



Filing ID #10059499

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2023
Filing Date: 08/13/2024

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------|----------------|-----------------|-------------------------------------|
| Cadence Checking Account [BA] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| IRA #1 ⇒ AP LARGE CAP GROWTH FUND AD CL [APGYX] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #1 ⇒ BANK OF AMERICA SWEEP ACCOUNT [BA] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #1 ⇒ DELAWARE SMID CAP GROWTH INSTL [MF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ EVENTIDE GILEAD FD CLASS I [ETILX] [MF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #1 ⇒ Invesco Preferred ETF (PGX) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ INVESCO QQQ TR SER 1 [QQQ] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|----------------|--------|-------------------------------------|
| IRA #1 ⇒ ISHARES CORE S&P 500 ETF [IVV] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ iShares TIPS Bond ETF (TIP) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan (JPM\$J) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ MSIF GLOBAL OPPORTUNITY PORTFOLIO CL I [MGGIX] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ PGIM SHORT DURATION HIGH YIELD INCOME FUND CLASS Z [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ PGIM TOTAL RETURN BOND FUND CLASS Z [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ PRINCIPAL MIDCAP FUND CLASS I [PCBIX] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #1 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | SP | \$50,001 - \$100,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ T ROWE PRICE HEALTH SCIENCES FD INV CL [PRHSX] [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|----------------|--------|-------------------------------------|
| IRA #1 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ VANGUARD INTERNATIONAL GROWTH FUND [MF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #1 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cu (WFC\$Y) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| IRA #2 ⇒ AB LARGE CAP GROWTH FUND ADV CL [APGYX] [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ BANK OF AMERICA SWEEP ACCOUNT [BA] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ DELAWARE SMID CAP GROWTH INSTL (DFDIX) [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ EVENTIDE GILEAD FD CLASS I [ETILX] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ INVESCO QQQ TR SER 1 [QQQ] [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ ISHARES CORE S&P 500 [IVV] [EF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ KeyCorp (KEY) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ MSIF GLOBAL OPPORTUNITY PORTFOLIO CL [MGGIX] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ PRINCIPAL MIDCAP FUND CLASS I [PCBIX] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|--------|--------------------------|
| IRA #2 ⇒ Regions Financial Corporation (RF) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ Southern Company (SO) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ T ROWE PRICE HEALTH SCIENCES FD INV CL [PRHSX] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ VANGUARD HIGH DVD YIELD [VYM] [EF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #2 ⇒ VANGUARD INTERNATIONAL GROWTH FUND (VWIGX) [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ AB LARGE CAP GROWTH FUND ADV CL [APGYX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Apple Inc. (AAPL) [ST] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ AT&T Inc. (T) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ BA CA SWEEP ACCOUNT [BA] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ BANK OF AMERICA SWEEP ACCOUNT [BA] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Cadence Bank (CADE) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Capital One Financial Corporation (COF) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ DELAWARE SMID CAP GROWTH INSTL (DFDIX) [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ EVENTIDE GILEAD FD CLASS I [ETILX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|--------|--------------------------|
| IRA #3 ⇒ FLAHERTY AND CRUMRINE DYNAMIC PREFERRED [DFP] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ INVESCO QQQ TR SER 1 [QQQ] [MF] | | \$250,001 - \$500,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ ISHARES US AEROSPACE [ITA] [EF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Johnson & Johnson (JNJ) [ST] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ JP Morgan Chase & Co. (JPM) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ KeyCorp (KEY) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ MSIF GLOBAL OPPORTUNITY PORTFOLIO CL [MGGIX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ PRINCIPAL MIDCAP FUND CLASS I [PCBIX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Regions Financial Corporation (RF) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ SECTOR SPDR ENERGY [XLE] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ T ROWE CAPITAL APPRECIATION FUND INV CL [PRWCX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ T ROWE PRICE HEALTH SCIENCES FD INV CL [PRHSX] [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Truist Financial Corporation (TFC) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ U.S. Bancorp (USB) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|--------------------------|-------------------|--------------------------|
| IRA #3 ⇒ VANGUARD HIGH DVD YIELD [VYM] [EF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ VANGUARD INTERNATIONAL GROWTH FUND (VWIGX) [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ WASATCH SMALL CAP GR FD CL INV [WAAEX] [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| IRA #3 ⇒ Wells Fargo & Company (WFC) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ AB LARGE CAP GROWTH FUND ADV CL [APGYX] [MF] | | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ BANK OF AMERICA SWEEP ACCOUNT [BA] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ BLACKROCK EQTY DIVIDEND FUND INSTL [MADVX] [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ DIAMOND HILL LARGE CAP FD CL I [DHLRX] [MF] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ EVENTIDE GILEAD FD CLASS I [ETILX] [MF] | | \$1,001 - \$15,000 | Capital Gains | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ FEDERATED HERMES GOVT OBLIGATIONS FD CL ADV [GOVXX] [MF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ INVESCO QQQ TR SER 1 [QQQ] [MF] | | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ ISHARES CORE S&P 500 [IVV] [EF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ ISHARES EDGE MSCI MIN VOL USA ETF [USMV] [EF] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ ISHARES RUSSELL 1000 [IWD] [MF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|-----------------------------|--------------------|-------------------------------------|
| NP DUNN TLF PLEDGE ⇒ ISHARES TR RUSSELL 2000 [IWM] [MF] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ MFS VALUE FD CL I [MEIIX] [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ MSIF GLOBAL OPPORTUNITY PORTFOLIO CL [MGGIX] [MF] | | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ PGIM JENNISON GLOBAL OPPORTUNITIES FUND CL Z [PRJZX] [MF] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ PRINCIPAL MIDCAP FUND CLASS I [PCBIX] [MF] | | \$1,001 - \$15,000 | Capital Gains | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ SPDR BLOOMBERG 1-3 MNTH T BILL [BIL] [EF] | | \$100,001 - \$250,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ T ROWE PRICE HEALTH SCIENCES FD INV CL [PRHSX] [MF] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF] | | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ SPDR Nuveen Bloomberg Short Term Municipal Bond ETF (SHM) [EF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ | | \$15,001 - \$50,000 | Dividends | \$201 - | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|----------------|-------------------|-------------------------------------|
| SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | | | \$1,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck High Yield Muni ETF (HYD) [EF] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck Intermediate Muni ETF (ITM) [EF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input checked="" type="checkbox"/> |

* Investment vehicle 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? |
|---|-------|------------|----------|--------------------|--------------------------|
| IRA #1 ⇒ Cadence Bank 5.50% Series A (CADE\$A) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Capital One Financial Corporation Depositary shares each representing a 1/40th interest in a share of Fixed Rate Non-Cumulative Perpetual Preferred Stock, Series I of the Issuer (COF\$I) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | SP | 03/16/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Invesco Preferred ETF (PGX) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | SP | 05/9/2024 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #1 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | SP | 01/19/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|--------------------------|
| IRA #1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | SP | 08/8/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | SP | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #1 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ iShares MBS ETF (MBB) [EF] | SP | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #1 ⇒ iShares MBS ETF (MBB) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ iShares TIPS Bond ETF (TIP) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | SP | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, (JPM\$J) [ST] | SP | 05/9/2024 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, Series GG (JPM\$J) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ KeyCorp Depositary Shares each representing a 1/40th ownership interest in a share of Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY\$J) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ | SP | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| Morgan Stanley Institutional Fund Global Opportunity Portfolio Class I (MGGIX) [MF] | | | | | |
| IRA #1 ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF] | SP | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Principal Fds, Inc. MidCap Fd Institutional Cl (PCBIX) [MF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ Principal Fds, Inc. MidCap Fd Institutional Cl (PCBIX) [MF] | SP | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Regions Financial Corporation Depositary Shares, Each Representing a 1/40th Interest in a Share of 4.45% Non-Cumulative Perpetual Preferred Stock, Series E (RF\$E) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | SP | 01/19/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | SP | 08/30/2023 | P | \$50,001 - \$100,000 | |
| IRA #1 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | SP | 08/8/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ Truist Financial Corporation Depositary Shares, each representing 1/1,000th interest in a share of Series R Non-Cumulative Perpetual Preferred Stock (TFC\$R) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ U.S. Bancorp Depositary Shares each representing a 1/1,000th interest in a share of Series K Non-Cumulative Perpetual Preferred Stock (USB\$P) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Growth ETF (VUG) [EF] | SP | 03/16/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| IRA #1 ⇒ Vanguard Growth ETF (VUG) [EF] | SP | 01/5/2023 | P | \$50,001 - \$100,000 | |
| IRA #1 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | SP | 01/5/2023 | P | \$15,001 - \$50,000 | |
| IRA #1 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | SP | 03/16/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | SP | 01/5/2024 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | SP | 03/16/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | SP | 01/5/2024 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | SP | 01/19/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Vanguard Value ETF (VTV) [EF] | SP | 03/16/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #1 ⇒ Vanguard Value ETF (VTV) [EF] | SP | 01/5/2023 | P | \$50,001 - \$100,000 | |
| IRA #1 ⇒ Vanguard Value ETF (VTV) [EF] | SP | 01/19/2023 | P | \$1,001 - \$15,000 | |
| 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 Y (WFC\$Y) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #1 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | SP | 01/5/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|-------------------------------------|
| IRA #2 ⇒ AB Large Cap Growth Fund, Inc. - Class A (APGAX) [MF] | | 01/6/2023 | S | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| IRA #2 ⇒ Delaware SMID Cap Growth Fund Class A (DFCIX) [MF] | | 01/6/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Eventide Gilead Fund Institutional Class (ETILX) [MF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | | 03/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Invesco Preferred ETF (PGX) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF] | | 01/9/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 05/9/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/9/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 03/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/9/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 03/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares Core S&P 500 ETF (IVV) [EF] | | 01/9/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | | 01/9/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares MBS ETF (MBB) [EF] | | 01/9/2023 | P | \$50,001 - \$100,000 | |
| IRA #2 ⇒ iShares MBS ETF (MBB) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares TIPS Bond ETF (TIP) [EF] | | 09/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ iShares TIPS Bond ETF (TIP) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, (JPM\$J) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|-------------------------------------|
| IRA #2 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, Series GG (JPM\$J) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ KeyCorp Depositary Shares each representing a 1/40th ownership interest in a share of Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY\$J) [ST] | | 01/5/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ KeyCorp Depositary Shares each representing a 1/40th ownership interest in a share of Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY\$J) [ST] | | 01/9/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Morgan Stanley Institutional Fund Global Opportunity Portfolio Class I (MGGIX) [MF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Principal Fds, Inc. MidCap Fd Cl A (PEMGX) [MF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Regions Financial Corporation Depositary Shares Representing 1/40th Perpetual Preferred Series A (RF\$A) [ST] | | 01/5/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Regions Financial Corporation Depositary Shares, Each Representing a 1/40th Interest in a Share of 4.45% Non-Cumulative Perpetual Preferred Stock, Ser (RF\$E) [ST] | | 01/9/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 09/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 01/9/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 01/23/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Southern Company (SO) [ST] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|-----------------------|-------------------------------------|
| IRA #2 ⇒ Southern Company (SO) [ST] | | 01/9/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| IRA #2 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 11/6/2023 | S (partial) | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 11/27/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 08/30/2023 | P | \$100,001 - \$250,000 | |
| IRA #2 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ T. Rowe Price Health Sciences Fund Inc. (PRHSX) [MF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| IRA #2 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF] | | 03/20/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/9/2023 | P | \$50,001 - \$100,000 | |
| IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard High Dividend Yield ETF (VYM) [EF] | | 01/4/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard International Growth Fund Admiral Shares (VWILX) [MF] | | 01/6/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | | 01/20/2023 | P | \$15,001 - \$50,000 | |
| IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 03/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 03/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 03/20/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 01/11/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Vanguard ST Corporate Bond Index Fund Admiral Shs (VSCSX) [MF] | | 09/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #2 ⇒ | | 01/20/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|-----------------------|-------------------------------------|
| Vanguard Total International Bond ETF (BNDX) [EF] | | | | | |
| IRA #2 ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | | 01/23/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Vanguard Value ETF (VTV) [EF] | | 01/9/2023 | P | \$100,001 - \$250,000 | |
| IRA #2 ⇒ Vanguard Value ETF (VTV) [EF] | | 01/23/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Vanguard Value ETF (VTV) [EF] | | 01/11/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #2 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Serie (WFC\$D) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series DD (WFC\$D) [ST] | | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #2 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/23/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| IRA #3 ⇒ AB Large Cap Growth Fund, Inc. - Class A (APGAX) [MF] | | 03/14/2023 | S (partial) | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| IRA #3 ⇒ Cadence Bank 5.50% Series A (CADE\$A) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Capital One Financial Corporation Depositary shares each representing a 1/40th interest in a share of Fixed Rate Non-Cumulative Perpetual Preferred St (COF\$I) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Delaware SMID Cap Growth Fund Class A (DFCIX) [MF] | | 03/14/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------------|-------------------------|-------------------------------------|
| IRA #3 ⇒ Eventide Gilead Fund Institutional Class (ETILX) [MF] | | 03/14/2023 | S (partial) | \$100,001 - \$250,000 | <input type="checkbox"/> |
| IRA #3 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| IRA #3 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | 05/9/2023 | P | \$15,001 - \$50,000 | |
| IRA #3 ⇒ J P Morgan Chase & Co Depositary Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, Series GG (JPM\$J) [ST] | SP | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ JP Morgan Chase & Co Depositary Shares Representing 1/400th Preferred Series T (JPM\$B) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ KeyCorp Depositary Shares each representing a 1/40th ownership interest in a share of Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY\$J) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Morgan Stanley Institutional Fund Global Opportunity Portfolio Class I (MGGIX) [MF] | | 03/14/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| IRA #3 ⇒ Principal Fds, Inc. MidCap Fd Cl A (PEMGX) [MF] | | 03/14/2023 | S | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| IRA #3 ⇒ Regions Financial Corporation Depositary Shares, Each Representing a 1/40th Interest in a Share of 4.45% Non-Cumulative Perpetual Preferred Stock, Ser (RF\$E) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Southern Company (SO) [ST] | SP | 01/5/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| IRA #3 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 08/30/2023 | P | \$500,001 - \$1,000,000 | |
| IRA #3 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | 08/30/2023 | P | \$15,001 - \$50,000 | |
| IRA #3 ⇒ | | 05/9/2023 | P | \$15,001 - \$50,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|-----------------------|-------------------------------------|
| SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | | | | |
| IRA #3 ⇒ T. Rowe Price Health Sciences Fund Inc. (PRHSX) [MF] | | 03/14/2023 | S | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| IRA #3 ⇒ Truist Financial Corporation Depositary Shares, each representing 1/1,000th interest in a share of Series R Non-Cumulative Perpetual Preferred Stock (TFC\$R) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ U.S. Bancorp Depositary Shares each representing a 1/1,000th interest in a share of Series K Non-Cumulative Perpetual Preferred Stock (USB\$P) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Vanguard International Growth Fund Admiral Shares (VWILX) [MF] | | 03/14/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| IRA #3 ⇒ Wasatch Small Cap Growth Fund (WAAEX) [MF] | | 03/14/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| IRA #3 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series DD (WFC\$D) [ST] | SP | 05/5/2023 | P | \$1,001 - \$15,000 | |
| IRA #3 ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series (WFC\$Y) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class (APGYX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Delaware SMID Cap Growth Fund Class A (DFCIX) [MF] | | 01/5/2023 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Eventide Gilead Fund Institutional Class (ETILX) [MF] | | 01/5/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | | 03/16/2023 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|---------------------|--------------------------|
| NP DUNN TLF PLEDGE ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Invesco Preferred ETF (PGX) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 05/9/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/19/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 08/8/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/19/2023 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares Core S&P 500 ETF (IVV) [EF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|-------------------------|-------------------------------------|
| NP DUNN TLF PLEDGE ⇒ iShares MBS ETF (MBB) [EF] | | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ iShares MBS ETF (MBB) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares TIPS Bond ETF (TIP) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ J P Morgan Chase & Co Depository Shares, each representing a 1/400th interest in a share of JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, (JPM\$J) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Morgan Stanley Institutional Fund Global Opportunity Portfolio Class I (MGGIX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ PGIM Short Duration High Yield Income Fund Class Z (HYSZX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ PGIM Total Return Bond Fund Class Z (PDBZX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Principal Fds, Inc. MidCap Fd Cl A (PEMGX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF] | | 01/19/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Southern Company (SO) [ST] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 08/30/2023 | P | \$50,001 - \$100,000 | |
| NP DUNN TLF PLEDGE ⇒ | | 08/8/2023 | P | \$15,001 - \$50,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|-----------------------|-------------------------------------|
| SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | | | | |
| NP DUNN TLF PLEDGE ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ T. Rowe Price Health Sciences Fund Inc. (PRHSX) [MF] | | 01/5/2023 | S | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Growth ETF (VUG) [EF] | | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/5/2023 | P | \$50,001 - \$100,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard High Dividend Yield ETF (VYM) [EF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | | 01/5/2023 | P | \$15,001 - \$50,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard International Growth Fund Admiral Shares (VWILX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 03/16/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| NP DUNN TLF PLEDGE ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 03/16/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | | 01/19/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Value ETF (VTV) [EF] | | 03/16/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP DUNN TLF PLEDGE ⇒ Vanguard Value ETF (VTV) [EF] | | 01/5/2023 | P | \$50,001 - \$100,000 | |
| NP DUNN TLF PLEDGE ⇒ Vanguard Value ETF (VTV) [EF] | | 01/19/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Wells Fargo & Company Depositary Shares, each representing a 1/1,000th interest in a share of Non-Cumulative Perpetual Class A Preferred Stock, Series (WFC\$Y) [ST] | | 05/9/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/5/2023 | P | \$1,001 - \$15,000 | |
| NP DUNN TLF PLEDGE ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class (APGYX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ BlackRock Eq Dividend I (MADVX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Diamond Hill Large Cap Fund I Shares (DHLRX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|-----------------------|--------------------------|
| NP Dunn Tst BXS Pldg ⇒ Eventide Gilead Fund Institutional Class (ETILX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Federated Hermes Government Obligations Fund Premier Shares (GOFXX) [MF] | | 01/5/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF] | | 01/6/2023 | P | \$50,001 - \$100,000 | |
| NP Dunn Tst BXS Pldg ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF] | | 01/20/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF] | | 01/6/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/6/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF] | | 01/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 03/20/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF] | | 01/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 01/6/2023 | P | \$50,001 - \$100,000 | |
| NP Dunn Tst BXS Pldg ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ iShares Core S&P 500 ETF (IVV) [EF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares MBS ETF (MBB) [EF] | | 01/6/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|-------------|-----------------------|--------------------------|
| NP Dunn Tst BXS Pldg ⇒ iShares MBS ETF (MBB) [EF] | | 01/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares MSCI USA Min Vol Factor ETF (USMV) [EF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Russell 1000 ETF (IWB) [EF] | | 01/6/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Russell 2000 ETF (IWM) [EF] | | 01/6/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF] | | 01/6/2023 | P | \$50,001 - \$100,000 | |
| NP Dunn Tst BXS Pldg ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ MFS Series Trust I - MFS Value Fund Class A (MEIAX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Morgan Stanley Institutional Fund Global Opportunity Portfolio Class I (MGGIX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ PGIM Jennison Global Opportunities Fund Class A (PRJAX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Principal Fds, Inc. MidCap Fd Cl A (PEMGX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 01/6/2023 | S (partial) | \$100,001 - \$250,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF] | | 08/30/2023 | P | \$100,001 - \$250,000 | |
| NP Dunn Tst BXS Pldg ⇒ SPDR Nuveen Bloomberg Short Term Municipal Bond ETF | | 01/6/2023 | P | \$50,001 - \$100,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|-----------------------|--------------------------|
| (SHM) [EF] | | | | | |
| NP Dunn Tst BXS Pldg ⇒ SPDR Nuveen Bloomberg Short Term Municipal Bond ETF (SHM) [EF] | | 01/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF] | | 08/8/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ T. Rowe Price Health Sciences Fund Inc. (PRHSX) [MF] | | 01/5/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck High Yield Muni ETF (HYD) [EF] | | 01/6/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck High Yield Muni ETF (HYD) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck Intermediate Muni ETF (ITM) [EF] | | 01/6/2023 | P | \$50,001 - \$100,000 | |
| NP Dunn Tst BXS Pldg ⇒ VanEck ETF Trust VanEck Intermediate Muni ETF (ITM) [EF] | | 01/20/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/6/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF] | | 01/20/2023 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/6/2023 | P | \$100,001 - \$250,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Growth ETF (VUG) [EF] | | 01/19/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Growth ETF (VUG) [EF] | | 03/20/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Growth ETF (VUG) [EF] | | 02/22/2023 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ | | 01/6/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------|-----------------------|--------------------------|
| Vanguard Small-Cap Growth ETF (VBK) [EF] | | | | | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF] | | 03/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 01/6/2023 | P | \$15,001 - \$50,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Small-Cap Value ETF (VBR) [EF] | | 03/20/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Total International Bond ETF (BNDX) [EF] | | 01/6/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Value ETF (VTV) [EF] | | 01/6/2023 | P | \$100,001 - \$250,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Value ETF (VTV) [EF] | | 01/20/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ Vanguard Value ETF (VTV) [EF] | | 03/20/2023 | S | \$100,001 - \$250,000 | <input type="checkbox"/> |
| NP Dunn Tst BXS Pldg ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/6/2023 | P | \$1,001 - \$15,000 | |
| NP Dunn Tst BXS Pldg ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF] | | 01/20/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

* Investment vehicle 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

None disclosed.

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|----------|---------------|--------------------------|----------------------|
| | BANCORP | MAY 2018 | REVOLVING LINE OF CREDIT | \$50,001 - \$100,000 |

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|-------------------------------|-------------------------------|
| PARTNER COMMENTS: UNPAID | GULF RESOURCES, LLC |
| PRINCIPAL COMMENTS: UNPAID | NEAL P. DUNN CONSULTING |
| PARTNER COMMENTS: UNPAID | GLOBAL CT & PET IMAGING, LLC |
| PARTNER | PATIENT PRACTIONERS, LLC |
| PARTNER | 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 INVESTMENT VEHICLE DETAILS

- IRA #1 (Owner: SP)
DESCRIPTION: Held at Merrill Lynch
- IRA #2
DESCRIPTION: Held at Merrill Lynch
- IRA #3
DESCRIPTION: Held at Merrill Lynch
- NP DUNN TLF PLEDGE

- NP Dunn Tst BXS Pldg
LOCATION: US

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 Dunn, MD, FACS , 08/13/2024