AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
MACKINNON, ALEXANDER F.	U.S. DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA	04/21/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL-TIME MAGISTRATE JUDGE	**5a. Report Type (check appropriate type)** ☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	**6. Reporting Period** 01/01/2018 **to** 12/31/2018
7. Chambers or Office Address 255 E. TEMPLE ST. LOS ANGELES, CA 90012		

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

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

☑ NONE *(No reportable positions.)*

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

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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

A. Filer's Non-Investment Income

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

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

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

(Dollar amount not required except for honoraria.)

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

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

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

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

☑ NONE *(No reportable reimbursements.)*

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

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

☑ NONE *(No reportable gifts.)*

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

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

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

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

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

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

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. CARLYLE VI	A	Int./Div.	K	T					
36. EDGEWATER GROWTH II	A	Int./Div.	J	T					
37. FORTRESS REAL ESTATE	D	Int./Div.	J	T					
38. GEM REALTY IV	B	Int./Div.	J	T					
39. IRVING PLACE III	D	Int./Div.	K	T					
40. OCM / OAKTREE EUROPE III	C	Int./Div.	K	T					
41. OCM / OAKTREE OPPS IX (DISTRESSED)	B	Int./Div.	K	T					
42. OCM / OAKTREE OPPS VIIB (DISTRESSED)	A	Int./Div.	J	T					
43. OCM / OAKTREE OPPS VIII (DISTRESSED)	B	Int./Div.	J	T					
44. OCM / OAKTREE OPPS VIIIB (DISTRESSED)	A	Int./Div.	K	T					
45. OCM / OAKTREE POWER III	B	Int./Div.	J	T					
46. OCM / OAKTREE PRINCIPAL IV (LBO)	D	Int./Div.	J	T					
47. OCM / OAKTREE PRINCIPAL V (LBO)	B	Int./Div.	K	T					
48. SANKATY CREDIT OPPORTUNITIES III	A	Int./Div.	J	T					
49. SANKATY CREDIT OPPORTUNITIES IV	A	Int./Div.	J	T					
50. SILVER OAK SERVICES PARTNERS II	D	Int./Div.	K	T					
51. SUN VI	C	Int./Div.	K	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. VESTAR VI	C	Int./Div.	K	T					
53. WALTON STREET REAL ESTATE FUND VII	C	Int./Div.	K	T					
54. WARBURG PINCUS XI	D	Int./Div.	K	T					
55. IRVING PLACE III (DORAL B)	A	Int./Div.			Sold	12/31/18	J	A	
56.									
57. MERRILL LYNCH TRADITIONAL IRA 1 (H)									
58. BANK OF AMERICA N.A.	A	Interest	L	T					
59. VANGUARD MID CAP INDEX ADM (VIMAX)	B	Dividend	M	T					
60. VANGUARD BAL INDEX ADM (VBIAX)	B	Dividend	L	T					
61. VANGUARD EURO STK INDX ADM (VEUSX)	B	Dividend	L	T					
62. VANGUARD GLOBAL EQUITY INV (VHGEX)	B	Dividend	L	T					
63. VANGUARD DIVIDEND GRW INV (VDIGX)	B	Dividend	M	T					
64. VANGUARD 500 INDX ADMIRAL (VFIAX)	D	Dividend	N	T					
65.									
66. MERRILL LYNCH TRADITIONAL IRA 2 (H)									
67. BANK OF AMERICA-CALIFORNIA, N.A.	B	Interest	M	T	Buy	12/18/18	M		
68. BANK OF AMERICA N.A.	B	Interest	N	T					

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. DEUTSCHE GLOBAL HIGH (SGHSX)	D	Dividend	M	T	Buy (add'l)	01/08/18	J		
70.					Sold (part)	04/10/18	J	A	
71.					Buy (add'l)	04/27/18	J		
72.					Sold (part)	07/02/18	K	A	
73.					Buy (add'l)	09/24/18	J		
74.					Sold (part)	12/12/18	J	A	
75.					Sold (part)	12/13/18	J	A	
76. ISHARES MSCI EMERGING MKTS ETF (EEM)	C	Dividend	M	T	Sold (part)	01/05/18	J	A	
77.					Buy (add'l)	04/11/18	J		
78.					Buy (add'l)	04/30/18	J		
79.					Sold (part)	07/02/18	M	E	
80.					Buy (add'l)	09/25/18	J		
81.					Sold (part)	12/12/18	J	A	
82.					Sold (part)	12/13/18	J	A	
83. ISHARES RUSSELL 1000 GRW ETF (IWF)	D	Dividend	N	T	Sold (part)	01/05/18	J	B	
84.					Sold (part)	04/09/18	J	A	
85.					Sold (part)	04/26/18	J	A	

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.					Buy (add'l)	07/05/18	L		
87.					Sold (part)	09/21/18	K	D	
88.					Sold (part)	12/13/18	M	E	
89.					Buy (add'l)	12/14/18	J		
90. ISHARES RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	N	T	Sold (part)	01/05/18	J	B	
91.					Buy (add'l)	04/11/18	K		
92.					Sold (part)	04/26/18	J	A	
93.					Sold (part)	07/02/18	J	A	
94.					Sold (part)	09/21/18	K	C	
95.					Sold (part)	12/13/18	M	E	
96.					Buy (add'l)	12/14/18	J		
97. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	B	Dividend	M	T	Sold (part)	01/05/18	J	A	
98.					Sold (part)	04/09/18	J	A	
99.					Sold (part)	04/26/18	J	A	
100.					Buy (add'l)	07/05/18	M		
101.					Sold (part)	09/21/18	J	B	
102.					Sold (part)	12/13/18	L	D	

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103.					Buy (add'l)	12/14/18	K		
104. ISHARES RUSSELL 2000 VALUE ETF (IWN)	C	Dividend	M	T	Buy (add'l)	01/09/18	J		
105.					Buy (add'l)	04/11/18	J		
106.					Sold (part)	04/26/18	J	A	
107.					Buy (add'l)	07/05/18	L		
108.					Buy (add'l)	09/25/18	J		
109.					Sold (part)	12/13/18	J	A	
110.					Buy (add'l)	12/14/18	J		
111. ISHARES RUSSELL MIDCAP G ETF (IWP)	B	Dividend	M	T	Sold (part)	01/05/18	J	A	
112.					Sold (part)	04/09/18	J	A	
113.					Sold (part)	04/26/18	J	A	
114.					Buy (add'l)	07/05/18	L		
115.					Sold (part)	09/21/18	J	B	
116.					Sold (part)	12/13/18	K	D	
117.					Buy (add'l)	12/14/18	J		
118. ISHARES RUSSELL MIDCAP V ETF (IWS)	C	Dividend	M	T	Sold (part)	01/05/18	J	A	
119.					Buy (add'l)	04/11/18	J		

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	04/26/18	J	A	
121.					Buy (add'l)	07/05/18	K		
122.					Sold (part)	09/21/18	J	A	
123.					Sold (part)	12/13/18	K	C	
124.					Buy (add'l)	12/14/18	J		
125. ISHARES 1-3 YEAR TREASURY BOND ETF (SHY)	B	Dividend			Buy (add'l)	01/09/18	J		
126.					Sold (part)	04/09/18	J	A	
127.					Buy (add'l)	04/30/18	J		
128.					Sold	07/02/18	M	A	
129. ISHARES CORE US AGGREGATE BOND ETF (AGG)	C	Dividend	M	T	Buy (add'l)	01/09/18	J		
130.					Sold (part)	04/09/18	J	A	
131.					Buy (add'l)	04/30/18	J		
132.					Buy (add'l)	07/05/18	L		
133.					Buy (add'l)	09/25/18	J		
134.					Sold (part)	12/12/18	K	A	
135.					Sold (part)	12/13/18	L	A	
136. ISHARES TIPS BOND ETF (TIP)	C	Dividend	M	T	Buy (add'l)	01/09/18	J		

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	04/09/18	J	A	
138.					Buy (add'l)	04/30/18	J		
139.					Sold (part)	07/02/18	J	A	
140.					Buy (add'l)	09/25/18	J		
141.					Sold (part)	12/12/18	J	A	
142.					Sold (part)	12/13/18	J	A	
143. ISHARES SHORT TREASURY BOND ETF (SHV)	C	Dividend	M	T	Buy (add'l)	01/09/18	J		
144.					Sold (part)	04/09/18	J	A	
145.					Buy (add'l)	04/30/18	J		
146.					Sold (part)	07/02/18	J	A	
147.					Buy (add'l)	09/25/18	J		
148.					Sold (part)	12/12/18	J	A	
149.					Buy (add'l)	12/17/18	L		
150. ISHARES MSCI JAPAN ETF (EWJ)	B	Dividend	M	T	Sold (part)	01/05/18	J	A	
151.					Buy (add'l)	04/11/18	J		
152.					Sold (part)	04/26/18	J	A	
153.					Buy (add'l)	07/05/18	J		

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Sold (part)	09/21/18	J	A	
155.					Buy (add'l)	12/14/18	J		
156.					Buy (add'l)	12/17/18	J		
157. ISHARES TR MSCI EAFE (EFG)	D	Dividend	O	T	Sold (part)	01/05/18	J	B	
158.					Buy (add'l)	04/11/18	J		
159.					Sold (part)	04/26/18	J	A	
160.					Sold (part)	07/02/18	M	E	
161.					Buy (add'l)	09/25/18	J		
162.					Sold (part)	12/13/18	J	A	
163.					Buy (add'l)	12/14/18	K		
164. VANGUARD TOTAL INTERNATL (BNDX)	C	Dividend	M	T	Buy (add'l)	01/09/18	J		
165.					Sold (part)	04/09/18	J	A	
166.					Buy (add'l)	04/30/18	J		
167.					Buy (add'l)	07/05/18	L		
168.					Buy (add'l)	09/25/18	J		
169.					Sold (part)	12/12/18	J	A	
170.					Sold (part)	12/13/18	J	A	

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.									
172. MERRILL LYNCH TRUST ACCOUNT (H)									
173. BANK OF AMERICA N.A.	A	Interest	K	T					
174. SAN FRAN CA CY-CO PUWTR REV SER A	C	Interest	L	T					
175. ROCK CNTY WIS GENL OBLIG ROCK HAVEN PROJ SER-B	C	Interest	M	T					
176. TOMBALL TEX CTFS OBLIG	C	Interest	M	T					
177. CALIFORNIA ST PUB WKS BRD LEASE REV	C	Interest	M	T					
178. CLOVIS CALIF WTR REV REF-1	C	Interest	M	T					
179. FREMONT CALIF CTFS PARTN REV	B	Interest	L	T					
180. PLEASANT HILL CALIF REC & PK DIST GENL OBLIG-B	B	Interest	L	T					
181. SALIDA CALIF AREA PUB FACS FIN G AGY CMNTY FACS DIST SPL TAX	C	Interest	M	T					
182. ANTIOCH UNIFIED SCHOOL DIST GENL OBLIG SER-B	B	Interest	L	T					
183. CLOVIS CALIF UNI SCH DIST	B	Interest	L	T	Buy	08/01/18	L		
184. SACRAMENTO CALIF CITY UNI SCH DIST REF	D	Interest	M	T					
185. ALVORD CALIF UNI SCH DIST SER-A	A	Interest			Sold	08/01/18	K	A	
186. SAN JOSE CALIF ARPT REV REF-B	B	Interest	L	T					
187. CALIFORNIA MUN FIN AUTH	B	Interest	L	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. LINCOLN CALIF UNI SCH DIST SAN JOAQUIN SER-C	B	Interest	L	T					
189. SACRAMENTO CALIF MUN UTIL DIST FING AUTH REV REF	B	Interest	L	T					
190. MARIN CALIF HEALTHCARE	B	Interest	L	T	Buy	03/01/18	L		
191. LAYTONVILLE UNI SCH DIST CALI SER-A	B	Interest	L	T					
192. JOHN SWETT CALIF UNI SCH	B	Interest	L	T					
193. MARYLAND ST HEALTH & HIGHER EDL FACS AUTH REV-C	C	Interest	M	T					
194. NORTHERN CALIFORNIA POWER AGENCY HYDROELEC PJ-1 REV REF-A	B	Interest	L	T					
195. SANTA CLARA CALIF UNI SCH DIS OID	C	Interest	M	T					
196. SAN FRANCISCO CALIF CITY & CNT OID	B	Interest	L	T					
197.									
198. MORGAN STANLEY 2 PERSONAL ACCOUNT (H)									
199. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
200. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
201. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
202. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					
203. AMERICAN AMCAP A (AMCPX)	A	Dividend	K	T					
204. AMERICAN EUROPACIFIC GRW A (AEPGX)	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less B =$1,001 - $2,500 C =$2,501 - $5,000 D =$5,001 - $15,000 E =$15,001 - $50,000
F =$50,001 - $100,000 G =$100,001 - $1,000,000 H1 =$1,000,001 - $5,000,000 H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
N =$250,001 - $500,000 O =$500,001 - $1,000,000 P1 =$1,000,001 - $5,000,000 P2 =$5,000,001 - $25,000,000
P3 =$25,000,001 - $50,000,000 P4 =More than $50,000,000

3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
U =Book Value V =Other W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. AMERICAN INV CO OF AMER A (AIVSX)	A	Dividend	J	T					
206. AMERICAN MUTUAL A (AMRMX)	A	Dividend	K	T					
207. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	J	T					
208. AMERICAN SMALLCAP WORLD A (SMCWX)	A	Dividend	J	T					
209. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	J	T					
210.									
211. MORGAN STANLEY 2 TRADITIONAL IRA (H)									
212. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
213. AMERICAN AMCAP A (AMCPX)	A	Dividend	L	T					
214. AMERICAN EUROPACIFIC GRW F1 (AEGFX)	A	Dividend	K	T					
215. DEUTSCHE GLB INFRASTRUCTURE C (TOLCX)	A	Dividend	K	T					
216. DEUTSCHE UNCONSTRAINED INC A (KSTAX)	A	Dividend	K	T					
217. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	K	T					
218. VOYA GBL VALUE ADVANTAGE C (NAWCX)	B	Dividend	K	T					
219.									
220. MORGAN STANLEY 2 TRADITIONAL IRA 2 (H)									
221. MORGAN STANLEY BANK N.A.	A	Interest	J	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. ISHARES CORE MSCI EAFE ETF (IEFA)	C	Dividend	L	T	Buy (add'l)	01/17/18	K		
223.					Buy (add'l)	07/31/18	J		
224. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	K	T	Sold (part)	01/17/18	J	A	
225.					Buy (add'l)	07/31/18	J		
226. ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend	K	T	Sold (part)	01/17/18	J	B	
227.					Sold (part)	07/31/18	K	D	
228. ISHARES RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T	Sold (part)	01/17/18	J	A	
229.					Buy (add'l)	07/31/18	K		
230. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	A	Dividend	J	T	Sold (part)	01/17/18	J	B	
231.					Sold (part)	07/31/18	J	B	
232. ISHARES RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
233.					Sold (part)	07/31/18	J	B	
234. ISHARES RUSSELL MIDCAP G ETF (IWP)	A	Dividend	J	T	Sold (part)	01/17/18	J	B	
235.					Sold (part)	07/31/18	J	A	
236. ISHARES RUSSELL MIDCAP V ETF (IWS)	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
237.					Sold (part)	07/31/18	J	A	
238. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T	Buy (add'l)	01/17/18	J		

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	K	T	Buy (add'l)	01/17/18	J		
240.					Buy (add'l)	07/31/18	J		
241. VANGUARD SHORT TERM BND (BSV)	A	Dividend	K	T	Buy (add'l)	01/17/18	K		
242. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	K	T	Buy (add'l)	01/17/18	J		
243.					Buy (add'l)	07/31/18	J		
244. WISDOMTREE TRUST JAPN HEDGE EQ (DXJ)	A	Dividend			Sold	01/17/18	J	C	
245. ISHARES INC MSCI JAPAN ETF (EWJ)	A	Dividend	J	T	Buy	01/17/18	K		
246.					Buy (add'l)	07/31/18	J		
247. ISHARES IBOXX $ H/Y COR BD ETF (HYG)	A	Dividend			Sold	01/17/18	J	A	
248.									
249. MORGAN STANLEY 2 TRUST ACCOUNT (H)									
250. MORGAN STANLEY BANK N.A.	A	Interest	L	T					
251. ABBOTT LABORATORIES (ABT)	B	Dividend	M	T					
252. ABBVIE INC COM (ABBV)	C	Dividend	L	T					
253. AVERY DENNISON CORPORATION (AVY)	A	Dividend	K	T					
254. BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	A	Dividend	M	T					
255. BOEING CO (BA)	B	Dividend	L	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. CHEVRON CORP (CVX)	B	Dividend	K	T					
257. COCA COLA CO (KO)	A	Dividend	K	T					
258. EDISON INTERNATIONAL (EIX)	A	Dividend	K	T					
259. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					
260. MICROSOFT CORP (MSFT)	B	Dividend	L	T					
261. NEXTERA ENERGY INC COM (NEE)	C	Dividend	M	T					
262. PRUDENTIAL PLC ADR (PUK)	A	Dividend	J	T					
263. TELEFONICA SA ADR (TEF)	A	Dividend	J	T					
264. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
265. WEC ENERGY GROUP INC COM (WEC)	A	Dividend	K	T					
266. SPDR S&P 500 ETF TRUST (SPY)	A	Dividend	K	T					
267. SPECIAL OPPORTUNITIES FD INC (SPE)	A	Dividend	K	T					
268. WISDOM TREE TOT DIV (DTD)	C	Dividend	M	T					
269. AMERICAN AMCAP A (AMCPX)	B	Dividend	M	T					
270. AMERICAN CAP WRLD GR & INC A (CWGIX)	D	Dividend	N	T					
271. AMERICAN EUROPACIFIC GRW A (AEPGX)	B	Dividend	M	T					
272. AMERICAN INV CO OF AMER A (AIVSX)	C	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. FIDELITY ADV STK SELECT MDCP C (FMCEX)	A	Dividend	L	T					
274. FRANKLIN CA INSURED TX FR A (FRCIX)	B	Dividend	L	T					
275. LORD ABBETT MID CAP STOCK C (LMCCX)	B	Dividend	L	T					
276. OPPENHEIMER DEVELOPING MKTS A (ODMAX)	A	Dividend	M	T					
277. OPPENHEIMER MAIN ST SELECT A (OMSOX)	A	Dividend	M	T					
278. OPPENHEIMER MID CAP VALUE A (QVSCX)	A	Dividend	M	T					
279.									
280. MORGAN STANLEY 2 TRUST ACCOUNT 2 (H)									
281. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
282. ALERIAN MLP ETF (AMLP)	E	Dividend	M	T	Buy (add'l)	05/31/18	J		
283.					Buy (add'l)	12/31/18	K		
284. ISHARES MSCI EAFE SM CAP ETF (SCZ)	C	Dividend	L	T					
285. SPDR S&P 500 ETF TRUST (SPY)	D	Dividend	O	T					
286. VANGUARD EXTENDED MKT ETF (VXF)	B	Dividend	M	T					
287. VANGUARD FTSE DEVELOPED MKTS E (VEA)	D	Dividend	M	T					
288. VANGUARD FTSE EMERGING MARKETS (VWO)	C	Dividend	L	T					
289. VANGUARD MID-CAP ETF INDEX (VO)	C	Dividend	M	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. AMERICAN TAX-EXEMPT BD FD F2 (TEAFX)	D	Dividend	M	T	Buy (add'l)	05/31/18	J		
291. PRINCIPAL PREFERRED SEC INST (PPSIX)	E	Dividend	N	T	Buy (add'l)	05/31/18	J		
292.					Buy (add'l)	12/31/18	J		
293.									
294. MORGAN STANLEY 3 PERSONAL ACCOUNT (H)									
295. MORGAN STANLEY BANK, N.A.	A	Interest	K	T					
296. ABBOTT LABORATORIES (ABT)	B	Dividend	M	T					
297. ABBVIE INC COM (ABBV)	D	Dividend	M	T					
298. ADVANSIX INC (ASIX)	A	Dividend	J	T					
299. ALCOA INC (AA)	A	Dividend	J	T					
300. ARCONIC INC (ARNC)	A	Dividend	J	T					
301. AT&T INC (T)	A	Dividend	J	T					
302. BANK OF NEW YORK MELLON CORP (BK)	A	Dividend	K	T					
303. BERKSHIRE HATHAWAY CL-B NEW (BRKB)	A	Dividend	J	T					
304. CISCO SYS INC (CSCO)	B	Dividend	L	T					
305. COMCAST CORP (NEW) CLASS A (CMCSA)	A	Dividend	J	T					
306. CONOCOPHILLIPS (COP)	A	Dividend	J	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. EXXON MOBIL CORP (XOM)	B	Dividend	K	T					
308. HONEYWELL INTERNATIONAL INC (HON)	B	Dividend	L	T					
309. GARRETT MOTION INC (GTX)	A	Dividend	J	T	Redeemed (part)	10/01/18	J	A	
310. INTEL CORP (INTC)	A	Dividend	K	T					
311. LIFE STORAGE INC (LSI)	A	Dividend	K	T					
312. NCR CORPORATION (NCR)	A	Dividend	J	T					
313. PHILLIPS 66 COM (PSX)	A	Dividend	J	T					
314. RESIDEO TECHNOLOGIES INC (REZI)	A	Dividend	J	T	Redeemed (part)	10/29/18	J	A	
315. SCHLUMBERGER LTD (SLB)	A	Dividend	J	T					
316. SUN LIFE FINL SVCS CDA INC (SLF)	B	Dividend	K	T					
317. TERADATA CORP (TDC)	A	Dividend	J	T					
318. TEXAS INSTRUMENTS (TXN)	C	Dividend	M	T					
319. TRANSOCEAN LTD (RIG)	A	Dividend	J	T					
320. TWENTY-FIRST CENTURY FOX CL A (FOXA)	A	Dividend	J	T					
321. VERIZON COMMUNICATIONS (VZ)	A	Dividend	J	T					
322. VODAFONE GROUP PLC (VOD)	A	Dividend	J	T					
323. WALGREENS BOOTS ALLIANCE INC (WBA)	B	Dividend	L	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
325. WILLIAMS CO INC (WMB)	A	Dividend	J	T					
326. WPX ENERGY INC (WPX)	A	Dividend	J	T					
327. AMERICAN BALANCED A (ABALX)	B	Dividend	L	T					
328. AMERICAN CAP WORLD GR & INC A (CWGIX)	B	Dividend	L	T					
329. AMERICAN NEW PERSPECTIVE A (ANWPX)	A	Dividend	L	T					
330. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	K	T					
331. AMERICAN SMALL CAP WORLD A (SMCWX)	A	Dividend	K	T					
332. INVESCO VAN KAMPEN CALIF VALUE (VCV)	B	Dividend	K	T					
333. INVESCO BAL RISK COMM STRAT A (BRCAX)	A	Dividend	J	T					
334. INVESCO GLOBAL CORE EQUITY A (AWSAX)	A	Dividend	J	T					
335. MSIF GROWTH A (MSEGX)	A	Dividend	M	T					
336. MSIF TR MID CAP GROWTH A (MACGX)	A	Dividend	K	T					
337. MSIF ULTRA-SHORT INCOME A (MUAIX)	B	Dividend	M	T	Buy	10/29/18	M		
338.									
339. MORGAN STANLEY 3 TRADITIONAL IRA (H)									
340. MORGAN STANLEY BANK N.A.	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
342. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	K	T					
343. DAVIS NEW YORK VENTURE C (NYVCX)	A	Dividend	K	T					
344. MS U.S. GOVERNMENT SEC TR I (USGDX)	A	Dividend	J	T					
345. MSIF GROWTH L (MSHLX)	A	Dividend	K	T					
346.									
347. WILMINGTON TRUST (H)									
348. APPLE INC	A	Dividend	K	T					
349. CAMBIAR INTERNATIONAL EQUITY FUND	B	Dividend	M	T					
350. ISHARES CORE S&P MID-CAP ETF	C	Dividend			Sold	02/20/18	N	F	
351. ISHARES RUSSELL 2000 VALUE ETF	B	Dividend	M	T					
352. ISHARES RUSSELL 2000 ETF	B	Dividend	M	T					
353. ISHARES S&P 500 GROWTH ETF	C	Dividend	N	T					
354. ORACLE CORPORATION COM	A	Dividend	J	T					
355. REAL ESTATE SELECT SECTOR SPDR FUND	A	Dividend	K	T					
356. STARBUCKS CORP COM	A	Dividend	J	T					
357. VANGUARD 500 INDEX FUND CLASS ADMIRAL	D	Dividend	M	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. VANGUARD CONSUMER DISCRETIONARY ETF	A	Dividend	L	T					
359. VANGUARD CONSUMER STAPLES ETF	A	Dividend	K	T					
360. VANGUARD EMERGING MARKETS STOCK INDEX FUND	C	Dividend	M	T					
361. VANGUARD ENERGY ETF	A	Dividend	K	T	Buy (add'l)	02/21/18	K		
362. VANGUARD FINANCIALS ETF	B	Dividend	L	T	Sold (part)	02/20/18	J	B	
363. VANGUARD HEALTH CARE ETF	A	Dividend	L	T	Sold (part)	02/20/18	J	B	
364. VANGUARD INDUSTRIALS ETF	A	Dividend	K	T					
365. VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	M	T	Sold (part)	02/20/18	J	C	
366. VANGUARD MATERIALS ETF	A	Dividend	J	T					
367. VANGUARD TELECOMMUNICATION SERVICES ETF	A	Dividend	J	T					
368. VANGUARD UTILITIES ETF	A	Dividend	J	T					
369. NUVEEN HIGH YIELD MUNI CL-I	D	Dividend	M	T					
370. WILMINGTON INTERNATIONAL FUND	B	Dividend	L	T	Buy	02/16/18	L		
371. WCM FOCUSED INTL GROWTH FD	A	Dividend	M	T	Buy	02/16/18	L		
372.					Buy (add'l)	02/20/18	M		
373. VANGUARD INT-TRM TAX EXEMPT FUND	D	Dividend	N	T					
374. VANGUARD SHORT-TERM TAX-EXEMPT FUND CLASS ADMIRAL	D	Dividend	N	T	Sold (part)	02/16/18	M	A	

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

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. SONOMA CNTY CALIFORNIA JNR CLG DIST HIGHER EDUCATION	A	Dividend			Matured	08/01/18	K	A	
376. WASHINGTON STATE ECON DEV REVENUE BONDS	B	Dividend			Matured	06/01/18	K	A	
377. LEWISTON MAINE GENERAL OBLIGATION	A	Dividend	K	T					
378. CHELMSFORD MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
379. SAN FRANCISCO CITY & CNTY CALIFORNIA GENERAL OBLIGATION	B	Dividend	K	T					
380. NEWBURYPORT MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
381. OKLAHOMA STATE CAPITAL IMPT AUTHS GENERAL OBLIGATION	A	Dividend	K	T					
382. TRI-CNTY OREGON METRO TRANSPRTN DIST GENERAL OBLIGATION	A	Dividend	K	T					
383. SAN ANTONIO TEXAS ELEC & GAS UTILITIES REVENUE	B	Dividend	K	T					
384. SAN FRANCISCO CALIFORNIA CITY & CNTY REVENUE BONDS	B	Dividend	K	T					
385. NORTH LAKE TAHOE CALIFORNIA REVENUE BOND	B	Dividend	K	T					
386. EAST BAY CALIFORNIA UTILITY WATER REVENUE	A	Dividend	K	T					
387. ISHARES COHEN & STEERS REIT ETF	A	Dividend			Sold	02/20/18	K	A	
388. ISHARES TIPS BOND ETF	B	Dividend			Sold	02/20/18	L	B	
389. BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS INSTITUTIONAL	A	Dividend	L	T					
390. GATEWAY FUND CLASS Y	B	Dividend	L	T	Buy (add'l)	02/20/18	K		

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
391. WILMINGTON TRUST BANK DEPOSIT SWEEP	B	Dividend	L	T					
392. WILMINGTON US GOVERNMENT MONEY MARKET FUND CLASS SELECT	A	Dividend	J	T					
393. WILMINGTON REAL ASSET FUND-I	C	Dividend	M	T	Buy	02/20/18	M		
394.									
395. BANK OF AMERICA, N.A. WEATH MGMT BOFA INTEREST CHECKING	A	Interest	M	T					
396. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 1	B	Interest	P1	T					
397. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 2	B	Interest	O	T					
398. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 3	B	Interest	O	T					
399. BANK OF AMERICA, N.A. CORE CHECKING	A	Interest	M	T					
400. UNION BANK PRIVATE ADVANTAGE	A	Interest	J	T					
401. UNION BANK HIGH RATE MONEYMARKET	A	Interest	N	T					
402. WELLS FARGO HIGH YIELD SAVINGS	A	Interest	M	T					
403. WELLS FARGO PMA PRIME CHECKING ACCOUNT	A	Interest	L	T					
404. CHASE CHECKING ACCOUNT	A	Interest	J	T					
405. CHASE PRIVATE CLIENT	A	Interest	N	T					
406. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	N	T					

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
407. CITIBANK PRIVATE CLIENT INTEREST CHECKING	A	Interest	O	T					
408. CITIBANK PRIVATE BANK 6 MONTH CD	A	Interest	N	T					
409. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	M	T					
410. EDISON INTERNATIONAL	A	Dividend	J	T					
411. WISCONSIN ENERGY CORPORATION	A	Dividend	J	T					
412. NEXTERA ENERGY, INC	B	Dividend	L	T					
413.									
414. FIDELITY INVESTMENTS (H)									
415. FIDELITY INVESTMENTS	A	Int./Div.	J	T					
416. FIDELITY INT'L VALUE	A	Int./Div.	J	T					
417. FIDELITY INTL SMALL CAP OPP FUND	A	Int./Div.	J	T					
418. FIDELITY EQUITY DIVIDEND INCOME FUND	A	Int./Div.	K	T					
419. FIDELITY PURITAN	A	Int./Div.	K	T					
420.									
421. OPPENHEIMER & CO INC (H)									
422. OPPENHEIMER & CO INC ADVANTAGE BANK DEPOSITS	A	Interest	J	T					
423. AMERICAN ELEC PWR INC	A	Dividend			Sold	10/30/18	J	B	

1 Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
424. FIRST INDUSTRIAL REALTY TRUST REIT	A	Dividend			Sold	10/30/18	J	B	
425. MEDICAL PPTYS TRUST INC REIT	A	Dividend			Sold	10/30/18	J	A	
426. SOUTHERN CO	B	Dividend			Sold	10/30/18	K	B	
427. MERRILL LYNCH CAP TR III	A	Dividend			Sold	06/06/18	J	A	
428. OPPENHEIMER GLOBAL STRATEGIC INCOME FD CLA	A	Dividend			Sold	10/30/18	J	A	
429. PUTNAM HIGH YIELD TRUST SBI CLA	A	Dividend			Sold	10/30/18	J	A	
430. ALLIANZGI EQUITY & CONV INCOME	A	Dividend			Sold	10/30/18	J	A	
431. BARINGS CORPORATE INVS CLOSED END	A	Dividend			Sold	10/30/18	J	A	
432. CBRE CLARION GLOBAL REAL ESTAT	A	Dividend			Sold	10/30/18	J	A	
433. GLADSTONE CAPITAL CORP	A	Dividend			Sold	10/30/18	J	A	
434. GLADSTONE INVT CORP	A	Dividend			Sold	10/30/18	J	A	
435. PROSPECT CAPITAL COPORATION	A	Dividend			Sold	10/30/18	J	A	
436. VOYA ASIA PAC DIVID EQUITY IN	A	Dividend			Sold	10/30/18	J	A	
437. VOYA GLBL EQTY DIV & PREM OPP	A	Dividend			Sold	10/30/18	J	A	
438. MICHIGAN ST HOSP FIN AUTH REV MI AMBAC 5.25% DUE 05/15/26 B/E REV OID	A	Interest	J	T					
439. INVESCO QQQ TR SER 1 ETF	A	Dividend	J	T	Buy	11/01/18	J		

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
440. INVESCO MSCI GLOBAL TIMBER ETF	A	Dividend	J	T	Buy	11/01/18	J		
441. ISHARES MSCI FRNTR 100 ETF	A	Dividend	J	T	Buy	11/01/18	J		
442. ISHARES TR MSCI EAFE ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
443. ISHARES TR CORE S&P MCP ETF CLOSED END SBI/CBI ETF	A	Dividend	K	T	Buy	11/01/18	K		
444. ISHARES TR CORE S&P SCP ETF CLOSED END SBI/CBI ETF	A	Dividend	K	T	Buy	11/01/18	K		
445. ISHARES MSCI EAFE SMALL CAP INDEX FUND CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
446. ISHARES INC CORE MSCI EMKT SBI/ CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
447. SPDR S&P 500 ETF TR TR UNIT CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
448. SPDR INDEX SHS FDS DJ GLB RL ES ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
449. SPDR SERIES TRUST BLMBRG BRC CNVRT CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
450. SPDR BLKSTN/GSO SEN LOAN ETF	A	Dividend	J	T	Buy	11/01/18	J		
451. SELECT SECTOR SPDR TR SBI CONS DISCR CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
452. SELECT SECTOR SPDR TR SBI INT-INDS CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
453. VANGUARD WORLD FDS FINANCIAL ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T	Buy	11/01/18	J		
454. VANECK VECTORS AMT FREE INTERM MUN INDEX ETF	A	Dividend	J	T	Buy	11/01/18	J		
455.									

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
456. ASSOCIATED BANK N.A. INDIVIDUAL HSA W	A	Interest	K	T					
457.									
458. JOHN HANCOCK - TERM POLICY		None	J	T					
459.									
460. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 1	B	Dividend	K	T					
461. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 2	A	Dividend	K	T					
462. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 3	B	Dividend	L	T					
463. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 4	A	Dividend	K	T					
464. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 5	A	Dividend	J	T					
465.									
466. HUNTINGTON NATIONAL BANK (H)									
467. CHECKING ACCOUNT	A	Interest	J	T					
468.									

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

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

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

The following change was made on Part VII (Investments and Trusts) of the report:

The asset name on line 67 of the prior report is changed to read "Bank of America-California, N.A." on the amended report. The purchase information is also reflected in columns D1-D3 to indicate that this asset was purchased during the reporting period.

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	04/21/2020

IX. CERTIFICATION.

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

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

Signature: S/ ALEXANDER F. MACKINNON

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544