

## Judiciary Branch Personnel

### Financial Disclosure Report (AO Form 10)

#### Filer's Information

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**Benitez, Roger T**

Report Year: 2019

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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/ Benitez, Roger T [electronically signed on 04/28/2020 by Benitez, Roger T in JEPS]**

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## I. Positions

| # | ORGANIZATION NAME                                  | ORGANIZATION TYPE  | POSITION HELD                             |
|---|----------------------------------------------------|--------------------|-------------------------------------------|
| 1 | Thomas Jefferson School of Law                     | University/College | Board of Trustees-<br>Corporate Secretary |
| 2 | Association of Business Trial Lawyers of San Diego | Non-Profit         | Board of Trustees                         |
| 3 | Family Trust                                       | Trust              | Trustee                                   |

## II. Agreements

None

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## III A. Filer's Non-Investment Income

None

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## III B. Spouse's Non-Investment Income

| # | SOURCE                               | DESCRIPTION |
|---|--------------------------------------|-------------|
| 1 | California State Teachers Retirement |             |

## IV. Reimbursements

None

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## V. Gifts

None

## VI. Liabilities

| # | CREDITOR           | TYPE                        | VALUE                 |
|---|--------------------|-----------------------------|-----------------------|
| 1 | Quicken Home Loans | Mortgage on rental property | \$100,001 - \$250,000 |

## VII. Investments and Trusts

| #     | DESCRIPTION                                      | INCOME<br>AMOUNT       | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|-------|--------------------------------------------------|------------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 1     | Parcel 4 Salton City, Ca                         |                        | None           | \$1 - \$15,000                | Estimated       |             |             |                     |
| 2     | Parcel 5 San Diego, CA                           | \$15,001 -<br>\$50,000 | Rent           | \$500,001 -<br>\$1,000,000    | Estimated       |             |             |                     |
| 3     | Note (X)- Steve and Anna<br>Seibert              | \$15,001 -<br>\$50,000 | Interest       | \$100,001 -<br>\$250,000      | Cash Market     |             |             |                     |
| 4     | Northern Life Annuity/ING<br>now VOYA TSA group1 | \$1,001 -<br>\$2,500   | Interest       | \$50,001 -<br>\$100,000       | Cash Market     |             |             |                     |
| 5     | Ameritrade Account #1                            |                        |                |                               |                 |             |             |                     |
| 5.1   | Sweep Account - TD Bank                          | \$1,001 -<br>\$2,500   | Interest       | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                     |
| 5.2   | Annaly Capital- NLY                              | \$1,000 or less        | Dividend       | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                     |
| 5.2.1 | Annaly Capital- NLY                              |                        |                |                               |                 | Sold        | 04/12/2019  | \$15,000 or<br>less |
| 5.2.2 | Annaly Capital- NLY                              |                        |                |                               |                 | Purchased   | 05/03/2019  | \$15,000 or<br>less |
| 5.2.3 | Annaly Capital- NLY                              |                        |                |                               |                 | Purchased   | 05/03/2019  | \$15,000 or<br>less |

| #      | DESCRIPTION                           | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE       |
|--------|---------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|-----------------------|
| 5.2.4  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 06/04/2019  | \$15,000 or less      |
| 5.2.5  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 06/05/2019  | \$15,000 or less      |
| 5.2.6  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 07/16/2019  | \$15,000 or less      |
| 5.2.7  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 08/21/2019  | \$15,000 or less      |
| 5.2.8  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 09/12/2019  | \$15,000 or less      |
| 5.2.9  | Annaly Capital- NLY                   |                  |                |                               |                 | Purchased   | 09/13/2019  | \$15,000 or less      |
| 5.2.10 | Annaly Capital- NLY                   |                  |                |                               |                 | Sold        | 12/09/2019  | \$15,000 or less      |
| 5.3    | Alibaba Group Holding LTD-common-BABA | None             | None           | \$100,001 - \$250,000         | Cash Market     |             |             |                       |
| 5.3.1  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 03/06/2019  | \$15,001 - \$50,000   |
| 5.3.2  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Sold        | 03/28/2019  | \$50,001 - \$100,000  |
| 5.3.3  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Sold        | 04/01/2019  | \$100,001 - \$250,000 |
| 5.3.4  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 04/03/2019  | \$15,001 - \$50,000   |
| 5.3.5  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 04/23/2019  | \$15,001 - \$50,000   |
| 5.3.6  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 04/26/2019  | \$15,001 - \$50,000   |
| 5.3.7  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 04/29/2019  | \$15,001 - \$50,000   |
| 5.3.8  | Alibaba Group Holding LTD-common-BABA |                  |                |                               |                 | Purchased   | 05/07/2019  | \$15,001 - \$50,000   |

| #      | DESCRIPTION                               | INCOME<br>AMOUNT       | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|-------------------------------------------|------------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 5.3.9  | Alibaba Group Holding LTD-<br>common-BABA |                        |                |                               |                 | Purchased   | 06/18/2019  | \$15,001 -<br>\$50,000 |
| 5.3.10 | Alibaba Group Holding LTD-<br>common-BABA |                        |                |                               |                 | Purchased   | 07/17/2019  | \$15,001 -<br>\$50,000 |
| 5.3.11 | Alibaba Group Holding LTD-<br>common-BABA |                        |                |                               |                 | Purchased   | 08/06/2019  | \$15,001 -<br>\$50,000 |
| 5.3.12 | Alibaba Group Holding LTD-<br>common-BABA |                        |                |                               |                 | Sold        | 09/05/2019  | \$15,001 -<br>\$50,000 |
| 5.3.13 | Alibaba Group Holding LTD-<br>common-BABA |                        |                |                               |                 | Sold        | 09/11/2019  | \$15,001 -<br>\$50,000 |
| 5.4    | Regions Financial Corp                    | \$1,000 or less        | Gain           | None                          | Cash Market     |             |             |                        |
| 5.4.1  | Regions Financial Corp                    |                        |                |                               |                 | Sold        | 02/12/2019  | \$15,000 or<br>less    |
| 5.5    | Advanced Micro Devices Inc                | \$15,001 -<br>\$50,000 | Gain           | None                          | Cash Market     |             |             |                        |
| 5.5.1  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or<br>less    |
| 5.5.2  | Advanced Micro Devices Inc                |                        |                |                               |                 | Sold        | 02/12/2019  | \$15,000 or<br>less    |
| 5.5.3  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 04/08/2019  | \$15,000 or<br>less    |
| 5.5.4  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 04/11/2019  | \$15,000 or<br>less    |
| 5.5.5  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 04/12/2019  | \$15,000 or<br>less    |
| 5.5.6  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 04/17/2019  | \$15,000 or<br>less    |
| 5.5.7  | Advanced Micro Devices Inc                |                        |                |                               |                 | Sold        | 06/11/2019  | \$15,001 -<br>\$50,000 |
| 5.5.8  | Advanced Micro Devices Inc                |                        |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or<br>less    |

| #      | DESCRIPTION                | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 5.5.9  | Advanced Micro Devices Inc |                  |                |                               |                 | Sold        | 07/29/2019  | \$15,000 or less    |
| 5.5.10 | Advanced Micro Devices Inc |                  |                |                               |                 | Purchased   | 06/05/2019  | \$15,000 or less    |
| 5.6    | General Electric Co        | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                     |
| 5.6.1  | General Electric Co        |                  |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or less    |
| 5.6.2  | General Electric Co        |                  |                |                               |                 | Purchased   | 01/31/2019  | \$15,000 or less    |
| 5.6.3  | General Electric Co        |                  |                |                               |                 | Sold        | 02/12/2019  | \$15,000 or less    |
| 5.7    | United Technologies Corp   | None             | None           | \$15,001 - \$50,000           | Cash Market     |             |             |                     |
| 5.7.1  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or less    |
| 5.7.2  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 01/31/2019  | \$15,000 or less    |
| 5.7.3  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 02/13/2019  | \$15,000 or less    |
| 5.7.4  | United Technologies Corp   |                  |                |                               |                 | Sold        | 03/20/2019  | \$15,001 - \$50,000 |
| 5.7.5  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 04/02/2019  | \$15,001 - \$50,000 |
| 5.7.6  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 04/11/2019  | \$15,000 or less    |
| 5.7.7  | United Technologies Corp   |                  |                |                               |                 | Sold        | 04/23/2019  | \$15,001 - \$50,000 |
| 5.7.8  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less    |
| 5.7.9  | United Technologies Corp   |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less    |

| #      | DESCRIPTION                   | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|-------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 5.7.10 | United Technologies Corp      |                  |                |                               |                 | Purchased   | 11/08/2019  | \$15,000 or less    |
| 5.8    | Southwest Airlines Co         | None             | None           | None                          | Cash Market     |             |             |                     |
| 5.8.1  | Southwest Airlines Co         |                  |                |                               |                 | Purchased   | 01/25/2019  | \$15,000 or less    |
| 5.8.2  | Southwest Airlines Co         |                  |                |                               |                 | Sold        | 03/15/2019  | \$15,000 or less    |
| 5.8.3  | Southwest Airlines Co         |                  |                |                               |                 | Purchased   | 04/24/2019  | \$15,001 - \$50,000 |
| 5.8.4  | Southwest Airlines Co         |                  |                |                               |                 | Purchased   | 06/10/2019  | \$15,000 or less    |
| 5.8.5  | Southwest Airlines Co         |                  |                |                               |                 | Sold        | 06/27/2019  | \$15,000 or less    |
| 5.8.6  | Southwest Airlines Co         |                  |                |                               |                 | Sold        | 07/01/2019  | \$15,000 or less    |
| 5.8.7  | Southwest Airlines Co         |                  |                |                               |                 | Sold        | 07/12/2019  | \$15,000 or less    |
| 5.9    | Exelixis, Inc. - Common Stock | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                     |
| 5.9.1  | Exelixis, Inc. - Common Stock |                  |                |                               |                 | Purchased   | 01/31/2019  | \$15,000 or less    |
| 5.9.2  | Exelixis, Inc. - Common Stock |                  |                |                               |                 | Purchased   | 03/06/2019  | \$15,000 or less    |
| 5.9.3  | Exelixis, Inc. - Common Stock |                  |                |                               |                 | Sold        | 03/15/2019  | \$15,000 or less    |
| 5.10   | General Mills Inc             | None             | None           | None                          | Cash Market     |             |             |                     |
| 5.10.1 | General Mills Inc             |                  |                |                               |                 | Purchased   | 02/12/2019  | \$15,000 or less    |
| 5.10.2 | General Mills Inc             |                  |                |                               |                 | Purchased   | 02/15/2019  | \$15,000 or less    |
| 5.10.3 | General Mills Inc             |                  |                |                               |                 | Purchased   | 02/15/2019  | \$15,000 or less    |

| #      | DESCRIPTION                            | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE      |
|--------|----------------------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|----------------------|
| 5.10.4 | General Mills Inc                      |                   |                |                               |                 | Purchased   | 03/21/2019  | \$15,000 or less     |
| 5.10.5 | General Mills Inc                      |                   |                |                               |                 | Purchased   | 03/27/2019  | \$15,000 or less     |
| 5.10.6 | General Mills Inc                      |                   |                |                               |                 | Purchased   | 04/16/2019  | \$15,000 or less     |
| 5.10.7 | General Mills Inc                      |                   |                |                               |                 | Purchased   | 04/17/2019  | \$15,000 or less     |
| 5.10.8 | General Mills Inc                      |                   |                |                               |                 | Sold        | 04/23/2019  | \$50,001 - \$100,000 |
| 5.11   | KALA Pharmaceuticals, Inc              | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                      |
| 5.11.1 | KALA Pharmaceuticals, Inc              |                   |                |                               |                 | Purchased   | 02/12/2019  | \$15,000 or less     |
| 5.11.2 | KALA Pharmaceuticals, Inc              |                   |                |                               |                 | Sold        | 03/04/2019  | \$15,000 or less     |
| 5.12   | Cytori Therapeutics Inc - Common Stock | None              | None           | None                          | Cash Market     |             |             |                      |
| 5.12.1 | Cytori Therapeutics Inc - Common Stock |                   |                |                               |                 | Purchased   | 02/14/2019  | \$15,000 or less     |
| 5.12.2 | Cytori Therapeutics Inc - Common Stock |                   |                |                               |                 | Sold        | 03/04/2019  | \$15,000 or less     |
| 5.13   | Berkshire Hathaway Inc                 | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                      |
| 5.13.1 | Berkshire Hathaway Inc                 |                   |                |                               |                 | Purchased   | 03/07/2019  | \$15,001 - \$50,000  |
| 5.13.2 | Berkshire Hathaway Inc                 |                   |                |                               |                 | Purchased   | 03/15/2019  | \$15,001 - \$50,000  |
| 5.13.3 | Berkshire Hathaway Inc                 |                   |                |                               |                 | Sold        | 04/01/2019  | \$15,001 - \$50,000  |
| 5.14   | Direxion Daily Gold Miners Inde        | \$1,001 - \$2,500 | Gain           | None                          | Cash Market     |             |             |                      |

| #      | DESCRIPTION                        | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 5.14.1 | Direxion Daily Gold Miners<br>Inde |                  |                |                               |                 | Purchased   | 03/07/2019  | \$15,000 or<br>less    |
| 5.14.2 | Direxion Daily Gold Miners<br>Inde |                  |                |                               |                 | Sold        | 03/13/2019  | \$15,000 or<br>less    |
| 5.15   | Hainebrand Inc                     | None             | None           | None                          | Cash Market     |             |             |                        |
| 5.15.1 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 03/11/2019  | \$15,000 or<br>less    |
| 5.15.2 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 03/27/2019  | \$15,000 or<br>less    |
| 5.15.3 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 04/16/2019  | \$15,000 or<br>less    |
| 5.15.4 | Hainebrand Inc                     |                  |                |                               |                 | Sold        | 04/23/2019  | \$15,001 -<br>\$50,000 |
| 5.15.5 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 07/19/2019  | \$15,000 or<br>less    |
| 5.15.6 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 07/19/2019  | \$15,000 or<br>less    |
| 5.15.7 | Hainebrand Inc                     |                  |                |                               |                 | Purchased   | 08/02/2019  | \$15,000 or<br>less    |
| 5.15.8 | Hainebrand Inc                     |                  |                |                               |                 | Sold        | 08/21/2019  | \$15,000 or<br>less    |
| 5.16   | Roche Holdings AG                  | None             | None           | None                          | Cash Market     |             |             |                        |
| 5.16.1 | Roche Holdings AG                  |                  |                |                               |                 | Purchased   | 03/27/2019  | \$15,000 or<br>less    |
| 5.16.2 | Roche Holdings AG                  |                  |                |                               |                 | Purchased   | 04/12/2019  | \$15,000 or<br>less    |
| 5.16.3 | Roche Holdings AG                  |                  |                |                               |                 | Sold        | 04/17/2019  | \$15,000 or<br>less    |
| 5.17   | Honeywell Intl Inc                 | \$1,000 or less  | Dividend       | \$50,001 -<br>\$100,000       | Cash Market     |             |             |                        |

| #       | DESCRIPTION        | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|---------|--------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 5.17.1  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 04/04/2019  | \$15,001 -<br>\$50,000 |
| 5.17.2  | Honeywell Intl Inc |                  |                |                               |                 | Sold        | 04/24/2019  | \$15,001 -<br>\$50,000 |
| 5.17.3  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 04/25/2019  | \$15,001 -<br>\$50,000 |
| 5.17.4  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 05/07/2019  | \$15,001 -<br>\$50,000 |
| 5.17.5  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 08/02/2019  | \$15,001 -<br>\$50,000 |
| 5.17.6  | Honeywell Intl Inc |                  |                |                               |                 | Sold        | 08/05/2019  | \$15,001 -<br>\$50,000 |
| 5.17.7  | Honeywell Intl Inc |                  |                |                               |                 | Sold        | 09/19/2019  | \$15,001 -<br>\$50,000 |
| 5.17.8  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 09/23/2019  | \$15,001 -<br>\$50,000 |
| 5.17.9  | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 09/23/2019  | \$15,001 -<br>\$50,000 |
| 5.17.10 | Honeywell Intl Inc |                  |                |                               |                 | Purchased   | 11/18/2019  | \$15,001 -<br>\$50,000 |
| 5.18    | Costco             | None             | None           | None                          | Cash Market     |             |             |                        |
| 5.18.1  | Costco             |                  |                |                               |                 | Purchased   | 04/08/2019  | \$15,001 -<br>\$50,000 |
| 5.18.2  | Costco             |                  |                |                               |                 | Purchased   | 04/11/2019  | \$15,001 -<br>\$50,000 |
| 5.18.3  | Costco             |                  |                |                               |                 | Sold        | 05/01/2019  | \$15,001 -<br>\$50,000 |
| 5.18.4  | Costco             |                  |                |                               |                 | Purchased   | 08/29/2019  | \$15,001 -<br>\$50,000 |
| 5.18.5  | Costco             |                  |                |                               |                 | Sold        | 12/06/2019  | \$15,001 -<br>\$50,000 |

| #      | DESCRIPTION        | INCOME<br>AMOUNT | INCOME<br>TYPE    | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|--------------------|------------------|-------------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 5.19   | Fluor Corp         | \$1,000 or less  | Gain,<br>Dividend | None                          | Cash Market     |             |             |                        |
| 5.19.1 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 06/11/2019  | \$15,000 or<br>less    |
| 5.19.2 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 06/10/2019  | \$15,000 or<br>less    |
| 5.19.3 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 07/16/2019  | \$15,000 or<br>less    |
| 5.19.4 | Fluor Corp         |                  |                   |                               |                 | Sold        | 07/30/2019  | \$15,001 -<br>\$50,000 |
| 5.19.5 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 08/20/2019  | \$15,000 or<br>less    |
| 5.19.6 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 09/13/2019  | \$15,000 or<br>less    |
| 5.19.7 | Fluor Corp         |                  |                   |                               |                 | Sold        | 09/20/2019  | \$15,000 or<br>less    |
| 5.19.8 | Fluor Corp         |                  |                   |                               |                 | Purchased   | 12/02/2019  | \$15,000 or<br>less    |
| 5.19.9 | Fluor Corp         |                  |                   |                               |                 | Sold        | 12/26/2019  | \$15,000 or<br>less    |
| 5.20   | Valero Energy Corp | None             | None              | None                          | Cash Market     |             |             |                        |
| 5.20.1 | Valero Energy Corp |                  |                   |                               |                 | Purchased   | 04/16/2019  | \$15,001 -<br>\$50,000 |
| 5.20.2 | Valero Energy Corp |                  |                   |                               |                 | Purchased   | 04/17/2019  | \$15,000 or<br>less    |
| 5.20.3 | Valero Energy Corp |                  |                   |                               |                 | Sold        | 04/24/2019  | \$15,001 -<br>\$50,000 |
| 5.21   | Qual Comm Inc      | None             | None              | None                          | Cash Market     |             |             |                        |
| 5.21.1 | Qual Comm Inc      |                  |                   |                               |                 | Purchased   | 04/23/2019  | \$15,001 -<br>\$50,000 |

| #      | DESCRIPTION                | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 5.21.2 | Qual Comm Inc              |                  |                |                               |                 | Purchased   | 05/07/2019  | \$15,000 or less    |
| 5.21.3 | Qual Comm Inc              |                  |                |                               |                 | Sold        | 08/01/2019  | \$15,001 - \$50,000 |
| 5.22   | Apple Inc.                 | None             | None           | None                          | Cash Market     |             |             |                     |
| 5.22.1 | Apple Inc.                 |                  |                |                               |                 | Purchased   | 04/26/2019  | \$15,001 - \$50,000 |
| 5.22.2 | Apple Inc.                 |                  |                |                               |                 | Sold        | 05/17/2019  | \$15,001 - \$50,000 |
| 5.23   | AT&T Inc                   | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                     |
| 5.23.1 | AT&T Inc                   |                  |                |                               |                 | Purchased   | 05/01/2019  | \$15,000 or less    |
| 5.23.2 | AT&T Inc                   |                  |                |                               |                 | Purchased   | 06/05/2019  | \$15,000 or less    |
| 5.23.3 | AT&T Inc                   |                  |                |                               |                 | Sold        | 06/13/2019  | \$15,000 or less    |
| 5.24   | Verizon Communications Inc | None             | Rent           | None                          | Cash Market     |             |             |                     |
| 5.24.1 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 05/01/2019  | \$15,000 or less    |
| 5.24.2 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 06/04/2019  | \$15,000 or less    |
| 5.24.3 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 06/10/2019  | \$15,000 or less    |
| 5.24.4 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 06/20/2019  | \$15,000 or less    |
| 5.24.5 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 07/17/2019  | \$15,000 or less    |
| 5.24.6 | Verizon Communications Inc |                  |                |                               |                 | Sold        | 08/06/2019  | \$15,001 - \$50,000 |
| 5.25   | Lucky Brand                | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                     |

| #      | DESCRIPTION                 | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|-----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 5.25.1 | Lucky Brand                 |                  |                |                               |                 | Purchased   | 06/10/2019  | \$15,000 or less |
| 5.25.2 | Lucky Brand                 |                  |                |                               |                 | Purchased   | 06/18/2019  | \$15,000 or less |
| 5.25.3 | Lucky Brand                 |                  |                |                               |                 | Purchased   | 06/24/2019  | \$15,000 or less |
| 5.25.4 | Lucky Brand                 |                  |                |                               |                 | Sold        | 07/12/2019  | \$15,000 or less |
| 5.26   | Regions Financial Corp      | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                  |
| 5.26.1 | Regions Financial Corp      |                  |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or less |
| 5.26.2 | Regions Financial Corp      |                  |                |                               |                 | Purchased   | 06/24/2019  | \$15,000 or less |
| 5.26.3 | Regions Financial Corp      |                  |                |                               |                 | Sold        | 07/23/2019  | \$15,000 or less |
| 5.26.4 | Regions Financial Corp      |                  |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or less |
| 5.26.5 | Regions Financial Corp      |                  |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or less |
| 5.27   | Pacific Premier Bancorp Inc | \$1,000 or less  | Dividend       | \$15,001 - \$50,000           | Cash Market     |             |             |                  |
| 5.27.1 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 07/11/2019  | \$15,000 or less |
| 5.27.2 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 07/16/2019  | \$15,000 or less |
| 5.27.3 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 08/06/2019  | \$15,000 or less |
| 5.27.4 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 09/13/2019  | \$15,000 or less |
| 5.27.5 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 12/02/2019  | \$15,000 or less |

| #      | DESCRIPTION              | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|--------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 5.28   | Nokia Corp               | None              | None           | None                          | Cash Market     |             |             |                     |
| 5.28.1 | Nokia Corp               |                   |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or less    |
| 5.28.2 | Nokia Corp               |                   |                |                               |                 | Sold        | 11/08/2019  | \$15,000 or less    |
| 5.28.3 | Nokia Corp               |                   |                |                               |                 | Sold        | 11/12/2019  | \$15,000 or less    |
| 5.29   | American Cumo Mining Ltd | None              | None           | None                          | Cash Market     |             |             |                     |
| 5.29.1 | American Cumo Mining Ltd |                   |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or less    |
| 5.29.2 | American Cumo Mining Ltd |                   |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less    |
| 5.29.3 | American Cumo Mining Ltd |                   |                |                               |                 | Sold        | 11/19/2019  | \$15,000 or less    |
| 5.29.4 | American Cumo Mining Ltd |                   |                |                               |                 | Sold        | 11/22/2019  | \$15,000 or less    |
| 5.30   | Lockheed Martin Corp     | \$1,001 - \$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 5.30.1 | Lockheed Martin Corp     |                   |                |                               |                 | Purchased   | 08/07/2019  | \$15,001 - \$50,000 |
| 5.30.2 | Lockheed Martin Corp     |                   |                |                               |                 | Sold        | 08/28/2019  | \$15,001 - \$50,000 |
| 5.30.3 | Lockheed Martin Corp     |                   |                |                               |                 | Purchased   | 09/19/2019  | \$15,001 - \$50,000 |
| 5.30.4 | Lockheed Martin Corp     |                   |                |                               |                 | Sold        | 11/06/2019  | \$15,001 - \$50,000 |
| 5.30.5 | Lockheed Martin Corp     |                   |                |                               |                 | Purchased   | 12/30/2019  | \$15,001 - \$50,000 |
| 5.31   | Skyworks Solution        | None              | None           | None                          | Cash Market     |             |             |                     |
| 5.31.1 | Skyworks Solution        |                   |                |                               |                 | Purchased   | 08/08/2019  | \$15,000 or less    |

| #      | DESCRIPTION                            | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|----------------------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 5.31.2 | Skyworks Solution                      |                   |                |                               |                 | Sold        | 08/26/2019  | \$15,000 or less    |
| 5.32   | Under Armor                            | None              | None           | \$15,001 - \$50,000           | Cash Market     |             |             |                     |
| 5.32.1 | Under Armor                            |                   |                |                               |                 | Purchased   | 11/29/2019  | \$15,000 or less    |
| 5.32.2 | Under Armor                            |                   |                |                               |                 | Purchased   | 12/02/2019  | \$15,000 or less    |
| 5.32.3 | Under Armor                            |                   |                |                               |                 | Purchased   | 12/11/2019  | \$15,000 or less    |
| 5.32.4 | Under Armor                            |                   |                |                               |                 | Purchased   | 12/17/2019  | \$15,000 or less    |
| 5.32.5 | Under Armor                            |                   |                |                               |                 | Purchased   | 12/18/2019  | \$15,000 or less    |
| 5.33   | Abiomed Inc                            | None              | None           | None                          | Cash Market     |             |             |                     |
| 5.33.1 | Abiomed Inc                            |                   |                |                               |                 | Purchased   | 12/10/2019  | \$15,001 - \$50,000 |
| 5.33.2 | Abiomed Inc                            |                   |                |                               |                 | Sold        | 12/26/2019  | \$15,001 - \$50,000 |
| 5.34   | Lululemon Athletica Inc                | None              | None           | \$15,001 - \$50,000           | Cash Market     |             |             |                     |
| 5.34.1 | Lululemon Athletica Inc                |                   |                |                               |                 | Purchased   | 12/12/2019  | \$15,001 - \$50,000 |
| 6      | AmeriTrade Brokerage Account - 2 (H) 3 |                   |                |                               |                 |             |             |                     |
| 6.1    | Sweep account- TD Bank                 | \$1,001 - \$2,500 | Interest       | \$15,000 or less              | Cash Market     |             |             |                     |
| 6.2    | Alibaba Group Holding                  | None              | None           | \$15,001 - \$50,000           | Cash Market     |             |             |                     |
| 6.2.1  | Alibaba Group Holding                  |                   |                |                               |                 | Purchased   | 02/14/2019  | \$15,000 or less    |

| #     | DESCRIPTION                            | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|-------|----------------------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 6.2.2 | Alibaba Group Holding                  |                   |                |                               |                 | Purchased   | 08/27/2019  | \$15,000 or less |
| 6.3   | General Electric Co                    | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                  |
| 6.3.1 | General Electric Co                    |                   |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or less |
| 6.3.2 | General Electric Co                    |                   |                |                               |                 | Purchased   | 01/31/2019  | \$15,000 or less |
| 6.3.3 | General Electric Co                    |                   |                |                               |                 | Sold        | 03/15/2019  | \$15,000 or less |
| 6.4   | BYZN Digital Inc                       | None              | None           | None                          | Cash Market     |             |             |                  |
| 6.4.1 | BYZN Digital Inc                       |                   |                |                               |                 | Purchased   | 02/14/2019  | \$15,000 or less |
| 6.4.2 | BYZN Digital Inc                       |                   |                |                               |                 | Sold        | 03/18/2019  | \$15,000 or less |
| 6.5   | Westinghouse Air Break Technology Corp | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                  |
| 6.5.1 | Westinghouse Air Break Technology Corp |                   |                |                               |                 | Sold        | 03/04/2019  | \$15,000 or less |
| 6.6   | American Airline Group                 | \$1,001 - \$2,500 | Gain           | None                          | Cash Market     |             |             |                  |
| 6.6.1 | American Airline Group                 |                   |                |                               |                 | Sold        | 03/04/2019  | \$15,000 or less |
| 6.7   | Hanesbrand Inc                         | None              | None           | None                          | Cash Market     |             |             |                  |
| 6.7.1 | Hanesbrand Inc                         |                   |                |                               |                 | Purchased   | 03/11/2019  | \$15,000 or less |
| 6.7.2 | Hanesbrand Inc                         |                   |                |                               |                 | Purchased   | 03/13/2019  | \$15,000 or less |
| 6.7.3 | Hanesbrand Inc                         |                   |                |                               |                 | Sold        | 03/15/2019  | \$15,000 or less |
| 6.8   | KALA Pharmaceuticals Inc               | None              | None           | None                          | Cash Market     |             |             |                  |

| #      | DESCRIPTION                | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|----------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 6.8.1  | KALA Pharmaceuticals Inc   |                   |                |                               |                 | Purchased   | 03/21/2019  | \$15,000 or less    |
| 6.8.2  | KALA Pharmaceuticals Inc   |                   |                |                               |                 | Sold        | 05/06/2019  | \$15,000 or less    |
| 6.9    | Advanced Micro Devices Inc | \$2,501 - \$5,000 | Gain           | None                          | Cash Market     |             |             |                     |
| 6.9.1  | Advanced Micro Devices Inc |                   |                |                               |                 | Purchased   | 03/22/2019  | \$15,000 or less    |
| 6.9.2  | Advanced Micro Devices Inc |                   |                |                               |                 | Purchased   | 04/16/2019  | \$15,000 or less    |
| 6.9.3  | Advanced Micro Devices Inc |                   |                |                               |                 | Purchased   | 05/07/2019  | \$15,000 or less    |
| 6.9.4  | Advanced Micro Devices Inc |                   |                |                               |                 | Sold        | 06/07/2019  | \$15,001 - \$50,000 |
| 6.10   | Regions Financial Corp     | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                     |
| 6.10.1 | Regions Financial Corp     |                   |                |                               |                 | Purchased   | 04/22/2019  | \$15,000 or less    |
| 6.10.2 | Regions Financial Corp     |                   |                |                               |                 | Sold        | 04/26/2019  | \$15,000 or less    |
| 6.10.3 | Regions Financial Corp     |                   |                |                               |                 | Purchased   | 06/13/2019  | \$15,000 or less    |
| 6.10.4 | Regions Financial Corp     |                   |                |                               |                 | Purchased   | 06/24/2019  | \$15,000 or less    |
| 6.10.5 | Regions Financial Corp     |                   |                |                               |                 | Purchased   | 07/22/2019  | \$15,000 or less    |
| 6.10.6 | Regions Financial Corp     |                   |                |                               |                 | Sold        | 08/01/2019  | \$15,000 or less    |
| 6.11   | Annaly Capital Management  | \$1,000 or less   | Dividend       | \$15,000 or less              | Cash Market     |             |             |                     |
| 6.11.1 | Annaly Capital Management  |                   |                |                               |                 | Purchased   | 06/04/2019  | \$15,000 or less    |

| #      | DESCRIPTION                 | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|-----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 6.11.2 | Annaly Capital Management   |                  |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or less |
| 6.11.3 | Annaly Capital Management   |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less |
| 6.11.4 | Annaly Capital Management   |                  |                |                               |                 | Purchased   | 08/21/2019  | \$15,000 or less |
| 6.11.5 | Annaly Capital Management   |                  |                |                               |                 | Sold        | 12/05/2019  | \$15,000 or less |
| 6.12   | General Mills Inc           | None             | None           | None                          | Cash Market     |             |             |                  |
| 6.12.1 | General Mills Inc           |                  |                |                               |                 | Purchased   | 06/18/2019  | \$15,000 or less |
| 6.12.2 | General Mills Inc           |                  |                |                               |                 | Sold        | 08/07/2019  | \$15,000 or less |
| 6.13   | Mylan NV                    | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                  |
| 6.13.1 | Mylan NV                    |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less |
| 6.13.2 | Mylan NV                    |                  |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or less |
| 6.14   | Fluor Corp                  | \$1,000 or less  | Dividend       | \$15,000 or less              | Cash Market     |             |             |                  |
| 6.14.1 | Fluor Corp                  |                  |                |                               |                 | Purchased   | 08/20/2019  | \$15,000 or less |
| 6.14.2 | Fluor Corp                  |                  |                |                               |                 | Purchased   | 08/21/2019  | \$15,000 or less |
| 6.14.3 | Fluor Corp                  |                  |                |                               |                 | Purchased   | 08/26/2019  | \$15,000 or less |
| 6.15   | Pacific Premier Bancorp Inc | \$1,000 or less  | Dividend       | \$15,000 or less              | Cash Market     |             |             |                  |
| 6.15.1 | Pacific Premier Bancorp Inc |                  |                |                               |                 | Purchased   | 11/19/2019  | \$15,000 or less |

| #      | DESCRIPTION                                        | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|----------------------------------------------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 7      | ETRADE Brokerage Account<br>(H) - ETrasde Bank     |                      |                |                               |                 |             |             |                        |
| 7.1    | ETrade Bank                                        | \$2,501 -<br>\$5,000 | Interest       | \$100,001 -<br>\$250,000      | Cash Market     |             |             |                        |
| 7.2    | Alibaba Group Holding<br>Limited common stock BABA | \$2,501 -<br>\$5,000 | Gain           | \$15,000 or<br>less           | Cash Market     |             |             |                        |
| 7.2.1  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 01/10/2019  | \$15,000 or<br>less    |
| 7.2.2  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 01/14/2019  | \$15,000 or<br>less    |
| 7.2.3  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 01/15/2019  | \$15,000 or<br>less    |
| 7.2.4  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 03/07/2019  | \$15,000 or<br>less    |
| 7.2.5  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Purchased   | 03/08/2019  | \$15,000 or<br>less    |
| 7.2.6  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 03/13/2019  | \$15,000 or<br>less    |
| 7.2.7  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Purchased   | 04/01/2019  | \$15,001 -<br>\$50,000 |
| 7.2.8  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 04/25/2019  | \$15,001 -<br>\$50,000 |
| 7.2.9  | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Purchased   | 05/10/2019  | \$15,001 -<br>\$50,000 |
| 7.2.10 | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Purchased   | 06/19/2019  | \$15,000 or<br>less    |
| 7.2.11 | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 07/01/2019  | \$15,000 or<br>less    |
| 7.2.12 | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Purchased   | 07/17/2019  | \$15,001 -<br>\$50,000 |
| 7.2.13 | Alibaba Group Holding<br>Limited common stock BABA |                      |                |                               |                 | Sold        | 09/04/2019  | \$15,000 or<br>less    |

| #      | DESCRIPTION                                        | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|----------------------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 7.2.14 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 09/09/2019  | \$15,000 or<br>less    |
| 7.2.15 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 09/09/2019  | \$15,000 or<br>less    |
| 7.2.16 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 09/11/2019  | \$15,000 or<br>less    |
| 7.2.17 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 09/16/2019  | \$15,000 or<br>less    |
| 7.2.18 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/04/2019  | \$15,000 or<br>less    |
| 7.2.19 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/05/2019  | \$15,000 or<br>less    |
| 7.2.20 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/06/2019  | \$15,000 or<br>less    |
| 7.2.21 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/07/2019  | \$15,000 or<br>less    |
| 7.2.22 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/07/2019  | \$15,000 or<br>less    |
| 7.2.23 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/12/2019  | \$15,000 or<br>less    |
| 7.2.24 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/12/2019  | \$15,000 or<br>less    |
| 7.2.25 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/18/2019  | \$15,000 or<br>less    |
| 7.2.26 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/18/2019  | \$15,000 or<br>less    |
| 7.2.27 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/20/2019  | \$15,000 or<br>less    |
| 7.2.28 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/26/2019  | \$15,001 -<br>\$50,000 |
| 7.2.29 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/26/2019  | \$15,000 or<br>less    |

| #      | DESCRIPTION                                        | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE          |
|--------|----------------------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|--------------------------|
| 7.2.30 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/27/2019  | \$15,000 or<br>less      |
| 7.2.31 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 11/27/2019  | \$15,000 or<br>less      |
| 7.2.32 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 11/27/2019  | \$15,000 or<br>less      |
| 7.2.33 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/05/2019  | \$15,000 or<br>less      |
| 7.2.34 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/10/2019  | \$15,000 or<br>less      |
| 7.2.35 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/10/2019  | \$15,000 or<br>less      |
| 7.2.36 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/12/2019  | \$15,000 or<br>less      |
| 7.2.37 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/16/2019  | \$15,000 or<br>less      |
| 7.2.38 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/18/2019  | \$15,000 or<br>less      |
| 7.2.39 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/18/2019  | \$15,000 or<br>less      |
| 7.2.40 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/20/2019  | \$15,000 or<br>less      |
| 7.2.41 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/20/2019  | \$250,001 -<br>\$500,000 |
| 7.2.42 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/23/2019  | \$15,000 or<br>less      |
| 7.2.43 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 12/26/2019  | \$15,000 or<br>less      |
| 7.2.44 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Purchased   | 12/30/2019  | \$15,000 or<br>less      |
| 7.2.45 | Alibaba Group Holding<br>Limited common stock BABA |                  |                |                               |                 | Sold        | 06/03/2019  | \$15,000 or<br>less      |

| #      | DESCRIPTION                   | INCOME<br>AMOUNT | INCOME<br>TYPE    | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|-------------------------------|------------------|-------------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.3    | Annaly Capital Management Inc | \$1,000 or less  | Dividend,<br>Gain | \$15,000 or less              | Cash Market     |             |             |                  |
| 7.3.1  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 02/13/2019  | \$15,000 or less |
| 7.3.2  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 02/20/2019  | \$15,000 or less |
| 7.3.3  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 03/04/2019  | \$15,000 or less |
| 7.3.4  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 03/04/2019  | \$15,000 or less |
| 7.3.5  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 03/15/2019  | \$15,000 or less |
| 7.3.6  | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 04/09/2019  | \$15,000 or less |
| 7.3.7  | Annaly Capital Management Inc |                  |                   |                               |                 | Purchased   | 05/03/2019  | \$15,000 or less |
| 7.3.8  | Annaly Capital Management Inc |                  |                   |                               |                 | Purchased   | 05/06/2019  | \$15,000 or less |
| 7.3.9  | Annaly Capital Management Inc |                  |                   |                               |                 | Purchased   | 06/06/2019  | \$15,000 or less |
| 7.3.10 | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 06/13/2019  | \$15,000 or less |
| 7.3.11 | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 06/14/2019  | \$15,000 or less |
| 7.3.12 | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 07/08/2019  | \$15,000 or less |
| 7.3.13 | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 08/13/2019  | \$15,000 or less |
| 7.3.14 | Annaly Capital Management Inc |                  |                   |                               |                 | Purchased   | 09/13/2019  | \$15,000 or less |
| 7.3.15 | Annaly Capital Management Inc |                  |                   |                               |                 | Sold        | 12/09/2019  | \$15,000 or less |

| #      | DESCRIPTION                     | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|---------------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.3.16 | Annaly Capital Management Inc   |                   |                |                               |                 | Sold        | 12/19/2019  | \$15,000 or less    |
| 7.4    | Amazon.com, Inc. - Common Stock | \$1,001 - \$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.4.1  | Amazon.com, Inc. - Common Stock |                   |                |                               |                 | Sold        | 05/08/2019  | \$15,001 - \$50,000 |
| 7.5    | Kohl's Corp                     | None              | None           | None                          | Cash Market     |             |             |                     |
| 7.5.1  | Kohl's Corp                     |                   |                |                               |                 | Sold        | 01/04/2019  | \$15,000 or less    |
| 7.5.2  | Kohl's Corp                     |                   |                |                               |                 | Sold        | 01/10/2019  | \$15,000 or less    |
| 7.5.3  | Kohl's Corp                     |                   |                |                               |                 | Sold        | 01/15/2019  | \$15,000 or less    |
| 7.6    | Honeywell Intl Inc              | None              | None           | None                          | Cash Market     |             |             |                     |
| 7.6.1  | Honeywell Intl Inc              |                   |                |                               |                 | Sold        | 02/22/2019  | \$15,000 or less    |
| 7.6.2  | Honeywell Intl Inc              |                   |                |                               |                 | Sold        | 07/26/2019  | \$15,000 or less    |
| 7.6.3  | Honeywell Intl Inc              |                   |                |                               |                 | Purchased   | 08/01/2019  | \$15,000 or less    |
| 7.7    | General Electric Co             | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                     |
| 7.7.1  | General Electric Co             |                   |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or less    |
| 7.7.2  | General Electric Co             |                   |                |                               |                 | Sold        | 02/26/2019  | \$15,000 or less    |
| 7.8    | Regions Financial Corp          | \$1,000 or less   | Gain           | None                          | Cash Market     |             |             |                     |
| 7.8.1  | Regions Financial Corp          |                   |                |                               |                 | Purchased   | 01/18/2019  | \$15,000 or less    |
| 7.8.2  | Regions Financial Corp          |                   |                |                               |                 | Purchased   | 01/25/2019  | \$15,000 or less    |

| #      | DESCRIPTION            | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.8.3  | Regions Financial Corp |                  |                |                               |                 | Sold        | 02/28/2019  | \$15,000 or less |
| 7.8.4  | Regions Financial Corp |                  |                |                               |                 | Purchased   | 03/08/2019  | \$15,000 or less |
| 7.8.5  | Regions Financial Corp |                  |                |                               |                 | Sold        | 03/13/2019  | \$15,000 or less |
| 7.8.6  | Regions Financial Corp |                  |                |                               |                 | Sold        | 03/15/2019  | \$15,000 or less |
| 7.8.7  | Regions Financial Corp |                  |                |                               |                 | Purchased   | 03/27/2019  | \$15,000 or less |
| 7.8.8  | Regions Financial Corp |                  |                |                               |                 | Sold        | 04/01/2019  | \$15,000 or less |
| 7.8.9  | Regions Financial Corp |                  |                |                               |                 | Purchased   | 04/03/2019  | \$15,000 or less |
| 7.8.10 | Regions Financial Corp |                  |                |                               |                 | Purchased   | 04/08/2019  | \$15,000 or less |
| 7.8.11 | Regions Financial Corp |                  |                |                               |                 | Sold        | 04/08/2019  | \$15,000 or less |
| 7.8.12 | Regions Financial Corp |                  |                |                               |                 | Sold        | 04/12/2019  | \$15,000 or less |
| 7.8.13 | Regions Financial Corp |                  |                |                               |                 | Sold        | 06/04/2019  | \$15,000 or less |
| 7.8.14 | Regions Financial Corp |                  |                |                               |                 | Purchased   | 06/07/2019  | \$15,000 or less |
| 7.8.15 | Regions Financial Corp |                  |                |                               |                 | Sold        | 06/13/2019  | \$15,000 or less |
| 7.8.16 | Regions Financial Corp |                  |                |                               |                 | Sold        | 06/14/2019  | \$15,000 or less |
| 7.8.17 | Regions Financial Corp |                  |                |                               |                 | Sold        | 06/17/2019  | \$15,000 or less |
| 7.8.18 | Regions Financial Corp |                  |                |                               |                 | Sold        | 06/24/2019  | \$15,000 or less |

| #      | DESCRIPTION                          | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|--------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.8.19 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 07/01/2019  | \$15,000 or less |
| 7.8.20 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 07/01/2019  | \$15,000 or less |
| 7.8.21 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 07/15/2019  | \$15,000 or less |
| 7.8.22 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 07/16/2019  | \$15,000 or less |
| 7.8.23 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 07/17/2019  | \$15,000 or less |
| 7.8.24 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 07/23/2019  | \$15,000 or less |
| 7.8.25 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or less |
| 7.8.26 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or less |
| 7.8.27 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 08/13/2019  | \$15,000 or less |
| 7.8.28 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or less |
| 7.8.29 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 09/04/2019  | \$15,000 or less |
| 7.8.30 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 09/05/2019  | \$15,000 or less |
| 7.8.31 | Regions Financial Corp               |                  |                |                               |                 | Sold        | 09/06/2019  | \$15,000 or less |
| 7.8.32 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 04/26/2019  | \$15,000 or less |
| 7.8.33 | Regions Financial Corp               |                  |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or less |
| 7.9    | Clovis Oncology, Inc. - Common Stock | None             | None           | None                          | Cash Market     |             |             |                  |

| #       | DESCRIPTION                             | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|-----------------------------------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.9.1   | Clovis Oncology, Inc. -<br>Common Stock |                      |                |                               |                 | Purchased   | 02/08/2019  | \$15,000 or<br>less |
| 7.9.2   | Clovis Oncology, Inc. -<br>Common Stock |                      |                |                               |                 | Sold        | 03/28/2019  | \$15,000 or<br>less |
| 7.10    | General Mills Inc                       | \$1,001 -<br>\$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.10.1  | General Mills Inc                       |                      |                |                               |                 | Purchased   | 02/13/2019  | \$15,000 or<br>less |
| 7.10.2  | General Mills Inc                       |                      |                |                               |                 | Sold        | 02/28/2019  | \$15,000 or<br>less |
| 7.10.3  | General Mills Inc                       |                      |                |                               |                 | Purchased   | 05/28/2019  | \$15,000 or<br>less |
| 7.10.4  | General Mills Inc                       |                      |                |                               |                 | Purchased   | 05/28/2019  | \$15,000 or<br>less |
| 7.10.5  | General Mills Inc                       |                      |                |                               |                 | Purchased   | 05/28/2019  | \$15,000 or<br>less |
| 7.10.6  | General Mills Inc                       |                      |                |                               |                 | Purchased   | 05/28/2019  | \$15,000 or<br>less |
| 7.10.7  | General Mills Inc                       |                      |                |                               |                 | Sold        | 06/03/2019  | \$15,000 or<br>less |
| 7.10.8  | General Mills Inc                       |                      |                |                               |                 | Sold        | 06/03/2019  | \$15,000 or<br>less |
| 7.10.9  | General Mills Inc                       |                      |                |                               |                 | Sold        | 06/14/2019  | \$15,000 or<br>less |
| 7.10.10 | General Mills Inc                       |                      |                |                               |                 | Sold        | 06/20/2019  | \$15,000 or<br>less |
| 7.10.11 | General Mills Inc                       |                      |                |                               |                 | Sold        | 06/21/2019  | \$15,000 or<br>less |
| 7.11    | United Technologies Corp                | \$1,001 -<br>\$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.11.1  | United Technologies Corp                |                      |                |                               |                 | Purchased   | 03/04/2019  | \$15,000 or<br>less |

| #       | DESCRIPTION                | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|----------------------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.11.2  | United Technologies Corp   |                      |                |                               |                 | Sold        | 04/01/2019  | \$15,000 or<br>less |
| 7.12    | Advanced Micro Devices INC | \$2,501 -<br>\$5,000 | Gain           | \$15,000 or<br>less           | Cash Market     |             |             |                     |
| 7.12.1  | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 03/07/2019  | \$15,000 or<br>less |
| 7.12.2  | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 03/12/2019  | \$15,000 or<br>less |
| 7.12.3  | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 03/18/2019  | \$15,000 or<br>less |
| 7.12.4  | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 03/20/2019  | \$15,000 or<br>less |
| 7.12.5  | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 03/27/2019  | \$15,000 or<br>less |
| 7.12.6  | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 04/01/2019  | \$15,000 or<br>less |
| 7.12.7  | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 05/07/2019  | \$15,000 or<br>less |
| 7.12.8  | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 06/04/2019  | \$15,000 or<br>less |
| 7.12.9  | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 06/17/2019  | \$15,000 or<br>less |
| 7.12.10 | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 06/18/2019  | \$15,000 or<br>less |
| 7.12.11 | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 06/21/2019  | \$15,000 or<br>less |
| 7.12.12 | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 06/27/2019  | \$15,000 or<br>less |
| 7.12.13 | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 06/28/2019  | \$15,000 or<br>less |
| 7.12.14 | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 07/03/2019  | \$15,000 or<br>less |

| #       | DESCRIPTION                | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.12.15 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 07/09/2019  | \$15,000 or less    |
| 7.12.16 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 07/11/2019  | \$15,000 or less    |
| 7.12.17 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 07/31/2019  | \$15,000 or less    |
| 7.12.18 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 08/06/2019  | \$15,000 or less    |
| 7.12.19 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 08/08/2019  | \$15,000 or less    |
| 7.12.20 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,001 - \$50,000 |
| 7.12.21 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 08/12/2019  | \$15,001 - \$50,000 |
| 7.12.22 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 11/29/2019  | \$15,000 or less    |
| 7.12.23 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 12/04/2019  | \$15,000 or less    |
| 7.12.24 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 12/05/2019  | \$15,000 or less    |
| 7.12.25 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 12/11/2019  | \$15,000 or less    |
| 7.12.26 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 12/13/2019  | \$15,000 or less    |
| 7.12.27 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 12/17/2019  | \$15,000 or less    |
| 7.12.28 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 12/20/2019  | \$15,000 or less    |
| 7.12.29 | Advanced Micro Devices INC |                  |                |                               |                 | Sold        | 12/20/2019  | \$15,000 or less    |
| 7.12.30 | Advanced Micro Devices INC |                  |                |                               |                 | Purchased   | 12/23/2019  | \$15,000 or less    |

| #       | DESCRIPTION                | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|----------------------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.12.31 | Advanced Micro Devices INC |                      |                |                               |                 | Sold        | 12/26/2019  | \$15,000 or<br>less |
| 7.12.32 | Advanced Micro Devices INC |                      |                |                               |                 | Purchased   | 04/23/2019  | \$15,000 or<br>less |
| 7.13    | Johnson & Johnson          | \$1,001 -<br>\$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.13.1  | Johnson & Johnson          |                      |                |                               |                 | Purchased   | 03/08/2019  | \$15,000 or<br>less |
| 7.13.2  | Johnson & Johnson          |                      |                |                               |                 | Sold        | 03/12/2019  | \$15,000 or<br>less |
| 7.13.3  | Johnson & Johnson          |                      |                |                               |                 | Sold        | 03/12/2019  | \$15,000 or<br>less |
| 7.14    | NUGT                       | \$1,001 -<br>\$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.14.1  | NUGT                       |                      |                |                               |                 | Purchased   | 02/20/2019  | \$15,000 or<br>less |
| 7.14.2  | NUGT                       |                      |                |                               |                 | Purchased   | 03/07/2019  | \$15,000 or<br>less |
| 7.14.3  | NUGT                       |                      |                |                               |                 | Sold        | 03/12/2019  | \$15,000 or<br>less |
| 7.14.4  | NUGT                       |                      |                |                               |                 | Sold        | 03/13/2019  | \$15,000 or<br>less |
| 7.14.5  | NUGT                       |                      |                |                               |                 | Purchased   | 03/18/2019  | \$15,000 or<br>less |
| 7.14.6  | NUGT                       |                      |                |                               |                 | Sold        | 03/19/2019  | \$15,000 or<br>less |
| 7.14.7  | NUGT                       |                      |                |                               |                 | Sold        | 03/20/2019  | \$15,000 or<br>less |
| 7.14.8  | NUGT                       |                      |                |                               |                 | Sold        | 03/21/2019  | \$15,000 or<br>less |
| 7.14.9  | NUGT                       |                      |                |                               |                 | Sold        | 03/22/2019  | \$15,000 or<br>less |

| #       | DESCRIPTION | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|-------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.14.10 | NUGT        |                  |                |                               |                 | Purchased   | 04/01/2019  | \$15,000 or<br>less |
| 7.14.11 | NUGT        |                  |                |                               |                 | Sold        | 04/09/2019  | \$15,000 or<br>less |
| 7.14.12 | NUGT        |                  |                |                               |                 | Purchased   | 04/16/2019  | \$15,000 or<br>less |
| 7.14.13 | NUGT        |                  |                |                               |                 | Sold        | 04/17/2019  | \$15,000 or<br>less |
| 7.14.14 | NUGT        |                  |                |                               |                 | Purchased   | 04/22/2019  | \$15,000 or<br>less |
| 7.14.15 | NUGT        |                  |                |                               |                 | Sold        | 04/26/2019  | \$15,000 or<br>less |
| 7.14.16 | NUGT        |                  |                |                               |                 | Sold        | 05/08/2019  | \$15,000 or<br>less |
| 7.14.17 | NUGT        |                  |                |                               |                 | Sold        | 06/03/2019  | \$15,000 or<br>less |
| 7.14.18 | NUGT        |                  |                |                               |                 | Sold        | 06/03/2019  | \$15,000 or<br>less |
| 7.14.19 | NUGT        |                  |                |                               |                 | Sold        | 06/04/2019  | \$15,000 or<br>less |
| 7.14.20 | NUGT        |                  |                |                               |                 | Sold        | 06/18/2019  | \$15,000 or<br>less |
| 7.14.21 | NUGT        |                  |                |                               |                 | Purchased   | 06/20/2019  | \$15,000 or<br>less |
| 7.14.22 | NUGT        |                  |                |                               |                 | Purchased   | 06/24/2019  | \$15,000 or<br>less |
| 7.14.23 | NUGT        |                  |                |                               |                 | Sold        | 06/26/2019  | \$15,000 or<br>less |
| 7.14.24 | NUGT        |                  |                |                               |                 | Purchased   | 06/27/2019  | \$15,000 or<br>less |
| 7.14.25 | NUGT        |                  |                |                               |                 | Sold        | 07/01/2019  | \$15,000 or<br>less |

| #       | DESCRIPTION | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|-------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.14.26 | NUGT        |                  |                |                               |                 | Purchased   | 07/05/2019  | \$15,000 or less    |
| 7.14.27 | NUGT        |                  |                |                               |                 | Purchased   | 07/08/2019  | \$15,001 - \$50,000 |
| 7.14.28 | NUGT        |                  |                |                               |                 | Sold        | 07/08/2019  | \$15,001 - \$50,000 |
| 7.14.29 | NUGT        |                  |                |                               |                 | Sold        | 07/08/2019  | \$15,001 - \$50,000 |
| 7.14.30 | NUGT        |                  |                |                               |                 | Sold        | 07/09/2019  | \$15,000 or less    |
| 7.14.31 | NUGT        |                  |                |                               |                 | Purchased   | 07/10/2019  | \$15,000 or less    |
| 7.14.32 | NUGT        |                  |                |                               |                 | Sold        | 07/11/2019  | \$15,000 or less    |
| 7.14.33 | NUGT        |                  |                |                               |                 | Purchased   | 07/16/2019  | \$15,000 or less    |
| 7.14.34 | NUGT        |                  |                |                               |                 | Purchased   | 07/16/2019  | \$15,000 or less    |
| 7.14.35 | NUGT        |                  |                |                               |                 | Purchased   | 07/23/2019  | \$15,001 - \$50,000 |
| 7.14.36 | NUGT        |                  |                |                               |                 | Sold        | 07/25/2019  | \$15,001 - \$50,000 |
| 7.14.37 | NUGT        |                  |                |                               |                 | Purchased   | 07/26/2019  | \$15,000 or less    |
| 7.14.38 | NUGT        |                  |                |                               |                 | Sold        | 08/02/2019  | \$15,000 or less    |
| 7.14.39 | NUGT        |                  |                |                               |                 | Purchased   | 08/13/2019  | \$15,000 or less    |
| 7.14.40 | NUGT        |                  |                |                               |                 | Sold        | 08/20/2019  | \$15,000 or less    |
| 7.14.41 | NUGT        |                  |                |                               |                 | Sold        | 09/04/2019  | \$15,000 or less    |

| #       | DESCRIPTION | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|---------|-------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 7.14.42 | NUGT        |                      |                |                               |                 | Sold        | 09/05/2019  | \$15,000 or<br>less    |
| 7.14.43 | NUGT        |                      |                |                               |                 | Purchased   | 09/10/2019  | \$15,000 or<br>less    |
| 7.14.44 | NUGT        |                      |                |                               |                 | Purchased   | 09/11/2019  | \$15,000 or<br>less    |
| 7.14.45 | NUGT        |                      |                |                               |                 | Purchased   | 09/20/2019  | \$15,000 or<br>less    |
| 7.14.46 | NUGT        |                      |                |                               |                 | Sold        | 11/20/2019  | \$15,000 or<br>less    |
| 7.14.47 | NUGT        |                      |                |                               |                 | Sold        | 12/12/2019  | \$15,000 or<br>less    |
| 7.14.48 | NUGT        |                      |                |                               |                 | Purchased   | 12/17/2019  | \$15,000 or<br>less    |
| 7.14.49 | NUGT        |                      |                |                               |                 | Purchased   | 04/30/2019  | \$15,000 or<br>less    |
| 7.14.50 | NUGT        |                      |                |                               |                 | Purchased   | 11/26/2019  | \$15,000 or<br>less    |
| 7.15    | Apple Inc.  | \$2,501 -<br>\$5,000 | Gain           | None                          | Cash Market     |             |             |                        |
| 7.15.1  | Apple Inc.  |                      |                |                               |                 | Purchased   | 03/22/2019  | \$15,000 or<br>less    |
| 7.15.2  | Apple Inc.  |                      |                |                               |                 | Sold        | 04/08/2019  | \$15,000 or<br>less    |
| 7.15.3  | Apple Inc.  |                      |                |                               |                 | Sold        | 04/08/2019  | \$15,000 or<br>less    |
| 7.15.4  | Apple Inc.  |                      |                |                               |                 | Purchased   | 04/26/2019  | \$15,001 -<br>\$50,000 |
| 7.15.5  | Apple Inc.  |                      |                |                               |                 | Sold        | 04/29/2019  | \$15,001 -<br>\$50,000 |
| 7.15.6  | Apple Inc.  |                      |                |                               |                 | Purchased   | 06/20/2019  | \$15,000 or<br>less    |

| #      | DESCRIPTION      | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.15.7 | Apple Inc.       |                  |                |                               |                 | Sold        | 07/01/2019  | \$15,000 or less |
| 7.16   | Hanesbrands INC  | \$1,000 or less  | Gain           | \$15,000 or less              | Cash Market     |             |             |                  |
| 7.16.1 | Hanesbrands INC  |                  |                |                               |                 | Purchased   | 03/22/2019  | \$15,000 or less |
| 7.16.2 | Hanesbrands INC  |                  |                |                               |                 | Sold        | 03/29/2019  | \$15,000 or less |
| 7.16.3 | Hanesbrands INC  |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or less |
| 7.16.4 | Hanesbrands INC  |                  |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or less |
| 7.16.5 | Hanesbrands INC  |                  |                |                               |                 | Sold        | 12/19/2019  | \$15,000 or less |
| 7.17   | BYZN Digital INC | None             | None           | None                          | Cash Market     |             |             |                  |
| 7.17.1 | BYZN Digital INC |                  |                |                               |                 | Purchased   | 04/02/2019  | \$15,000 or less |
| 7.17.2 | BYZN Digital INC |                  |                |                               |                 | Purchased   | 04/17/2019  | \$15,000 or less |
| 7.17.3 | BYZN Digital INC |                  |                |                               |                 | Sold        | 06/24/2019  | \$15,000 or less |
| 7.17.4 | BYZN Digital INC |                  |                |                               |                 | Sold        | 07/11/2019  | \$15,000 or less |
| 7.17.5 | BYZN Digital INC |                  |                |                               |                 | Sold        | 07/12/2019  | \$15,000 or less |
| 7.17.6 | BYZN Digital INC |                  |                |                               |                 | Sold        | 07/16/2019  | \$15,000 or less |
| 7.17.7 | BYZN Digital INC |                  |                |                               |                 | Sold        | 12/26/2019  | \$15,000 or less |
| 7.17.8 | BYZN Digital INC |                  |                |                               |                 | Purchased   | 03/22/2019  | \$15,000 or less |

| #       | DESCRIPTION                                     | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|---------|-------------------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.18    | Southwest Airlines Co                           | None             | None           | None                          | Cash Market     |             |             |                  |
| 7.18.1  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 04/12/2019  | \$15,000 or less |
| 7.18.2  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 05/06/2019  | \$15,000 or less |
| 7.18.3  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 05/07/2019  | \$15,000 or less |
| 7.18.4  | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/05/2019  | \$15,000 or less |
| 7.18.5  | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/05/2019  | \$15,000 or less |
| 7.18.6  | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/05/2019  | \$15,000 or less |
| 7.18.7  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or less |
| 7.18.8  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or less |
| 7.18.9  | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 06/12/2019  | \$15,000 or less |
| 7.18.10 | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/12/2019  | \$15,000 or less |
| 7.18.11 | Southwest Airlines Co                           |                  |                |                               |                 | Purchased   | 06/18/2019  | \$15,000 or less |
| 7.18.12 | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/18/2019  | \$15,000 or less |
| 7.18.13 | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 06/20/2019  | \$15,000 or less |
| 7.18.14 | Southwest Airlines Co                           |                  |                |                               |                 | Sold        | 07/05/2019  | \$15,000 or less |
| 7.19    | American Airlines Group, Inc.<br>- Common Stock | None             | None           | None                          | Cash Market     |             |             |                  |

| #       | DESCRIPTION                                     | INCOME<br>AMOUNT     | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|---------|-------------------------------------------------|----------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.19.1  | American Airlines Group, Inc.<br>- Common Stock |                      |                |                               |                 | Purchased   | 04/12/2019  | \$15,000 or<br>less |
| 7.19.2  | American Airlines Group, Inc.<br>- Common Stock |                      |                |                               |                 | Sold        | 04/29/2019  | \$15,000 or<br>less |
| 7.19.3  | American Airlines Group, Inc.<br>- Common Stock |                      |                |                               |                 | Sold        | 05/06/2019  | \$15,000 or<br>less |
| 7.20    | QUALCOMM Incorporated -<br>Common Stock         | \$2,501 -<br>\$5,000 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.20.1  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 04/23/2019  | \$15,000 or<br>less |
| 7.20.2  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 04/23/2019  | \$15,000 or<br>less |
| 7.20.3  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 04/29/2019  | \$15,000 or<br>less |
| 7.20.4  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 04/29/2019  | \$15,000 or<br>less |
| 7.20.5  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 07/08/2019  | \$15,000 or<br>less |
| 7.20.6  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 07/10/2019  | \$15,000 or<br>less |
| 7.20.7  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 07/15/2019  | \$15,000 or<br>less |
| 7.20.8  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 08/08/2019  | \$15,000 or<br>less |
| 7.20.9  | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 08/12/2019  | \$15,000 or<br>less |
| 7.20.10 | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or<br>less |
| 7.20.11 | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Sold        | 07/05/2019  | \$15,000 or<br>less |
| 7.20.12 | QUALCOMM Incorporated -<br>Common Stock         |                      |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or<br>less |

| #      | DESCRIPTION                | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|----------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.21   | Garrett Motion INC         | None             | None           | None                          | Cash Market     |             |             |                     |
| 7.21.1 | Garrett Motion INC         |                  |                |                               |                 | Purchased   | 04/26/2019  | \$15,000 or less    |
| 7.21.2 | Garrett Motion INC         |                  |                |                               |                 | Purchased   | 04/30/2019  | \$15,000 or less    |
| 7.21.3 | Garrett Motion INC         |                  |                |                               |                 | Purchased   | 05/07/2019  | \$15,000 or less    |
| 7.21.4 | Garrett Motion INC         |                  |                |                               |                 | Sold        | 05/28/2019  | \$15,000 or less    |
| 7.22   | Verizon Communications Inc | None             | None           | None                          | Cash Market     |             |             |                     |
| 7.22.1 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 06/10/2019  | \$15,000 or less    |
| 7.22.2 | Verizon Communications Inc |                  |                |                               |                 | Sold        | 06/14/2019  | \$15,000 or less    |
| 7.22.3 | Verizon Communications Inc |                  |                |                               |                 | Sold        | 06/18/2019  | \$15,000 or less    |
| 7.22.4 | Verizon Communications Inc |                  |                |                               |                 | Purchased   | 06/20/2019  | \$15,000 or less    |
| 7.22.5 | Verizon Communications Inc |                  |                |                               |                 | Sold        | 08/14/2019  | \$15,000 or less    |
| 7.23   | Fluor Corp                 | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                     |
| 7.23.1 | Fluor Corp                 |                  |                |                               |                 | Purchased   | 06/11/2019  | \$15,000 or less    |
| 7.23.2 | Fluor Corp                 |                  |                |                               |                 | Sold        | 06/20/2019  | \$15,000 or less    |
| 7.23.3 | Fluor Corp                 |                  |                |                               |                 | Sold        | 06/21/2019  | \$15,000 or less    |
| 7.23.4 | Fluor Corp                 |                  |                |                               |                 | Purchased   | 08/20/2019  | \$15,000 or less    |
| 7.23.5 | Fluor Corp                 |                  |                |                               |                 | Purchased   | 08/26/2019  | \$15,001 - \$50,000 |

| #      | DESCRIPTION                           | INCOME<br>AMOUNT  | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE     |
|--------|---------------------------------------|-------------------|----------------|-------------------------------|-----------------|-------------|-------------|---------------------|
| 7.23.6 | Fluor Corp                            |                   |                |                               |                 | Sold        | 08/26/2019  | \$15,000 or less    |
| 7.23.7 | Fluor Corp                            |                   |                |                               |                 | Sold        | 11/06/2019  | \$15,001 - \$50,000 |
| 7.23.8 | Fluor Corp                            |                   |                |                               |                 | Sold        | 11/20/2019  | \$15,000 or less    |
| 7.23.9 | Fluor Corp                            |                   |                |                               |                 | Purchased   | 11/21/2019  | \$15,000 or less    |
| 7.24   | Foot Locker Inc                       | None              | None           | None                          | Cash Market     |             |             |                     |
| 7.24.1 | Foot Locker Inc                       |                   |                |                               |                 | Purchased   | 06/18/2019  | \$15,000 or less    |
| 7.24.2 | Foot Locker Inc                       |                   |                |                               |                 | Sold        | 07/16/2019  | \$15,000 or less    |
| 7.25   | L Brand Inc                           | None              | None           | None                          | Cash Market     |             |             |                     |
| 7.25.1 | L Brand Inc                           |                   |                |                               |                 | Sold        | 07/09/2019  | \$15,000 or less    |
| 7.25.2 | L Brand Inc                           |                   |                |                               |                 | Purchased   | 07/11/2019  | \$15,000 or less    |
| 7.25.3 | L Brand Inc                           |                   |                |                               |                 | Purchased   | 07/12/2019  | \$15,000 or less    |
| 7.26   | Facebook, Inc. - Class A Common Stock | None              | Royalty        | None                          | Cash Market     |             |             |                     |
| 7.26.1 | Facebook, Inc. - Class A Common Stock |                   |                |                               |                 | Purchased   | 07/25/2019  | \$15,000 or less    |
| 7.26.2 | Facebook, Inc. - Class A Common Stock |                   |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or less    |
| 7.27   | Mylan N V                             | \$1,001 - \$2,500 | Gain           | None                          | Cash Market     |             |             |                     |
| 7.27.1 | Mylan N V                             |                   |                |                               |                 | Purchased   | 08/06/2019  | \$15,000 or less    |

| #      | DESCRIPTION           | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE        |
|--------|-----------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------------|
| 7.27.2 | Mylan N V             |                  |                |                               |                 | Sold        | 08/08/2019  | \$15,000 or<br>less    |
| 7.27.3 | Mylan N V             |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or<br>less    |
| 7.27.4 | Mylan N V             |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or<br>less    |
| 7.27.5 | Mylan N V             |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or<br>less    |
| 7.27.6 | Mylan N V             |                  |                |                               |                 | Sold        | 11/18/2019  | \$15,000 or<br>less    |
| 7.28   | Nokia Corp            | None             | None           | None                          | Cash Market     |             |             |                        |
| 7.28.1 | Nokia Corp            |                  |                |                               |                 | Purchased   | 08/07/2019  | \$15,000 or<br>less    |
| 7.28.2 | Nokia Corp            |                  |                |                               |                 | Sold        | 08/09/2019  | \$15,000 or<br>less    |
| 7.28.3 | Nokia Corp            |                  |                |                               |                 | Sold        | 08/13/2019  | \$15,000 or<br>less    |
| 7.28.4 | Nokia Corp            |                  |                |                               |                 | Purchased   | 08/15/2019  | \$15,000 or<br>less    |
| 7.28.5 | Nokia Corp            |                  |                |                               |                 | Sold        | 08/19/2019  | \$15,000 or<br>less    |
| 7.28.6 | Nokia Corp            |                  |                |                               |                 | Sold        | 08/21/2019  | \$15,000 or<br>less    |
| 7.28.7 | Nokia Corp            |                  |                |                               |                 | Sold        | 11/05/2019  | \$15,000 or<br>less    |
| 7.28.8 | Nokia Corp            |                  |                |                               |                 | Sold        | 11/05/2019  | \$15,000 or<br>less    |
| 7.29   | Skyworks Solution Inc | None             | None           | None                          | Cash Market     |             |             |                        |
| 7.29.1 | Skyworks Solution Inc |                  |                |                               |                 | Purchased   | 08/08/2019  | \$15,001 -<br>\$50,000 |

| #      | DESCRIPTION                            | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE  |
|--------|----------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|------------------|
| 7.29.2 | Skyworks Solution Inc                  |                  |                |                               |                 | Sold        | 08/28/2019  | \$15,000 or less |
| 7.30   | Enphase Energy, Inc. -<br>Common Stock | None             | None           | None                          | Cash Market     |             |             |                  |
| 7.30.1 | Enphase Energy, Inc. -<br>Common Stock |                  |                |                               |                 | Sold        | 08/27/2019  | \$15,000 or less |
| 7.30.2 | Enphase Energy, Inc. -<br>Common Stock |                  |                |                               |                 | Purchased   | 09/04/2019  | \$15,000 or less |
| 7.30.3 | Enphase Energy, Inc. -<br>Common Stock |                  |                |                               |                 | Purchased   | 09/09/2019  | \$15,000 or less |
| 7.30.4 | Enphase Energy, Inc. -<br>Common Stock |                  |                |                               |                 | Sold        | 11/07/2019  | \$15,000 or less |
| 7.31   | Under Armor                            | None             | None           | None                          | Cash Market     |             |             |                  |
| 7.31.1 | Under Armor                            |                  |                |                               |                 | Purchased   | 09/16/2019  | \$15,000 or less |
| 7.31.2 | Under Armor                            |                  |                |                               |                 | Purchased   | 09/16/2019  | \$15,000 or less |
| 7.31.3 | Under Armor                            |                  |                |                               |                 | Sold        | 09/20/2019  | \$15,000 or less |
| 7.31.4 | Under Armor                            |                  |                |                               |                 | Sold        | 10/04/2019  | \$15,000 or less |
| 7.31.5 | Under Armor                            |                  |                |                               |                 | Sold        | 10/08/2019  | \$15,000 or less |
| 7.31.6 | Under Armor                            |                  |                |                               |                 | Sold        | 11/05/2019  | \$15,000 or less |
| 7.31.7 | Under Armor                            |                  |                |                               |                 | Purchased   | 11/07/2019  | \$15,000 or less |
| 7.32   | Ball Corp                              | \$1,000 or less  | Gain           | None                          | Cash Market     |             |             |                  |
| 7.32.1 | Ball Corp                              |                  |                |                               |                 | Purchased   | 09/23/2019  | \$15,000 or less |

| #      | DESCRIPTION                                        | INCOME<br>AMOUNT       | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE          |
|--------|----------------------------------------------------|------------------------|----------------|-------------------------------|-----------------|-------------|-------------|--------------------------|
| 7.32.2 | Ball Corp                                          |                        |                |                               |                 | Purchased   | 09/23/2019  | \$15,000 or<br>less      |
| 7.32.3 | Ball Corp                                          |                        |                |                               |                 | Sold        | 10/04/2019  | \$15,000 or<br>less      |
| 7.32.4 | Ball Corp                                          |                        |                |                               |                 | Sold        | 10/04/2019  | \$15,000 or<br>less      |
| 8      | Trust- - - (H)                                     |                        |                |                               |                 |             |             |                          |
| 8.1    | --Wells Fargo- aggregate                           | \$1,001 -<br>\$2,500   | Interest       | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                          |
| 8.1.1  | --Wells Fargo- aggregate                           |                        |                |                               |                 | Distributed | 06/15/2019  | \$100,001 -<br>\$250,000 |
| 8.2    | --Parcel 6- San Diego, CA                          | \$15,001 -<br>\$50,000 | Rent           | \$250,001 -<br>\$500,000      | Estimated       |             |             |                          |
| 9      | Chase Bank-Aggregate                               | \$1,000 or less        | Interest       | \$250,001 -<br>\$500,000      | Cash Market     |             |             |                          |
| 10     | Bank of America-Aggregate                          | \$1,000 or less        | Interest       | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                          |
| 11     | San Diego County Credit<br>Union-Aggregate         | \$1,000 or less        | Interest       | \$100,001 -<br>\$250,000      | Cash Market     |             |             |                          |
| 12     | Valic                                              |                        |                |                               |                 |             |             |                          |
| 12.1   | Valic-Fixed Account Plus                           | None                   | None           | \$15,000 or<br>less           | Cash Market     |             |             |                          |
| 12.2   | Valic-Midcap Strat                                 | None                   | None           | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                          |
| 12.3   | Valic-Small Cap Special Value-<br>Evergreen/Putnam | None                   | None           | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                          |
| 12.4   | AIG Valic-Mid Cap Fund<br>(Wellington)             | None                   | None           | \$15,001 -<br>\$50,000        | Cash Market     |             |             |                          |
| 12.5   | Valic International Small Cap<br>Equity/AIG        | None                   | Rent           | \$15,000 or<br>less           | Cash Market     |             |             |                          |

| #  | DESCRIPTION                                                    | INCOME<br>AMOUNT | INCOME<br>TYPE | GROSS<br>VALUE AS OF<br>12/31 | VALUE<br>METHOD | TRANS. TYPE | TRANS. DATE | TRANS.<br>VALUE |
|----|----------------------------------------------------------------|------------------|----------------|-------------------------------|-----------------|-------------|-------------|-----------------|
| 13 | California State Employee<br>401K-Savings Plus Mid Cap<br>Fund | \$1,000 or less  | Dividend       | \$15,000 or<br>less           | Cash Market     |             |             |                 |

Additional Information or Explanation