AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
MACKINNON, ALEXANDER F.	U.S. DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA	10/24/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
FULL-TIME MAGISTRATE JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2017 **to** 12/31/2017
7. Chambers or Office Address		
255 E. TEMPLE ST. LOS ANGELES, CA 90012		

IMPORTANT NOTES: *The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.*

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. INVESTMENT PARTNERSHIPS (H)									
2. K&E 1995 PEF	A	Int./Div.	J	T					
3. K&E 1997 PEF	A	Int./Div.	J	T					
4. K&E 1999 PEF	B	Int./Div.	J	T					
5. K&E 2001 PEF	B	Int./Div.	J	T					
6. K&E 2003 PEF	C	Int./Div.	J	T					
7. K&E 2004 PEF	D	Int./Div.	J	T					
8. K&E 2005 PEF	E	Int./Div.	K	T					
9. K&E 2006 PEF	E	Int./Div.	K	T					
10. K&E 2007 PEF	D	Int./Div.	L	T					
11. K&E 2008 PEF	D	Int./Div.	L	T					
12. K&E 2009 PEF	C	Int./Div.	K	T					
13. K&E 2010 PEF	B	Int./Div.	K	T					
14. K&E 2012 PEF	A	Int./Div.	L	T					
15. K&E 2014 PEF	A	Int./Div.	L	T					
16. K&E 2015 PEF	A	Int./Div.	K	T					
17. K&E 1996 DIF	A	Int./Div.	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. K&E 1998 DIF	A	Int./Div.	J	T					
19. K&E 2000 DIF	D	Int./Div.	J	T					
20. K&E 2000-B DIF	A	Int./Div.	J	T					
21. K&E 2002 DIF	C	Int./Div.	J	T					
22. K&E 2003 DIF	D	Int./Div.	J	T					
23. K&E 2004 DIF	A	Int./Div.	J	T					
24. K&E 2004-B DIF	B	Int./Div.	J	T					
25. K&E 2005 DIF	E	Int./Div.	J	T					
26. K&E 2006 DIF	D	Int./Div.	J	T					
27. K&E 2008 DIF	D	Int./Div.	K	T					
28. K&E 2011 DIF	B	Int./Div.	J	T					
29. ACCEL-KKR GROWTH	A	Int./Div.	K	T					
30. ACCEL-KKR III	E	Int./Div.	K	T					
31. ACCEL-KKR IV	A	Int./Div.	K	T					
32. APAX VIII-B	A	Int./Div.	K	T					
33. BAIN CAPITAL ASIA II	A	Int./Div.	K	T					
34. CARLYLE ASIA PARTNERS IV	A	Int./Div.	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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35. CARLYLE VI	A	Int./Div.	K	T					
36. EDGEWATER CAPITAL PARTNERS II	A	Int./Div.	J	T					
37. FORTRESS REAL ESTATE	B	Int./Div.	J	T					
38. GEM REALTY FUND IV	D	Int./Div.	J	T					
39. IRVING PLACE III	D	Int./Div.	K	T					
40. OCM EUROPEAN PRINCIPAL FUND III	A	Int./Div.	K	T					
41. OCM OPPORTUNITIES IX (DISTRESSED)	C	Int./Div.	K	T					
42. OCM OPPORTUNITIES VIIB (DISTRESSED)	B	Int./Div.	J	T					
43. OCM OPPORTUNITIES VIII (DISTRESSED)	A	Int./Div.	J	T					
44. OCM OPPORTUNITIES VIIIB (DISTRESSED)	A	Int./Div.	K	T					
45. OCM POWER OPPORTUNITIES III	D	Int./Div.	K	T					
46. OCM PRINCIPAL OPPORTUNITIES IV (LBO)	C	Int./Div.	J	T					
47. OCM PRINCIPAL V (LBO)	A	Int./Div.	K	T					
48. SANKATY CREDIT OPPORTUNITIES III	A	Int./Div.	J	T					
49. SANKATY CREDIT OPPORTUNITIES IV	B	Int./Div.	J	T					
50. SILVER OAK SERVICES PARTNERS II	A	Int./Div.	K	T					
51. SUN VI	A	Int./Div.	K	T					

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52. VESTAR VI	A	Int./Div.	K	T					
53. WALTON STREET REAL ESTATE FUND VII	A	Int./Div.	K	T					
54. WARBURG PINCUS XI	B	Int./Div.	K	T					
55. IRVING PLACE III (DORAL B)	A	Int./Div.	J	T					
56.									
57. MERRILL LYNCH TRADITIONAL IRA 1 (H)									
58. BANK OF AMERICA N.A.	A	Interest	K	T					
59. VANGUARD 500 INDX ADMIRAL (VFIAX)	D	Dividend	O	T					
60. VANGUARD BAL INDEX ADM (VBIAX)	B	Dividend	L	T					
61. VANGUARD DIVIDEND GRW INV (VDIGX)	B	Dividend	M	T					
62. VANGUARD EURO STK INDX ADM (VEUSX)	B	Dividend	L	T					
63. VANGUARD GLOBAL EQUITY INV (VHGEX)	B	Dividend	L	T					
64. VANGUARD MID CAP INDEX ADM (VIMAX)	B	Dividend	M	T					
65.									
66. MERRILL LYNCH TRADITIONAL IRA 2 (H)									
67. BANK OF AMERICA N.A.	A	Interest	M	T					
68. DEUTSCHE GLOBAL HIGH (SGHSX)	D	Dividend	M	T	Buy	11/17/17	M		

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69. ISHARES MSCI EMERGING MKTS ETF (EEM)	D	Dividend	N	T	Sold (part)	03/24/17	K	B	
70.					Sold (part)	06/13/17	J	A	
71.					Sold (part)	09/13/17	K	C	
72.					Buy (add'l)	10/05/17	J		
73.					Sold (part)	10/25/17	J	A	
74.					Sold (part)	11/21/17	J	B	
75. ISHARES RUSSELL 1000 GRW ETF (IWF)	D	Dividend	N	T	Sold (part)	03/24/17	J	A	
76.					Sold (part)	06/13/17	J	B	
77.					Sold (part)	09/13/17	J	A	
78.					Buy (add'l)	10/05/17	J		
79.					Sold (part)	10/25/17	J	B	
80.					Sold (part)	11/21/17	J	B	
81. ISHARES RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	O	T	Buy (add'l)	03/24/17	K		
82.					Buy (add'l)	06/13/17	K		
83.					Buy (add'l)	09/13/17	J		
84.					Sold (part)	10/05/17	J	B	
85.					Sold (part)	10/25/17	J	A	

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86.					Buy (add'l)	11/21/17	J		
87. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	B	Dividend	M	T	Buy (add'l)	03/24/17	J		
88.					Sold (part)	06/13/17	J	A	
89.					Sold (part)	10/03/17	J	B	
90.					Buy (add'l)	10/25/17	J		
91.					Buy (add'l)	11/21/17	J		
92. ISHARES RUSSELL 2000 VALUE ETF (IWN)	C	Dividend	M	T	Buy (add'l)	03/24/17	J		
93.					Buy (add'l)	06/13/17	J		
94.					Buy (add'l)	09/13/17	J		
95.					Sold (part)	10/05/17	J	B	
96.					Buy (add'l)	10/25/17	J		
97.					Buy (add'l)	11/21/17	J		
98. ISHARES RUSSELL MIDCAP G ETF (IWP)	B	Dividend	M	T	Buy (add'l)	03/24/17	J		
99.					Sold (part)	06/13/17	J	A	
100.					Sold (part)	10/05/17	J	A	
101.					Sold (part)	10/25/17	J	A	
102.					Sold (part)	11/21/17	J	A	

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103. ISHARES RUSSELL MIDCAP V ETF (IWS)	C	Dividend	M	T	Buy (add'l)	03/24/17	J		
104.					Buy (add'l)	06/13/17	J		
105.					Buy (add'l)	09/13/17	J		
106.					Sold (part)	10/05/17	J	A	
107.					Buy (add'l)	11/21/17	J		
108. ISHARES 1-3 YEAR TREASURY BOND ETF (SHY)	B	Dividend	M	T	Buy (add'l)	03/24/17	J		
109.					Buy (add'l)	06/13/17	J		
110.					Buy (add'l)	09/13/17	J		
111.					Buy (add'l)	10/05/17	J		
112.					Buy (add'l)	10/25/17	J		
113.					Buy (add'l)	11/21/17	J		
114. ISHARES CORE US AGGREGATE BOND ETF (AGG)	C	Dividend	M	T	Buy (add'l)	03/24/17	J		
115.					Buy (add'l)	06/13/17	J		
116.					Buy (add'l)	09/13/17	J		
117.					Buy (add'l)	10/05/17	J		
118.					Buy (add'l)	10/25/17	J		
119.					Sold (part)	11/21/17	L	A	

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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
120. ISHARES TIPS BOND ETF (TIP)	C	Dividend	M	T	Buy (add'l)	03/24/17	J		
121.					Buy (add'l)	06/13/17	J		
122.					Buy (add'l)	09/13/17	J		
123.					Buy (add'l)	10/05/17	J		
124.					Buy (add'l)	10/25/17	J		
125.					Buy (add'l)	11/21/17	K		
126. ISHARES SHORT TREASURY BOND ETF (SHV)	B	Dividend	M	T	Buy (add'l)	03/24/17	J		
127.					Buy (add'l)	06/13/17	J		
128.					Buy (add'l)	09/13/17	J		
129.					Buy (add'l)	10/05/17	J		
130.					Buy (add'l)	10/25/17	J		
131.					Buy (add'l)	11/21/17	K		
132. ISHARES MSCI JAPAN ETF (EWJ)	B	Dividend	M	T	Buy (add'l)	03/24/17	J		
133.					Sold (part)	06/13/17	J	A	
134.					Buy (add'l)	09/13/17	J		
135.					Buy (add'l)	10/05/17	J		
136.					Sold (part)	10/25/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	11/21/17	J	A	
138. SPDR BLMBRG BARCLY INTL CRP COND ETF	A	Dividend			Buy	02/01/17	L		
139.					Sold	02/16/17	L	A	
140. SPDR BLMBRG BRCLY INTL TRSRY BOND ETF (BWX)	B	Dividend			Sold	02/01/17	L	A	
141. SPDR BLMBRG BRCLY HIGH YIELD BOND ETF (JNK)	D	Dividend			Buy (add'l)	03/24/17	J		
142.					Buy (add'l)	06/13/17	J		
143.					Buy (add'l)	09/13/17	J		
144.					Buy (add'l)	10/05/17	J		
145.					Buy (add'l)	10/25/17	J		
146.					Sold	11/21/17	M	A	
147. ISHARES TR MSCI EAFE (EFG)	D	Dividend	O	T	Sold (part)	03/24/17	K	B	
148.					Sold (part)	06/13/17	K	C	
149.					Sold (part)	09/13/17	J	A	
150.					Buy (add'l)	10/05/17	J		
151.					Sold (part)	10/25/17	J	A	
152.					Sold (part)	11/21/17	J	A	
153. VANGUARD TOTAL INTERNATL (BNDX)	B	Dividend	L	T	Buy	02/13/17	L		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	03/24/17	J		
155.					Buy (add'l)	06/13/17	J		
156.					Buy (add'l)	09/13/17	J		
157.					Buy (add'l)	10/05/17	J		
158.					Buy (add'l)	10/25/17	J		
159.					Sold (part)	11/21/17	J	A	
160.									
161. MERRILL LYNCH TRUST ACCOUNT (H)									
162. BANK OF AMERICA N.A.	A	Interest	K	T					
163. WESTTOWN TWP PA GENL OBLIG	A	Interest			Sold	06/15/17	L	A	
164. SAN FRAN CA CY-CO PUWTR REV SER A	C	Interest	L	T					
165. ROCK CNTY WIS GENL OBLIG ROCK HAVEN PROJ SER-B	C	Interest	M	T					
166. TOMBALL TEX CTFS OBLIG	C	Interest	M	T					
167. CALIFORNIA ST PUB WKS BRD LEASE REV	C	Interest	M	T					
168. CLOVIS CALIF WTR REV REF-I	C	Interest	M	T					
169. FREMONT CALIF CTFS PARTN REV	B	Interest	L	T					
170. PLEASANT HILL CALIF REC & PK DIST GENL OBLIG-B	B	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
171. SALIDA CALIF AREA PUB FACS FIN G AGY CMNTY FACS DIST SPL TAX	C	Interest	M	T					
172. ANTIOCH UNIFIED SCHOOL DIST GENL OBLIG SER-B	B	Interest	L	T					
173. SACRAMENTO CALIF CITY UNI SCH DIST REF	D	Interest	M	T					
174. ALVORD CALIF UNI SCH DIST SER-A	B	Interest	K	T					
175. SAN JOSE CALIF ARPT REV REF-B	B	Interest	L	T					
176. CALIFORNIA MUN FIN AUTH	B	Interest	L	T	Buy	06/19/17	L		
177. LINCOLN CALIF UNI SCH DIST SAN JOAQUIN SER-C	B	Interest	L	T					
178. SACRAMENTO CALIF MUN UTIL DIST FING AUTH REV REF	B	Interest	L	T					
179. LAYTONVILLE UNI SCH DIST CALI SER-A	B	Interest	L	T					
180. JOHN SWETT CALIF UNI SCH	B	Interest	L	T	Buy	06/19/17	L		
181. MARYLAND ST HEALTH & HIGHER EDL FACS AUTH REV-C	C	Interest	M	T					
182. NORTHERN CALIFORNIA POWER AGENCY HYDROELEC PJ-1 REV REF-A	B	Interest	L	T					
183. SANTA CLARA CALIF UNI SCH DIS OID	C	Interest	M	T					
184. SAN FRANCISCO CALIF CITY & CNT OID	B	Interest	L	T					
185.									
186. MORGAN STANLEY 2 PERSONAL ACCOUNT (H)									
187. MORGAN STANLEY BANK N.A.	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
188. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
189. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
190. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					
191. AMERICAN AMCAP A (AMCPX)	A	Dividend	K	T	Buy	06/13/17	J		
192. AMERICAN EUROPACIFIC GRW A (AEPGX)	A	Dividend	J	T	Buy	06/13/17	J		
193. AMERICAN INV CO OF AMER A (AIVSX)	A	Dividend	J	T					
194. AMERICAN MUTUAL A (AMRMX)	A	Dividend	K	T	Buy	06/13/17	J		
195. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	J	T	Buy	06/13/17	J		
196. AMERICAN SMALLCAP WORLD A (SMCWX)	A	Dividend	J	T	Buy	06/13/17	J		
197. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	J	T					
198.									
199. MORGAN STANLEY 2 TRADITIONAL IRA (H)									
200. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
201. AMERICAN AMCAP A (AMCPX)	A	Dividend	L	T					
202. AMERICAN EUROPACIFIC GRW F1 (AEGFX)	A	Dividend	L	T					
203. DEUTSCHE GLB INFRASTRUCTURE C (TOLCX)	A	Dividend	K	T					
204. DEUTSCHE UNCONSTRAINED INC A (KSTAX)	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
205. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	K	T					
206. VOYA GBL VALUE ADVANTAGE C (NAWCX)	A	Dividend	L	T					
207.									
208. MORGAN STANLEY 2 TRADITIONAL IRA 2 (H)									
209. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
210. DEUTSCHE X-TRACKERS MSCI EAF (DBEF)	A	Dividend			Sold	07/12/17	K	A	
211. ISHARES CORE MSCI EAFE ETF (IEFA)	B	Dividend	L	T	Buy (add'l)	07/12/17	K		
212. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	K	T	Sold (part)	07/12/17	J	A	
213. ISHARES IBOXX $ H/Y COR BD ETF (HYG)	A	Dividend	J	T	Sold (part)	07/12/17	J	A	
214. ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend	L	T	Buy (add'l)	07/12/17	J		
215. ISHARES RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T	Sold (part)	07/12/17	J	A	
216. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	07/12/17	J		
217. ISHARES RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T	Buy (add'l)	07/12/17	J		
218. ISHARES RUSSELL MIDCAP G ETF (IWP)	A	Dividend	K	T	Buy (add'l)	07/12/17	J		
219. ISHARES RUSSELL MIDCAP V ETF (IWS)	A	Dividend	K	T	Buy (add'l)	07/12/17	J		
220. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T	Buy (add'l)	06/20/17	J		
221.					Buy (add'l)	07/12/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
222. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	J	T					
223. VANGUARD SHORT TERM BND (BSV)	A	Dividend	K	T	Buy (add'l)	06/20/17	J		
224.					Sold (part)	07/12/17	J	A	
225. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	K	T	Buy (add'l)	06/20/17	J		
226.					Buy (add'l)	07/12/17	J		
227. WISDOMTREE TRUST JAPN HEDGE EQ (DXJ)	A	Dividend	J	T	Sold (part)	07/12/17	J	A	
228.									
229. MORGAN STANLEY 2 TRUST ACCOUNT (H)									
230. MORGAN STANLEY BANK N.A.	A	Interest	L	T					
231. ABBOTT LABORATORIES (ABT)	B	Dividend	M	T					
232. ABBVIE INC COM (ABBV)	C	Dividend	L	T					
233. AVERY DENNISON CORPORATION (AVY)	A	Dividend	K	T					
234. BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	A	Dividend	L	T					
235. BOEING CO (BA)	B	Dividend	L	T					
236. CHEVRON CORP (CVX)	B	Dividend	K	T					
237. COCA COLA CO (KO)	A	Dividend	K	T					
238. EDISON INTERNATIONAL (EIX)	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
239. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					
240. MICROSOFT CORP (MSFT)	B	Dividend	L	T					
241. NEXTERA ENERGY INC COM (NEE)	B	Dividend	L	T					
242. PRUDENTIAL PLC ADR (PUK)	A	Dividend	J	T					
243. TELEFONICA SA ADR (TEF)	A	Dividend	J	T					
244. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
245. WEC ENERGY GROUP INC COM (WEC)	A	Dividend	K	T					
246. SPDR S&P 500 ETF TRUST (SPY)	A	Dividend	K	T					
247. SPECIAL OPPORTUNITIES FD INC (SPE)	A	Dividend	K	T					
248. WISDOM TREE TOT DIV (DTD)	C	Dividend	M	T					
249. AMERICAN AMCAP A (AMCPX)	A	Dividend	M	T					
250. AMERICAN CAP WRLD GR & INC A (CWGIX)	D	Dividend	N	T					
251. AMERICAN EUROPACIFIC GRW A (AEPGX)	B	Dividend	M	T					
252. AMERICAN INV CO OF AMER A (AIVSX)	C	Dividend	M	T					
253. FIDELITY ADV STK SELECT MDCP C (FMCEX)	A	Dividend	L	T					
254. FRANKLIN CA INSURED TX FR A (FRCIX)	B	Dividend	L	T					
255. LORD ABBETT MID CAP STOCK C (LMCCX)	A	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
256. OPPENHEIMER DEVELOPING MKTS A (ODMAX)	A	Dividend	M	T					
257. OPPENHEIMER MAIN ST SELECT A (OMSOX)	B	Dividend	M	T					
258. OPPENHEIMER MID CAP VALUE A (QVSCX)	A	Dividend	M	T					
259.									
260. MORGAN STANLEY 2 TRUST ACCOUNT 2 (H)									
261. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
262. ALERIAN MLP ETF (AMLP)	E	Dividend	M	T	Buy (add'l)	11/13/17	K		
263. ISHARES MSCI EAFE SM CAP ETF (SCZ)	C	Dividend	M	T					
264. SPDR S&P 500 ETF TRUST (SPY)	D	Dividend	O	T					
265. VANGUARD EXTENDED MKT ETF (VXF)	B	Dividend	M	T					
266. VANGUARD FTSE DEVELOPED MKTS E (VEA)	D	Dividend	M	T					
267. VANGUARD FTSE EMERGING MARKETS (VWO)	C	Dividend	M	T					
268. VANGUARD MID-CAP ETF INDEX (VO)	C	Dividend	N	T					
269. AMERICAN TAX-EXEMPT BD FD F2 (TEAFX)	D	Dividend	M	T	Buy (add'l)	04/04/17	J		
270. PRINCIPAL PREFERRED SEC INST (PPSIX)	E	Dividend	N	T	Buy (add'l)	04/04/17	K		
271.									
272. MORGAN STANLEY 3 PERSONAL ACCOUNT (H)									

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
B =$1,001 - $2,500
C =$2,501 - $5,000
D =$5,001 - $15,000
E =$15,001 - $50,000
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
P1 =$1,000,001 - $5,000,000
P2 =$5,000,001 - $25,000,000
P3 =$25,000,001 - $50,000,000
P4 =More than $50,000,000
3. Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
U =Book Value
V =Other
W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
273. MORGAN STANLEY BANK, N.A.	A	Interest	M	T					
274. ABBOTT LABORATORIES (ABT)	B	Dividend	M	T					
275. ABBVIE INC COM (ABBV)	D	Dividend	M	T					
276. ADVANSIX INC (ASIX) (X)	A	Dividend	J	T					
277. ALCOA INC (AA)	A	Dividend	J	T					
278. ARCONIC INC (ARNC)	A	Dividend	J	T					
279. AT&T INC (T)	A	Dividend	J	T					
280. BANK OF NEW YORK MELLON CORP (BK)	A	Dividend	K	T					
281. BERKSHIRE HATHAWAY CL-B NEW (BRKB)	A	Dividend	J	T					
282. CISCO SYS INC (CSCO)	B	Dividend	L	T					
283. COMCAST CORP (NEW) CLASS A (CMCSA)	A	Dividend	J	T					
284. CONOCOPHILLIPS (COP)	A	Dividend	J	T					
285. EXXON MOBIL CORP (XOM)	B	Dividend	K	T					
286. HONEYWELL INTERNATIONAL INC (HON)	B	Dividend	L	T					
287. INTEL CORP (INTC)	A	Dividend	K	T					
288. LIFE STORAGE INC (LSI)	A	Dividend	K	T					
289. NCR CORPORATION (NCR)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
290. PHILLIPS 66 COM (PSX)	A	Dividend	J	T					
291. SCHLUMBERGER LTD (SLB)	A	Dividend	K	T					
292. SUN LIFE FINL SVCS CDA INC (SLF)	B	Dividend	K	T					
293. TERADATA CORP (TDC)	A	Dividend	J	T					
294. TEXAS INSTRUMENTS (TXN)	C	Dividend	M	T					
295. TRANSOCEAN LTD (RIG)	A	Dividend	J	T					
296. TWENTY-FIRST CENTURY FOX CL A (FOXA)	A	Dividend	J	T					
297. VERIZON COMMUNICATIONS (VZ)	A	Dividend	J	T					
298. VODAFONE GROUP PLC (VOD)	A	Dividend	J	T					
299. WALGREENS BOOTS ALLIANCE INC (WBA)	B	Dividend	M	T					
300. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
301. WILLIAMS CO INC (WMB)	A	Dividend	K	T					
302. WPX ENERGY INC (WPX)	A	Dividend	J	T					
303. AMERICAN BALANCED A (ABALX)	B	Dividend	L	T					
304. AMERICAN CAP WORLD GR & INC A (CWGIX)	B	Dividend	L	T	Buy	06/13/17	K		
305. AMERICAN NEW PERSPECTIVE A (ANWPX)	A	Dividend	L	T	Buy	06/13/17	K		
306. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	L	T	Buy	06/13/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
307. AMERICAN SMALL CAP WORLD A (SMCWX)	A	Dividend	K	T	Buy	06/13/17	K		
308. INVESCO VAN KAMPEN CALIF VALUE (VCV)	B	Dividend	K	T					
309. INVESCO BAL RISK COMM STRAT A (BRCAX)	A	Dividend	J	T					
310. INVESCO GLOBAL CORE EQUITY A (AWSAX)	A	Dividend	K	T					
311. MSIF GROWTH A (MSEGX)	A	Dividend	M	T					
312. MSIF TR MID CAP GROWTH A (MACGX)	A	Dividend	K	T					
313.									
314. MORGAN STANLEY 3 TRADITIONAL IRA (H)									
315. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
316. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
317. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	K	T					
318. DAVIS NEW YORK VENTURE C (NYVCX)	A	Dividend	K	T					
319. MS U.S. GOVERNMENT SEC TR I (USGDX)	A	Dividend	J	T					
320. MSIF GROWTH L (MSHLX)	A	Dividend	K	T					
321.									
322. WILMINGTON TRUST (H)									
323. APPLE INC	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
324. CAMBIAN INTERNATIONAL EQUITY FUND	C	Dividend	M	T					
325. ISHARES CORE S&P MID-CAP ETF	C	Dividend	N	T					
326. ISHARES RUSSELL 2000 VALUE ETF	B	Dividend	M	T					
327. ISHARES RUSSELL 2000 ETF	B	Dividend	M	T					
328. ISHARES S&P 500 GROWTH ETF	D	Dividend	N	T					
329. ORACLE CORPORATION COM	A	Dividend	J	T					
330. REAL ESTATE SELECT SECTOR SPDR FUND	A	Dividend	K	T					
331. STARBUCKS CORP COM	A	Dividend	J	T					
332. VANGUARD 500 INDEX FUND CLASS ADMIRAL	C	Dividend	N	T					
333. VANGUARD CONSUMER DISCRETIONARY ETF	A	Dividend	L	T	Sold (part)	02/14/17	J	A	
334. VANGUARD CONSUMER STAPLES ETF	A	Dividend	K	T					
335. VANGUARD EMERGING MARKETS STOCK INDEX FUND	C	Dividend	M	T					
336. VANGUARD ENERGY ETF	A	Dividend			Sold	08/04/17	K	A	
337. VANGUARD FINANCIALS ETF	B	Dividend	L	T	Buy	02/14/17	J		
338. VANGUARD HEALTH CARE ETF	B	Dividend	L	T	Buy	02/14/17	L		
339. VANGUARD INDUSTRIALS ETF	A	Dividend	L	T					
340. VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
341. VANGUARD MATERIALS ETF	A	Dividend	J	T					
342. VANGUARD TELECOMMUNICATION SERVICES ETF	A	Dividend	J	T					
343. VANGUARD UTILITIES ETF	A	Dividend	J	T					
344. NUVEEN HIGH YIELD MUNI CL-I	D	Dividend	M	T	Buy	08/04/17	L		
345. NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS I	C	Dividend			Sold	02/10/17	M	A	
346. VANGUARD INT-TRM TAX EXEMPT FUND	D	Dividend	N	T	Buy	08/04/17	M		
347. VANGUARD SHORT-TERM TAX-EXEMPT FUND CLASS ADMIRAL	D	Dividend	O	T					
348. UPPER SANTA CLARA VY CA POWER REVENUE	B	Dividend			Matured	08/01/17	K	A	
349. SONOMA CNTY CALIFORNIA JNR CLG DIST HIGHER EDUCATION	A	Dividend	K	T					
350. WASHINGTON STATE ECON DEV REVENUE BONDS	B	Dividend	K	T					
351. LEWISTON MAINE GENERAL OBLIGATION	A	Dividend	K	T					
352. CHELMSFORD MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
353. SAN FRANCISCO CITY & CNTY CALIFORNIA GENERAL OBLIGATION	B	Dividend	K	T					
354. NEWBURYPORT MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
355. OKLAHOMA STATE CAPITAL IMPT AUTHS GENERAL OBLIGATION	A	Dividend	K	T					
356. TRI-CNTY OREGON METRO TRANSPRTN DIST GENERAL OBLIGATION	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
357. SAN ANTONIO TEXAS ELEC & GAS UTILITIES REVENUE	B	Dividend	K	T					
358. SAN FRANCISCO CALIFORNIA CITY & CNTY REVENUE BONDS	B	Dividend	K	T					
359. NORTH LAKE TAHOE CALIFORNIA REVENUE BOND	B	Dividend	K	T					
360. EAST BAY CALIFORNIA UTILITY WATER REVENUE	A	Dividend	K	T					
361. ISHARES COHEN & STEERS REIT ETF	A	Dividend	K	T	Sold (part)	02/14/17	K	A	
362. ISHARES TIPS BOND ETF	B	Dividend	L	T					
363. BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS INSTITUTIONAL	A	Dividend	L	T	Sold (part)	02/10/17	K	A	
364. GATEWAY FUND CLASS Y	A	Dividend	L	T					
365. WILMINGTON TRUST BANK DEPOSIT SWEEP	A	Dividend	L	T					
366. WILMINGTON US GOVERNMENT MONEY MARKET FUND CLASS SELECT	A	Dividend	J	T					
367. ISHARES MSCI EAFE GROWTH ETF	A	Dividend			Sold	01/04/17	M	A	
368.									
369. BANK OF AMERICA, N.A. WEATH MGMT BOFA INTEREST CHECKING	A	Interest	M	T					
370. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 1	B	Interest	P1	T					
371. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 2	B	Interest	O	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
372. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 3	B	Interest	O	T					
373. BANK OF AMERICA, N.A. CORE CHECKING	A	Interest	M	T					
374. BANK OF AMERICA SAVINGS ACCOUNT	A	Interest	K	T					
375. BANK OF AMERICA INTEREST CHECKING	A	Interest	J	T	Open	08/01/17	J		
376. UNION BANK PRIVATE ADVANTAGE	A	Interest	J	T					
377. UNION BANK HIGH RATE MONEYMARKET	A	Interest	N	T					
378. WELLS FARGO HIGH YIELD SAVINGS	A	Interest	M	T					
379. WELLS FARGO PMA PRIME CHECKING ACCOUNT	A	Interest	L	T					
380. CHASE PRIVATE CLIENT	A	Interest	N	T					
381. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	N	T					
382. CITIBANK PRIVATE CLIENT INTEREST CHECKING	A	Interest	O	T					
383. CITIBANK PRIVATE BANK 6 MONTH CD	A	Interest	N	T					
384. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	M	T					
385. EDISON INTERNATIONAL	A	Dividend	J	T					
386. WISCONSIN ENERGY CORPORATION	A	Dividend	J	T					
387. NEXTERA ENERGY, INC	B	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
388.									
389. FIDELITY INVESTMENTS (H)									
390. FIDELITY INVESTMENTS	A	Int./Div.	J	T					
391. FIDELITY INT'L VALUE	A	Int./Div.	J	T					
392. FIDELITY INTL SMALL CAP OPP FUND	A	Int./Div.	J	T					
393. FIDELITY EQUITY DIVIDEND INCOME FUND	A	Int./Div.	K	T					
394. FIDELITY PURITAN	A	Int./Div.	K	T					
395.									
396. OPPENHEIMER & CO INC (H)									
397. OPPENHEIMER & CO INC ADVANTAGE BANK DEPOSITS	A	Interest	L	T					
398. AMERICAN ELEC PWR INC	A	Dividend	J	T					
399. FIRST INDUSTRIAL REALTY TRUST REIT	A	Dividend	J	T					
400. MEDICAL PPTYS TRUST INC REIT	A	Dividend	J	T					
401. SOUTHERN CO	B	Dividend	K	T					
402. MERRILL LYNCH CAP TR III	A	Dividend	J	T					
403. OPPENHEIMER GLOBAL STRATEGIC INCOME FD CLA	A	Dividend	J	T					
404. PUTNAM HIGH YIELD TRUST SBI CLA	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
405. ALLIANZGI EQUITY & CONV INCOME	A	Dividend	J	T					
406. BARINGS CORPORATE INVS CLOSED END	A	Dividend	J	T					
407. CBRE CLARION GLOBAL REAL ESTAT	A	Dividend	J	T					
408. GLADSTONE CAPITAL CORP	A	Dividend	J	T					
409. GLADSTONE INVT CORP	A	Dividend	J	T					
410. PROSPECT CAPITAL COPORATION	A	Dividend	J	T					
411. VOYA ASIA PAC DIVID EQUITY IN	A	Dividend	J	T					
412. VOYA GLBL EQTY DIV & PREM OPP	A	Dividend	J	T					
413. MICHIGAN ST HOSP FIN AUTH REV MI AMBAC 5.25% DUE 05/15/26 B/E REV OID	A	Interest	J	T					
414.									
415. ASSOCIATED BANK N.A. INDIVIDUAL HSA W	A	Interest	K	T					
416.									
417. JOHN HANCOCK - TERM POLICY		None	J	T					
418.									
419. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 1	B	Dividend	K	T					
420. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 2	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	10/24/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
421. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 3	B	Dividend	L	T					
422. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 4	A	Dividend	K	T					
423. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 5	A	Dividend	J	T					
424.									
425. HUNTINGTON NATIONAL BANK (H)									
426. CHECKING ACCOUNT	A	Int./Div.	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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MACKINNON, ALEXANDER F.	10/24/2019

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The following are changes made on Part VII (Investments and Trusts) of the report:

The asset name on line 276 of the prior report is changed to read "Advansix Incorporated (ASIX) (X)" on the amended report. This was previously owned but exempted from disclosure because the income and value were below the reporting thresholds.

The asset on line 344 (Nuveen High Yield Muni CL-I) of the prior report is corrected on the amended report to remove the sale information on columns D1-D4.

Nuveen Short Duration High Yield Municipal Bond Fund Class I is added on line 345 of the amended report. It also reflects sale information on columns D1-D4.

Bank of America Savings Account is added on line 374 of the amended report. This was not included in the prior report.

Bank of America Interest Checking is added on line 375 of the amended report. This was not included in the prior report.

The asset on line 378 (Chase Checking Account) of the prior report is removed on the amended report as it is exempted from disclosure because the income and value are below reporting thresholds.

The asset name on line 424 of the prior report is changed to read "Huntington National Bank (H)" on the amended report.

Blank row 425 of the prior report is removed on the amended report.

Columns B1 and C1 of the asset on line 426 (Checking Account) of the prior report is changed to reflect "A" and "K", respectively, on the amended report.

The asset on line 272 (JP Morgan US Small Comp-Inst) of the 2016 report is not reflected in the 2017 report because it was sold on 11/16/16 and properly reported on the 2016 report line 273.

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ ALEXANDER F. MACKINNON**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
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