Filing ID #10042278

Financial Disclosure Report

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Filer Information

Name: Hon. Neal Patrick MD, Facs Dunn
Status: Member
State/District: FL02

Filing Information

Filing Type: Annual Report
Filing Year: 2020
Filing Date: 08/12/2021

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
BancorpSouth Brokerage ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	JT	None	Capital Gains	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]	JT	None	Capital Gains	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	JT	None	Capital Gains, Dividends	$2,501 - $5,000	✓
BancorpSouth Brokerage ⇒ Invesco QQQ Series 1 (QQQ) [EF]	JT	None	Capital Gains, Dividends	$2,501 - $5,000	✓
BancorpSouth Brokerage ⇒ Invesco S&P 500 Low Volatility ETF (SPLV) [EF]	JT	None	Dividends	$201 - $1,000	✓
BancorpSouth Brokerage ⇒ Invesco S&P SmallCap Low Volatility ETF (XSLV) [EF]	JT	None	Dividends	$201 - $1,000	✓
BancorpSouth Brokerage ⇒ iShares Core S&P 500 ETF (IVV) [EF]	JT	None	Capital Gains, Dividends	$1,001 - $2,500	✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
BancorpSouth Brokerage ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	JT	None	Capital Gains	$2,501 - $5,000	✓
BancorpSouth Brokerage ⇒ MSIF International Advantage Fund Class I N/L (MFAIX) [MF]	JT	None	Capital Gains	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Nuveen High Yield Muni Bond Fund (NHMAX) [MF]	JT	None	Dividends	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	JT	None	Capital Gains, Dividends	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ PGIM High Yield Bond Fund (ISD) [MF]	JT	None	Dividends	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	JT	None	Capital Gains	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]	JT	None	Capital Gains	$1,001 - $2,500	✓
BancorpSouth Brokerage ⇒ Vanguard International Growth Fund (VWIGX) [MF]	JT	None	Capital Gains	$201 - $1,000	✓
BancorpSouth Checking Account [BA]	JT	$50,001 - $100,000	Interest	$201 - $1,000	
BancorpSouth Checking Account [BA]		$1,001 - $15,000	Interest	$1 - $200	
IRA #1 ⇒ AB Large Cap Growth FD Advisor Class N/L (APGYX) [MF]		$100,001 - $250,000	Tax-Deferred		
IRA #1 ⇒ Apple Inc. (AAPL) [ST]		$100,001 - $250,000	Tax-Deferred		
IRA #1 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		$100,001 - $250,000	Tax-Deferred		✓
IRA #1 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		$100,001 - $250,000	Tax-Deferred		✓

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA #1 ⇒ FDIC Bank [IH]		$15,001 - $50,000	Tax-Deferred		☐
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		$250,001 - $500,000	Tax-Deferred		☑
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		$100,001 - $250,000	Tax-Deferred		☑
IRA #1 ⇒ Johnson & Johnson (JNJ) [ST]		$15,001 - $50,000	Tax-Deferred		☐
IRA #1 ⇒ MFS International Value Fund Class I N/L(MINIX) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #1 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		$250,001 - $500,000	Tax-Deferred		☑
IRA #1 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		$100,001 - $250,000	Tax-Deferred		☑
IRA #1 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		$100,001 - $250,000	Tax-Deferred		☑
IRA #1 ⇒ Principal MID Cap Fund Institutional Shares N/L(PCBIX) [MF]		$100,001 - $250,000	Tax-Deferred		☐
IRA #1 ⇒ Regions Financial Corporation Depositary Shares Representing 1/40th Perpetual Preferred Series A (RF$A) [ST]		$50,001 - $100,000	Tax-Deferred		☑
IRA #1 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L (PRHSX) [MF]		$100,001 - $250,000	Tax-Deferred		☑
IRA #1 ⇒ T.Rowe Price Capital Appreciation Fund Investor Cla (PRWCX) [MF]		$100,001 - $250,000	Tax-Deferred		☐
IRA #1 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		$250,001 - $500,000	Tax-Deferred		☑
IRA #1 ⇒		$100,001 -	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]		$250,000			
IRA #2 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]		$50,001 - $100,000	Tax-Deferred		☑
IRA #2 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		$15,001 - $50,000	Tax-Deferred		☐
IRA #2 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		$15,001 - $50,000	Tax-Deferred		☐
IRA #2 ⇒ FDIC Bank [IH]		$1,001 - $15,000	Tax-Deferred		☐
IRA #2 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		$50,001 - $100,000	Tax-Deferred		☑
IRA #2 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		$50,001 - $100,000	Tax-Deferred		☑
IRA #2 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		$50,001 - $100,000	Tax-Deferred		☑
IRA #2 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #2 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		$50,001 - $100,000	Tax-Deferred		☑
IRA #2 ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]		$15,001 - $50,000	Tax-Deferred		☐
IRA #2 ⇒ Southern Company (SO) [ST]		$15,001 - $50,000	Tax-Deferred		☐
IRA #2 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L (PRHSX) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #2 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		$50,001 - $100,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA #2 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]	SP	$1,001 - $15,000	Tax-Deferred		☑
IRA #3 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA #3 ⇒ FDIC Deposit [IH]	SP	$1,001 - $15,000	Tax-Deferred		☐
IRA #3 ⇒ Invesco QQQ Series 1 (QQQ) [EF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ Principal MidCap Institutional (PCBIX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #3 ⇒ Southern Company (SO) [ST]	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA #3 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L (PRHSX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☐
IRA #3 ⇒ Vanguard International Growth Fund (VWIGX) [MF]	SP	$15,001 - $50,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
IRA #3 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]	SP	$15,001 - $50,000	Tax-Deferred		☑
IRA #4 ⇒ AB Large Cap Growth FD Advisor Class N/L (APGYX) [MF]		$15,001 - $50,000	Tax-Deferred		☐
IRA #4 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ Dreyfus Brokerage Sweep Account [BA]		$1,001 - $15,000	Tax-Deferred		☐
IRA #4 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #4 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #4 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ MFS International Value Fund Class I N/L(MINIX) [MF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #4 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ Principal MID Cap Fund Institutional Shares N/L(PCBIX) [MF]		$15,001 - $50,000	Tax-Deferred		☐
IRA #4 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		$1,001 - $15,000	Tax-Deferred		☑
IRA #4 ⇒ T. Rowe Price New Horizons Fund Investor Class		$15,001 - $50,000	Tax-Deferred		☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
N/L(PRNHX) [MF]					
IRA #4 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		$15,001 - $50,000	Tax-Deferred		☑
IRA #4 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]		$15,001 - $50,000	Tax-Deferred		☑
Neal P Dunn Irrevocable Trust UAD 1996 ⇒ USAA Whole Life Insurance Policy [WU]		$250,001 - $500,000	None		☐
The Leah Ott Dunn Irrevocable Gift Trust-Shipwreck Golf LLC ⇒ Miniature Golf Course [RP] Location: Panama City/ Bay, FL, US	SP	$100,001 - $250,000	None		☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ AB Large Cap Growth FD Advisor Class N/L (APGYX) [MF]		$100,001 - $250,000	Capital Gains, Dividends	$5,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank (BXS) [ST]		None	Capital Gains, Dividends	$100,001 - $1,000,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]		$100,001 - $250,000	Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Bank of America Corporation Depositary Shares, each representing a 1/1,000th interest in a share of (BAC$K) [ST]		None	Dividends	$201 - $1,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Columbia Dividend Income Fund C (CDDRX) [MF]		$50,001 - $100,000	Dividends	$201 - $1,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Columbia Seligman Global Technology FD Inst CL N/L (CSGZX) [MF]		$15,001 - $50,000	Capital Gains, Dividends	$5,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒		$15,001 - $50,000	Capital Gains, Dividends	$1,001 - $2,500	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Delaware Smid Cap Growth Instl (DFDIX) [MF]					
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		$50,001 - $100,000	Capital Gains	$201 - $1,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ FDIC Bank Brokerage Sweep Account [BA]		$100,001 - $250,000	Interest	$1 - $200	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Flaherty & Crumrine DYN Preferred SHS (DFP) [MF]		None	Capital Gains, Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Hartford Balanced Income I (HBLIX) [MF]		$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Hartford MidCap Fund (HFMIX) [MF]		None	Capital Gains	$201 - $1,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		$50,001 - $100,000	Capital Gains, Dividends	$15,001 - $50,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ IVY Emerging Markets Equity Fund Class I N/L(IPOIX) [MF]		None	Capital Gains	$1,001 - $2,500	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of 6.10% No (JPM$G) [ST]		None	Dividends	$201 - $1,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ John Hancock Fundamental Large Cap Core Fund Class I N/L (JLVIX) [MF]		None	Capital Gains	$2,501 - $5,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ MFS Value Fund Class I N/L (MEIIX) [MF]		None	Capital Gains	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒		$100,001 - $250,000	Capital Gains	$1,001 - $2,500	☐

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Morgan Stanley Inst Global Opp I (MGGIX) [MF]					
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ MSIF International Advantage Fund Class I N/L(MFAIX) [MF]		None	Capital Gains	$15,001 - $50,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen High Yield Municipal Bond Fund Class I N/L (NHMRX) [MF]		$100,001 - $250,000	Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		None	Capital Gains, Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		None	Capital Gains, Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Pimco Corporate & Income OPP F (PTY) [MF]		$50,001 - $100,000	Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]		$100,001 - $250,000	Capital Gains	$1,001 - $2,500	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		$15,001 - $50,000	Capital Gains, Dividends	$5,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ T. Rowe Price QM U.S. Small Cap Growth EQ FD Invest (PRDSX) [MF]		$50,001 - $100,000	Capital Gains	$1,001 - $2,500	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		$100,001 - $250,000	Capital Gains, Dividends	$2,501 - $5,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cu (WFC$V) [ST]		None	Capital Gains, Dividends	$201 - $1,000	☑

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-DSI LLC ⇒ Patient Practitioners LLC [OL] Location: Panama City, FL, US Description: Private limited liability company		$1,001 - $15,000	None		☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Dunn Properties LLC ⇒ BancorpSouth Checking Account [BA]		$1,001 - $15,000	None		☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Dunn Properties LLC ⇒ Residential Property [RP] Location: Washington, DC, US		$250,001 - $500,000	None		☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Dunn Properties LLC ⇒ Wilson Ave Commercial Rental Property [RP] Location: Panama City/ Bay, FL, US		$100,001 - $250,000	None		☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Gulf Resources LLC ⇒ BancorpSouth Sweep Account [BA]		$1,001 - $15,000	Interest	$1 - $200	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Gulf Resources LLC ⇒ Commercial Rental Building [RP] Location: Panama City/ Bay, FL, US		$500,001 - $1,000,000	Rent	$50,001 - $100,000	☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule B: Transactions

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
BancorpSouth Bank (BXS) [ST]		02/20/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	JT	01/2/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	JT	08/24/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒	JT	05/26/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Delaware Smid Cap Growth Instl (DFDIX) [MF]					
BancorpSouth Brokerage ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]	JT	08/24/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	JT	01/2/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	JT	04/14/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	JT	05/26/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	JT	08/24/2020	S	$15,001 - $50,000	☑
BancorpSouth Brokerage ⇒ Invesco QQQ Series 1 (QQQ) [EF]	JT	05/26/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Invesco QQQ Series 1 (QQQ) [EF]	JT	08/24/2020	S	$15,001 - $50,000	☑
BancorpSouth Brokerage ⇒ Invesco S&P 500 Low Volatility ETF (SPLV) [EF]	JT	01/2/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Invesco S&P 500 Low Volatility ETF (SPLV) [EF]	JT	05/26/2020	S	$15,001 - $50,000	☐
BancorpSouth Brokerage ⇒ Invesco S&P MidCap Low Volatility ETF (XMLV) [EF]	JT	01/2/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Invesco S&P MidCap Low Volatility ETF (XMLV) [EF]	JT	05/26/2020	S	$15,001 - $50,000	☐
BancorpSouth Brokerage ⇒ Invesco S&P SmallCap Low Volatility ETF (XSLV) [EF]	JT	01/2/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Invesco S&P SmallCap Low Volatility ETF (XSLV) [EF]	JT	05/26/2020	S	$15,001 - $50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
BancorpSouth Brokerage ⇒ iShares Core S&P 500 ETF (IVV) [EF]	JT	05/26/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ iShares Core S&P 500 ETF (IVV) [EF]	JT	08/24/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	JT	01/2/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	JT	08/24/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒ MSIF International Advantage Fund Class I N/L (MFAIX) [MF]	JT	01/2/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ MSIF International Advantage Fund Class I N/L (MFAIX) [MF]	JT	07/27/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒ Nuveen High Yield Municipal Bond Fund Class I N/L (NHMRX) [MF]	JT	01/2/2020	P	$50,001 - $100,000	
BancorpSouth Brokerage ⇒ Nuveen High Yield Municipal Bond Fund Class I N/L (NHMRX) [MF]	JT	08/24/2020	S	$50,001 - $100,000	☐
BancorpSouth Brokerage ⇒ Nuveen High Yield Municipal Bond Fund Class I N/L (NHMRX) [MF]	JT	07/27/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	JT	01/2/2020	P	$15,001 - $50,000	
BancorpSouth Brokerage ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	JT	04/14/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	JT	05/26/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	JT	07/31/2020	S	$15,001 - $50,000	☑
BancorpSouth Brokerage ⇒	JT	01/2/2020	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
PGIM High Yield Bond Fund (ISD) [MF]					
BancorpSouth Brokerage ⇒ PGIM High Yield Bond Fund (ISD) [MF]	JT	04/14/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ PGIM High Yield Bond Fund (ISD) [MF]	JT	05/26/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ PGIM High Yield Bond Fund (ISD) [MF]	JT	07/31/2020	S	$1,001 - $15,000	☐
BancorpSouth Brokerage ⇒ PGIM High Yield Bond Fund (ISD) [MF]	JT	08/24/2020	S (partial)	$15,001 - $50,000	☐
BancorpSouth Brokerage ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	JT	01/6/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	JT	05/26/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	JT	08/24/2020	S	$15,001 - $50,000	☑
BancorpSouth Brokerage ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]	JT	01/2/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]	JT	08/24/2020	S	$1,001 - $15,000	☑
BancorpSouth Brokerage ⇒ Vanguard International Growth Fund (VWIGX) [MF]	JT	07/27/2020	P	$1,001 - $15,000	
BancorpSouth Brokerage ⇒ Vanguard International Growth Fund (VWIGX) [MF]	JT	08/24/2020	S	$1,001 - $15,000	☑
IRA #1 ⇒ BancorpSouth Bank (BXS) [ST]		12/15/2020	S	$50,001 - $100,000	☑
IRA #1 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative		08/20/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Perpetual Preferred Stock (BXS$A) [ST]					
IRA #1 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]		11/20/2020	P	$1,001 - $15,000	
IRA #1 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]		12/7/2020	S	$100,001 - $250,000	☐
IRA #1 ⇒ Bank of America Corporation Depositary Shares, each representing a 1/1,000th interest in a share of 5.875% Non-Cumulative Preferred Stock, Series HH (BAC$K) [ST]		08/7/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		05/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		06/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		12/7/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ Delaware Small Cap Core I (DCCIX) [MF]		07/27/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		06/22/2020	P	$15,001 - $50,000	
IRA #1 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		07/27/2020	P	$50,001 - $100,000	
IRA #1 ⇒ Delaware Value Fund Institutional Class N/L [MF]		05/22/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		12/7/2020	S	$100,001 - $250,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #1 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		05/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		09/29/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		05/22/2020	P	$50,001 - $100,000	
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		05/26/2020	P	$15,001 - $50,000	
IRA #1 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		09/3/2020	S	$100,001 - $250,000	☐
IRA #1 ⇒ Invesco S&P 500 Low Volatility ETF (SPLV) [EF]		05/26/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ Invesco S&P MidCap Low Volatility ETF (XMLV) [EF]		05/26/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ Invesco S&P SmallCap Low Volatility ETF (XSLV) [EF]		05/26/2020	S	$1,001 - $15,000	☐
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		09/29/2020	P	$50,001 - $100,000	
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		05/22/2020	P	$50,001 - $100,000	
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		05/26/2020	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		09/3/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ IVY Emerging Markets Equity Fund Class I N/L (IPOIX) [MF]		07/27/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of 6.10% Non-Cumulative Preferred Stock, Series AA (JPM$G) [ST]		12/7/2020	S	$1,001 - $15,000	☐
IRA #1 ⇒ John Hancock Fundamental Large Cap Core Fund Class I N/L (JLVIX) [MF]		05/22/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ MFS International Value Fund Class I N/L(MINIX) [MF]		07/27/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ MFS Value Fund Class I N/L (MEIIX) [MF]		12/7/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ MSIF International Advantage Fund Class I N/L(MFAIX) [MF]		07/27/2020	S	$100,001 - $250,000	☐
IRA #1 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		12/7/2020	S	$100,001 - $250,000	☐
IRA #1 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		05/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		06/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		12/7/2020	S	$100,001 - $250,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #1 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		05/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #1 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		06/22/2020	P	$1,001 - $15,000	
IRA #1 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		07/27/2020	P	$50,001 - $100,000	
IRA #1 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		12/16/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Regions Financial Corporation Depositary Shares Representing 1/40th Perpetual Preferred Series A (RF$A) [ST]		06/22/2020	P	$50,001 - $100,000	
IRA #1 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		04/15/2020	S (partial)	$1,001 - $15,000	☐
IRA #1 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		12/7/2020	S (partial)	$250,001 - $500,000	☐
IRA #1 ⇒ T. Rowe Price QM U.S. Small Cap Growth EQ FD Invest (PRDSX) [MF]		12/7/2020	S	$100,001 - $250,000	☐
IRA #1 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		07/27/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		12/7/2020	P	$100,001 - $250,000	
IRA #1 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [MF]		12/7/2020	P	$100,001 - $250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #1 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [MF]		12/28/2020	P	$1,001 - $15,000	
IRA #1 ⇒ Victory Sycamore Established Value Fund Class I N/L (VEVIX) [MF]		05/22/2020	S	$50,001 - $100,000	☐
IRA #1 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series V (WFC$V) [ST]		12/15/2020	S	$15,001 - $50,000	☐
IRA #1 ⇒ Western Asset High Yield Defined Opportunity Fund Inc. (HYI) [MF]		07/27/2020	P	$50,001 - $100,000	
IRA #1 ⇒ Western Asset High Yield Defined Opportunity Fund Inc. (HYI) [MF]		12/7/2020	S	$50,001 - $100,000	☐
IRA #2 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]		12/16/2020	P	$15,001 - $50,000	
IRA #2 ⇒ BancorpSouth Bank (BXS) [ST]		12/15/2020	S	$50,001 - $100,000	☑
IRA #2 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]		11/17/2020	S (partial)	$50,001 - $100,000	☐
IRA #2 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #2 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		12/7/2020	S	$15,001 - $50,000	☐
IRA #2 ⇒ Columbia Dividend Income Fund C (GSFTX) [MF]		11/17/2020	S	$15,001 - $50,000	☐
IRA #2 ⇒ Hartford Balanced Income I (HBLIX) [MF]		11/17/2020	S	$50,001 - $100,000	☐
IRA #2 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		11/17/2020	P	$50,001 - $100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #2 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		12/7/2020	P	$15,001 - $50,000	
IRA #2 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		11/17/2020	P	$15,001 - $50,000	
IRA #2 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		12/16/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		11/17/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		12/7/2020	P	$15,001 - $50,000	
IRA #2 ⇒ MSIF International Advantage Fund Class I N/L(MFAIX) [MF]		07/27/2020	S	$15,001 - $50,000	☐
IRA #2 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #2 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		12/7/2020	S	$15,001 - $50,000	☐
IRA #2 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		12/7/2020	S	$15,001 - $50,000	☐
IRA #2 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #2 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		01/2/2020	P	$15,001 - $50,000	
IRA #2 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		05/26/2020	S (partial)	$1,001 - $15,000	☐
IRA #2 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		11/17/2020	P	$15,001 - $50,000	
IRA #2 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		12/16/2020	P	$15,001 - $50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #2 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L (PRHSX) [MF]		12/7/2020	P	$15,001 - $50,000	
IRA #2 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L (PRHSX) [MF]		07/17/2020	S (partial)	$1,001 - $15,000	☐
IRA #2 ⇒ TCW Strategic Income Fund (TSI) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #2 ⇒ TCW Strategic Income Fund (TSI) [MF]		11/17/2020	S (partial)	$1,001 - $15,000	☐
IRA #2 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		07/27/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		11/17/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		12/7/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [MF]		11/17/2020	P	$15,001 - $50,000	
IRA #2 ⇒ Western Asset High Yield Defined Opportunity Fund Inc. (HYI) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #2 ⇒ Western Asset High Yield Defined Opportunity Fund Inc. (HYI) [MF]		11/17/2020	S	$15,001 - $50,000	☐
IRA #3 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	SP	12/7/2020	P	$1,001 - $15,000	
IRA #3 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]	SP	11/17/2020	S (partial)	$1,001 - $15,000	☐
IRA #3 ⇒ BancorpSouth Bank (BXS) [ST]	SP	12/15/2020	S	$50,001 - $100,000	☐
IRA #3 ⇒	SP	11/17/2020	S	$50,001 -	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]				$100,000	
IRA #3 ⇒ Columbia Dividend Income Fund C (CDDRX) [MF]	SP	11/17/2020	S	$15,001 - $50,000	☐
IRA #3 ⇒ Delaware Small Cap Core I (DCCIX) [MF]	SP	07/27/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]	SP	07/27/2020	P	$1,001 - $15,000	
IRA #3 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]	SP	11/17/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	SP	12/7/2020	S	$15,001 - $50,000	☐
IRA #3 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]	SP	05/26/2020	P	$1,001 - $15,000	
IRA #3 ⇒ Invesco QQQ Series 1 (QQQ) [EF]	SP	09/29/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Invesco QQQ Series 1 (QQQ) [EF]	SP	12/7/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Invesco QQQ Series 1 (QQQ) [EF]	SP	05/26/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Invesco QQQ Series 1 (QQQ) [EF]	SP	11/17/2020	S (partial)	$15,001 - $50,000	☐
IRA #3 ⇒ Invesco S&P 500 Low Volatility ETF (SPLV) [EF]	SP	05/26/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Invesco S&P MidCap Low Volatility ETF (XMLV) [EF]	SP	05/26/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Invesco S&P SmallCap Low Volatility ETF (XSLV) [EF]	SP	05/26/2020	S	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #3 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	12/16/2020	P	$15,001 - $50,000	
IRA #3 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	05/26/2020	P	$1,001 - $15,000	
IRA #3 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	09/3/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]	SP	12/7/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]	SP	12/7/2020	S	$15,001 - $50,000	☐
IRA #3 ⇒ PGIM High Yield Bond Fund (ISD) [MF]	SP	05/26/2020	P	$1,001 - $15,000	
IRA #3 ⇒ PGIM High Yield Bond Fund (ISD) [MF]	SP	12/7/2020	S	$15,001 - $50,000	☐
IRA #3 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]	SP	12/7/2020	P	$15,001 - $50,000	
IRA #3 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]	SP	12/7/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	SP	12/16/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #3 ⇒ Principal Mid Cap Fund Institutional Shares N/L (PCBIX) [MF]	SP	11/17/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ TCW Strategic Income Fund (TSI) [MF]	SP	05/26/2020	P	$1,001 - $15,000	
IRA #3 ⇒ TCW Strategic Income Fund (TSI) [MF]	SP	11/17/2020	S	$1,001 - $15,000	☐
IRA #3 ⇒ Vanguard International Growth Fund (VWIGX) [MF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Vanguard International Growth Fund (VWIGX) [MF]	SP	12/7/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]	SP	11/17/2020	P	$15,001 - $50,000	
IRA #3 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]	SP	12/16/2020	P	$15,001 - $50,000	
IRA #4 ⇒ Bank of America Corporation Depositary Shares, each representing a 1/1,000th interest in a share of 5.875% Non-Cumulative Preferred Stock, Series HH (BAC$K) [ST]		08/7/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		09/29/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Cohen & Steers REIT & Preferred Income (RNP) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Columbia Seligman Global Technology FD Inst CL N/L (CSGZX) [MF]		11/17/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		11/17/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		09/29/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Eventide Gilead Fund Cl I (ETILX) [MF]		11/17/2020	S (partial)	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #4 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		04/14/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		09/29/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Hartford MidCap Fund (HFMIX) [MF]		05/22/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		09/29/2020	P	$15,001 - $50,000	
IRA #4 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		09/3/2020	S	$15,001 - $50,000	☐
IRA #4 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		11/17/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		05/22/2020	P	$1,001 - $15,000	
IRA #4 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		09/29/2020	P	$1,001 - $15,000	
IRA #4 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		05/22/2020	P	$1,001 - $15,000	
IRA #4 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		09/3/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		12/9/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ IVY Emerging Markets Equity Fund Class I N/L(IPOIX) [MF]		07/27/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ John Hancock Fundamental Large Cap Core Fund Class I N/L (JLVIX) [MF]		05/22/2020	S	$1,001 - $15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
IRA #4 ⇒ MFS International Value Fund Class I N/L(MINIX) [MF]		05/26/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		11/17/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Morgan Stanley Inst Global Opp I (MGGIX) [MF]		12/9/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ MSIF International Advantage Fund Class I N/L(MFAIX) [MF]		07/27/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ MSIF International Advantage Fund Class I N/L(MFAIX) [MF]		12/9/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		09/29/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		05/26/2020	P	$1,001 - $15,000	
IRA #4 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		09/29/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZK) [MF]		12/9/2020	P	$1,001 - $15,000	
IRA #4 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF]		12/9/2020	P	$1,001 - $15,000	
IRA #4 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		11/17/2020	S (partial)	$15,001 - $50,000	☐
IRA #4 ⇒ T. Rowe Price New Horizons Fund Investor Class N/L(PRNHX) [MF]		02/26/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒		07/27/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
Vanguard International Growth Fund (VWIGX) [MF]					
IRA #4 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		11/17/2020	P	$15,001 - $50,000	
IRA #4 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		12/9/2020	S (partial)	$1,001 - $15,000	☐
IRA #4 ⇒ Vanguard Whitehall High Dividend Yield ETF (VYM) [EF]		11/17/2020	P	$15,001 - $50,000	
IRA #4 ⇒ Victory Sycamore Established Value Fund Class I N/L (VEVIX) [MF]		05/22/2020	S	$1,001 - $15,000	☐
IRA #4 ⇒ Western Asset Core Plus Bond Fund (WACPX) [MF]		07/27/2020	P	$1,001 - $15,000	
IRA #4 ⇒ Western Asset Core Plus Bond Fund (WACPX) [MF]		11/17/2020	S	$1,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]		07/20/2020	S (partial)	$1,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ AB Large Cap Growth Advisor (APGYX) [MF]		07/24/2020	S (partial)	$15,001 - $50,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank (BXS) [ST]		04/1/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank (BXS) [ST]		07/1/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank (BXS) [ST]		10/1/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank (BXS) [ST]		12/15/2020	S	$250,001 - $500,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]		08/20/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒		11/20/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
BancorpSouth Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (BXS$A) [ST]					
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Bank of America Corporation Depositary Shares, each representing a 1/1,000th interest in a share of 5.875% Non-Cumulative Preferred Stock, Series HH (BAC$K) [ST]		05/26/2020	S	$1,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Delaware Small Cap Core I (DCCIX) [MF]		07/28/2020	S	$15,001 - $50,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Delaware Smid Cap Growth Instl (DFDIX) [MF]		07/28/2020	P	$15,001 - $50,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		04/14/2020	P	$15,001 - $50,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		05/26/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Flaherty & Crumrine Dynamic Preferred and Income Fund (DFP) [MF]		11/9/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Hartford MidCap Fund (HFMIX) [MF]		01/28/2020	S	$15,001 - $50,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		11/13/2020	P	$50,001 - $100,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		05/26/2020	P	$15,001 - $50,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		06/22/2020	P	$50,001 - $100,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Invesco QQQ Series 1 (QQQ) [EF]		09/3/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ IVY Emerging Markets Equity Fund Class I N/L(IPOIX) [MF]		01/28/2020	S (partial)	$15,001 - $50,000	☑

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ IVY Emerging Markets Equity Fund Class I N/L(IPOIX) [MF]		06/22/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of 6.10% Non-Cumulative Preferred Stock, Series AA (JPM$G) [ST]		05/26/2020	S	$1,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ John Hancock Fundamental Large Cap Core Fund Class I N/L (JLVIX) [MF]		01/23/2020	S (partial)	$1,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ John Hancock Fundamental Large Cap Core Fund Class I N/L (JLVIX) [MF]		01/28/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ MFS Value Fund Class I N/L (MEIIX) [MF]		01/28/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ MSIF International Advantage Fund Class I N/L (MFAIX) [MF]		07/27/2020	S	$100,001 - $250,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen High Yield Municipal Bond Fund Class I N/L (NHMRX) [MF]		04/14/2020	S (partial)	$50,001 - $100,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		03/31/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		04/30/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		11/27/2020	S (partial)	$15,001 - $50,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		12/4/2020	S	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		04/14/2020	P	$15,001 - $50,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Nuveen Preferred & Income Securities Fund (JPS) [MF]		05/26/2020	P	$1,001 - $15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > $200?
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		12/1/2020	S (partial)	$1,001 - $15,000	☐
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		12/4/2020	S (partial)	$50,001 - $100,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		04/14/2020	P	$15,001 - $50,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ PGIM High Yield Bond Fund (ISD) [MF]		05/26/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Pimco Corporate & Income OPP F (PTY) [MF]		05/26/2020	P	$1,001 - $15,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		01/23/2020	S (partial)	$15,001 - $50,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		01/30/2020	S (partial)	$1,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ T. Rowe Price Health Sciences Fund Investor Class N/L(PRHSX) [MF]		04/16/2020	S (partial)	$1,001 - $15,000	☑
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Vanguard International Growth Fund (VWIGX) [MF]		07/27/2020	P	$50,001 - $100,000	
The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series V (WFC$V) [ST]		05/26/2020	S	$1,001 - $15,000	☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule C: Earned Income

Source	Type	Amount
Neal Dunn Beneficiary IRA	IRA Distribution	$8,767.66

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
SP	BancorpSouth	May 2018	Revolving Line of Credit	$500,001 - $1,000,000

Schedule E: Positions

Position	Name of Organization
Partner Comments: Unpaid	Shipwreck Golf, LLC
Partner Comments: Unpaid	Gulf Resources, LLC
Principal Comments: Unpaid	Neal P. Dunn Consulting
Partner Comments: Unpaid	Global CT & PET Imaging, LLC
Partner Comments: Unpaid	Patient Practitioners, LLC
Partner Comments: Unpaid	Worldwide Equine Imaging, LLC

Schedule F: Agreements

None disclosed.

Schedule G: Gifts

None disclosed.

Schedule H: Travel Payments and Reimbursements

None disclosed.

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- BancorpSouth Brokerage (Owner: JT)
  Location: US
- IRA #1
  Description: Held until 2019 at Summit Bank; moved late 2019 to BancorpSouth
- IRA #2
  Description: Held until 2019 at Summit Bank; moved late 2019 to BancorpSouth
- IRA #3 (Owner: SP)
  Description: Held until 2019 at Summit Bank; moved late 2019 to BancorpSouth
- IRA #4
  Description: Held until 2019 at Summit Bank; moved late 2019 to BancorpSouth
- Neal P Dunn Irrevocable Trust UAD 1996 (100% Interest)
  Description: Owns 100% of USAA Life Insurance Policy.
- The Leah Ott Dunn Irrevocable Gift Trust-Shipwreck Golf LLC (16% Interest) (Owner: SP)
  Location: Panama City/Bay, FL, US
  Description: owns a miniature golf course. Owned 1/6th by Trust
- The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012 (100% Interest)
- The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-DSI LLC (25% Interest)
  Location: Panama City/Bay, FL, US
  Description: Holds shares of interest in other LLC's - Worldwide Equine Imaging, Global PET Imaging, Patient Practitioners
- The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Dunn Properties LLC (25% Interest)
  Location: Panama City/Bay, FL, US
  Description: Owns 2 commercial rental properties
- The Neal Patrick Dunn Irrevocable Trust uad 1/19/2012-Gulf Resources LLC (50% Interest)
  Location: Panama City/Bay, FL, US
  Description: Owns a commercial retail building

Exclusions of Spouse, Dependent, or Trust Information

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

○ Yes ◉ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

○ Yes ◉ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

○ Yes ◉ No

Certification and Signature

☑ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Neal Patrick MD, Facs Dunn , 08/12/2021