



Filing ID #10072005

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

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

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2023
Filing Date: 08/13/2026

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Cadence Checking Account [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	☐
IRA #1 ⇒ Bank of America Sweep Account [BA]	SP	\$15,001 - \$50,000	Tax-Deferred		☐
IRA #1 ⇒ Invesco Preferred ETF (PGX) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		☐
IRA #1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]	SP	\$50,001 - \$100,000	Tax-Deferred		☒
IRA #1 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		☒
IRA #1 ⇒ iShares TIPS Bond ETF (TIP) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		☐
IRA #1 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		☒
IRA #1 ⇒	SP	\$1,001 - \$15,000	Tax-Deferred		☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JPMorgan Chase & Co.'s 4.75% Non-Cumulative Preferred Stock, Series GG (JPM.PR.J) [OT] DESCRIPTION: Preferred stock					
IRA #1 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		☒
IRA #1 ⇒ SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]	SP	\$50,001 - \$100,000	Tax-Deferred		☐
IRA #1 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		☒
IRA #1 ⇒ The Wells Fargo & Co 4.25% Depositary Shares Series DD (WFC-D) [OT] DESCRIPTION: Preferred stock	SP	\$1,001 - \$15,000	Tax-Deferred		☒
IRA #1 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		☒
IRA #1 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		☐
IRA #1 ⇒ Vanguard Total International Bond ETF (BNDX) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		☒
IRA #2 ⇒ Bank of America Sweep Account [BA]		\$1,001 - \$15,000	Tax-Deferred		☐
IRA #2 ⇒ Invesco Preferred ETF (PGX) [EF]		\$1,001 - \$15,000	Tax-Deferred		☒
IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]		\$1,001 - \$15,000	Tax-Deferred		☒
IRA #2 ⇒ iShares MBS ETF (MBB) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒		\$1,001 - \$15,000	Tax-Deferred		☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JPMorgan Chase & Co 4.75% Depositary Shares Non-Cumulative Preferred Stock, Series GG (JPM.PRJ) [OT]					
DESCRIPTION: Preferred stock					
IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF]		\$1,001 - \$15,000	Tax-Deferred		☒
IRA #2 ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #2 ⇒ Wells Fargo & Co. 4.25% Non-Cumulative Perpetual Class A Preferred Stock, Series DD (WFC.PRD) [OT]		\$1,001 - \$15,000	Tax-Deferred		☒
DESCRIPTION: Preferred stock					
IRA #3 ⇒ Apple Inc. - Common Stock (AAPL) [ST]		\$100,001 - \$250,000	Tax-Deferred		☐
IRA #3 ⇒ AT&T Inc 5.00% Depositary Shares Perpetual Preferred Stock Series A (T.PRA) [OT]		\$15,001 - \$50,000	Tax-Deferred		☐
DESCRIPTION: Preferred stock					
IRA #3 ⇒ Bank of America Sweep Account [BA]		\$250,001 - \$500,000	Tax-Deferred		☐
IRA #3 ⇒ Cadence Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (CADE-PR-A) [OT]		\$15,001 - \$50,000	Tax-Deferred		☒
DESCRIPTION: Preferred stock					
IRA #3 ⇒		\$15,001 - \$50,000	Tax-Deferred		☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Capital One Fin. Corp. 5.00% Fixed Rate Non-Cumulative Perpetual Preferred Stock, Series I (COF.I) [OT] DESCRIPTION: Preferred stock					
IRA #3 ⇒ Flaherty and Crumrine Dynamic Preferred (DFP) [OT] DESCRIPTION: Closed-end fund		\$15,001 - \$50,000	Tax-Deferred		☐
IRA #3 ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]		\$250,001 - \$500,000	Tax-Deferred		☐
IRA #3 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		\$50,001 - \$100,000	Tax-Deferred		☒
IRA #3 ⇒ Johnson & Johnson (JNJ) [ST]		\$15,001 - \$50,000	Tax-Deferred		☐
IRA #3 ⇒ JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, Series GG (JPM.PRJ) [OT] DESCRIPTION: Preferred stock		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #3 ⇒ KeyCorp 5.65% Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY.PRJ) [OT] DESCRIPTION: Preferred stock		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #3 ⇒ Regions Financial Corp. 4.45% Depositary Shares Series E Non-Cumulative Preferred Stock (RF.PRE) [OT] DESCRIPTION: Preferred stock		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #3 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]		\$100,001 - \$250,000	Tax-Deferred		☒
IRA #3 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		\$500,001 - \$1,000,000	Tax-Deferred		☒
IRA #3 ⇒ T. Rowe Price Capital Appreciation Fund (PRWCX) [MF]		\$100,001 - \$250,000	Tax-Deferred		☒
IRA #3 ⇒ Truist Fin. Corp 4.75% Depositary Shares Series R Non-Cumulative Perpetual Preferred Stock (TFC.PRR) [OT] DESCRIPTION: Preferred stock		\$15,001 - \$50,000	Tax-Deferred		☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA #3 ⇒ US Bancorp Non-Cumulative Perpetual Preferred Stock, Series K (USB.PRP) [OT] DESCRIPTION: Preferred stock		\$15,001 - \$50,000	Tax-Deferred		☒
IRA #3 ⇒ Vanguard High Dividend Yield ETF (VYM) [EF]		\$100,001 - \$250,000	Tax-Deferred		☐
IRA #3 ⇒ Wells Fargo & Company 5.625% Non-Cumulative Perpetual Class A Preferred Stock, Series Y (WFC-Y) [OT] DESCRIPTION: Preferred stock		\$50,001 - \$100,000	Tax-Deferred		☒
NP Dunn BXS Pledge ⇒ Bank of America Sweep Account [BA]		\$50,001 - \$100,000	Interest	\$1 - \$200	☐
NP Dunn BXS Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	☒
NP Dunn BXS Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	☒
NP Dunn BXS Pledge ⇒ iShares MBS ETF (MBB) [EF]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	☒
NP Dunn BXS Pledge ⇒ iShares MSCI EAFE Min Vol Factor ETF (EFAV) [EF]		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	☐
NP Dunn BXS Pledge ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	☐
NP Dunn BXS Pledge ⇒		\$100,001 -	Dividends	\$2,501 -	☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		\$250,000		\$5,000	☐
NP Dunn BXS Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond ETF (SHM) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	☒
NP Dunn BXS Pledge ⇒ VanEck High Yield Muni ETF (HYD) [EF]		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	☒
NP Dunn BXS Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000	☒
NP Dunn BXS Pledge ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ Bank of America Sweep Account [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	☐
NP Dunn TLF Pledge ⇒ Federated Hermes Government Obligations Fund [GS]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	☒
NP Dunn TLF Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	☒
NP Dunn TLF Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ iShares MSCI EAFE Min Vol Factor ETF (EFAV) [EF]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	☒
NP Dunn TLF Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	☒

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
ETF (SHM) [EF]					
NP Dunn TLF Pledge ⇒ VanEck High Yield Muni ETF (HYD) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	☒
NP Dunn TLF Pledge ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	☒
NP Dunn TLF Pledge ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	☒
NP Dunn TLF Pledge ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	☒
NP Dunn TLF Pledge ⇒ Vanguard Value ETF (VTV) [EF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	☒

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

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #1 ⇒ The Wells Fargo & Co 4.25% Depositary Shares Series DD (WFC-D) [OT] LOCATION: US DESCRIPTION: Preferred stock	SP	05/09/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ US Bancorp Non-Cumulative Perpetual Preferred Stock, Series K (USB.PRP) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ Wells Fargo & Company 5.625% Non-Cumulative Perpetual		05/05/2023	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Class A Preferred Stock, Series Y (WFC-Y) [OT] LOCATION: US DESCRIPTION: Preferred stock					
IRA #3 ⇒ Cadence Bank 5.50% Series A Non-Cumulative Perpetual Preferred Stock (CADE-PR-A) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ Capital One Fin. Corp. 5.00% Fixed Rate Non-Cumulative Perpetual Preferred Stock, Series I (COF.I) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ JPMorgan Chase & Co. 4.75% Non-Cumulative Preferred Stock, Series GG (JPM.PRJ) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ KeyCorp 5.65% Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY.PRJ) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ Regions Financial Corp. 4.45% Depositary Shares Series E Non-Cumulative Preferred Stock (RF.PRE) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ Truist Fin. Corp 4.75% Depositary Shares Series R Non-Cumulative Perpetual Preferred Stock (TFC.PRR) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/05/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		03/16/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF]		03/16/2023	S	\$15,001 - \$50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn BXS Pledge ⇒ Vanguard Value ETF (VTV) [EF]		03/16/2023	S	\$100,001 - \$250,000	☐
NP Dunn BXS Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		03/16/2023	S (partial)	\$100,001 - \$250,000	☒
NP Dunn BXS Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		03/16/2023	S	\$50,001 - \$100,000	☐
NP Dunn BXS Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		03/16/2023	S (partial)	\$50,001 - \$100,000	☐
NP Dunn BXS Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		02/17/2023	S (partial)	\$1,001 - \$15,000	☒
NP Dunn BXS Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/18/2023	P	\$15,001 - \$50,000	
NP Dunn BXS Pledge ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn BXS Pledge ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Vanguard Value ETF (VTV) [EF]		01/04/2023	P	\$100,001 - \$250,000	
NP Dunn BXS Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		01/04/2023	P	\$100,001 - \$250,000	
NP Dunn BXS Pledge ⇒ iShares MBS ETF (MBB) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF]		01/04/2023	P	\$50,001 - \$100,000	
NP Dunn BXS Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		01/04/2023	P	\$50,001 - \$100,000	
NP Dunn BXS Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		01/04/2023	P	\$50,001 - \$100,000	
NP Dunn BXS Pledge ⇒		01/04/2023	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
VanEck High Yield Muni ETF (HYD) [EF]					
NP Dunn BXS Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond ETF (SHM) [EF]		01/04/2023	P	\$50,001 - \$100,000	
NP Dunn BXS Pledge ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn BXS Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/04/2023	P	\$50,001 - \$100,000	
IRA #2 ⇒ Wells Fargo & Co. 4.25% Non-Cumulative Perpetual Class A Preferred Stock, Series DD (WFC.PRD) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ JPMorgan Chase & Co 4.75% Depositary Shares Non-Cumulative Preferred Stock, Series GG (JPM.PRJ) [OT] LOCATION: US DESCRIPTION: Preferred stock		05/09/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Vanguard Small-Cap ETF (VB) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Vanguard Value ETF (VTV) [EF]		01/04/2023	P	\$50,001 - \$100,000	
NP Dunn TLF Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		01/04/2023	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn TLF Pledge ⇒ iShares MBS ETF (MBB) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn BXS Pledge ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Vanguard Value ETF (VTV) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ iShares Short-Term National Muni Bond ETF (SUB) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		01/18/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		12/21/2023	P	\$1,001 - \$15,000	
IRA #3 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		08/08/2023	P	\$15,001 - \$50,000	
IRA #3 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]		08/08/2023	P	\$15,001 - \$50,000	
IRA #3 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		08/30/2023	P	\$500,001 - \$1,000,000	
IRA #3 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		05/09/2023	P	\$15,001 - \$50,000	
IRA #3 ⇒		05/09/2023	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
State Street Energy Select Sector SPDR ETF (XLE) [EF]					
IRA #3 ⇒ Wasatch Small Cap Growth Fund Investor Class [OT] LOCATION: US DESCRIPTION: ETF		03/14/2023	S	\$15,001 - \$50,000	☐
IRA #3 ⇒ Principal Mid Cap Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐
IRA #3 ⇒ Delaware Smid Cap Growth Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$50,001 - \$100,000	☐
NP Dunn BXS Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		01/18/2023	P	\$15,001 - \$50,000	
NP Dunn BXS Pledge ⇒ VanEck High Yield Muni ETF (HYD) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn BXS Pledge ⇒ Federated Hermes Government Obligations Fund [GS]		01/05/2023	S	\$100,001 - \$250,000	☐
NP Dunn BXS Pledge ⇒ Principal Mid Cap Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ MSIF Global Opportunity Portfolio Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ MFS Value Fund Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn BXS Pledge ⇒ Diamond Hill Large Cap Concentrated Fund Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn TLF Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ VanEck High Yield Muni ETF (HYD) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond ETF (SHM) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/04/2023	P	\$15,001 - \$50,000	
NP Dunn TLF Pledge ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		01/04/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Vanguard Small-Cap Growth ETF (VBK) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Vanguard Value ETF (VTV) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Invesco National AMT-Free Municipal Bond ETFo (PZA) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ VanEck Intermediate Muni ETF (ITM) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ VanEck High Yield Muni ETF (HYD) [EF]		01/18/2023	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn TLF Pledge ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/18/2023	P	\$1,001 - \$15,000	
NP Dunn TLF Pledge ⇒ Federated Hermes Government Obligations Fund [GS]		01/04/2023	S	\$50,001 - \$100,000	☐
NP Dunn TLF Pledge ⇒ Principal Mid Cap Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ MSIF Global Opportunity Portfolio Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S (partial)	\$1,001 - \$15,000	☒
NP Dunn TLF Pledge ⇒ MFS Value Fund Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn TLF Pledge ⇒ Diamond Hill Large Cap Concentrated Fund Class I (DHFIX) [MF]		01/04/2023	S	\$1,001 - \$15,000	☒
NP Dunn TLF Pledge ⇒ PGIM Jennison Global Opportunities Fund Class Z (PRJZX) [MF]		01/04/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ Eventide Gilead Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class (APGYX) [MF]		01/04/2023	S	\$1,001 - \$15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn TLF Pledge ⇒ BlackRock Eq Dividend I (MADVX) [MF]		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn TLF Pledge ⇒ iShares Russell 1000 ETF (IWB) [EF]		01/04/2023	S	\$50,001 - \$100,000	☐
DESCRIPTION: Mutual fund					
NP Dunn TLF Pledge ⇒ iShares MSCI USA Min Vol Factor ETF (USMV) [EF]		01/04/2023	S	\$1,001 - \$15,000	☒
NP Dunn TLF Pledge ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn TLF Pledge ⇒ iShares Core S&P 500 ETF (IVV) [EF]		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn TLF Pledge ⇒ iShares Russell 2000 Index Fund (IWM) [EF]		01/04/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		01/04/2023	S	\$50,001 - \$100,000	☐
NP Dunn TLF Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/18/2023	S (partial)	\$1,001 - \$15,000	☒
NP Dunn TLF Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		01/18/2023	S (partial)	\$1,001 - \$15,000	☒
NP Dunn TLF Pledge ⇒ iShares MBS ETF (MBB) [EF]		01/18/2023	S (partial)	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond ETF (SHM) [EF]		01/18/2023	S (partial)	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/18/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/18/2023	S	\$1,001 - \$15,000	☐
NP Dunn TLF Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/18/2023	S (partial)	\$1,001 - \$15,000	☒

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn BXS Pledge ⇒ PGIM Jennison Global Opportunities Fund Class Z [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ Eventide Gilead Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ BlackRock Eq Dividend I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ iShares Russell 1000 ETF (IWB) [EF]		01/04/2023	S	\$100,001 - \$250,000	☐
NP Dunn BXS Pledge ⇒ iShares MSCI EAFE Min Vol Factor ETF (EFAV) [EF]		01/04/2023	S (partial)	\$15,001 - \$50,000	☒
NP Dunn BXS Pledge ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]		01/04/2023	S	\$50,001 - \$100,000	☐
NP Dunn BXS Pledge ⇒ iShares Core S&P 500 ETF (IVV) [EF]		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ iShares Russell 2500 ETF (SMMD) [EF]		01/04/2023	S	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		01/04/2023	S (partial)	\$100,001 - \$250,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NP Dunn BXS Pledge ⇒ Vanguard Growth ETF (VUG) [EF]		01/17/2023	S (partial)	\$1,001 - \$15,000	☐
NP Dunn BXS Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/17/2023	S (partial)	\$1,001 - \$15,000	☒
NP Dunn BXS Pledge ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/18/2023	S (partial)	\$15,001 - \$50,000	☒
NP Dunn BXS Pledge ⇒ iShares MBS ETF (MBB) [EF]		01/18/2023	S	\$1,001 - \$15,000	☒
NP Dunn BXS Pledge ⇒ State Street SPDR Nuveen ICE Short Term Municipal Bond ETF (SHM) [EF]		01/18/2023	S (partial)	\$15,001 - \$50,000	☐
NP Dunn BXS Pledge ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/18/2023	S	\$1,001 - \$15,000	☐
NP Dunn BXS Pledge ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/18/2023	S	\$1,001 - \$15,000	☐
NP Dunn BXS Pledge ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/18/2023	S (partial)	\$15,001 - \$50,000	☒
IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ iShares TIPS Bond ETF (TIP) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Vanguard Value ETF (VTV) [EF]		01/09/2023	P	\$100,001 - \$250,000	
IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF]		01/09/2023	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #2 ⇒ iShares MBS ETF (MBB) [EF]		01/09/2023	P	\$50,001 - \$100,000	
IRA #2 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Invesco Preferred ETF (PGX) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/09/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/09/2023	P	\$50,001 - \$100,000	
IRA #2 ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		01/09/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/23/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Vanguard Value ETF (VTV) [EF]		01/23/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]		01/23/2023	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #2 ⇒ Vanguard Total International Bond ETF (BNDX) [EF]		01/23/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ Vanguard High Dividend Yield ETF (VYM) [EF]		01/04/2023	S	\$50,001 - \$100,000	☐
IRA #2 ⇒ Principal Mid Cap Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ Delaware Smid Cap Growth Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ MSIF Global Opportunity Portfolio Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ Vanguard International Growth Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$50,001 - \$100,000	☐
IRA #2 ⇒ Eventide Gilead Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class [OT] LOCATION: US DESCRIPTION: Mutual fund		01/06/2023	S	\$50,001 - \$100,000	☐
IRA #2 ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]		01/09/2023	S	\$50,001 - \$100,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #2 ⇒ iShares Core S&P 500 ETF (IVV) [EF]		01/09/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ KeyCorp 5.65% Fixed Rate Perpetual Non-Cumulative Preferred Stock, Series F (KEY.PRJ) [OT] LOCATION: US DESCRIPTION: Preferred stock		01/09/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Regions Financial Corp. 4.45% Depositary Shares Series E Non-Cumulative Preferred Stock (RF.PRE) [OT] LOCATION: US DESCRIPTION: Preferred stock		01/09/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Southern Company (SO) [ST]		01/09/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]		01/11/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Small-Cap ETF (VB) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Value ETF (VTV) [EF]		01/11/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares MBS ETF (MBB) [EF]		01/11/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF]		01/11/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒		01/11/2023	S	\$1,001 - \$15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]					☐
IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]		01/11/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/11/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]		01/23/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF]		01/23/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]		01/23/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]		01/23/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]		01/23/2023	P	\$1,001 - \$15,000	
IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		01/23/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]		05/09/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ Vanguard Small-Cap ETF (VB) [EF]		03/20/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]		03/20/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Value ETF (VTV) [EF]		03/20/2023	S	\$50,001 - \$100,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #2 ⇒ Vanguard Growth ETF (VUG) [EF]		03/20/2023	S	\$50,001 - \$100,000	☐
IRA #2 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF]		03/20/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		03/20/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		03/20/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ iShares TIPS Bond ETF (TIP) [EF]		09/20/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ Vanguard Short-Term Corporate Bond ETF (VCSH) [EF]		09/20/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #2 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]		09/20/2023	S (partial)	\$15,001 - \$50,000	☐
IRA #2 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]		08/08/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]		08/08/2023	P	\$15,001 - \$50,000	
IRA #2 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		08/30/2023	P	\$100,001 - \$250,000	
IRA #2 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		11/06/2023	S (partial)	\$50,001 - \$100,000	☐
IRA #3 ⇒ MSIF Global Opportunity Portfolio Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐
IRA #3 ⇒ Vanguard International Growth Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #3 ⇒ Eventide Gilead Class I [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐
IRA #3 ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐
IRA #3 ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class [OT] LOCATION: US DESCRIPTION: Mutual fund		03/14/2023	S	\$100,001 - \$250,000	☐
IRA #1 ⇒ Schwab Short-Term U.S. Treasury ETF (SCHO) [EF]	SP	01/23/2023	P	\$1,001 - \$15,000	
IRA #1 ⇒ Vanguard Total International Bond ETF (BNDX) [EF]	SP	01/23/2023	P	\$1,001 - \$15,000	
IRA #1 ⇒ PGIM Total Return Bond ETF (PTRB) [EF]	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Principal Mid Cap Fund [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Delaware Smid Cap Growth Fund [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ MSIF Global Opportunity Portfolio Class I [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Vanguard International Growth Fund (VWIGX) [MF]	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ PGIM Short Duration High Yield ETF (PSH) [EF]	SP	01/06/2023	S	\$15,001 - \$50,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #1 ⇒ Eventide Gilead Class I [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ T. Rowe Price Health Sciences Fund [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ AB Large Cap Growth Fund, Inc. - Advisor Class [OT] LOCATION: US DESCRIPTION: Mutual fund	SP	01/06/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Vanguard High Dividend Yield ETF (VYM) [EF]	SP	01/09/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Invesco QQQ Trust, Series 1 (QQQ) [EF]	SP	01/09/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	SP	01/09/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Southern Company (SO) [ST]	SP	01/09/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD) [EF]	SP	01/23/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #1 ⇒ Vanguard Growth ETF (VUG) [EF]	SP	01/23/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [EF]	SP	01/23/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #1 ⇒ VanEck Fallen Angel High Yield Bond ETF (ANGL) [EF]	SP	01/23/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ Xtrackers USD High Yield Corporate Bond ETF (HYLB) [EF]	SP	01/23/2023	S	\$1,001 - \$15,000	☐

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA #1 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]	SP	01/23/2023	S (partial)	\$1,001 - \$15,000	☐
IRA #1 ⇒ iShares U.S. Aerospace & Defense ETF (ITA) [EF]	SP	05/09/2023	P	\$15,001 - \$50,000	
IRA #1 ⇒ State Street Energy Select Sector SPDR ETF (XLE) [EF]	SP	05/09/2023	P	\$1,001 - \$15,000	
IRA #1 ⇒ JPMorgan Chase & Co 4.75% Depositary Shares Non-Cumulative Preferred Stock, Series GG (JPM.PRJ) [OT] LOCATION: US DESCRIPTION: Preferred stock	SP	05/09/2023	P	\$1,001 - \$15,000	
IRA #1 ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [EF]	SP	05/09/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ Vanguard Small-Cap Value ETF (VBR) [EF]	SP	03/20/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ Vanguard Small-Cap ETF (VB) [EF]	SP	03/20/2023	S	\$1,001 - \$15,000	☐
IRA #1 ⇒ Vanguard Value ETF (VTV) [EF]	SP	03/20/2023	S	\$50,001 - \$100,000	☐
IRA #1 ⇒ Vanguard Growth ETF (VUG) [EF]	SP	03/20/2023	S	\$50,001 - \$100,000	☐
IRA #1 ⇒ iShares MBS ETF (MBB) [EF]	SP	03/20/2023	S	\$15,001 - \$50,000	☐
IRA #1 ⇒ Invesco Emerging Markets Sovereign Debt ETF (PCY) [EF]	SP	03/20/2023	S	\$1,001 - \$15,000	☐
IRA #2 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		03/20/2023	S	\$15,001 - \$50,000	☐
IRA #2 ⇒ State Street SPDR Bloomberg 1-3 Month T-Bill ETF (BIL) [EF]		11/27/2023	S (partial)	\$15,001 - \$50,000	☐

* Investment Vehicle details available at the bottom of this form. For the complete list of asset type abbreviations, please visit

<https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Bancorp	May 2018	Revolving Line of Credit	\$50,001 - \$100,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Parter	Worldwide Equine Imaging, LLC
Partner COMMENTS: Unpaid	Global CT & Pet Imaging, LLC
Partner COMMENTS: Unpaid	Gulf Resources, LLC
Partner	Patient Practioners, LLC
Principal COMMENTS: Unpaid	Neal P. Dunn Consulting

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B INVESTMENT VEHICLE DETAILS

--

- NP Dunn BXS Pledge
- IRA #3
DESCRIPTION: Held at Morgan Stanley
- IRA #1 (Owner: SP)
DESCRIPTION: Held at Morgan Stanley
- IRA #2
DESCRIPTION: Held at Morgan Stanley
- NP Dunn TLF Pledge

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

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

Digitally Signed: Hon. Neal Patrick MD, Facs Dunn , 08/13/2026