

Judiciary Branch Personnel

Financial Disclosure Report (AO Form 10)

Filer's Information

Smith, Milan D

Report Year: 2018

Electronic Signature - I certify that all information provided (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.

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

/s/ Milan D Smith [electronically signed on 05/14/2019 by Milan D Smith in JEPS]

Certifying Official- I conclude that, based on the information contained in this report and to the best of my knowledge, this report is in compliance with the Ethics in Government Act, as amended, and other applicable laws and regulations.

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Ninth Judicial Circuit Historical Society	Law History	Director

II. Agreements

None

III A. Filer's Non-Investment Income

None

III B. Spouse's Non-Investment Income

#	SOURCE	DESCRIPTION
1	Self Employed Attorney	
2	Gogian Foundation-Trustee	
3	Trustee Fee - Family Trust	

IV. Reimbursements

None

V. Gifts

None

VI. Liabilities

None

VII. Investments and Trusts

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
General Electric Co.	\$1,000 or less	Dividend	None	Cash Market			
General Electric Co.					Sold	02/08/2018	\$15,001 - \$50,000
Intuitive Surgical Inc.	None	None	\$15,001 - \$50,000	Cash Market			
Intuitive Surgical Inc.					Sold	04/30/2018	\$15,000 or less
Intuitive Surgical Inc.					Sold	06/14/2018	\$15,000 or less
Intuitive Surgical Inc.					Sold	09/10/2018	\$15,000 or less
American Tower Corp CL A	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
American Tower Corp CL A					Sold	09/10/2018	\$15,000 or less
American Tower Corp CL A					Sold	11/20/2018	\$15,000 or less
Pepsico Incorporated	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Canadian Natl Ry Co.	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Canadian Natl Ry Co.					Sold	02/08/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Quanta SVCS Inc	None	None	\$15,001 - \$50,000	Cash Market			
Oneok Inc New	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
Oneok Inc New					Sold	06/28/2018	\$15,000 or less
Williams Partners LP Com Unit Ltd Part Int	\$1,001 - \$2,500	Distribution	None	Cash Market			
Williams Partners LP Com Unit Ltd Part Int					Sold	08/09/2018	\$15,001 - \$50,000
Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
Ishares Trust Barclays 1-3 Yr. Treasury Bd FD					Sold	04/30/2021	\$50,001 - \$100,000
Ishares Trust Barclays 1-3 Yr. Treasury Bd FD					Sold	06/27/2018	\$15,001 - \$50,000
Ishares Trust Barclays 1-3 Yr. Treasury Bd FD					Sold	10/25/2018	\$15,001 - \$50,000
Ishares Trust Barclays 1-3 Yr. Treasury Bd FD					Sold	11/27/2018	\$15,000 or less
MFA Mortgage Investments Inc. (MFA Financial Inc)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
Putnam Managed Municipal Income Trust-SBI	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Putnam Municipal Opportunities Trust-SBI	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Putnam Municipal Opportunities Trust-SBI					Sold	04/30/2018	\$15,000 or less
Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Cash Market			
Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Sold	02/09/2018	\$15,000 or less

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund						Sold	11/27/2018	\$15,000 or less
Ishares Barclays Intermediate Credit Bond Fund		\$5,001 - \$15,000	Dividend	None	Cash Market			
Ishares Barclays Intermediate Credit Bond Fund	See Note					Sold	08/01/2018	\$100,001 - \$250,000
Ishares Barclays 1-3 YR Credit Bond Fund ETF		\$5,001 - \$15,000	Dividend	None	Cash Market			
Ishares Barclays 1-3 YR Credit Bond Fund ETF	See Note					Sold	08/01/2018	\$250,001 - \$500,000
Ishares Barclays 1-3 YR Credit Bond Fund ETF						Sold	03/06/2018	\$50,001 - \$100,000
Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)		\$1,001 - \$2,500	Dividend	None	Cash Market			
Ishares Core US Credit Bond (FKA Ishares Trst Barclay Credit Bond ETF)	See Note					Sold	08/01/2018	\$50,001 - \$100,000
Ameren Corp		\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Ameren Corp						Sold	06/29/2018	\$15,000 or less
Abbott Laboratories		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Abbott Laboratories						Sold	04/30/2018	\$15,000 or less
Abbott Laboratories						Sold	06/14/2018	\$15,000 or less
Abbott Laboratories						Sold	09/10/2018	\$15,000 or less
Enterprise Products Partners LP		\$1,000 or less	Distribution	\$15,001 - \$50,000	Cash Market			
Blackrock Income Trust Inc		\$1,000 or less	Dividend	None	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Blackrock Income Trust Inc					Sold	02/08/2018	\$15,001 - \$50,000
Gabelli Dividend & Income Fund	\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
Eli Lilly & Co	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Eli Lilly & Co					Sold	10/30/2018	\$15,000 or less
Eli Lilly & Co					Sold	12/21/2021	\$15,000 or less
Tekla Healthcare Invs Sh Ben Int (FKA H & Q Healthcare Investors SBI)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Managed Duration Invt Grade Mun FD	\$1,000 or less	Dividend	None	Cash Market			
Managed Duration Invt Grade Mun FD					Sold	10/11/2018	\$15,001 - \$50,000
Managed Duration Invt Grade Mun FD					Sold	04/30/2018	\$15,000 or less
Ishares TR S&P Short Term Natl Amtfr	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
Ishares TR S&P Short Term Natl Amtfr					Sold	10/15/2018	\$15,001 - \$50,000
Textron Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	\$1,001 - \$2,500	Dividend	\$100,001 - \$250,000	Cash Market			
Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Sold	04/30/2018	\$15,000 or less
Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Sold	05/29/2018	\$15,001 - \$50,000

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Sold	06/27/2018	\$15,001 - \$50,000
Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Sold	11/20/2018	\$15,000 or less
BlackRock Credit Allocation	\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
BlackRock Credit Allocation					Sold	06/29/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund	\$1,001 - \$2,500	Dividend	\$100,001 - \$250,000	Cash Market			
Ishares Trust S&P Global Info Technology Sector Index Fund					Purchased	05/29/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	01/31/0201	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	02/08/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	05/01/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	09/11/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	10/11/2018	\$15,000 or less
Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	11/20/2018	\$15,000 or less
Corning Inc	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Corning Inc					Sold	04/30/2018	\$15,000 or less
Corning Inc					Sold	09/10/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Koninklijke Philips Electrs N V Sponsored ADR New 2000	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Koninklijke Philips Electrs N V Sponsored ADR New 2000					Sold	06/27/2018	\$15,000 or less
Koninklijke Philips Electrs N V Sponsored ADR New 2000					Sold	09/10/2018	\$15,000 or less
Columbia Fds Ser TR IX Tax Exempt FD CL A	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Gabelli Healthcare & Wellness Trust	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
BlackRock Equity Dividend Trust	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
Centerpoint Energy Inc.	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Centerpoint Energy Inc.					Purchased	09/10/2018	\$15,000 or less
American Electric Power Co Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
American Electric Power Co Inc					Purchased	09/10/2018	\$15,000 or less
Pimco ETF TR Enhanced Short Maturity	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
Southern Co	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Southern Co					Purchased	10/03/2018	\$15,000 or less
Ishares TR Dow Jones SEL Divid Index FD	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Ishares TR Dow Jones SEL Divid Index FD					Sold	06/29/2018	\$15,000 or less
FirstEnergy Corp	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Sempra Energy	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Sempra Energy					Sold	03/08/2018	\$15,000 or less
Anworth Mortgage Asset Corp	\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
Anworth Mortgage Asset Corp					Purchased	09/13/2018	\$15,000 or less
Frontier Communications Corp	\$2,501 - \$5,000	Dividend	None	Cash Market			
Frontier Communications Corp					Sold	04/30/2018	\$15,000 or less
Eaton Vance Risk Managed Global Diversified Equity Income	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Eaton Vance Risk Managed Global Diversified Equity Income					Sold	09/13/2018	\$15,000 or less
Intel Corp	\$1,000 or less	Dividend	None	Cash Market			
Intel Corp					Sold	03/08/2018	\$15,000 or less
Intel Corp					Sold	04/30/2018	\$15,001 - \$50,000
Intel Corp					Sold	05/31/2018	\$15,000 or less
Intel Corp					Sold	08/02/2018	\$15,001 - \$50,000
Intel Corp					Sold	08/28/2018	\$15,000 or less
Abbvie Inc.	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Abbvie Inc.					Sold	02/08/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Merck & Co. Inc.	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
Merck & Co. Inc.					Sold	11/20/2018	\$15,000 or less
Air Lease Corporation	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Air Lease Corporation					Purchased	09/10/2018	\$15,000 or less
Eaton Vance California Municipal Bond Fund	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Eaton Vance California Municipal Bond Fund					Purchased	10/17/2018	\$15,000 or less
Eaton Vance California Municipal Bond Fund					Sold	02/08/2018	\$15,000 or less
Eaton Vance California Municipal Bond Fund					Sold	03/08/2018	\$15,001 - \$50,000
Ishares 2018 AMT Free Muni Term ETF	\$1,000 or less	Dividend	None	Cash Market			
Ishares 2018 AMT Free Muni Term ETF					Sold	09/10/2018	\$15,001 - \$50,000
Conagra Foods Inc.	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Conagra Foods Inc.					Purchased	09/10/2018	\$15,000 or less
Conagra Foods Inc.					Sold	12/28/2018	\$15,000 or less
Citigroup Inc Com	\$1,000 or less	Dividend	None	Cash Market			
Citigroup Inc Com					Purchased	09/10/2018	None
Citigroup Inc Com					Sold	06/29/2018	\$15,000 or less
Citigroup Inc Com					Sold	12/28/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Neuberger Berman Real Estate Securities Income Fund	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Ishares 3 to 7 Year Treasury Bond ETF	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
Ishares 3 to 7 Year Treasury Bond ETF					Sold	03/08/2016	\$50,001 - \$100,000
Ishares 3 to 7 Year Treasury Bond ETF					Sold	03/16/2018	\$15,001 - \$50,000
Ishares 3 to 7 Year Treasury Bond ETF					Sold	04/10/2018	\$15,000 or less
Ishares 3 to 7 Year Treasury Bond ETF					Sold	04/30/2018	\$50,001 - \$100,000
Ishares US ETF Tr Short Term Maturity Bond ETF	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
One Gas Inc.	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
One Gas Inc.					Sold	09/10/2018	\$15,000 or less
Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF					Sold	10/25/2018	\$15,001 - \$50,000
Ishares Gold Trust	None	None	\$15,001 - \$50,000	Cash Market			
Sprott Physical Gold and Silver Trust	See Note	None	\$15,001 - \$50,000	Cash Market			
Central Fund of Canada LTD CL-A Non Voting Shares					Purchased	05/29/0201	\$15,000 or less
Pimco Intermediate Municipal Bond Active Exchange Traded Fund	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Pimco Intermediate Municipal Bond Active Exchange Traded Fund					Sold	12/28/2018	\$15,000 or less
Alps ETF TR Alerian MLP	\$1,000 or less	Dividend	None	Cash Market			
Alps ETF TR Alerian MLP					Sold	02/21/2018	\$15,000 or less
Alps ETF TR Alerian MLP					Sold	03/08/2018	\$15,001 - \$50,000
Pattern Energy Group Inc Class A	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Pattern Energy Group Inc Class A					Purchased	07/27/2018	\$15,000 or less
Centurylink Inc	\$5,001 - \$15,000	Dividend	\$15,001 - \$50,000	Cash Market			
Centurylink Inc					Purchased	02/08/2018	\$15,000 or less
Centurylink Inc					Purchased	04/30/2018	\$15,000 or less
Centurylink Inc					Sold	02/21/2018	\$15,000 or less
Centurylink Inc					Sold	04/30/2018	\$15,000 or less
Centurylink Inc					Sold	07/11/2018	\$15,000 or less
Centurylink Inc					Sold	09/21/2018	\$15,000 or less
Bank of Nova Scotia	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	\$1,001 - \$2,500	Dividend	None	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund					Sold	04/30/2018	\$15,001 - \$50,000
Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund					Sold	09/11/2018	\$50,001 - \$100,000
Eaton Corporation	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Eaton Corporation					Purchased	06/05/2018	\$15,000 or less
Vanguard Short Term Government Bond ETF	\$5,001 - \$15,000	Dividend	None	Cash Market			
Vanguard Short Term Government Bond ETF					Sold	04/09/2018	\$15,001 - \$50,000
Vanguard Short Term Government Bond ETF					Sold	04/30/2018	\$100,001 - \$250,000
Vanguard Short Term Government Bond ETF					Sold	05/11/2018	\$15,001 - \$50,000
Vanguard Short Term Government Bond ETF					Sold	06/29/2018	\$50,001 - \$100,000
Vanguard Short Term Government Bond ETF					Sold	07/11/2018	\$15,001 - \$50,000
Transamerica Advisors: Whole Life Insurance Policy		None	\$15,001 - \$50,000	Cash Market			
Aurora National Life Assurance: Whole Life Insurance Policy		None	\$15,001 - \$50,000	Cash Market			
Metlife: Whole Life Insurance Policy	\$1,000 or less	Int./Div.	\$1 - \$15,000	Cash Market			
Lamb Weston Holdings Inc Common Stock	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Lamb Weston Holdings Inc Common Stock					Sold	06/29/2018	\$15,000 or less

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Orbital Atk Inc Com	None	None	None	Cash Market			
Orbital Atk Inc Com					Sold	01/04/2018	\$15,000 or less
Vaneck Vectors ETF TR Gold Miners ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Vaneck Vectors ETF TR Gold Miners ETF					Purchased	09/11/2018	\$15,000 or less
Alps ETF TR Sprott Gold Miners ETF	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Alps ETF TR Sprott Gold Miners ETF					Sold	09/11/2018	\$15,000 or less
Alps ETF TR Sprott Gold Miners ETF					Sold	10/11/2018	\$15,000 or less
SPDR Ser TR S&P Biotech ETF	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
SPDR Ser TR S&P Biotech ETF					Sold	01/31/2018	\$15,000 or less
Franco-Nevada Corporation	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Franco-Nevada Corporation					Purchased	05/29/2018	\$15,000 or less
Franco-Nevada Corporation					Purchased	11/20/2018	\$15,000 or less
Franco-Nevada Corporation					Sold	10/10/2018	\$15,000 or less
Franco-Nevada Corporation					Sold	10/26/2018	\$15,000 or less
Pimco Stocksplus Short Fund Class	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
Pimco Stocksplus Short Fund Class					Purchased	02/12/2018	\$15,000 or less

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Pimco Stocksplus Short Fund Class					Purchased	04/30/2018	\$15,000 or less
Pimco Stocksplus Short Fund Class					Purchased	05/29/2018	\$15,000 or less
Pimco Stocksplus Short Fund Class					Purchased	12/21/2018	\$15,001 - \$50,000
Vanguard FTSE Developed Markets ETF	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
Vanguard FTSE Developed Markets ETF					Purchased	06/05/2018	\$15,000 or less
Vanguard FTSE Developed Markets ETF					Sold	02/08/2018	\$15,000 or less
Vanguard FTSE Developed Markets ETF					Sold	10/11/2018	\$15,000 or less
Vanguard FTSE Developed Markets ETF					Sold	12/21/2018	\$15,001 - \$50,000
Schwab Target 2030 Fund	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Schwab CA Tax Free Bond	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
Albemarle Corporation	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Albemarle Corporation					Purchased	06/29/2018	\$15,000 or less
Albemarle Corporation					Sold	05/29/2018	\$15,000 or less
Albemarle Corporation					Sold	10/10/2018	\$15,000 or less
Cryoport Inc Com	None	None	\$15,001 - \$50,000	Cash Market			
Cryoport Inc Com					Purchased	03/08/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
International Business Machines Corp	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
International Business Machines Corp					Purchased	04/30/2018	\$15,000 or less
International Business Machines Corp					Purchased	09/10/2018	\$15,000 or less
International Business Machines Corp					Purchased	10/25/2018	\$15,001 - \$50,000
International Business Machines Corp					Purchased	12/13/2018	\$15,000 or less
International Business Machines Corp					Sold	10/26/2018	\$15,000 or less
Kroger Co	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Kroger Co					Purchased	05/29/2018	\$15,000 or less
Kroger Co					Purchased	06/29/2018	\$15,000 or less
Kroger Co					Sold	09/10/2018	\$15,000 or less
Warrior Met Coal Inc Common Stock	\$5,001 - \$15,000	Dividend	\$15,001 - \$50,000	Cash Market			
Warrior Met Coal Inc Common Stock					Purchased	04/30/2018	\$15,001 - \$50,000
Warrior Met Coal Inc Common Stock					Purchased	05/11/2018	\$15,000 or less
Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Thornburg California Limited Term Municipal Fund CL I	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Thornburg California Limited Term Municipal Fund CL I					Sold	10/10/2018	\$15,001 - \$50,000

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RBC Insured Deposits	\$1,000 or less	Int./Div.	\$100,001 - \$250,000	Cash Market			
RBC Insured Deposits					Sold	04/10/2018	\$15,000 or less
B&G Foods Inc	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
B&G Foods Inc					Purchased	02/08/2018	\$15,000 or less
B&G Foods Inc					Purchased	09/10/2018	\$15,000 or less
B&G Foods Inc					Sold	04/10/2018	\$15,000 or less
Energy Transfer Partners LP	\$2,501 - \$5,000	Distribution	None	Cash Market			
Energy Transfer Partners LP					Sold	07/27/2018	\$15,000 or less
Energy Transfer Partners LP	See Note				Sold	10/19/2018	\$15,001 - \$50,000
Uniti Group Inc	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
Uniti Group Inc					Purchased	04/30/2018	\$15,001 - \$50,000
Uniti Group Inc					Sold	01/30/2018	\$15,000 or less
Uniti Group Inc					Sold	02/05/2018	\$15,001 - \$50,000
BT Group PLC American Depository Shs	\$1,000 or less	Dividend	None	Cash Market			
BT Group PLC American Depository Shs					Sold	03/08/2018	\$15,000 or less
Vanguard GNMA	\$1,000 or less	Dividend	\$100,001 - \$250,000	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Vanguard GNMA					Purchased	09/11/2018	\$15,001 - \$50,000
Vanguard GNMA					Purchased	10/11/2018	\$15,001 - \$50,000
Vanguard GNMA					Purchased	11/20/2018	\$50,001 - \$100,000
General Mills Inc	None	None	\$15,000 or less	Cash Market			
General Mills Inc					Purchased	12/31/2018	\$15,000 or less
Molson Coors Brewing Co B	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Molson Coors Brewing Co B					Purchased	11/20/2018	\$15,000 or less
Ventas Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Ventas Inc					Purchased	04/30/2018	\$15,000 or less
Kraft Heinz Co.	None	None	\$15,000 or less	Cash Market			
Kraft Heinz Co.					Purchased	11/20/2018	\$15,000 or less
Kraft Heinz Co.					Purchased	12/13/2018	\$15,000 or less
Kraft Heinz Co.					Sold	12/31/2018	\$15,000 or less
Salient Midstream & MLP Fund	None	None	\$15,000 or less	Cash Market			
Salient Midstream & MLP Fund					Purchased	10/30/2018	\$15,000 or less
GlaxoSmithKline PLC	None	None	\$15,000 or less	Cash Market			

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
GlaxoSmithKline PLC						Purchased	10/30/2018	\$15,000 or less
iShares Intermediate-Term Corporate Bond ETF		None	None	\$100,001 - \$250,000	Cash Market			
iShares Intermediate-Term Corporate Bond ETF	See Note					Purchased	08/01/2018	\$100,001 - \$250,000
iShares Short-Term Corporate Bond ETF		\$1,000 or less	None	\$100,001 - \$250,000	Cash Market			
iShares Short-Term Corporate Bond ETF	See Note					Purchased	08/01/2018	\$100,001 - \$250,000
SPDR Portfolio Short Term Treasury ETF		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
SPDR Portfolio Short Term Treasury ETF						Purchased	12/13/2018	\$15,001 - \$50,000
QTS Realty Trust, Inc.		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
QTS Realty Trust, Inc.						Purchased	07/11/2018	\$15,000 or less
QTS Realty Trust, Inc.						Purchased	09/10/2018	\$15,000 or less
QTS Realty Trust, Inc.						Purchased	09/21/2018	\$15,001 - \$50,000
QTS Realty Trust, Inc.						Purchased	10/03/2018	\$15,000 or less
Energy Transfer LP		\$1,001 - \$2,500	Distribution	\$15,001 - \$50,000	Cash Market			
Energy Transfer LP						Sold	11/20/2018	\$15,000 or less
Energy Transfer LP	See Note					Purchased	10/19/2018	\$15,001 - \$50,000
Gilead Sciences, Inc.		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Gilead Sciences, Inc.					Purchased	09/13/2018	\$15,000 or less
Global X MLP ETF	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
Global X MLP ETF					Purchased	02/21/2018	\$15,000 or less
Global X MLP ETF					Purchased	03/08/2018	\$15,001 - \$50,000
Global X MLP ETF					Purchased	09/13/2018	\$15,000 or less
Global X MLP ETF					Sold	12/28/2018	\$15,000 or less
Verizon Communications Inc	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
Verizon Communications Inc					Purchased	03/08/2018	\$15,000 or less
Royal Gold, Inc.	None	None	\$15,001 - \$50,000	Cash Market			
Royal Gold, Inc.					Purchased	10/10/2018	\$15,000 or less
Royal Gold, Inc.					Purchased	10/26/2018	\$15,000 or less
iShares Broad USD Investment Grade Corporate Bond ETF	None	None	\$50,001 - \$100,000	Cash Market			
iShares Broad USD Investment Grade Corporate Bond ETF	See Note				Purchased	08/01/2018	\$50,001 - \$100,000
American Century California Intermediate-Term Tax-Free Bond Fund Investor Class	\$1,000 or less	Dividend	\$100,001 - \$250,000	Cash Market			
American Century California Intermediate-Term Tax-Free Bond Fund Investor Class					Purchased	10/10/2018	\$50,001 - \$100,000

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
American Century California Intermediate-Term Tax-Free Bond Fund Investor Class					Purchased	09/11/2018	\$50,001 - \$100,000
Grizzly Short Fund	None	None	\$15,001 - \$50,000	Cash Market			
Grizzly Short Fund					Purchased	11/20/2018	\$15,001 - \$50,000
Newell Brands Inc.	\$1,000 or less	Dividend	None	Cash Market			
Newell Brands Inc.					Purchased	05/29/2018	\$15,000 or less
Newell Brands Inc.					Purchased	06/29/2018	\$15,000 or less
Newell Brands Inc.					Sold	10/26/2018	\$15,000 or less
Newell Brands Inc.					Sold	12/21/2018	\$15,000 or less
Global X Lithium & Battery Tech ETF	None	None	None	Cash Market			
Global X Lithium & Battery Tech ETF					Purchased	03/08/2018	\$15,000 or less
Global X Lithium & Battery Tech ETF					Sold	12/21/2018	\$15,000 or less
United States Treasury Bill	None	None	\$250,001 - \$500,000	Cash Market			
United States Treasury Bill					Purchased	05/11/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	05/29/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/14/2018	\$50,001 - \$100,000
United States Treasury Bill					Purchased	06/19/2018	\$50,001 - \$100,000

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
United States Treasury Bill					Purchased	06/21/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/28/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	11/28/2018	\$15,000 or less
United States Treasury Bill					Purchased	12/10/2018	\$15,001 - \$50,000
United States Treasury Bill	None	None	\$100,001 - \$250,000	Cash Market			
United States Treasury Bill					Purchased	06/14/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/21/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/28/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/29/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	09/10/2018	\$50,001 - \$100,000
United States Treasury Bill	None	None	\$250,001 - \$500,000	Cash Market			
United States Treasury Bill					Purchased	05/11/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	09/06/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	09/10/2018	\$100,001 - \$250,000
United States Treasury Bill					Purchased	09/11/2018	\$15,001 - \$50,000
United States Treasury Bill	None	None	\$100,001 - \$250,000	Cash Market			

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
United States Treasury Bill					Purchased	06/28/2018	\$15,000 or less
United States Treasury Bill					Purchased	09/11/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	11/28/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	12/06/2018	\$50,001 - \$100,000
United States Treasury Bill					Purchased	12/07/2018	\$15,001 - \$50,000
United States Treasury Bill	None	None	\$15,001 - \$50,000	Cash Market			
United States Treasury Bill					Purchased	10/15/2018	\$15,001 - \$50,000
United States Treasury Bill	None	None	\$15,001 - \$50,000	Cash Market			
United States Treasury Bill					Purchased	03/08/2018	\$15,001 - \$50,000
United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
United States Treasury Bill					Purchased	02/08/2018	\$100,001 - \$250,000
United States Treasury Bill					Purchased	05/03/2018	\$15,001 - \$50,000
United States Treasury Bill					Sold	05/03/2015	\$100,001 - \$250,000
United States Treasury Bill					Sold	06/07/2018	\$15,001 - \$50,000
United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
United States Treasury Bill					Purchased	03/16/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	04/30/2018	\$100,001 - \$250,000

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
United States Treasury Bill					Purchased	05/11/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	05/29/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/07/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	06/14/2018	\$15,001 - \$50,000
United States Treasury Bill					Sold	12/06/2018	\$250,001 - \$500,000
United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
United States Treasury Bill					Purchased	03/16/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	04/10/2018	\$15,001 - \$50,000
United States Treasury Bill					Purchased	04/30/2018	\$100,001 - \$250,000
United States Treasury Bill					Purchased	05/29/2018	\$15,001 - \$50,000
United States Treasury Bill					Sold	09/06/2018	\$250,001 - \$500,000
United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
United States Treasury Bill					Purchased	03/16/2018	\$15,001 - \$50,000
United States Treasury Bill					Sold	09/13/2018	\$15,001 - \$50,000
United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
United States Treasury Bill					Purchased	03/16/2018	\$50,001 - \$100,000
United States Treasury Bill					Purchased	04/10/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
United States Treasury Bill					Purchased	04/30/2018	\$100,001 - \$250,000
United States Treasury Bill					Sold	06/07/2018	\$250,001 - \$500,000
United States Treasury Sec Strips	None	None	\$15,001 - \$50,000	Cash Market			
United States Treasury Sec Strips					Purchased	06/29/2018	\$15,001 - \$50,000
United States Treasury Note Strpped Principal Payment	None	None	\$15,001 - \$50,000	Cash Market			
United States Treasury Note Strpped Principal Payment					Purchased	07/11/2018	\$15,001 - \$50,000
Strips Tint Due 02/15/2020	None	None	\$15,001 - \$50,000	Cash Market			
Strips Tint Due 02/15/2020					Purchased	09/12/2018	\$15,001 - \$50,000
Strips Tint Due 08/15/2020	None	None	\$15,001 - \$50,000	Cash Market			
Strips Tint Due 08/15/2020					Purchased	09/13/2018	\$15,001 - \$50,000
United States Treasury Stripped Int Pmt Generic Tint Pmt	None	None	\$15,001 - \$50,000	Cash Market			
United States Treasury Stripped Int Pmt Generic Tint Pmt					Purchased	11/27/2018	\$15,001 - \$50,000
Strips Tint Due 02/15/2021	None	None	\$15,001 - \$50,000	Cash Market			
Strips Tint Due 02/15/2021					Purchased	12/10/2018	\$15,001 - \$50,000

Additional Information or Explanation

PART	#	NOTE
VII.	14.1	Asset #14 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #100.
VII.	15.1	Asset #15 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #101.
VII.	16.1	Asset #16 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #109.
VII.	59	Central Fund of Canada LTD CL-A Non Voting Shares had a name change in 2018. The asset name has been changed to Sprott Physical Gold and Silver Trust.
VII.	90.2	Asset #90 merges with asset #104 on 10/19/2018.
VII.	100.1	Asset #14 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #100.
VII.	101.1	Asset #15 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #101.
VII.	104.2	Asset #90 merges with asset #104 on 10/19/2018.
VII.	109.1	Asset #16 had a ticker change on 08/01/2018. The transaction resulted in the creation of asset #109.