Purchase	06/18/2020	\$1,001 - \$15,000
94	HENKEL AG & CO KGAA (HENKY)	Purchase	06/26/2020	\$1,001 - \$15,000
95	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	06/25/2020	\$1,001 - \$15,000
96	CBIZ INC (CBZ)	Purchase	06/19/2020	\$1,001 - \$15,000
97	AVALONBAY COMM INC (AVB)	Purchase	06/25/2020	\$1,001 - \$15,000
98	TC ENERGY CORP (TRP)	Purchase	06/23/2020	\$1,001 - \$15,000
99	BEIERSDORF AG UNSPONS ADR (BDRFY)	Purchase	07/13/2020	\$1,001 - \$15,000
100	ABBVIE INC COM (ABBV)	Purchase	07/07/2020	\$1,001 - \$15,000
101	ESSENTIAL UTILS INC (WTRG)	Purchase	06/26/2020	\$1,001 - \$15,000
102	INDEPENDENCE RLTY TR INC COM (IRT)	Purchase	07/07/2020	\$1,001 - \$15,000
103	EQUITY COMWLTH COM SH BEN INT (EQC)	Purchase	07/16/2020	\$1,001 - \$15,000
104	CAL MAINE FOODS INC (CALM)	Purchase	06/26/2020	\$1,001 - \$15,000
105	BECTON DICKINSON & CO DEP REPSTG PFD B RATE:N/A/N/A 6.000% DUE:2023-06- 01 (BDXB)	Purchase	06/19/2020	\$1,001 - \$15,000
106	AVALONBAY COMM INC (AVB)	Purchase	06/26/2020	\$1,001 - \$15,000
107	HEALTHCARE REALTY TRUST INCORP (HR)	Purchase	06/30/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
108	SJW GROUP (SJW)	Purchase	06/29/2020	\$1,001 - \$15,000
109	BECTON DICKINSON & CO DEP REPSTG PFD B RATE:N/A/N/A 6.000% DUE:2023-06- 01 (BDXB)	Purchase	06/16/2020	\$1,001 - \$15,000
110	HEALTHCARE REALTY TRUST INCORP (HR)	Purchase	06/26/2020	\$1,001 - \$15,000
111	BOSTON PROPERTIES INC (BXP)	Purchase	06/26/2020	\$1,001 - \$15,000
112	NORTHERN TRUST CORP (NTRS)	Purchase	07/20/2020	\$1,001 - \$15,000
113	ABBVIE INC COM (ABBV)	Purchase	07/07/2020	\$1,001 - \$15,000
114	BECTON DICKINSON & CO DEP REPSTG PFD B RATE:N/A/N/A 6.000% DUE:2023-06- 01 (BDXB)	Purchase	06/15/2020	\$1,001 - \$15,000
115	CAL MAINE FOODS INC (CALM)	Purchase	06/22/2020	\$1,001 - \$15,000
116	CRACKER BARREL OLD CTRY STORE (CBRL)	Purchase	07/06/2020	\$1,001 - \$15,000
117	HUNTSMAN CORP (HUN)	Purchase	06/18/2020	\$1,001 - \$15,000
118	VARIAN MEDICAL SYS INC (VAR)	Sale	06/15/2020	\$1,001 - \$15,000
119	GLOBUS MEDICAL INC A (GMED)	Sale	06/15/2020	\$1,001 - \$15,000
120	ITT INC (ITT)	Sale	07/06/2020	\$1,001 - \$15,000
121	WOODWARD INC COM (WWD)	Sale	07/08/2020	\$1,001 - \$15,000
122	EL PASO ELECTRIC CO NEW (EE)	Sale	06/26/2020	\$1,001 - \$15,000
123	ENVISTA HLDGS CORP (NVST)	Sale	06/15/2020	\$1,001 - \$15,000
124	DIAGEO PLC SPON ADR NEW (DEO)	Sale	06/22/2020	\$1,001 - \$15,000
125	DANA INCORPORATED (DAN)	Sale	07/16/2020	\$1,001 - \$15,000
126	MERIT MED SYST (MMSI)	Sale	07/17/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
127	BRUNSWICK CORP (BC)	Sale	07/16/2020	\$1,001 - \$15,000
128	WOODWARD INC COM (WWD)	Sale	06/22/2020	\$1,001 - \$15,000
129	CATALENT INC (CTLT)	Sale	06/24/2020	\$1,001 - \$15,000
130	APPLIED MATERIALS INC (AMAT)	Sale	06/15/2020	\$1,001 - \$15,000
131	REINSURANCE GROUP OF AMERICA (RGA)	Sale	06/15/2020	\$1,001 - \$15,000
132	WERNER ENTERPRISES INC (WERN)	Sale	07/13/2020	\$1,001 - \$15,000
133	VARIAN MEDICAL SYS INC (VAR)	Sale	06/19/2020	\$1,001 - \$15,000
134	ABB LTD (ABB)	Sale	07/01/2020	\$1,001 - \$15,000
135	3M COMPANY (MMM)	Sale	07/17/2020	\$1,001 - \$15,000
136	TRAVELERS COMPANIES INC COM (TRV)	Sale	07/16/2020	\$1,001 - \$15,000
137	MERITAGE HOME CORPORATION (MTH)	Sale	07/13/2020	\$1,001 - \$15,000
138	BRUNSWICK CORP (BC)	Sale	06/22/2020	\$1,001 - \$15,000
139	A O SMITH CORP (AOS)	Sale	06/26/2020	\$1,001 - \$15,000
140	ABB LTD (ABB)	Sale	06/25/2020	\$1,001 - \$15,000
141	TECH DATA CORP EXCHANGE FOR CASH (TECD)	Exchange	06/30/2020	\$1,001 - \$15,000
142	BECTON DICKINSON & CO DEP REPSTG PFD B RATE:N/A/N/A 6.000% DUE:2023-06-01 (BDXB)	Sale	07/08/2020	\$1,001 - \$15,000
143	WOODWARD INC COM (WWD)	Sale	07/16/2020	\$1,001 - \$15,000
144	EPIROC AKTIEBOLAG ADR (EPOKY)	Sale	06/25/2020	\$1,001 - \$15,000
145	DIAGEO PLC SPON ADR NEW (DEO)	Sale	06/23/2020	\$1,001 - \$15,000
146	ABB LTD (ABB)	Sale	06/26/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
147	SCHNEIDER ELEC SA UNSP ADR (SBGSY)	Sale	06/26/2020	\$1,001 - \$15,000
148	SCHNEIDER ELEC SA UNSP ADR (SBGSY)	Sale	06/25/2020	\$1,001 - \$15,000
149	BERKLEY W R CORP (WRB)	Sale	06/15/2020	\$1,001 - \$15,000
150	PPL CORPORATION (PPL)	Sale	06/22/2020	\$1,001 - \$15,000
151	METLIFE INCORPORATED (MET)	Sale	06/15/2020	\$1,001 - \$15,000
152	HIGHWOODS PROPERTIES (HIW)	Sale	07/20/2020	\$1,001 - \$15,000
153	REINSURANCE GROUP OF AMERICA (RGA)	Sale	06/26/2020	\$1,001 - \$15,000
154	DENTSPLY SIRONA INC (XRAY)	Sale	06/30/2020	\$1,001 - \$15,000
155	WEC ENERGY GROUP INC COM (WEC)	Sale	07/07/2020	\$1,001 - \$15,000
156	PPL CORPORATION (PPL)	Sale	06/29/2020	\$1,001 - \$15,000
157	CABLE ONE INC COM (CABO)	Sale	06/22/2020	\$1,001 - \$15,000
158	COCA COLA CO (KO)	Sale	06/22/2020	\$1,001 - \$15,000
159	CHARLES SCHWAB NEW (SCHW)	Sale	06/23/2020	\$1,001 - \$15,000
160	CHUBB LTD (CB)	Sale	06/25/2020	\$1,001 - \$15,000
161	JOHNSON & JOHNSON (JNJ)	Sale	07/07/2020	\$1,001 - \$15,000
162	UNITED PARCEL SER INC CL-B (UPS)	Sale	06/24/2020	\$15,001 - \$50,000
163	MORGAN STANLEY 6.875%-F (MS.F)	Sale	07/16/2020	\$1,001 - \$15,000
164	REGIONS FINANCIAL CO 6.375%-B (RF.B)	Purchase	06/24/2020	\$1,001 - \$15,000
165	ANNALY CAP MGMNT 6.95%-F (NLY.F)	Purchase	06/24/2020	\$1,001 - \$15,000
166	VALLEY NATL BANCORP SER-A (VLYPP)	Purchase	06/24/2020	\$1,001 - \$15,000
167	AMERICAN HMS 4 RENT PFD D 6.5% (AMH.D)	Purchase	06/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
168	ANNALY CAP MGMT INC PFD SER I (NLY.I)	Purchase	06/24/2020	\$1,001 - \$15,000
169	KEYCORP 6.125% SER-E (KEY.I)	Purchase	06/24/2020	\$1,001 - \$15,000
170	GMAC CAP TRUST I 8.125% TO 2/15/2016 FLOATS AFTER RATE:BA3/BB- 6.177% DUE:2040-02-15 (ALLY.A)	Purchase	06/24/2020	\$1,001 - \$15,000
171	LOWES COMPANIES INC (LOW), OPENED WRITTEN CALL OPTION POSITION		07/20/2020	\$1,001 - \$15,000
172	VISHAY INTERTECHNOLOGY INC (VSH)	Sale	07/21/2020	\$1,001 - \$15,000
173	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	07/21/2020	\$1,001 - \$15,000
174	APTARGROUP INC (ATR)	Sale	07/21/2020	\$1,001 - \$15,000
175	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	07/21/2020	\$1,001 - \$15,000
176	BARRICK GOLD CORP (GOLD)	Purchase	07/22/2020	\$100,001 - \$250,000
177	PROLOGIS INC COM (PLD)	Purchase	07/22/2020	\$15,001 - \$50,000
178	BROADCOM INC (AVGO)	Purchase	07/22/2020	\$1,001 - \$15,000
179	PROLOGIS INC COM (PLD)	Purchase	07/22/2020	\$1,001 - \$15,000
180	NORTHERN TRUST CORP (NTRS)	Purchase	07/22/2020	\$1,001 - \$15,000
181	CAL MAINE FOODS INC (CALM)	Purchase	07/22/2020	\$1,001 - \$15,000
182	CBRE GROUP INC CL A (CBRE)	Purchase	07/22/2020	\$1,001 - \$15,000
183	SANDERSON FARMS (SAFM)	Purchase	07/22/2020	\$1,001 - \$15,000
184	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	07/22/2020	\$1,001 - \$15,000
185	SCHNEIDER ELEC SA UNSP ADR (SBGSY)	Sale	07/22/2020	\$1,001 - \$15,000
186	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	07/22/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
187	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	07/22/2020	\$1,001 - \$15,000
188	WALT DISNEY CO HLDG CO (DIS), OPENED WRITTEN CALL OPTION POSITION		07/22/2020	\$1,001 - \$15,000
189	MOTOROLA SOLUTIONS INC (MSI), OPENED WRITTEN CALL OPTION POSITION		07/22/2020	\$1,001 - \$15,000
190	BARRICK GOLD CORP (GOLD), OPENED WRITTEN CALL OPTION POSITION		07/22/2020	\$15,001 - \$50,000
191	CHURCH & DWIGHT CO INC (CHD)	Sale	07/22/2020	\$15,001 - \$50,000
192	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	07/22/2020	\$15,001 - \$50,000
193	VALERO ENERGY CP DELA NEW (VLO)	Sale	07/22/2020	\$50,001 - \$100,000
194	SEAGATE TECHNOLOGY PLC (STX)	Purchase	07/23/2020	\$100,001 - \$250,000
195	WELLS FARGO & CO 4.75% SER-Z (WFC.Z)	Purchase	07/23/2020	\$1,001 - \$15,000
196	WELLS FARGO & CO 4.75% SER-Z (WFC.Z)	Purchase	07/23/2020	\$1,001 - \$15,000
197	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	07/23/2020	\$1,001 - \$15,000
198	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	07/23/2020	\$1,001 - \$15,000
199	SEAGATE TECHNOLOGY PLC (STX), OPENED WRITTEN CALL OPTION POSITION		07/23/2020	\$1,001 - \$15,000
200	CAL MAINE FOODS INC (CALM)	Purchase	07/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
201	1LIFE HEALTHCARE INC (ONEM)	Purchase	07/27/2020	\$100,001 - \$250,000
202	WELLS FARGO & CO 4.75% SER-Z (WFC.Z)	Purchase	07/27/2020	\$1,001 - \$15,000
203	1LIFE HEALTHCARE INC (ONEM), OPENED WRITTEN CALL OPTION POSITION		07/27/2020	\$15,001 - \$50,000
204	ABM INDUSTRIES INCORPORATED (ABM)	Purchase	07/28/2020	\$1,001 - \$15,000
205	DANA INCORPORATED (DAN)	Sale	07/28/2020	\$1,001 - \$15,000
206	TRAVELERS COMPANIES INC COM (TRV)	Purchase	07/29/2020	\$1,001 - \$15,000
207	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	07/30/2020	\$1,001 - \$15,000
208	WESCO INTL INC DP SH FXRT PFD (WCC.A)	Purchase	07/30/2020	\$1,001 - \$15,000
209	WESCO INTL INC DP SH FXRT PFD (WCC.A)	Purchase	07/30/2020	\$1,001 - \$15,000
210	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	07/30/2020	\$1,001 - \$15,000
211	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		07/31/2020	\$15,001 - \$50,000
212	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		07/31/2020	\$15,001 - \$50,000
213	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		07/31/2020	\$15,001 - \$50,000
214	FIFTH THIRD BANCORP 6.625%-I (FITBI)	Sale	07/31/2020	\$1,001 - \$15,000
215	FIFTH THIRD BANCORP 6.625%-I (FITBI)	Sale	07/31/2020	\$15,001 - \$50,000
216	TRUIST FINCL CORP 4.75% SER-R (TSTFL)	Purchase	08/03/2020	\$15,001 - \$50,000
217	TRUIST FINCL CORP 4.75% SER-R (TSTFL)	Purchase	08/03/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
218	INTEGER HOLDINGS CORP (ITGR)	Purchase	08/03/2020	\$1,001 - \$15,000
219	LEGG MASON INC EXCHANGE FOR CASH	Exchange	08/03/2020	\$1,001 - \$15,000
220	TERADYNE INC (TER)	Sale	08/03/2020	\$1,001 - \$15,000
221	BAXTER INTL INC (BAX)	Purchase	08/04/2020	\$1,001 - \$15,000
222	EVEREST RE GROUP LTD (RE)	Sale	08/04/2020	\$1,001 - \$15,000
223	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	08/04/2020	\$1,001 - \$15,000
224	AMERICAN WATER WORKS CO (AWK)	Sale	08/04/2020	\$1,001 - \$15,000
225	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	08/04/2020	\$1,001 - \$15,000
226	SANDERSON FARMS (SAFM)	Purchase	08/05/2020	\$1,001 - \$15,000
227	EPIROC AKTIEBOLAG ADR (EPOKY)	Sale	08/05/2020	\$1,001 - \$15,000
228	DENTSPLY SIRONA INC (XRAY)	Purchase	08/06/2020	\$1,001 - \$15,000
229	CHUBB LTD (CB)	Purchase	08/06/2020	\$1,001 - \$15,000
230	MUELLER WATER PROD INC SER A (MWA)	Sale	08/06/2020	\$1,001 - \$15,000
231	ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)	Purchase	08/07/2020	\$1,001 - \$15,000
232	ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)	Purchase	08/07/2020	\$1,001 - \$15,000
233	URSTADT BIDDLE PPTYS INC SER H (UBP.H)	Sale	08/07/2020	\$1,001 - \$15,000
234	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	08/07/2020	\$1,001 - \$15,000
235	HARSCO CORP (HSC)	Purchase	08/10/2020	\$1,001 - \$15,000
236	DIAGEO PLC SPON ADR NEW (DEO)	Purchase	08/10/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
237	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	08/10/2020	\$1,001 - \$15,000
238	CERENCE INC (CRNC)	Sale	08/10/2020	\$1,001 - \$15,000
239	BROOKS-AUTOMATION INC (BRKS)	Sale	08/10/2020	\$1,001 - \$15,000
240	PARTNERRE LTD 7.25% RED SER H (PRE.H)	Sale	08/10/2020	\$1,001 - \$15,000
241	HARSCO CORP (HSC)	Purchase	08/11/2020	\$1,001 - \$15,000
242	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	08/11/2020	\$1,001 - \$15,000
243	XPO LOGISTICS INC PREFERENTIAL RATE (XPO)	Sale	08/11/2020	\$500,001 - \$1,000,000
244	EATON CORP PLC SHS (ETN)	Purchase	08/12/2020	\$1,001 - \$15,000
245	EATON CORP PLC SHS (ETN)	Purchase	08/12/2020	\$15,001 - \$50,000
246	ABBVIE INC COM (ABBV)	Sale	08/12/2020	\$1,001 - \$15,000
247	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	08/12/2020	\$1,001 - \$15,000
248	ABBVIE INC COM (ABBV)	Sale	08/12/2020	\$1,001 - \$15,000
249	ABBVIE INC COM (ABBV)	Sale	08/12/2020	\$15,001 - \$50,000
250	XPO LOGISTICS INC PREFERENTIAL RATE (XPO)	Sale	08/12/2020	\$500,001 - \$1,000,000
251	TRUIST FINCL CORP 4.75% SER-R (TFC.R)	Purchase	08/13/2020	\$1,001 - \$15,000
252	WILLSCOT MOBIL MINI HOLDN CL A (WSC)	Purchase	08/13/2020	\$1,001 - \$15,000
253	TRUIST FINCL CORP 4.75% SER-R (TFC.R)	Purchase	08/13/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
254	URSTADT BIDDLE PPTYS INC SER H (UBP.H)	Sale	08/14/2020	\$1,001 - \$15,000
255	EATON CORP PLC SHS (ETN)	Purchase	08/18/2020	\$15,001 - \$50,000
256	MERCK & CO INC NEW COM (MRK)	Purchase	08/18/2020	\$15,001 - \$50,000
257	GILEAD SCIENCE (GILD)	Purchase	08/18/2020	\$15,001 - \$50,000
258	MERCK & CO INC NEW COM (MRK)	Purchase	08/18/2020	\$1,001 - \$15,000
259	EATON CORP PLC SHS (ETN)	Purchase	08/18/2020	\$1,001 - \$15,000
260	GILEAD SCIENCE (GILD)	Purchase	08/18/2020	\$1,001 - \$15,000
261	TRUIST FINCL CORP 4.75% SER-R (TFC.R)	Purchase	08/18/2020	\$1,001 - \$15,000
262	TRUIST FINCL CORP 4.75% SER-R (TFC.R)	Purchase	08/18/2020	\$1,001 - \$15,000
263	HEALTHCARE REALTY TRUST INCORP (HR)	Purchase	08/18/2020	\$1,001 - \$15,000
264	BP PLC ADS (BP)	Sale	08/18/2020	\$1,001 - \$15,000
265	HONEYWELL INTERNATIONAL INC (HON)	Sale	08/18/2020	\$1,001 - \$15,000
266	HONEYWELL INTERNATIONAL INC (HON)	Sale	08/18/2020	\$50,001 - \$100,000
267	BP PLC ADS (BP)	Sale	08/18/2020	\$50,001 - \$100,000
268	PRUDENTIAL FINANCIAL INC RATE:N/A/BBB+ 4.125% DUE:2060-09-01 (HGTYZ)	Purchase	08/20/2020	\$15,001 - \$50,000
269	PRUDENTIAL FINANCIAL INC RATE:N/A/BBB+ 4.125% DUE:2060-09-01 (HGTYZ)	Purchase	08/20/2020	\$15,001 - \$50,000
270	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	08/20/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
271	CAL MAINE FOODS INC (CALM)	Purchase	08/20/2020	\$1,001 - \$15,000
272	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	08/20/2020	\$1,001 - \$15,000
273	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	08/21/2020	\$1,001 - \$15,000
274	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	08/21/2020	\$1,001 - \$15,000
275	BECTON DICKINSON & CO DEP REPSTG PFD B RATE:N/A/N/A 6.000% DUE:2023-06- 01 (BDXB)	Purchase	08/21/2020	\$1,001 - \$15,000
276	LINDSAY MFG CO (LNN)	Sale	08/21/2020	\$1,001 - \$15,000
277	AARON'S INCORPORATED (AAN)	Purchase	08/24/2020	\$1,001 - \$15,000
278	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	08/24/2020	\$1,001 - \$15,000
279	CVS CORPORATION (CVS), OPENED WRITTEN CALL OPTION POSITION		08/24/2020	\$1,001 - \$15,000
280	PENSKE AUTO GP INC (PAG), OPENED WRITTEN CALL OPTION POSITION		08/24/2020	\$15,001 - \$50,000
281	GILEAD SCIENCE (GILD)	Purchase	08/25/2020	\$15,001 - \$50,000
282	BRITISH AMER TOB SPON ADR (BTI)	Purchase	08/25/2020	\$15,001 - \$50,000
283	EATON CORP PLC SHS (ETN)	Purchase	08/25/2020	\$15,001 - \$50,000
284	BRITISH AMER TOB SPON ADR (BTI)	Purchase	08/25/2020	\$1,001 - \$15,000
285	GILEAD SCIENCE (GILD)	Purchase	08/25/2020	\$1,001 - \$15,000
286	EATON CORP PLC SHS (ETN)	Purchase	08/25/2020	\$1,001 - \$15,000
287	CAL MAINE FOODS INC (CALM)	Purchase	08/25/2020	\$1,001 - \$15,000
288	BP PLC ADS (BP)	Sale	08/25/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
289	VANGUARD FTSE EMERGING MARKETS (VWO), OPENED WRITTEN CALL OPTION POSITION		08/25/2020	\$1,001 - \$15,000
290	BP PLC ADS (BP)	Sale	08/25/2020	\$50,001 - \$100,000
291	QUALCOMM INC (QCOM)	Purchase	08/26/2020	\$1,001 - \$15,000
292	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	08/26/2020	\$1,001 - \$15,000
293	JOHNSON & JOHNSON (JNJ)	Sale	08/26/2020	\$1,001 - \$15,000
294	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	08/26/2020	\$15,001 - \$50,000
295	JOHNSON & JOHNSON (JNJ)	Sale	08/26/2020	\$50,001 - \$100,000
296	QUALCOMM INC (QCOM)	Purchase	08/27/2020	\$50,001 - \$100,000
297	WESBANCO INC 6.75% SER-A (WSBCP)	Purchase	08/27/2020	\$1,001 - \$15,000
298	WESBANCO INC 6.75% SER-A (WSBCP)	Purchase	08/27/2020	\$1,001 - \$15,000
299	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	08/27/2020	\$1,001 - \$15,000
300	AMER EQ INV HLDG CO 5.95%-A (AEL.A)	Sale	08/27/2020	\$15,001 - \$50,000
301	ESSENTIAL UTILS INC RATE:N/A/N/A 6.000% DUE:2022-04-30 (WTRU)	Sale	08/27/2020	\$1,001 - \$15,000
302	HOME DEPOT INC (HD)	Sale	08/27/2020	\$15,001 - \$50,000
303	XPO LOGISTICS INC PREFERENTIAL RATE (XPO)	Sale	08/27/2020	\$500,001 - \$1,000,000
304	CALIF WATER SVC GP DEL (CWT)	Purchase	08/28/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
305	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	08/28/2020	\$1,001 - \$15,000
306	APTARGROUP INC (ATR)	Sale	08/28/2020	\$1,001 - \$15,000
307	DIAGEO PLC SPON ADR NEW (DEO)	Purchase	08/31/2020	\$1,001 - \$15,000
308	DENTSPLY SIRONA INC (XRAY)	Sale	08/31/2020	\$1,001 - \$15,000
309	MERCK & CO INC NEW COM (MRK)	Purchase	09/01/2020	\$15,001 - \$50,000
310	BLACKROCK INC CL A (BLK), CLOSED WRITTEN CALL OPTION POSITION		09/01/2020	\$15,001 - \$50,000
311	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/01/2020	\$1,001 - \$15,000
312	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/01/2020	\$1,001 - \$15,000
313	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/01/2020	\$1,001 - \$15,000
314	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/01/2020	\$1,001 - \$15,000
315	BLACKROCK INC CL A (BLK), OPENED WRITTEN CALL OPTION POSITION		09/01/2020	\$15,001 - \$50,000
316	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	09/01/2020	\$15,001 - \$50,000
317	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/02/2020	\$1,001 - \$15,000
318	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/02/2020	\$1,001 - \$15,000
319	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/02/2020	\$1,001 - \$15,000
320	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/02/2020	\$1,001 - \$15,000
321	STIFEL FINANCIAL CORP 6.25% (SF.A)	Sale	09/02/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
322	ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER RATE:BAA1/BBB 5.100% DUE:2053-01-15 (ALL.B)	Sale	09/02/2020	\$1,001 - \$15,000
323	STIFEL FINANCIAL CORP 6.25% (SF.A)	Sale	09/02/2020	\$1,001 - \$15,000
324	ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER RATE:BAA1/BBB 5.100% DUE:2053-01-15 (ALL.B)	Sale	09/02/2020	\$1,001 - \$15,000
325	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/08/2020	\$1,001 - \$15,000
326	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/08/2020	\$1,001 - \$15,000
327	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/09/2020	\$1,001 - \$15,000
328	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/09/2020	\$1,001 - \$15,000
329	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/09/2020	\$1,001 - \$15,000
330	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/09/2020	\$1,001 - \$15,000
331	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/09/2020	\$1,001 - \$15,000
332	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/09/2020	\$1,001 - \$15,000
333	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/09/2020	\$1,001 - \$15,000
334	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/09/2020	\$1,001 - \$15,000
335	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/09/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
336	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/09/2020	\$1,001 - \$15,000
337	QUALCOMM INC (QCOM)	Purchase	09/10/2020	\$15,001 - \$50,000
338	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/10/2020	\$1,001 - \$15,000
339	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/10/2020	\$1,001 - \$15,000
340	MAXIM INTEGRATED PRODUCTS INC (MXIM)	Sale	09/10/2020	\$15,001 - \$50,000
341	VIACOMCBS INC CL B (VIAC), CLOSED WRITTEN CALL OPTION POSITION		09/11/2020	\$50,001 - \$100,000
342	ELI LILLY & CO (LLY), CLOSED WRITTEN CALL OPTION POSITION		09/11/2020	\$15,001 - \$50,000
343	FIRST REPUBLIC BK 4.125% SER-K (FRCLL)	Purchase	09/11/2020	\$1,001 - \$15,000
344	FIRST REPUBLIC BK 4.125% SER-K (FRCLL)	Purchase	09/11/2020	\$1,001 - \$15,000
345	ELI LILLY & CO (LLY), OPENED WRITTEN CALL OPTION POSITION		09/11/2020	\$15,001 - \$50,000
346	VIACOMCBS INC CL B (VIAC), OPENED WRITTEN CALL OPTION POSITION		09/11/2020	\$50,001 - \$100,000
347	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/15/2020	\$1,001 - \$15,000
348	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/15/2020	\$1,001 - \$15,000
349	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/15/2020	\$1,001 - \$15,000
350	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
351	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/15/2020	\$1,001 - \$15,000
352	VANGUARD FTSE EMERGING MARKETS (VWO), OPENED WRITTEN CALL OPTION POSITION		09/15/2020	\$50,001 - \$100,000
353	PENN NATIONAL GAMING (PENN), CLOSED WRITTEN CALL OPTION POSITION		09/16/2020	\$100,001 - \$250,000
354	ROCKET COS INC CL A (RKT)	Purchase	09/16/2020	\$100,001 - \$250,000
355	QUALCOMM INC (QCOM)	Purchase	09/16/2020	\$15,001 - \$50,000
356	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/16/2020	\$1,001 - \$15,000
357	BROADCOM INC (AVGO)	Purchase	09/16/2020	\$15,001 - \$50,000
358	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/16/2020	\$1,001 - \$15,000
359	U.S. BANCORP 5.5%-K (USB.P)	Sale	09/16/2020	\$1,001 - \$15,000
360	ROCKET COS INC CL A (RKT), OPENED WRITTEN CALL OPTION POSITION		09/16/2020	\$15,001 - \$50,000
361	BAXTER INTL INC (BAX)	Sale	09/16/2020	\$50,001 - \$100,000
362	PENN NATIONAL GAMING (PENN), OPENED WRITTEN CALL OPTION POSITION		09/16/2020	\$100,001 - \$250,000
363	THE SOUTHERN CO 4.20% RATE:BAA3/BBB 4.200% DUE:2060-10-15 (TSHJZ)	Purchase	09/17/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
364	THE SOUTHERN CO 4.20% RATE:BAA3/BBB 4.200% DUE:2060-10-15 (TSHJZ)	Purchase	09/17/2020	\$15,001 - \$50,000
365	SPDR S&P 500 ETF TRUST CALL ASN SEP PRM 00,009,719.78 AS OF DATE: 09/17/2020 (SPY)	Sale	09/17/2020	\$100,001 - \$250,000
366	FIRST REPUBLIC BK 4.125% PFD K (FRC.K)	Purchase	09/18/2020	\$1,001 - \$15,000
367	VANGUARD FTSE EMERGING MARKETS (VWO), OPENED WRITTEN CALL OPTION POSITION		09/18/2020	\$100,001 - \$250,000
368	TC ENERGY CORP (TRP)	Purchase	09/21/2020	\$15,001 - \$50,000
369	JPMORGAN CHASE & CO (JPM)	Purchase	09/21/2020	\$50,001 - \$100,000
370	AFFILIATED MANAGERS GR 4.75% RATE:N/A/BBB- 4.750% DUE:2060-09-30 (AFTHZ)	Purchase	09/21/2020	\$1,001 - \$15,000
371	GLAXOSMITHKLINE PLC ADR (GSK)	Sale	09/21/2020	\$15,001 - \$50,000
372	FIRST REPUBLIC BK 4.125% PFD K (FRC.K)	Purchase	09/21/2020	\$1,001 - \$15,000
373	AFFILIATED MANAGERS GR 4.75% RATE:N/A/BBB- 4.750% DUE:2060-09-30 (AFTHZ)	Purchase	09/21/2020	\$1,001 - \$15,000
374	DOMINION ENERGY INC (D)	Sale	09/21/2020	\$50,001 - \$100,000
375	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/22/2020	\$1,001 - \$15,000
376	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/22/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
377	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/22/2020	\$1,001 - \$15,000
378	ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER RATE:BAA1/BBB 5.100% DUE:2053-01-15 (ALL.B)	Sale	09/22/2020	\$1,001 - \$15,000
379	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/22/2020	\$1,001 - \$15,000
380	BANK OF AMERICA CORP 6.2%-CC (BAC.C)	Sale	09/22/2020	\$1,001 - \$15,000
381	AT&T INC 5.625% RATE:BAA2/BBB 5.625% DUE:2067-08-01 (TBC)	Sale	09/22/2020	\$1,001 - \$15,000
382	ALLSTATE CORP 5.1% FIXED TO 01/2023 THEN FLOATS THEREAFTER RATE:BAA1/BBB 5.100% DUE:2053-01-15 (ALL.B)	Sale	09/22/2020	\$1,001 - \$15,000
383	CROWN CASTLE INTL CORP (CCI)	Purchase	09/24/2020	\$50,001 - \$100,000
384	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	09/24/2020	\$15,001 - \$50,000
385	AMERICAN ELECTRIC POWER CO (AEP)	Purchase	09/24/2020	\$15,001 - \$50,000
386	COCA COLA CO (KO)	Sale	09/24/2020	\$15,001 - \$50,000
387	DOMINION ENERGY INC (D)	Sale	09/24/2020	\$50,001 - \$100,000
388	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	09/25/2020	\$1,001 - \$15,000
389	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	09/25/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
390	DUKE ENERGY CORP 5.625% RATE:BAA2/BBB 5.625% DUE:2078-09-15 (DUKB)	Sale	09/25/2020	\$1,001 - \$15,000
391	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	09/25/2020	\$1,001 - \$15,000
392	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/25/2020	\$1,001 - \$15,000
393	DUKE ENERGY CORP 5.625% RATE:BAA2/BBB 5.625% DUE:2078-09-15 (DUKB)	Sale	09/25/2020	\$1,001 - \$15,000
394	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	09/25/2020	\$1,001 - \$15,000
395	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	09/25/2020	\$1,001 - \$15,000
396	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	09/25/2020	\$1,001 - \$15,000
397	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	09/25/2020	\$1,001 - \$15,000
398	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/28/2020	\$1,001 - \$15,000
399	THE HARTORD FIN SER6.0%SER-G (HIG.G)	Sale	09/28/2020	\$1,001 - \$15,000
400	AFFILIATED MANAGERS GR 4.75% RATE:N/A/BBB- 4.750% DUE:2060-09-30 (MGRB)	Purchase	09/30/2020	\$1,001 - \$15,000
401	AFFILIATED MANAGERS GR 4.75% RATE:N/A/BBB- 4.750% DUE:2060-09-30 (MGRB)	Purchase	09/30/2020	\$1,001 - \$15,000
402	PARTNERRE LTD 7.25% RED SER H (PRE.H)	Sale	09/30/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
403	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	09/30/2020	\$1,001 - \$15,000
404	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	09/30/2020	\$1,001 - \$15,000
405	DUKE ENERGY CORPORATION (DUK)	Sale	09/30/2020	\$50,001 - \$100,000
406	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	10/01/2020	\$1,001 - \$15,000
407	GENERAL MILLS INC (GIS)	Purchase	10/02/2020	\$50,001 - \$100,000
408	DUKE ENERGY CORP 5.625% RATE:BAA2/BBB 5.625% DUE:2078-09-15 (DUKB)	Sale	10/02/2020	\$1,001 - \$15,000
409	JPMORGAN CHASE & CO 6.15% BB (JPM.H)	Sale	10/01/2020	\$1,001 - \$15,000
410	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	10/02/2020	\$1,001 - \$15,000
411	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	10/02/2020	\$1,001 - \$15,000
412	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	10/02/2020	\$1,001 - \$15,000
413	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	10/02/2020	\$1,001 - \$15,000
414	CHARLES SCHWAB CORP 5.95%-D (SCHW.D)	Sale	10/02/2020	\$1,001 - \$15,000
415	DUKE ENERGY CORP 5.625% RATE:BAA2/BBB 5.625% DUE:2078-09-15 (DUKB)	Sale	10/02/2020	\$1,001 - \$15,000
416	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	10/02/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
417	CDN IMPL BK COMMERCE (CM)	Sale	10/02/2020	\$1,001 - \$15,000
418	PHILIP MORRIS INTL INC (PM)	Sale	10/02/2020	\$1,001 - \$15,000
419	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	10/05/2020	\$1,001 - \$15,000
420	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	10/05/2020	\$1,001 - \$15,000
421	XPO LOGISTICS INC (XPO)	Sale	10/05/2020	\$500,001 - \$1,000,000
422	NEW YORK CMNTY BC INC SER A (NYCB.A)	Sale	10/06/2020	\$1,001 - \$15,000
423	NEW YORK CMNTY BC INC SER A (NYCB.A)	Sale	10/06/2020	\$1,001 - \$15,000
424	NEW YORK CMNTY BC INC SER A (NYCB.A)	Sale	10/07/2020	\$1,001 - \$15,000
425	NEW YORK CMNTY BC INC SER A (NYCB.A)	Sale	10/07/2020	\$1,001 - \$15,000
426	GILEAD SCIENCE (GILD)	Purchase	10/08/2020	\$50,001 - \$100,000
427	AMERICAN ELEC PWR CO INC (AEP)	Purchase	10/08/2020	\$1,001 - \$15,000
428	EATON CORP PLC SHS (ETN)	Purchase	10/08/2020	\$1,001 - \$15,000
429	BRISTOL MYERS SQUIBB CO (BMY)	Purchase	10/08/2020	\$1,001 - \$15,000
430	DISCOVER FINCL SVCS (DFS)	Sale	10/08/2020	\$50,001 - \$100,000
431	JPMORGAN CHASE & CO (JPM)	Sale	10/08/2020	\$50,001 - \$100,000
432	JOHNSON & JOHNSON (JNJ)	Sale	10/13/2020	\$15,001 - \$50,000
433	QUALCOMM INC (QCOM)	Purchase	10/13/2020	\$50,001 - \$100,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
434	CISCO SYS INC (CSCO)	Sale	10/13/2020	\$15,001 - \$50,000
435	BROOKFIELD FIN INC 4.625% SER-50 RATE:BAA3/BBB 4.625% DUE:2080-10-16 (HDTDZ)	Purchase	10/14/2020	\$15,001 - \$50,000
436	BROOKFIELD FIN INC 4.625% SER-50 RATE:BAA3/BBB 4.625% DUE:2080-10-16 (HDTDZ)	Purchase	10/14/2020	\$1,001 - \$15,000
437	QWEST CORP 6.5% RATE:BA2/BBB- 6.500% DUE:2056-09-01 (CTBB)	Purchase	10/14/2020	\$1,001 - \$15,000
438	QWEST CORP 6.5% RATE:BA2/BBB- 6.500% DUE:2056-09-01 (CTBB)	Purchase	10/14/2020	\$1,001 - \$15,000
439	AMERICAN ELEC PWR CO INC (AEP)	Purchase	10/14/2020	\$1,001 - \$15,000
440	XPO LOGISTICS INC (XPO)	Sale	10/14/2020	\$500,001 - \$1,000,000
441	BROOKFIELD FIN INC 4.625% SER-50 RATE:BAA3/BBB 4.625% DUE:2080-10-16 (HDTDZ)	Purchase	10/15/2020	\$1,001 - \$15,000
442	AMERICAN ELEC PWR CO INC (AEP)	Purchase	10/15/2020	\$1,001 - \$15,000
443	QWEST CORP 6.5% RATE:BA2/BBB- 6.500% DUE:2056-09-01 (CTBB)	Purchase	10/15/2020	\$1,001 - \$15,000
444	XPO LOGISTICS INC (XPO)	Sale	10/15/2020	\$500,001 - \$1,000,000
445	BROOKFIELD FIN INC 4.625% SER-50 RATE:BAA3/BBB 4.625% DUE:2080-10-16 (HDTDZ)	Purchase	10/15/2020	\$1,001 - \$15,000
446	QWEST CORP 6.5% RATE:BA2/BBB- 6.500% DUE:2056-09-01 (CTBB)	Purchase	10/15/2020	\$1,001 - \$15,000
447	DISCOVER FINCL SVCS (DFS), CLOSED WRITTEN CALL OPTION POSITION		10/16/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
448	XPO LOGISTICS INC (XPO)	Sale	10/19/2020	\$250,001 - \$500,000
449	DISCOVER FINCL SVCS (DFS), OPENED WRITTEN CALL OPTION POSITION		10/16/2020	\$15,001 - \$50,000
450	XPO LOGISTICS INC (XPO)	Sale	10/19/2020	\$1,000,001 - \$5,000,000
451	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/20/2020	\$100,001 - \$250,000
452	PUBLIC STORAGE 4.625%-L (PSA.L)	Sale	10/20/2020	\$1,001 - \$15,000
453	PUBLIC STORAGE 4.625%-L (PSA.L)	Sale	10/20/2020	\$1,001 - \$15,000
454	PRUDENTIAL FINANCIAL INC 5.625% RATE:BAA1/BBB+ 5.625% DUE:2058-08-15 (PRS)	Sale	10/20/2020	\$1,001 - \$15,000
455	PUBLIC STORAGE 4.625%-L (PSA.L)	Sale	10/20/2020	\$1,001 - \$15,000
456	PRUDENTIAL FINANCIAL INC 5.625% RATE:BAA1/BBB+ 5.625% DUE:2058-08-15 (PRS)	Sale	10/20/2020	\$1,001 - \$15,000
457	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$250,001 - \$500,000
458	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$250,001 - \$500,000
459	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$250,001 - \$500,000
460	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$250,001 - \$500,000
461	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$250,001 - \$500,000
462	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
463	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$1,000,001 - \$5,000,000
464	XPO LOGISTICS INC (XPO)	Sale	10/20/2020	\$1,000,001 - \$5,000,000
465	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/21/2020	\$100,001 - \$250,000
466	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/21/2020	\$100,001 - \$250,000
467	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/22/2020	\$100,001 - \$250,000
468	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/22/2020	\$100,001 - \$250,000
469	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/22/2020	\$100,001 - \$250,000
470	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/22/2020	\$100,001 - \$250,000
471	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/21/2020	\$100,001 - \$250,000
472	RAYTHEON TECHNOLOGIES CORP (RTX)	Purchase	10/22/2020	\$100,001 - \$250,000
473	GILEAD SCIENCE (GILD)	Purchase	10/22/2020	\$15,001 - \$50,000
474	MERCK & CO INC NEW COM (MRK)	Purchase	10/22/2020	\$15,001 - \$50,000
475	U.S. BANCORP 3.75% SER-L (UBKPL)	Purchase	10/22/2020	\$1,001 - \$15,000
476	U.S. BANCORP 3.75% SER-L (UBKPL)	Purchase	10/22/2020	\$1,001 - \$15,000
477	VODAFONE GROUP PLC (VOD)	Purchase	10/22/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
478	RAYTHEON TECHNOLOGIES CO (RTX), OPENED WRITTEN CALL OPTION POSITION		10/22/2020	\$1,001 - \$15,000
479	PUBLIC STORAGE 4.625%-L (PSA.L)	Sale	10/22/2020	\$1,001 - \$15,000
480	XPO LOGISTICS INC (XPO)	Sale	10/22/2020	\$500,001 - \$1,000,000
481	XPO LOGISTICS INC (XPO)	Sale	10/22/2020	\$1,000,001 - \$5,000,000
482	WELLS FARGO & CO 4.70% SER-AA (WFCCL)	Purchase	10/23/2020	\$1,001 - \$15,000
483	GLAXOSMITHKLINE PLC ADR (GSK)	Sale	10/22/2020	\$50,001 - \$100,000
484	WELLS FARGO & CO 4.70% SER-AA (WFCCL)	Purchase	10/23/2020	\$1,001 - \$15,000
485	KEYCORP 6.125% SER-E (KEY.I)	Sale	10/23/2020	\$1,001 - \$15,000
486	KEYCORP 6.125% SER-E (KEY.I)	Sale	10/23/2020	\$1,001 - \$15,000
487	GOLDMAN SACHS GRP INC 6.375%-K (GS.K)	Sale	10/23/2020	\$1,001 - \$15,000
488	GLAXOSMITHKLINE PLC ADR (GSK)	Sale	10/23/2020	\$15,001 - \$50,000
489	XPO LOGISTICS INC (XPO)	Sale	10/23/2020	\$250,001 - \$500,000
490	WELLS FARGO & CO 4.70% SER-AA (WFCCL)	Purchase	10/26/2020	\$1,001 - \$15,000
491	WELLS FARGO & CO 4.70% SER-AA (WFCCL)	Purchase	10/26/2020	\$1,001 - \$15,000
492	KEYCORP 6.125% SER-E (KEY.I)	Sale	10/26/2020	\$1,001 - \$15,000
493	KEYCORP 6.125% SER-E (KEY.I)	Sale	10/26/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
494	VERIZON COMMUNICATIONS (VZ)	Sale	10/26/2020	\$15,001 - \$50,000
495	PFIZER INC (PFE)	Sale	10/26/2020	\$1,001 - \$15,000
496	AT&T INC (T)	Sale	10/26/2020	\$15,001 - \$50,000
497	XPO LOGISTICS INC (XPO)	Sale	10/26/2020	\$1,000,001 - \$5,000,000
498	XPO LOGISTICS INC (XPO)	Sale	10/27/2020	\$1,000,001 - \$5,000,000
499	XPO LOGISTICS INC (XPO)	Sale	10/26/2020	\$250,001 - \$500,000
500	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/28/2020	\$50,001 - \$100,000
501	XPO LOGISTICS INC (XPO)	Sale	10/28/2020	\$1,000,001 - \$5,000,000
502	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		10/29/2020	\$100,001 - \$250,000
503	BANK OF AMERICA COR 4.375%-NN (BACPL)	Purchase	10/29/2020	\$15,001 - \$50,000
504	BANK OF AMERICA COR 4.375%-NN (BACPL)	Purchase	10/29/2020	\$15,001 - \$50,000
505	XPO LOGISTICS INC (XPO)	Sale	10/29/2020	\$500,001 - \$1,000,000
506	AMERICAN HMS 4 RENT PFD D 6.5% (AMH.D)	Purchase	10/30/2020	\$1,001 - \$15,000
507	BANK OF AMERICA COR 4.375%-NN (BACPL)	Purchase	10/30/2020	\$15,001 - \$50,000
508	BANK OF AMERICA COR 4.375%-NN (BACPL)	Purchase	10/30/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
509	ABBVIE INC COM (ABBV)	Purchase	11/18/2020	\$15,001 - \$50,000
510	AGNC INVMNT CO 6.125% SER-F (AGNCP)	Purchase	11/24/2020	\$1,001 - \$15,000
511	AGNC INVT CORP CUM 1/1000 7% C (AGNCN)	Purchase	11/24/2020	\$1,001 - \$15,000
512	ALGONQUIN POWER & UTILITIES CORP 6.875%-A RATE:N/A/BB+ 6.875% DUE:2078-10-17 (AQNA)	Purchase	11/24/2020	\$1,001 - \$15,000
513	AMERICAN HMS 4 RENT PFD D 6.5% (AMH.D)	Purchase	11/02/2020	\$1,001 - \$15,000
514	AMERICAN ELEC PWR CO INC (AEP)	Purchase	11/02/2020	\$15,001 - \$50,000
515	ASPEN INSURANCE HLDG LTD 5.95% (AHL.C)	Purchase	11/24/2020	\$1,001 - \$15,000
516	AT&T INC (T)	Sale	11/06/2020	\$250,001 - \$500,000
517	AT&T INC 4.750% SER-C (T.C)	Sale	11/06/2020	\$15,001 - \$50,000
518	AT&T INC (T)	Sale	11/12/2020	\$100,001 - \$250,000
519	AT&T INC 4.750% SER-C (T.C)	Sale	11/06/2020	\$15,001 - \$50,000
520	AXIS CAP HOLDINGS LTD 5.5%-E (AXS.E)	Purchase	11/24/2020	\$1,001 - \$15,000
521	BROOKFIELD FIN I UK 4.50% (BKHYZ)	Purchase	11/19/2020	\$15,001 - \$50,000
522	BROOKFIELD FIN I UK 4.50% (BKHYZ)	Purchase	11/19/2020	\$15,001 - \$50,000
523	CARLYLE GROUP INC (CG), OPENED WRITTEN CALL OPTION POSITION		11/25/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
524	CHARLES SCHWAB (SCHW), CLOSED WRITTEN CALL OPTION POSITION		11/05/2020	\$15,001 - \$50,000
525	CHARLES SCHWAB (SCHW), OPENED WRITTEN CALL OPTION POSITION		11/05/2020	\$15,001 - \$50,000
526	CHS INC (CHSCN)	Purchase	11/24/2020	\$1,001 - \$15,000
527	CITIGROUP CAPT XIII 7.875% FIXED 10/30/15 FLOATS AFTER RATE:BAA3/BB+ 6.584% DUE:2040-10-30 (C.N)	Purchase	11/24/2020	\$1,001 - \$15,000
528	CITIGROUP INC 6.875%-K (C.K)	Purchase	11/24/2020	\$1,001 - \$15,000
529	CITIGRP INC 7.125%-J (C.J)	Purchase	11/24/2020	\$1,001 - \$15,000
530	COCA COLA CO (KO)	Sale	11/18/2020	\$50,001 - \$100,000
531	CROWN CASTLE INTL CORP (CCI)	Purchase	11/18/2020	\$15,001 - \$50,000
532	CVS CORPORATION (CVS), CLOSED WRITTEN CALL OPTION POSITION		11/09/2020	\$1,001 - \$15,000
533	DIGITAL RLTY TR INC RED SER C (DLR.C)	Purchase	11/24/2020	\$1,001 - \$15,000
534	CVS HEALTH CORP COM (CVS)	Sale	11/12/2020	\$100,001 - \$250,000
535	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	11/13/2020	\$1,001 - \$15,000
536	DISCOVER FINCL SVCS (DFS), CLOSED WRITTEN CALL OPTION POSITION		11/09/2020	\$15,001 - \$50,000
537	DISCOVER FINCL SVCS (DFS)	Sale	11/12/2020	\$100,001 - \$250,000
538	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	11/23/2020	\$1,001 - \$15,000
539	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	11/13/2020	\$1,001 - \$15,000
540	DUKE ENERGY CORP 5.75%-A (DUK.A)	Sale	11/20/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
541	GENERAL MILLS INC (GIS)	Purchase	11/18/2020	\$50,001 - \$100,000
542	ENBRIDGE INC 6.375%-B RATE:BA1/BBB-6.375% DUE:2078-04-15 (ENBA)	Purchase	11/24/2020	\$1,001 - \$15,000
543	GLAXOSMITHKLINE PLC ADR (GSK)	Sale	11/18/2020	\$50,001 - \$100,000
544	GOLDMAN SACHS GRP INC 5.50%-J (GS.J)	Purchase	11/24/2020	\$1,001 - \$15,000
545	GOLDMAN SACHS GRP INC 6.375%-K (GS.K)	Sale	11/02/2020	\$1,001 - \$15,000
546	GOLDMAN SACHS GRP INC 6.375%-K (GS.K)	Sale	11/04/2020	\$1,001 - \$15,000
547	GOLDMAN SACHS GRP INC 6.375%-K (GS.K)	Sale	11/03/2020	\$1,001 - \$15,000
548	HUNTINGTON BANCSHARES 6.25%-D (HBANO)	Purchase	11/24/2020	\$1,001 - \$15,000
549	INTL BUSINESS MACHINES CORP (IBM)	Sale	11/12/2020	\$100,001 - \$250,000
550	JP MORGAN CHASE&CO (JPM), CLOSED WRITTEN CALL OPTION POSITION		11/09/2020	\$15,001 - \$50,000
551	JPMORGAN CHASE & CO (JPM)	Sale	11/06/2020	\$250,001 - \$500,000
552	JPMORGAN CHASE & CO (JPM)	Sale	11/12/2020	\$100,001 - \$250,000
553	JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)	Sale	11/06/2020	\$1,001 - \$15,000
554	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	11/06/2020	\$1,001 - \$15,000
555	JPMORGAN CHASE & CO 5.75-DD (JPM.D)	Sale	11/06/2020	\$1,001 - \$15,000
556	JPMORGAN CHASE & CO 6.0% S-EE (JPM.C)	Sale	11/06/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
557	LAS VEGAS SANDS CORPORATION (LVS), OPENED WRITTEN CALL OPTION POSITION		11/09/2020	\$1,001 - \$15,000
558	LINCOLN NTL CP IND (LNC), OPENED WRITTEN CALL OPTION POSITION		11/24/2020	\$1,001 - \$15,000
559	KIMBERLY CLARK CORP (KMB)	Purchase	11/18/2020	\$50,001 - \$100,000
560	MICROSOFT CORP (MSFT)	Sale	11/06/2020	\$250,001 - \$500,000
561	MC DONALDS CORP (MCD), CLOSED WRITTEN CALL OPTION POSITION		11/27/2020	\$15,001 - \$50,000
562	MC DONALDS CORP (MCD), OPENED WRITTEN CALL OPTION POSITION		11/27/2020	\$15,001 - \$50,000
563	NATIONAL RURAL UTIL COOP 5.50% RATE:A3/BBB+ 5.500% DUE:2064-05-15 (NRUC)	Sale	11/16/2020	\$1,001 - \$15,000
564	MORGAN STANLEY 6.875%-F (MS.F)	Purchase	11/24/2020	\$1,001 - \$15,000
565	NATIONAL RURAL UTIL COOP 5.50% RATE:A3/BBB+ 5.500% DUE:2064-05-15 (NRUC)	Sale	11/24/2020	\$1,001 - \$15,000
566	NATIONAL RURAL UTIL COOP 5.50% RATE:A3/BBB+ 5.500% DUE:2064-05-15 (NRUC)	Sale	11/24/2020	\$1,001 - \$15,000
567	NATIONAL RURAL UTIL COOP 5.50% RATE:A3/BBB+ 5.500% DUE:2064-05-15 (NRUC)	Sale	11/16/2020	\$1,001 - \$15,000
568	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	11/16/2020	\$1,001 - \$15,000
569	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	11/17/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT	
570	NEXTERA ENERGY CAPITAL HOLDINGS INC 5.65% RATE:BAA2/BBB 5.650% DUE:2079-03-01 (NEE.N)	Sale	11/19/2020	\$1,001 - \$15,000	
571	PUBLIC STORAGE 3.9% SER-O (PSAOL)	Purchase	11/10/2020	\$1,001 - \$15,000	
572	PNC FINL-P 6.125% FLTS 5/01/22 (PNC.P)	Purchase	11/24/2020	\$1,001 - \$15,000	
573	PUBLIC STORAGE 3.9% SER-O (PSAOL)	Purchase	11/10/2020	\$1,001 - \$15,000	
574	PARTNERRE LTD 7.25% RED SER H (PRE.H)	Purchase	11/24/2020	\$1,001 - \$15,000	
575	PUBLIC STORAGE 3.9% SER-O (PSAOL)	Purchase	11/11/2020	\$1,001 - \$15,000	
576	REGIONS FINANCIAL CO 6.375%-B (RF.B)	Sale	11/16/2020	\$1,001 - \$15,000	
577	REGIONS FINANCIAL CO 6.375%-B (RF.B)	Sale	11/16/2020	\$1,001 - \$15,000	
578	REINSURANCE GROUP AMERICA INC RATE:BAA2/BBB+ 6.200% DUE:2042-09-15 (RZA)	Sale	11/20/2020	\$1,001 - \$15,000	
579	REINSURANCE GROUP AMERICA INC RATE:BAA2/BBB+ 6.200% DUE:2042-09-15 (RZA)	Sale	11/24/2020	\$1,001 - \$15,000	
580	SCE TRUST V 5.45%-K (SCE.K)	Purchase	11/24/2020	\$1,001 - \$15,000	
581	SCE TRUST VI 5%-L (SCE.L)	Purchase	11/11/2020	\$1,001 - \$15,000	
582	SCE TRUST VI 5%-L (SCE.L)	Purchase	11/11/2020	\$1,001 - \$15,000	
583	SPIRE INC 5.90% SER-A (SR.A)	Sale	11/16/2020	\$1,001 - \$15,000	
584	SPIRE INC 5.90% SER-A (SR.A)	Sale	11/11/2020	\$1,001 - \$15,000	
585	SPIRE INC 5.90% SER-A (SR.A)	Sale	11/30/2020	\$1,001 - \$15,000	
586	VALERO ENERGY CP DELA NEW (VLO)	Sale	11/18/2020	\$15,001 - \$50,000	
587	VIATRIS INC (VTRS)	See Endnote	Sale	11/20/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
588	WELLS FARGO 5.85-Q FIXD-TO-FLT (WFC.Q)	Purchase	11/24/2020	\$1,001 - \$15,000
589	WELLS FARGO & CO 5.5% SER-X (WFC.X)	Purchase	11/24/2020	\$1,001 - \$15,000
590	VORNADO REALTY TR 5.25% SER-N (VORTP)	Purchase	11/24/2020	\$1,001 - \$15,000
591	WELLS FARGO 7.5 NON-CUM CL A (WFC.L)	Purchase	11/24/2020	\$1,001 - \$15,000
592	XPO LOGISTICS INC (XPO)	Sale	11/02/2020	\$250,001 - \$500,000
593	XPO LOGISTICS INC (XPO)	Sale	11/02/2020	\$250,001 - \$500,000
594	XPO LOGISTICS INC (XPO)	Sale	11/03/2020	\$250,001 - \$500,000
595	XPO LOGISTICS INC (XPO)	Sale	11/03/2020	\$250,001 - \$500,000
596	XPO LOGISTICS INC (XPO)	Sale	11/03/2020	\$500,001 - \$1,000,000
597	XPO LOGISTICS INC (XPO)	Sale	11/04/2020	\$500,001 - \$1,000,000
598	XPO LOGISTICS INC (XPO)	Sale	11/03/2020	\$1,000,001 - \$5,000,000
599	XPO LOGISTICS INC (XPO)	Sale	11/04/2020	\$1,000,001 - \$5,000,000
600	XPO LOGISTICS INC (XPO)	Sale	11/05/2020	\$100,001 - \$250,000
601	XPO LOGISTICS INC (XPO)	Sale	11/05/2020	\$500,001 - \$1,000,000
602	XPO LOGISTICS INC (XPO)	Sale	11/05/2020	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
603	XPO LOGISTICS INC (XPO)	Sale	11/05/2020	\$1,000,001 - \$5,000,000
604	XPO LOGISTICS INC (XPO)	Sale	11/06/2020	\$500,001 - \$1,000,000
605	XPO LOGISTICS INC (XPO)	Sale	11/09/2020	\$1,000,001 - \$5,000,000
606	XPO LOGISTICS INC (XPO)	Sale	11/09/2020	\$1,000,001 - \$5,000,000
607	XPO LOGISTICS INC (XPO)	Sale	11/19/2020	\$1,000,001 - \$5,000,000
608	XPO LOGISTICS INC (XPO)	Sale	11/09/2020	\$1,000,001 - \$5,000,000
609	XPO LOGISTICS INC (XPO)	Sale	11/19/2020	\$1,000,001 - \$5,000,000
610	XPO LOGISTICS INC (XPO)	Sale	11/19/2020	\$1,000,001 - \$5,000,000
611	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		11/06/2020	\$100,001 - \$250,000
612	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		11/19/2020	\$250,001 - \$500,000
613	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		11/19/2020	\$100,001 - \$250,000
614	ZIONS BANCORP NA 6.3000% SRS G (ZIONO)	Purchase	11/24/2020	\$1,001 - \$15,000
615	XPO LOGISTICS INC (XPO), CLOSED WRITTEN CALL OPTION POSITION		11/19/2020	\$100,001 - \$250,000
616	ACTIVISION BLIZZARD INC (ATVI), CLOSED WRITTEN CALL OPTION POSITION		12/21/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
617	ACTIVISION BLIZZARD INC (ATVI), OPENED WRITTEN CALL OPTION POSITION		12/21/2020	\$1,001 - \$15,000
618	ACTIVISION BLIZZARD INC (ATVI), CLOSED WRITTEN CALL OPTION POSITION		12/29/2020	\$50,001 - \$100,000
619	ACTIVISION BLIZZARD INC (ATVI), OPENED WRITTEN CALL OPTION POSITION		12/29/2020	\$15,001 - \$50,000
620	AGNC INVMNT CO 6.125% SER-F (AGNCP)	Purchase	12/02/2020	\$1,001 - \$15,000
621	AGNC INVT CORP CUM 1/1000 7% C (AGNCN)	Purchase	12/02/2020	\$1,001 - \$15,000
622	AMERICAN EQUITY 6.625%-B (AEL.B)	Purchase	12/02/2020	\$15,001 - \$50,000
623	AMERICAN TOWER REIT COM (AMT)	Purchase	12/10/2020	\$50,001 - \$100,000
624	ASPEN INSURANCE HOLDINGS 5.625 (AHL.E)	Purchase	12/02/2020	\$1,001 - \$15,000
625	ANNALY CAP MGMNT 6.95%-F (NLY.F)	Purchase	12/02/2020	\$1,001 - \$15,000
626	ANNALY CAP MGMT INC PFD SER I (NLY.I)	Purchase	12/02/2020	\$1,001 - \$15,000
627	ASSURANT INC 5.25% CAL NT 61 RATE:BA1/BB+ 5.250% DUE:2061-01-15 (AIZN)	Purchase	12/02/2020	\$15,001 - \$50,000
628	BANK OF AMERICA CORP (BAC), OPENED WRITTEN CALL OPTION POSITION		12/04/2020	\$1,001 - \$15,000
629	BANK OF AMERICA CORP (BAC), CLOSED WRITTEN CALL OPTION POSITION		12/04/2020	\$1,001 - \$15,000
630	BCE INC (BCE)	Sale	12/30/2020	\$250,001 - \$500,000
631	BOEING CO (BA)	Sale	12/29/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
632	BRISTOL MYERS SQUIBB CO (BMY), CLOSED WRITTEN CALL OPTION POSITION		12/28/2020	\$1,001 - \$15,000
633	BRISTOL MYERS SQUIBB CO (BMY), OPENED WRITTEN CALL OPTION POSITION		12/28/2020	\$1,001 - \$15,000
634	CAPITAL ONE FINANCIAL 5%-I PRF (COF.I)	Sale	12/11/2020	\$50,001 - \$100,000
635	CAPITAL ONE FINANCIAL CO 6%-H (COF.H)	Sale	12/11/2020	\$15,001 - \$50,000
636	CHEVRON CORP (CVX)	Sale	12/30/2020	\$100,001 - \$250,000
637	CHEVRON CORP (CVX)	Sale	12/30/2020	\$100,001 - \$250,000
638	CHEVRON CORP (CVX)	Sale	12/29/2020	\$100,001 - \$250,000
639	CITIGROUP CAPT XIII 7.875% FIXED 10/30/15 FLOATS AFTER (C.N) RATE:BAA3/BB+ 6.584% DUE:2040-10-30 (C.N)	Purchase	12/02/2020	\$1,001 - \$15,000
640	CLEARFORK CAPTL LLC (AIK03)	Sale	12/16/2020	\$1,000,001 - \$5,000,000
641	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/11/2020	\$250,001 - \$500,000
642	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/17/2020	\$100,001 - \$250,000
643	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/11/2020	\$250,001 - \$500,000
644	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/17/2020	\$250,001 - \$500,000
645	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
646	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/23/2020	\$15,001 - \$50,000
647	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/29/2020	\$500,001 - \$1,000,000
648	COLUMBIA DIVERSIFIED FXD INC (DIAL)	Purchase	12/29/2020	\$250,001 - \$500,000
649	COMCAST CORP (NEW) CLASS (CMCSA), OPENED WRITTEN CALL OPTION POSITION		12/29/2020	\$1,001 - \$15,000
650	COMCAST CORP (NEW) CLASS A (CMCSA)	Purchase	12/29/2020	\$100,001 - \$250,000
651	CROWN CASTLE INTL CORP (CCI)	Sale	12/10/2020	\$15,001 - \$50,000
652	DOMINION ENERGY INC (D)	Sale	12/11/2020	\$100,001 - \$250,000
653	EATON VANCE TAX MG CEF (ETY)	Purchase	12/11/2020	\$250,001 - \$500,000
654	EATON VANCE TAX MG CEF (ETY)	Purchase	12/11/2020	\$250,001 - \$500,000
655	EATON VANCE TAX MG CEF (ETY)	Purchase	12/17/2020	\$100,001 - \$250,000
656	EATON VANCE TAX MG CEF (ETY)	Purchase	12/17/2020	\$250,001 - \$500,000
657	EATON VANCE TAX MG CEF (ETY)	Purchase	12/23/2020	\$1,001 - \$15,000
658	EATON VANCE TAX MG CEF (ETY)	Purchase	12/23/2020	\$15,001 - \$50,000
659	EATON VANCE TAX MG CEF (ETY)	Purchase	12/29/2020	\$100,001 - \$250,000
660	EATON VANCE TAX MG CEF (ETY)	Purchase	12/29/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
661	ENBRIDGE INC (ENB)	Sale	12/30/2020	\$100,001 - \$250,000
662	EXXON MOBIL CORP (XOM)	Sale	12/30/2020	\$250,001 - \$500,000
663	F N B CORP FLA DEP SHS REPSTG (FNB.E)	Sale	12/09/2020	\$1,001 - \$15,000
664	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/11/2020	\$250,001 - \$500,000
665	FOX CORP CL A (FOXA)	Sale	12/29/2020	\$100,001 - \$250,000
666	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/11/2020	\$250,001 - \$500,000
667	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/17/2020	\$250,001 - \$500,000
668	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/17/2020	\$100,001 - \$250,000
669	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/23/2020	\$15,001 - \$50,000
670	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/23/2020	\$1,001 - \$15,000
671	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/29/2020	\$100,001 - \$250,000
672	FT-PREFERRED SECUR & INC ETF (FPE)	Purchase	12/29/2020	\$250,001 - \$500,000
673	GENERAL ELECTRIC CO (GE)	Purchase	12/09/2020	\$50,001 - \$100,000
674	GENERAL ELECTRIC CO (GE), OPENED WRITTEN CALL OPTION POSITION		12/09/2020	\$1,001 - \$15,000
675	GILEAD SCIENCE (GILD)	Sale	12/30/2020	\$100,001 - \$250,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
676	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/11/2020	\$250,001 - \$500,000
677	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/11/2020	\$250,001 - \$500,000
678	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/17/2020	\$100,001 - \$250,000
679	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/17/2020	\$250,001 - \$500,000
680	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/23/2020	\$1,001 - \$15,000
681	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/29/2020	\$100,001 - \$250,000
682	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/23/2020	\$15,001 - \$50,000
683	GLOBAL X NASD 100 COV CALL (QYLD)	Purchase	12/29/2020	\$250,001 - \$500,000
684	HONEYWELL INTERNATIONAL INC (HON)	Sale	12/11/2020	\$250,001 - \$500,000
685	GS EXCHANGE PLACE LP (BAV30)	Sale	12/31/2020	\$1,000,001 - \$5,000,000
686	INTL BUSINESS MACHINES CORP (IBM)	Sale	12/11/2020	\$100,001 - \$250,000
687	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/11/2020	\$100,001 - \$250,000
688	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/11/2020	\$100,001 - \$250,000
689	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/17/2020	\$15,001 - \$50,000
690	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
691	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/17/2020	\$100,001 - \$250,000
692	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/23/2020	\$1,001 - \$15,000
693	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/29/2020	\$15,001 - \$50,000
694	INVESCO BULLETSHARES 2022 MU (BSMM)	Purchase	12/29/2020	\$100,001 - \$250,000
695	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/11/2020	\$100,001 - \$250,000
696	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/11/2020	\$100,001 - \$250,000
697	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/17/2020	\$15,001 - \$50,000
698	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/17/2020	\$100,001 - \$250,000
699	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/23/2020	\$1,001 - \$15,000
700	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/23/2020	\$1,001 - \$15,000
701	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/29/2020	\$15,001 - \$50,000
702	INVESCO BULLETSHARES 2023 MU (BSMN)	Purchase	12/29/2020	\$100,001 - \$250,000
703	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/11/2020	\$100,001 - \$250,000
704	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/11/2020	\$100,001 - \$250,000
705	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/17/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
706	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/17/2020	\$100,001 - \$250,000
707	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/23/2020	\$1,001 - \$15,000
708	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/23/2020	\$1,001 - \$15,000
709	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/29/2020	\$15,001 - \$50,000
710	INVESCO BULLETSHARES 2024 MU (BSMO)	Purchase	12/29/2020	\$100,001 - \$250,000
711	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/11/2020	\$100,001 - \$250,000
712	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/11/2020	\$100,001 - \$250,000
713	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/17/2020	\$15,001 - \$50,000
714	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/17/2020	\$100,001 - \$250,000
715	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/23/2020	\$1,001 - \$15,000
716	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/23/2020	\$1,001 - \$15,000
717	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/29/2020	\$15,001 - \$50,000
718	INVESCO BULLETSHARES 2025 MU (BSMP)	Purchase	12/29/2020	\$100,001 - \$250,000
719	ISHARES CORE HIGH DIVIDEND ETF (HDV)	Purchase	12/30/2020	\$500,001 - \$1,000,000
720	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/17/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
721	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/11/2020	\$500,001 - \$1,000,000
722	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/11/2020	\$500,001 - \$1,000,000
723	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/17/2020	\$500,001 - \$1,000,000
724	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/23/2020	\$1,001 - \$15,000
725	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/23/2020	\$50,001 - \$100,000
726	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/29/2020	\$100,001 - \$250,000
727	ISHARES CORE MSCI EAFE ETF (IEFA)	Purchase	12/29/2020	\$500,001 - \$1,000,000
728	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/11/2020	\$500,001 - \$1,000,000
729	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/11/2020	\$500,001 - \$1,000,000
730	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/17/2020	\$100,001 - \$250,000
731	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/17/2020	\$500,001 - \$1,000,000
732	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/23/2020	\$1,001 - \$15,000
733	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/23/2020	\$50,001 - \$100,000
734	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/29/2020	\$100,001 - \$250,000
735	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/11/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
736	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/11/2020	\$250,001 - \$500,000
737	ISHARES CORE S&P 500 ETF (IVV)	Purchase	12/29/2020	\$500,001 - \$1,000,000
738	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/17/2020	\$100,001 - \$250,000
739	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/17/2020	\$250,001 - \$500,000
740	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/23/2020	\$1,001 - \$15,000
741	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/29/2020	\$100,001 - \$250,000
742	ISHARES RUSSELL 2000 ETF (IWM)	Purchase	12/29/2020	\$250,001 - \$500,000
743	ISHARES RUSSELL 2000 ETF VSP BY DATE 20201217 (IWM)	Sale	12/23/2020	\$1,001 - \$15,000
744	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/11/2020	\$250,001 - \$500,000
745	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/11/2020	\$250,001 - \$500,000
746	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/17/2020	\$100,001 - \$250,000
747	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/17/2020	\$250,001 - \$500,000
748	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/23/2020	\$15,001 - \$50,000
749	ISHARES RUSSELL MID-CAP ETF VSP BY DATE 20201217 (IWR)	Sale	12/23/2020	\$1,001 - \$15,000
750	ISHARES SELECT DIVIDEND ETF (DVY)	Purchase	12/30/2020	\$1,000,001 - \$5,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
751	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/29/2020	\$250,001 - \$500,000
752	ISHARES RUSSELL MID-CAP ETF (IWR)	Purchase	12/29/2020	\$100,001 - \$250,000
753	JOHNSON & JOHNSON (JNJ)	Sale	12/02/2020	\$50,001 - \$100,000
754	KEYCORP 6.125% SER-E (KEY.I)	Sale	12/21/2020	\$1,001 - \$15,000
755	KIMBERLY CLARK CORP (KMB)	Sale	12/30/2020	\$50,001 - \$100,000
756	JOHNSON & JOHNSON (JNJ), CLOSED WRITTEN CALL OPTION POSITION		12/17/2020	\$1,001 - \$15,000
757	JOHNSON & JOHNSON (JNJ), OPENED WRITTEN CALL OPTION POSITION		12/17/2020	\$1,001 - \$15,000
758	LOCKHEED MARTIN CORP (LMT)	Sale	12/11/2020	\$250,001 - \$500,000
759	KBW REGIONAL BANKING (KRE), OPENED WRITTEN CALL OPTION POSITION		12/03/2020	\$1,001 - \$15,000
760	MERCK & CO INC NEW COM (MRK)	Purchase	12/02/2020	\$15,001 - \$50,000
761	LYONDELLBASELL NV CL-A (LYB)	Sale	12/10/2020	\$15,001 - \$50,000
762	MOTOROLA SOLUTIONS INC (MSI), OPENED WRITTEN CALL OPTION POSITION		12/04/2020	\$15,001 - \$50,000
763	NORTHROP GRUMMAN CP(HLDG CO) (NOC)	Purchase	12/18/2020	\$50,001 - \$100,000
764	NUVEEN S&P 500 BUY-WRITE INC (BXM)	Purchase	12/11/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
765	MOTOROLA SOLUTIONS INC (MSI), CLOSED WRITTEN CALL OPTION POSITION		12/04/2020	\$15,001 - \$50,000
766	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/11/2020	\$250,001 - \$500,000
767	NORTHROP GUMMAN CP (NOC), OPENED WRITTEN CALL OPTION POSITION		12/18/2020	\$1,001 - \$15,000
768	NEXTERA ENERGY INC (NEE)	Sale	12/10/2020	\$15,001 - \$50,000
769	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/17/2020	\$250,001 - \$500,000
770	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/23/2020	\$1,001 - \$15,000
771	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/17/2020	\$100,001 - \$250,000
772	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/23/2020	\$15,001 - \$50,000
773	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/29/2020	\$100,001 - \$250,000
774	NUVEEN S&P 500 BUY-WRITE INC (BXXM)	Purchase	12/29/2020	\$250,001 - \$500,000
775	PENN NATIONAL GAMING (PENN), CLOSED WRITTEN CALL OPTION POSITION		12/29/2020	\$100,001 - \$250,000
776	PENN NATIONAL GAMING (PENN), OPENED WRITTEN CALL OPTION POSITION		12/29/2020	\$100,001 - \$250,000
777	PHILIP MORRIS INTL INC (PM)	Sale	12/30/2020	\$250,001 - \$500,000
778	PHILLIPS 66 COM (PSX)	Sale	12/30/2020	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
779	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/11/2020	\$250,001 - \$500,000
780	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/11/2020	\$250,001 - \$500,000
781	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/17/2020	\$100,001 - \$250,000
782	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/17/2020	\$250,001 - \$500,000
783	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/23/2020	\$1,001 - \$15,000
784	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/23/2020	\$15,001 - \$50,000
785	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/29/2020	\$250,001 - \$500,000
786	PIMCO ACTIVE BOND ETF (BOND)		Purchase	12/29/2020	\$500,001 - \$1,000,000
787	PNC FINL SVCS GP (PNC)		Sale	12/30/2020	\$50,001 - \$100,000
788	PNC FINL-P 6.125% FLTS 5/01/22 (PNC.P)		Purchase	12/02/2020	\$1,001 - \$15,000
789	PROCTER & GAMBLE (PG)		Purchase	12/02/2020	\$15,001 - \$50,000
790	PPL CORPORATION (PPL)		Sale	12/30/2020	\$100,001 - \$250,000
791	PUBLIC STORAGE 3.9% SER-O (PSA.O)		Purchase	12/02/2020	\$1,001 - \$15,000
792	REGIONS FINANCIAL CO 6.375%-B (RF.B)		Sale	12/02/2020	\$50,001 - \$100,000
793	REGIONS FINANCIAL CORP NEW (RF)	See Endnote	Purchase	12/02/2020	\$15,001 - \$50,000
794	REGIONS FINANCIAL CORP NEW (RF)		Sale	12/11/2020	\$100,001 - \$250,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
795	REGIONS FINL CORP 6.375%-A (RF.A)	Sale	12/11/2020	\$15,001 - \$50,000
796	REGIONS FINANCIAL CORP NEW (RF)	Sale	12/03/2020	\$15,001 - \$50,000
797	SCE TRUST VI 5%-L (SCE.L)	Purchase	12/02/2020	\$1,001 - \$15,000
798	SEAGATE TECHNOLOGY PLC CALL ASN JAN PRM 00,011,820.33 AS OF DATE: 12/21/2020 (STX)	Sale	12/21/2020	\$100,001 - \$250,000
799	SIGNATURE BK NY 5.00% SER-A (SBNYL)	Purchase	12/11/2020	\$15,001 - \$50,000
800	SPDR S&P REGIONAL BANKING ETF (KRE)	Purchase	12/03/2020	\$100,001 - \$250,000
801	SPIRE INC 5.90% SER-A (SR.A)	Sale	12/03/2020	\$1,001 - \$15,000
802	U S BANCORP COM NEW (USB)	Sale	12/30/2020	\$100,001 - \$250,000
803	UBER TECHNOLOGIES INC (UBER), CLOSED WRITTEN CALL OPTION POSITION		12/29/2020	\$50,001 - \$100,000
804	UBER TECHNOLOGIES INC (UBER), OPENED WRITTEN CALL OPTION POSITION		12/29/2020	\$50,001 - \$100,000
805	UNITED STATES CELLULAR CORP 5.50% RATE:BA1/BB 5.500% DUE:2070-03-01 (UNHDZ)	Purchase	12/02/2020	\$1,001 - \$15,000
806	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/11/2020	\$250,001 - \$500,000
807	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/11/2020	\$250,001 - \$500,000
808	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/17/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
809	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/17/2020	\$250,001 - \$500,000
810	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/23/2020	\$1,001 - \$15,000
811	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/23/2020	\$15,001 - \$50,000
812	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/29/2020	\$100,001 - \$250,000
813	VANGUARD FTSE ALL WO X-US SC (VSS)	Purchase	12/29/2020	\$250,001 - \$500,000
814	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/11/2020	\$250,001 - \$500,000
815	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/11/2020	\$250,001 - \$500,000
816	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/17/2020	\$100,001 - \$250,000
817	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/23/2020	\$1,001 - \$15,000
818	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/17/2020	\$250,001 - \$500,000
819	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/23/2020	\$15,001 - \$50,000
820	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/29/2020	\$100,001 - \$250,000
821	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Purchase	12/29/2020	\$250,001 - \$500,000
822	VANGUARD LARGE CAP ETF (VV)	Purchase	12/11/2020	\$500,001 - \$1,000,000
823	VANGUARD LARGE CAP ETF (VV)	Purchase	12/11/2020	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
824	VANGUARD LARGE CAP ETF (VV)	Purchase	12/17/2020	\$100,001 - \$250,000
825	VANGUARD LARGE CAP ETF (VV)	Purchase	12/17/2020	\$500,001 - \$1,000,000
826	VANGUARD LARGE CAP ETF (VV)	Purchase	12/23/2020	\$1,001 - \$15,000
827	VANGUARD LARGE CAP ETF (VV)	Purchase	12/23/2020	\$15,001 - \$50,000
828	VANGUARD LARGE CAP ETF (VV)	Purchase	12/29/2020	\$100,001 - \$250,000
829	VANGUARD LARGE CAP ETF (VV)	Purchase	12/29/2020	\$250,001 - \$500,000
830	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/11/2020	\$250,001 - \$500,000
831	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/11/2020	\$250,001 - \$500,000
832	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/17/2020	\$100,001 - \$250,000
833	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/17/2020	\$250,001 - \$500,000
834	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/23/2020	\$15,001 - \$50,000
835	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/29/2020	\$50,001 - \$100,000
836	VANGUARD MID-CAP ETF INDEX (VO)	Purchase	12/29/2020	\$1,001 - \$15,000
837	VANGUARD MID-CAP ETF INDEX VSP BY DATE 20201217 (VO)	Sale	12/23/2020	\$1,001 - \$15,000
838	VANGUARD SMALL CAP ETF (VB)	Purchase	12/11/2020	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
839	VANGUARD SMALL CAP ETF (VB)	Purchase	12/11/2020	\$250,001 - \$500,000
840	VANGUARD SMALL CAP ETF (VB)	Purchase	12/17/2020	\$100,001 - \$250,000
841	VANGUARD SMALL CAP ETF (VB)	Purchase	12/23/2020	\$1,001 - \$15,000
842	VANGUARD SMALL CAP ETF (VB)	Purchase	12/29/2020	\$1,001 - \$15,000
843	VANGUARD SMALL CAP ETF (VB)	Purchase	12/17/2020	\$250,001 - \$500,000
844	VANGUARD SMALL CAP ETF (VB)	Purchase	12/29/2020	\$50,001 - \$100,000
845	VANGUARD SMALL CAP ETF VSP BY DATE 20201217 (VB)	Sale	12/23/2020	\$1,001 - \$15,000
846	VERIZON COMMUNICATIONS (VZ)	Sale	12/11/2020	\$500,001 - \$1,000,000
847	VODAFONE GROUP PLC (VOD)	Sale	12/30/2020	\$100,001 - \$250,000
848	WALT DISNEY CO HLDG CO (DIS), CLOSED WRITTEN CALL OPTION POSITION		12/29/2020	\$50,001 - \$100,000
849	VORNADO REALTY TR 5.25% SER-N (VORTP)	Purchase	12/02/2020	\$1,001 - \$15,000
850	WALT DISNEY CO HLDG CO (DIS), OPENED WRITTEN CALL OPTION POSITION		12/29/2020	\$15,001 - \$50,000
851	WELLS FARGO & CO 4.75% SER-Z (WFC.Z)	Purchase	12/02/2020	\$1,001 - \$15,000
852	WELLS FARGO 7.5 NON-CUM CL A (WFC.L)	Purchase	12/02/2020	\$1,001 - \$15,000
853	WESCO INTL INC DP SH FXRT PFD (WCC.A)	Purchase	12/02/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
854	ZIONS BANCORP NA 6.3000% SRS G (ZIONO)	Sale	12/14/2020	\$1,001 - \$15,000
855	ZIONS BANCORP NA 6.3000% SRS G (ZIONO)	Sale	12/18/2020	\$1,001 - \$15,000
856	Invesco Conservative Income Fund Institutional Class (ICIFX)	Sale	09/23/2020	\$50,001 - \$100,000
857	PUTNAM SHORT DURATION BOND FUND CL Y (PARYX)	Purchase	09/23/2020	\$50,001 - \$100,000
858	MAINSTAY MACKAY TAX FREE BOND FUND CLASS A (MTBAX)	Purchase	12/21/2020	\$50,001 - \$100,000
859	MAINSTAY MACKAY TAX FREE BOND FUND CLASS A (MTBAX)	Purchase	09/24/2020	\$500,001 - \$1,000,000
860	Lord Abbett Short Duration Income Fund Class A (LALDX)	Sale	09/23/2020	\$500,001 - \$1,000,000
861	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS A (PSDTX)	Purchase	07/02/2020	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T	Secured Term Loan	\$5,000,001 - \$25,000,000	2019	3.17% Fixed	15 Years
2	BB&T	Personal Loan	\$500,001 - \$1,000,000	2018	4.4% Fixed	15 Years
3	Warburg Pincus XII Fund	Private Equity Fund Capital Commitment	\$50,001 - \$100,000	2015	N/A	On Demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
4	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

None

## Endnotes

PART	#	ENDNOTE
1.	3	I resigned from this position and transferred my interests in this entity to my adult children.
1.	24	I resigned from this position and transferred my interests in this entity to my adult children.
6.	8.49	Inadvertently left off of New Entrant Report
6.	10.123	Inadvertently left off of New Entrant Report
6.	10.135	Inadvertently left off of New Entrant Report
6.	27.100	Received shares from stock spin-off on 11/17/20
7.	587	Received shares from stock spin-off on 11/17/20
7.	793	Purchased in error, sold the next day.

# 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

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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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