



Filing ID #10060122

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • B81 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Hon. Greg Stanton
Status: Member
State/District: AZ04

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2023
Filing Date: 08/2/2024

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------|----------------|--------|--------------------------|
| Capital Group American Funds ⇒ Capital Income Builder (CIRAX) [5P] LOCATION: AZ | DC | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Capital Group American Funds ⇒ Capital Income Builder (CIRAX) [5P] LOCATION: AZ | DC | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Capital Group American Funds ⇒ Capital World Growth and Income Fund (CWIAX) [5P] LOCATION: AZ | DC | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Capital Group American Funds ⇒ Capital World Growth and Income Fund (CWIAX) [5P] LOCATION: AZ | DC | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Capital Group American Funds ⇒ The Growth Fund of America - 529A (CGFAX) [5P] LOCATION: AZ | DC | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Capital Group American Funds ⇒ The Growth Fund of America (CGFAX) [5P] LOCATION: AZ | DC | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|----------------|-----------------|-------------------------------------|
| Charles Schwab Rollover IRA ⇒ Alphabet Inc. - Class A Common Stock (GOOGL) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Amazon.com, Inc. - Common Stock (AMZN) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Apple Inc. - Common Stock (AAPL) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Charles Schwab Bank Sweep [BA] | SP | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Eli Lilly and Company Common Stock (LLY) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ iShares Core Dividend Growth ETF (DGRO) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ iShares Core S&P 500 ETF (IVV) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ iShares Core S&P U.S. Value ETF (IUSV) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ iShares MSCI USA Momentum Factor ETF (MTUM) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ iShares MSCI USA Quality Factor ETF (QUAL) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ J.P. Morgan Exchange-Traded Fund Trust JPMorgan Active Growth ETF (JGRO) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ JPMorgan U.S. Value Factor ETF (JVAL) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|----------------------|----------------|-------------------|-------------------------------------|
| Charles Schwab Rollover IRA ⇒ Meta Platforms, Inc. - Class A Common Stock (META) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Microsoft Corporation - Common Stock (MSFT) [ST] | SP | None | Capital Gains | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Nike, Inc. Common Stock (NKE) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ NVIDIA Corporation - Common Stock (NVDA) [ST] | SP | None | Capital Gains | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Schwab U.S. Large-Cap Growth ETF (SCHG) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Schwab US Dividend Equity ETF (SCHD) [EF] | SP | \$50,001 - \$100,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Teledyne Technologies Incorporated Common Stock (TDY) [ST] | SP | None | Capital Gains | \$1 - \$200 | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ VanEck Morningstar Wide Moat ETF (MOAT) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Vanguard Growth ETF (VUG) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Vanguard Value ETF (VTV) [EF] | SP | \$15,001 - \$50,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Global X NASDAQ 100 Covered Call ETF (QYLD) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Global X U.S. Preferred ETF (PFFD) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ iShares Broad USD High Yield Corporate Bond ETF (USHY) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Vanguard International High Dividend Yield ETF (VYMI) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|--------|-------------------------------------|
| Charles Schwab Roth IRA ⇒ Vanguard Short-Term Bond ETF (BSV) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ WisdomTree Emerging Markets High Dividend Fund (DEM) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ WisdomTree U.S. High Dividend Fund (DHS) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ WisdomTree U.S. High Yield Corporate Bond Fund (WFHY) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ WisdomTree Yield Enhanced U.S. Aggregate Bond Fund (AGGY) [EF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Desert Financial Credit Union [BA] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Nationwide 401(a) Plan ⇒ American Funds 2035 Trgt Date Retire T6 RFFTX [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| Nationwide 457(b) Plan ⇒ American Funds 2035 Trgt Date Retire T6 RFFTX [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| Nationwide 457(b) Plan ⇒ City of Phoenix Stable Income Fund [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Nationwide Post Employment Health Plan ⇒ Nationwide Post Employment Health Plan [BA] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Northwestern Mutual IRA ⇒ Russell Growth Strategy Fund (RALAX) [MF] | SP | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| Northwestern Mutual IRA ⇒ Russell Growth Strategy Fund (RALCX) [MF] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Northwestern Mutual Life Insurance [WU] | SP | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|----------------|-------------|--------------------------|
| Northwestern Mutual Life Insurance [WU] | SP | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| State of Arizona Elected Officials Pension [PE] | | Undetermined | Tax-Deferred | | <input type="checkbox"/> |
| DESCRIPTION: Value of pension determined upon retirement | | | | | |
| Trulieve Corp. RSU [RS] | SP | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| DESCRIPTION: RSU's as part of compensation package. | | | | | |
| Trulieve Corp. Stock Options [OP] | SP | Undetermined | None | | <input type="checkbox"/> |
| DESCRIPTION: Stock options as part of compensation agreement. Asset is currently unavailable due to vesting schedule or valuation. | | | | | |
| Wells Fargo Checking [BA] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Wells Fargo Checking [BA] | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Wells Fargo Savings [BA] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Wells Fargo Savings [BA] | SP | \$15,001 - \$50,000 | Interest | \$1 - \$200 | <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 B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|---------------------|
| 3M Company (MMM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| DESCRIPTION: Purchase of this stock was above the \$1000 reporting threshold. The sale fell below the \$1000 threshold and is therefore not reported. | | | | | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Abbott Laboratories (ABT) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Abbott Laboratories (ABT) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| AbbVie Inc. (ABBV) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| AbbVie Inc. (ABBV) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Accenture plc Class A Ordinary Shares (ACN) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Accenture plc Class A Ordinary Shares (ACN) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Adobe Inc. (ADBE) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Adobe Inc. (ADBE) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Advanced Micro Devices, Inc. (AMD) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|-------------------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Advanced Micro Devices, Inc. (AMD) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Alphabet Inc. - Class A (GOOGL) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Alphabet Inc. - Class A (GOOGL) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Alphabet Inc. - Class C Capital Stock (GOOG) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Alphabet Inc. - Class C Capital Stock (GOOG) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Amazon.com, Inc. (AMZN) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Amazon.com, Inc. (AMZN) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|--------------------------|
| against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| American Express Company (AXP) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| American Express Company (AXP) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
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| Amgen Inc. (AMGN) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Amgen Inc. (AMGN) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
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| Analog Devices, Inc. (ADI) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Analog Devices, Inc. (ADI) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Apple Inc. (AAPL) [ST] | SP | 09/26/2023 | P | \$15,001 - \$50,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
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| stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Apple Inc. (AAPL) [ST] | SP | 10/24/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
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| Applied Materials, Inc. (AMAT) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Applied Materials, Inc. (AMAT) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
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| AT&T Inc. (T) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| AT&T Inc. (T) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
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| Axon Enterprise, Inc. (AXON) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Axon Enterprise, Inc. (AXON) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| and instead invested in Exchange Traded Funds. | | | | | |
| Ball Corporation (BALL) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Ball Corporation (BALL) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Bank of America Corporation (BAC) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Bank of America Corporation (BAC) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Becton, Dickinson and Company (BDX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Becton, Dickinson and Company (BDX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Berkshire Hathaway Inc. New (BRK.B) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Berkshire Hathaway Inc. New (BRK.B) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| BlackRock, Inc. (BLK) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| BlackRock, Inc. (BLK) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Bristol-Myers Squibb Company (BMY) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Bristol-Myers Squibb Company (BMY) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Broadcom Inc. (AVGO) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Broadcom Inc. (AVGO) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Caterpillar, Inc. (CAT) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Caterpillar, Inc. (CAT) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Charles Schwab Rollover IRA ⇒ First Trust Cons. Discret. AlphaDEX (FXD) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ First Trust DJ Internet Index Fund (FDN) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ First Trust Industrials AlphaDEX (FXR) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ First Trust Nasdaq Semiconductor ETF (FTXL) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ First Trust Nasdaq Transportation ETF (FTXR) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ iShares Core Dividend Growth ETF (DGRO) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ iShares Core S&P 500 ETF (IVV) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ iShares Core S&P U.S. Value ETF (IUSV) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ iShares MSCI USA Momentum Factor ETF (MTUM) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ iShares MSCI USA Quality Factor ETF (QUAL) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------|----------------------|--------------------------|
| Charles Schwab Rollover IRA ⇒ J.P. Morgan Exchange-Traded Fund Trust JPMorgan Active Growth ETF (JGRO) [EF] | SP | 11/17/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Rollover IRA ⇒ JPMorgan U.S. Value Factor ETF (JVAL) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ PGIM Ultra Short Bond ETF (PULS) [EF] | SP | 09/7/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Charles Schwab Rollover IRA ⇒ Schwab U.S. Large-Cap Growth ETF (SCHG) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ Schwab US Dividend Equity ETF (SCHD) [EF] | SP | 11/17/2023 | P | \$50,001 - \$100,000 | |
| Charles Schwab Rollover IRA ⇒ VanEck Morningstar Wide Moat ETF (MOAT) [EF] | SP | 11/17/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Rollover IRA ⇒ Vanguard Growth ETF (VUG) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Rollover IRA ⇒ Vanguard Value ETF (VTV) [EF] | SP | 11/17/2023 | P | \$15,001 - \$50,000 | |
| Charles Schwab Roth IRA ⇒ First Trust Cons. Discret. AlphaDEX (FXD) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ First Trust DJ Internet Index Fund (FDN) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ First Trust Industrials AlphaDEX (FXR) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ First Trust Nasdaq Semiconductor ETF (FTXL) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ First Trust Nasdaq Transportation ETF (FTXR) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Global X NASDAQ 100 Covered Call ETF (QYLD) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Charles Schwab Roth IRA ⇒ Global X U.S. Preferred ETF (PFFD) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ iShares Broad USD High Yield Corporate Bond ETF (USHY) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ PGIM Ultra Short Bond ETF (PULS) [EF] | SP | 09/7/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Charles Schwab Roth IRA ⇒ Vanguard International High Dividend Yield ETF (VYMI) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ Vanguard Short-Term Bond ETF (BSV) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ WisdomTree Emerging Markets High Dividend Fund (DEM) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ WisdomTree U.S. High Dividend Fund (DHS) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ WisdomTree U.S. High Yield Corporate Bond Fund (WFHY) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Charles Schwab Roth IRA ⇒ WisdomTree Yield Enhanced U.S. Aggregate Bond Fund (AGGY) [EF] | SP | 09/7/2023 | P | \$1,001 - \$15,000 | |
| Chevron Corporation (CVX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Chevron Corporation (CVX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| and instead invested in Exchange Traded Funds. | | | | | |
| Chubb Limited (CB) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Chubb Limited (CB) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Cisco Systems, Inc. (CSCO) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Cisco Systems, Inc. (CSCO) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Citigroup, Inc. (C) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Citigroup, Inc. (C) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Coca-Cola Company (KO) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Coca-Cola Company (KO) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Comcast Corporation - Class A (CMCSA) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Comcast Corporation - Class A (CMCSA) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ConocoPhillips (COP) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ConocoPhillips (COP) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Costco Wholesale Corporation (COST) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Costco Wholesale Corporation (COST) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Danaher Corporation (DHR) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|-------------------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Danaher Corporation (DHR) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Deere & Company (DE) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Deere & Company (DE) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Elevariance Health, Inc. (ELV) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Elevariance Health, Inc. (ELV) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Eli Lilly and Company (LLY) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Eli Lilly and Company (LLY) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Exxon Mobil Corporation (XOM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Exxon Mobil Corporation (XOM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Gilead Sciences, Inc. (GILD) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Gilead Sciences, Inc. (GILD) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Goldman Sachs Group, Inc. (GS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Goldman Sachs Group, Inc. (GS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Home Depot, Inc. (HD) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Home Depot, Inc. (HD) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Howmet Aerospace Inc. (HWM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Howmet Aerospace Inc. (HWM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Intel Corporation (INTC) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Intel Corporation (INTC) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| International Business Machines Corporation (IBM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| International Business Machines Corporation (IBM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| and instead invested in Exchange Traded Funds. | | | | | |
| Intuit Inc. (INTU) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Intuit Inc. (INTU) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Intuitive Surgical, Inc. (ISRG) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Intuitive Surgical, Inc. (ISRG) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Jacobs Solutions Inc. (J) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Jacobs Solutions Inc. (J) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Johnson & Johnson (JNJ) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Johnson & Johnson (JNJ) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| JP Morgan Chase & Co. (JPM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| JP Morgan Chase & Co. (JPM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Lam Research Corporation (LRCX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Lam Research Corporation (LRCX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Linde plc Ordinary Shares (LIN) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Linde plc Ordinary Shares (LIN) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Lowe's Companies, Inc. (LOW) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Lowe's Companies, Inc. (LOW) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Marsh & McLennan Companies, Inc. (MMC) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Marsh & McLennan Companies, Inc. (MMC) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Mastercard Incorporated (MA) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Mastercard Incorporated (MA) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| McDonald's Corporation (MCD) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| McDonald's Corporation (MCD) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|-------------------------------------|
| against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Medtronic plc. Ordinary Shares (MDT) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Medtronic plc. Ordinary Shares (MDT) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Merck & Company, Inc. Common Stock (MRK) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Merck & Company, Inc. Common Stock (MRK) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Meta Platforms, Inc. - Class A (META) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Meta Platforms, Inc. - Class A (META) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Microsoft Corporation (MSFT) [ST] | SP | 09/26/2023 | P | \$15,001 - \$50,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|-------------------------------------|
| stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Microsoft Corporation (MSFT) [ST] | SP | 10/24/2023 | S | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Mondelez International, Inc. - Class A (MDLZ) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Mondelez International, Inc. - Class A (MDLZ) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Morgan Stanley (MS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Morgan Stanley (MS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Netflix, Inc. (NFLX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Netflix, Inc. (NFLX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|-------------------------------------|
| and instead invested in Exchange Traded Funds. | | | | | |
| NextEra Energy, Inc. (NEE) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| NextEra Energy, Inc. (NEE) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Nike, Inc. (NKE) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Nike, Inc. (NKE) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| NVIDIA Corporation (NVDA) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| NVIDIA Corporation (NVDA) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Oracle Corporation (ORCL) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Oracle Corporation (ORCL) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Palo Alto Networks, Inc. (PANW) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| DESCRIPTION: Purchase of this stock fell below the \$1000 reporting threshold. The sale of the stock was above \$1000 and is reported. COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Parker-Hannifin Corporation (PH) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Parker-Hannifin Corporation (PH) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Pepsico, Inc. (PEP) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Pepsico, Inc. (PEP) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Pfizer, Inc. (PFE) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| Pfizer, Inc. (PFE) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Philip Morris International Inc (PM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Philip Morris International Inc (PM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Procter & Gamble Company (PG) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Procter & Gamble Company (PG) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Progressive Corporation (PGR) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Progressive Corporation (PGR) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ProLogis, Inc. (PLD) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ProLogis, Inc. (PLD) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| QUALCOMM Incorporated (QCOM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| QUALCOMM Incorporated (QCOM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Raymond James Rollover IRA ⇒ Amplify CWP Enhanced Dividend Income ETF (DIVO) [EF] | SP | 05/12/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Amex Biotech Index Fund (FBT) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Amex Biotech Index Fund (FBT) [EF] | SP | 07/14/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Cons. Discret. AlphaDEX (FXD) [EF] | SP | 07/14/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust DJ Internet Index Fund (FDN) [EF] | SP | 06/9/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust DJ Internet Index Fund (FDN) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Rollover IRA ⇒ First Trust Enhanced Short Maturity ETF (FTSM) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|----------------------|--------------------------|
| Raymond James Rollover IRA ⇒ First Trust Financials AlphaDEX (FXO) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Financials AlphaDEX (FXO) [EF] | SP | 07/14/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Industrials AlphaDEX (FXR) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Industrials AlphaDEX (FXR) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Rollover IRA ⇒ First Trust Low Duration Opportunities ETF (LMBS) [EF] | SP | 05/12/2023 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Low Duration Strategic Focus ETF (LDSF) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Materials AlphaDEX Fund (FXZ) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Materials AlphaDEX Fund (FXZ) [EF] | SP | 06/9/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Morningstar ETF (FDL) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Nasdaq Oil & Gas ETF (FTXN) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Nasdaq Oil & Gas ETF (FTXN) [EF] | SP | 07/14/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ First Trust Nasdaq Semiconductor ETF (FTXL) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ First Trust Nasdaq Semiconductor ETF (FTXL) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Rollover IRA ⇒ First Trust Nasdaq Transportation ETF (FTXR) [EF] | SP | 07/14/2023 | P | \$50,001 - \$100,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------|----------------------|--------------------------|
| Raymond James Rollover IRA ⇒ iMGP DBi Managed Futures Strategy ETF (DBMF) [EF] | SP | 05/12/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ Limited Duration Inflation Focused Bond Fund (TRBFX) [MF] | SP | 05/11/2023 | S | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Raymond James Rollover IRA ⇒ PGIM Ultra Short Bond ETF (PULS) [EF] | SP | 05/12/2023 | P | \$50,001 - \$100,000 | |
| Raymond James Rollover IRA ⇒ PGIM Ultra Short Bond ETF (PULS) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ Amplify CWP Enhanced Dividend Income ETF (DIVO) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Amex Biotech Index Fund (FBT) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Amex Biotech Index Fund (FBT) [EF] | SP | 07/14/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Cons. Discret. AlphaDEX (FXD) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust DJ Internet Index Fund (FDN) [EF] | SP | 06/9/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Financials AlphaDEX (FXO) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Financials AlphaDEX (FXO) [EF] | SP | 07/14/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Industrials AlphaDEX (FXR) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Low Duration Opportunities ETF (LMBS) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Materials AlphaDEX Fund (FXZ) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ | SP | 06/9/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|-------------------------------------|
| First Trust Materials AlphaDEX Fund (FXZ) [EF] | | | | | |
| Raymond James Roth IRA ⇒ First Trust Morningstar ETF (FDL) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Nasdaq Oil & Gas ETF (FTXN) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Nasdaq Oil & Gas ETF (FTXN) [EF] | SP | 07/14/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ First Trust Nasdaq Semiconductor ETF (FTXL) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ First Trust Nasdaq Transportation ETF (FTXR) [EF] | SP | 07/14/2023 | P | \$1,001 - \$15,000 | |
| Raymond James Roth IRA ⇒ iMGP DBi Managed Futures Strategy ETF (DBMF) [EF] | SP | 05/12/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Raymond James Roth IRA ⇒ PGIM Ultra Short Bond ETF (PULS) [EF] | SP | 05/12/2023 | P | \$1,001 - \$15,000 | |
| S&P Global Inc. (SPGI) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| S&P Global Inc. (SPGI) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Salesforce, Inc. (CRM) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Salesforce, Inc. (CRM) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|-------------------------------------|
| against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ServiceNow, Inc. (NOW) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| ServiceNow, Inc. (NOW) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Starbucks Corporation (SBUX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Starbucks Corporation (SBUX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Stryker Corporation (SYK) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Stryker Corporation (SYK) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Teledyne Technologies Incorporated (TDY) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Teledyne Technologies Incorporated (TDY) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Tesla, Inc. (TSLA) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Tesla, Inc. (TSLA) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Texas Instruments Incorporated (TXN) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Texas Instruments Incorporated (TXN) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Thermo Fisher Scientific Inc (TMO) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Thermo Fisher Scientific Inc (TMO) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| and instead invested in Exchange Traded Funds. | | | | | |
| TJX Companies, Inc. (TJX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| TJX Companies, Inc. (TJX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| T-Mobile US, Inc. (TMUS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| T-Mobile US, Inc. (TMUS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Union Pacific Corporation (UNP) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Union Pacific Corporation (UNP) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| United Parcel Service, Inc. (UPS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| United Parcel Service, Inc. (UPS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| UnitedHealth Group Incorporated Common Stock (UNH) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| UnitedHealth Group Incorporated Common Stock (UNH) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Verizon Communications Inc. (VZ) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Verizon Communications Inc. (VZ) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Vertex Pharmaceuticals Incorporated (VRTX) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Vertex Pharmaceuticals Incorporated (VRTX) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Visa Inc. (V) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Visa Inc. (V) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Walmart Inc. (WMT) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Walmart Inc. (WMT) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Walt Disney Company (DIS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Walt Disney Company (DIS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Wells Fargo & Company (WFC) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Wells Fargo & Company (WFC) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|--------------------------|
| against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Zoetis Inc. Class A (ZTS) [ST] | SP | 09/26/2023 | P | \$1,001 - \$15,000 | |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |
| Zoetis Inc. Class A (ZTS) [ST] | SP | 10/24/2023 | S | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: In Sept. 2023, my wife started with a new investment firm for her assets, and this new investment firm was unaware of our policy against owning individual stocks. On Sept. 26, the new investment firm purchased stock mimicking the S & P 500. I learned of the purchase of stock on Oct. 21, and immediately on the next business day (Oct. 23) requested the stocks be divested. The new investment firm sold the stock and instead invested in Exchange Traded Funds. | | | | | |

* 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

| Source | Type | Amount |
|----------------|---------------|--------|
| Trulieve, Inc. | Spouse Salary | N/A |

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|-----------------|---------------|---------------|-------------------------|
| | SoFi | May 2017 | Personal Loan | \$10,000 - \$15,000 |
| JT | Bank of America | June 2013 | Home Mortgage | \$500,001 - \$1,000,000 |

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|---------------|---------------------------------|----------------------------------|
| February 2000 | Myself and the State of Arizona | Value determined upon retirement |

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

- Capital Group American Funds (Owner: DC)
LOCATION: AZ
- Charles Schwab Rollover IRA (Owner: SP)
DESCRIPTION: Assets rolled over from Raymond James Rollover IRA to Charles Schwab Rollover IRA on September 1,2023 with no reportable transactions as a result of the rollover.
- Charles Schwab Roth IRA (Owner: SP)
DESCRIPTION: Assets rolled over from Raymond James Rollover IRA to Charles Schwab Rollover IRA on September 1,2023 with no reportable transactions as a result of the rollover.
- Nationwide 401(a) Plan
- Nationwide 457(b) Plan
- Nationwide Post Employment Health Plan
LOCATION: US
- Northwestern Mutual IRA (Owner: SP)
- Raymond James Rollover IRA (Owner: SP)
DESCRIPTION: Previously reported as Ameritrade Clearing Rollover IRA.
- Raymond James Roth IRA (Owner: SP)
DESCRIPTION: Previously reported as Ameritrade Clearing Roth IRA. Assets rolled over to Raymond James in January 2023 with no reportable transactions as a result of the rollover.

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

COMMENTS

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. Greg Stanton , 08/2/2024