

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) MACKINNON, ALEXANDER F.	2. Court or Organization U.S. DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA	3. Date of Report 08/04/2020
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 01/01/2019 to 12/31/2019
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: MACKINNON, ALEXANDER F., 08/04/2020

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

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Rows 1-4 are empty.

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.)

[X] NONE (No reportable non-investment income.)

Table with 2 columns: DATE, SOURCE AND TYPE. Rows 1-4 are empty.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

Name of Person Reporting	Date of Report
MACKINNON, ALEXANDER F.	08/04/2020

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.		

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	A	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	A	Int./Div.	J	T					
8. K&E 2005 PEF	B	Int./Div.	J	T					
9. K&E 2006 PEF	E	Int./Div.	J	T					
10. K&E 2007 PEF	D	Int./Div.	K	T					
11. K&E 2008 PEF	E	Int./Div.	K	T					
12. K&E 2009 PEF	C	Int./Div.	J	T					
13. K&E 2010 PEF	C	Int./Div.	K	T					
14. K&E 2012 PEF	D	Int./Div.	K	T					
15. K&E 2014 PEF	D	Int./Div.	M	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 F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	A	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	A	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	C	Int./Div.	J	T					
29. ACCEL-KKR GROWTH	E	Int./Div.	J	T					
30. ACCEL-KKR III	A	Int./Div.	L	T					
31. ACCEL-KKR IV	E	Int./Div.	K	T					
32. APAX VIII-B	D	Int./Div.	K	T					
33. BAIN ASIA II	B	Int./Div.	K	T					
34. CARLYLE ASIA IV	C	Int./Div.	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. VESTAR VI	D	Int./Div.	K	T					
53. WALTON STREET REAL ESTATE FUND VII	B	Int./Div.	J	T					
54. WARBURG PINCUS XI	C	Int./Div.	K	T					
55.									
56. MERRILL LYNCH TRADITIONAL IRA 1 (H)									
57. BANK OF AMERICA N.A.	A	Interest	K	T					
58. INVESCO OPNHMR GLOBAL OPPORTUNITIES FUND CL C (OGICX)	A	Dividend	L	T	Buy	02/12/19	L		
59. VANGUARD MID CAP INDEX ADM (VIMAX)	B	Dividend	M	T					
60. VANGUARD BAL INDEX ADM (VBIAX)	B	Dividend	M	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	O	T					
65.									
66. MERRILL LYNCH TRADITIONAL IRA 2 (H)									
67. BANK OF AMERICA-CALIFORNIA, N.A.	A	Interest	M	T					
68. BANK OF AMERICA N.A.	A	Interest	N	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. DWS GLOBAL HIGH INCOME INSTL (MGHYX)	D	Dividend	M	T	Buy	12/02/19	J		
70.					Buy (add'l)	12/04/19	M		
71. DEUTSCHE GLOBAL HIGH (SGHSX)	D	Dividend			Buy (add'l)	03/15/19	J		
72.					Buy (add'l)	11/20/19	J		
73.					Sold	12/04/19	M	A	
74. ISHARES MSCI EMERGING MKTS ETF (EEM)	C	Dividend	M	T	Sold (part)	03/15/19	J	A	
75.					Buy (add'l)	09/09/19	J		
76.					Buy (add'l)	10/07/19	J		
77.					Sold (part)	12/20/19	J	B	
78. ISHARES RUSSELL 1000 GRW ETF (IWF)	D	Dividend	O	T	Sold (part)	03/15/19	J	C	
79.					Sold (part)	06/07/19	J	B	
80.					Sold (part)	09/09/19	K	D	
81.					Buy (add'l)	10/07/19	J		
82.					Buy (add'l)	11/20/19	K		
83.					Sold (part)	12/20/19	J	C	
84. ISHARES RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	O	T	Sold (part)	03/15/19	J	A	
85.					Buy (add'l)	09/09/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86.					Buy (add'l)	11/20/19	K		
87. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	B	Dividend	N	T	Sold (part)	03/15/19	J	C	
88.					Buy (add'l)	09/09/19	J		
89.					Buy (add'l)	10/07/19	J		
90.					Buy (add'l)	11/20/19	K		
91.					Sold (part)	12/20/19	J	B	
92. ISHARES RUSSELL 2000 VALUE ETF (IWN)	D	Dividend	N	T	Sold (part)	03/15/19	J	A	
93.					Buy (add'l)	09/09/19	K		
94.					Sold (part)	10/07/19	J	A	
95.					Buy (add'l)	11/20/19	K		
96.					Sold (part)	12/20/19	J	B	
97. ISHARES RUSSELL MIDCAP G ETF (IWP)	B	Dividend	M	T	Sold (part)	03/15/19	J	C	
98.					Sold (part)	06/07/19	J	B	
99.					Sold (part)	09/09/19	J	B	
100.					Buy (add'l)	10/07/19	J		
101.					Buy (add'l)	11/20/19	K		
102. ISHARES RUSSELL MIDCAP V ETF (IWS)	C	Dividend	M	T	Sold (part)	03/15/19	J	A	

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

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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103.					Buy (add'l)	09/09/19	J		
104.					Sold (part)	10/07/19	J	A	
105.					Buy (add'l)	11/20/19	L		
106. ISHARES CORE US AGGREGATE BOND ETF (AGG)	C	Dividend	M	T	Buy (add'l)	03/15/19	J		
107.					Sold (part)	06/07/19	J	A	
108.					Sold (part)	09/09/19	J	A	
109.					Sold (part)	10/07/19	J	A	
110.					Buy (add'l)	11/20/19	J		
111. ISHARES TIPS BOND ETF (TIP)	C	Dividend	M	T	Buy (add'l)	03/15/19	J		
112.					Sold (part)	06/07/19	J	A	
113.					Buy (add'l)	09/09/19	J		
114.					Buy (add'l)	11/20/19	J		
115. ISHARES SHORT TREASURY BOND ETF (SHV)	C	Dividend	M	T	Buy (add'l)	03/15/19	J		
116.					Buy (add'l)	09/09/19	J		
117.					Sold (part)	10/07/19	J	A	
118.					Sold (part)	11/20/19	L	A	
119. ISHARES MSCI JAPAN ETF (EWJ)	B	Dividend	L	T	Buy (add'l)	03/15/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120.					Buy (add'l)	09/09/19	J		
121.					Sold (part)	10/07/19	J	B	
122.					Sold (part)	11/20/19	L	E	
123. ISHARES TR MSCI EAFE (EFG)	D	Dividend	O	T	Sold (part)	03/15/19	J	B	
124.					Sold (part)	06/07/19	J	B	
125.					Sold (part)	09/09/19	J	A	
126.					Buy (add'l)	10/07/19	J		
127.					Sold (part)	11/20/19	J	B	
128. VANGUARD TOTAL INTERNATL (BNDX)	C	Dividend	M	T	Buy (add'l)	03/15/19	J		
129.					Sold (part)	06/07/19	J	A	
130.					Sold (part)	09/09/19	J	A	
131.					Sold (part)	10/07/19	J	A	
132.					Buy (add'l)	11/20/19	J		
133.									
134. MERRILL LYNCH TRUST ACCOUNT (H)									
135. BANK OF AMERICA N.A.	A	Interest	L	T					
136. SAN FRAN CA CY-CO PUWTR REV SER A	A	Interest			Redeemed	11/01/19	L	A	

1 Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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. ROCK CNTY WIS GENL OBLIG ROCK HAVEN PROJ SER-B	C	Interest	M	T					
138. TOMBALL TEX CTFS OBLIG	C	Interest	M	T					
139. CALIFORNIA ST PUB WKS BRD LEASE REV	C	Interest	M	T					
140. CLOVIS CALIF WTR REV REF-1	C	Interest	M	T					
141. FREMONT CALIF CTFS PARTN REV	B	Interest			Redeemed	11/19/19	L	A	
142. PLEASANT HILL CALIF REC & PK DIST GENL OBLIG-B	B	Interest	L	T					
143. SALIDA CALIF AREA PUB FACS FIN G AGY CMNTY FACS DIST SPL TAX	C	Interest	M	T					
144. ANTIOCH UNIFIED SCHOOL DIST GENL OBLIG SER-B	B	Interest	L	T					
145. CLOVIS CALIF UNI SCH DIST	B	Interest	L	T					
146. SACRAMENTO CALIF CITY UNI SCH DIST REF	C	Interest			Sold	01/29/19	M	C	
147. SAN JOSE CALIF ARPT REV REF-B	B	Interest	L	T					
148. CALIFORNIA MUN FIN AUTH	B	Interest	L	T					
149. LINCOLN CALIF UNI SCH DIST SAN JOAQUIN SER-C	B	Interest	L	T					
150. SACRAMENTO CALIF MUN UTIL DIST FING AUTH REV REF	B	Interest	L	T					
151. MARIN CALIF HEALTHCARE	B	Interest	L	T					
152. LAYTONVILLE UNI SCH DIST CALI SER-A	B	Interest	L	T					
153. JOHN SWETT CALIF UNI SCH	B	Interest	L	T					

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. MARYLAND ST HEALTH & HIGHER EDL FACS AUTH REV-C	C	Interest	M	T					
155. NORTHERN CALIFORNIA POWER AGENCY HYDROELEC PJ-1 REV REF-A	B	Interest	L	T					
156. SANTA CLARA CALIF UNI SCH DIS OID	C	Interest	M	T					
157. SAN FRANCISCO CALIF CITY & CNT OID	B	Interest	L	T					
158. BAY AREA TOLL AUTH CALIF TOLL BRDG REV	C	Interest	L	T	Buy	01/30/19	M		
159. NEW HAVEN CALIF UNI SCH DIST GO REF BDS A LT BAM	A	Interest			Buy	11/20/19	K		
160. OAKLAND CALIF UNI SCH DIST ALAMEDA CNTY GO LT	C	Interest	M	T	Buy	01/30/19	M		
161. VISALIA CALIF UNI SCH DIST GO BDS 2015 LT	A	Interest	J	T	Buy	11/20/19	J		
162. FORT BEND CO TEX MUD#169 REV WTR SWR A OID AGM	A	Interest	K	T	Buy	11/25/19	K		
163. WARREN CO KY SD FIN CRP BLG RV BDS B SCH GTD OID	B	Interest	K	T	Buy	11/25/19	L		
164. ELK GROVE CALIF UNI SCH DIST GO BDS 2019 LT OID	B	Interest	L	T	Buy	02/07/19	L		
165.									
166. MORGAN STANLEY 2 PERSONAL ACCOUNT (H)									
167. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
168. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
169. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
170. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. AMERICAN AMCAP A (AMCPX)	A	Dividend	K	T					
172. AMERICAN EUROPACIFIC GRW A (AEPGX)	A	Dividend	J	T					
173. AMERICAN INV CO OF AMER A (AIVSX)	A	Dividend	J	T					
174. AMERICAN MUTUAL A (AMRMX)	A	Dividend	K	T					
175. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	J	T					
176. AMERICAN SMALLCAP WORLD A (SMCWX)	A	Dividend	J	T					
177. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	J	T					
178.									
179. MORGAN STANLEY 2 TRADITIONAL IRA (H)									
180. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
181. AMERICAN AMCAP A (AMCPX)	A	Dividend	L	T					
182. AMERICAN EUROPACIFIC GRW F1 (AEGFX)	A	Dividend	L	T					
183. DEUTSCHE GLB INFRASTRUCTURE C (TOLCX)	A	Dividend			Sold	03/28/19	K	A	
184. DEUTSCHE UNCONSTRAINED INC A (KSTAX)	A	Dividend			Sold	03/28/19	K	A	
185. DWS EMERG MKTS EQUITY A (SEKAX)	A	Dividend	K	T	Buy	03/28/19	K		
186. DWS GLOBAL INC BUILDER C (KTRCX)	B	Dividend	K	T	Buy	03/28/19	K		
187. TEMPLETON FOREIGN FUND C (TEMFX)	B	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 31

Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. VOYA GBL VALUE ADVANTAGE C (NAWGX)	B	Dividend	L	T					
189.									
190. MORGAN STANLEY 2 TRADITIONAL IRA 2 (H)									
191. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
192. ISHARES 20+ YR TREASU BOND ETF (TLT)	A	Dividend	K	T	Buy	04/18/19	K		
193. ISHARES CORE MSCI EAFE ETF (IEFA)	C	Dividend	M	T	Sold (part)	04/18/19	J	A	
194.					Buy (add'l)	12/23/19	J		
195. ISHARES CORE MSCI EMERGING (IEMG)	B	Dividend	K	T	Buy (add'l)	04/18/19	J		
196.					Buy (add'l)	12/23/19	J		
197. ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend	K	T	Sold (part)	04/18/19	J	A	
198. ISHARES RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T	Sold (part)	04/18/19	J	A	
199. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	04/18/19	J		
200. ISHARES RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T	Buy (add'l)	04/18/19	J		
201.					Buy (add'l)	12/23/19	J		
202. ISHARES RUSSELL MIDCAP G ETF (IWP)	A	Dividend	J	T	Sold (part)	04/18/19	J	B	
203. ISHARES RUSSELL MIDCAP V ETF (IWS)	A	Dividend	J	T	Sold (part)	04/18/19	J	A	
204. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T	Buy (add'l)	12/23/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
206. VANGUARD SHORT TERM BND (BSV)	B	Dividend	K	T	Sold (part)	04/18/19	J	A	
207.					Buy (add'l)	12/23/19	J		
208. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	K	T	Sold (part)	04/18/19	J	A	
209.					Buy (add'l)	12/23/19	J		
210. ISHARES INC MSCI JAPAN ETF (EWJ)	A	Dividend	J	T	Sold (part)	04/18/19	J	A	
211.									
212. MORGAN STANLEY 2 TRUST ACCOUNT (H)									
213. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
214. ABBOTT LABORATORIES (ABT)	C	Dividend	M	T					
215. ABBVIE INC COM (ABBV)	C	Dividend	L	T					
216. AVERY DENNISON CORPORATION (AVY)	A	Dividend	K	T					
217. BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	A	Dividend	M	T					
218. BOEING CO (BA)	B	Dividend	L	T					
219. CHEVRON CORP (CVX)	B	Dividend	K	T					
220. COCA COLA CO (KO)	A	Dividend	K	T					
221. EDISON INTERNATIONAL (EIX)	A	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. FRONTIER COMMUNICATIONS CORP (FTR)	A	Dividend	J	T					
223. MICROSOFT CORP (MSFT)	B	Dividend	M	T					
224. NEXTERA ENERGY INC COM (NEE)	C	Dividend	M	T					
225. PRUDENTIAL PLC ADR (PUK)	A	Dividend			Sold	11/08/19	J	A	
226. TELEFONICA SA ADR (TEF)	A	Dividend	J	T					
227. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
228. WEC ENERGY GROUP INC COM (WEC)	B	Dividend	K	T					
229. SPDR S&P 500 ETF TRUST (SPY)	A	Dividend	K	T					
230. SPECIAL OPPORTUNITIES FD INC (SPE)	B	Dividend	K	T					
231. WISDOM TREE TOT DIV (DTD)	C	Dividend	M	T					
232. AMERICAN AMCAP A (AMCPX)	B	Dividend	M	T					
233. AMERICAN CAP WRLD GR & INC A (CWGIX)	D	Dividend	N	T					
234. AMERICAN EUROPACIFIC GRW A (AEPGX)	C	Dividend	N	T	Buy (add'l)	03/28/19	L		
235. AMERICAN INV CO OF AMER A (AIVSX)	C	Dividend	M	T					
236. FIDELITY ADV STK SELECT MDCP A (FMCDX)	A	Dividend	L	T					
237. FRANKLIN CA INSURED TX FR A (FKTFX)	B	Dividend	L	T					
238. LORD ABBETT MID CAP STOCK C (LMCCX)	B	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. OPPENHEIMER DEVELOPING MKTS A (ODMAX)	A	Dividend	M	T	Buy (add'l)	03/28/19	K		
240. OPPENHEIMER MAIN ST SELECT A (OMSOX)	A	Dividend	M	T					
241. OPPENHEIMER MID CAP VALUE A (QVSCX)	B	Dividend	M	T					
242.									
243. MORGAN STANLEY 2 TRUST ACCOUNT 2 (H)									
244. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
245. ALERIAN MLP ETF (AMLPE)	E	Dividend	M	T	Buy (add'l)	03/29/19	J		
246.					Buy (add'l)	09/30/19	K		
247. ISHARES MSCI EAFE SM CAP ETF (SCZ)	C	Dividend	M	T	Buy (add'l)	03/29/19	J		
248. SPDR S&P 500 ETF TRUST (SPY)	D	Dividend	O	T	Sold (part)	03/29/19	L	E	
249. VANGUARD EXTENDED MKT ETF (VXF)	B	Dividend	M	T	Sold (part)	03/29/19	J	C	
250. VANGUARD FTSE DEVELOPED MKTS E (VEA)	D	Dividend	N	T	Buy (add'l)	03/29/19	K		
251. VANGUARD FTSE EMERGING MARKETS (VWO)	C	Dividend	M	T	Buy (add'l)	03/29/19	J		
252.					Buy (add'l)	09/30/19	J		
253. VANGUARD MID-CAP ETF INDEX (VO)	C	Dividend	N	T	Sold (part)	03/29/19	K	D	
254. AMERICAN TAX-EXEMPT BD FD F2 (TEAFX)	D	Dividend	M	T	Buy (add'l)	03/29/19	K		
255. PRINCIPAL PREFERRED SEC INST (PPSIX)	E	Dividend	N	T	Buy (add'l)	03/29/19	L		

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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.									
257. MORGAN STANLEY 3 PERSONAL ACCOUNT (H)									
258. MORGAN STANLEY BANK, N.A.	A	Interest	L	T					
259. ABBOTT LABORATORIES (ABT)	C	Dividend	M	T					
260. ABBVIE INC COM (ABBV)	D	Dividend	M	T					
261. ADVANSIX INC (ASIX)	A	Dividend	J	T					
262. ALCOA INC (AA)	A	Dividend	J	T					
263. ARCONIC INC (ARNC)	A	Dividend	J	T					
264. AT&T INC (T)	A	Dividend	J	T					
265. BANK OF NEW YORK MELLON CORP (BK)	A	Dividend	K	T					
266. BERKSHIRE HATHAWAY CL-B NEW (BRKB)	A	Dividend	J	T					
267. CISCO SYS INC (CSCO)	B	Dividend	L	T					
268. COMCAST CORP (NEW) CLASS A (CMCSA)	A	Dividend	J	T					
269. CONOCOPHILLIPS (COP)	A	Dividend	J	T					
270. EXXON MOBIL CORP (XOM)	B	Dividend	K	T					
271. HONEYWELL INTERNATIONAL INC (HON)	B	Dividend	L	T					
272. GARRETT MOTION INC (GTX)	A	Dividend	J	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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. INTEL CORP (INTC)	A	Dividend	K	T					
274. LIFE STORAGE INC (LSI)	A	Dividend	K	T					
275. NCR CORPORATION (NCR)	A	Dividend	J	T					
276. PHILLIPS 66 COM (PSX)	A	Dividend	J	T					
277. RESIDEO TECHNOLOGIES INC (REZI)	A	Dividend	J	T					
278. SCHLUMBERGER LTD (SLB)	A	Dividend	K	T					
279. SUN LIFE FINL SVCS CDA INC (SLF)	B	Dividend	K	T					
280. TERADATA CORP (TDC)	A	Dividend	J	T					
281. TEXAS INSTRUMENTS (TXN)	C	Dividend	M	T					
282. TRANSOCEAN LTD (RIG)	A	Dividend	J	T					
283. TWENTY-FIRST CENTURY FOX CL A (FOXA)	A	Dividend			Sold	03/19/19	J	A	
284. VERIZON COMMUNICATIONS (VZ)	A	Dividend	J	T					
285. VODAFONE GROUP PLC (VOD)	A	Dividend	J	T					
286. WALGREENS BOOTS ALLIANCE INC (WBA)	C	Dividend	L	T					
287. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T	Sold (part)	03/20/19	J	A	
288. WILLIAMS CO INC (WMB)	B	Dividend	K	T					
289. WPX ENERGY INC (WPX)	A	Dividend	J	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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 BALANCED A (ABALX)	B	Dividend	L	T					
291. AMERICAN CAP WORLD GR & INC A (CWGIX)	B	Dividend	L	T					
292. AMERICAN NEW PERSPECTIVE A (ANWPX)	A	Dividend	L	T					
293. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	L	T					
294. AMERICAN SMALL CAP WORLD A (SMCWX)	A	Dividend	K	T					
295. INVESCO VAN KAMPEN CALIF VALUE (VCV)	B	Dividend	K	T					
296. INVESCO BAL RISK COMM STRAT A (BRCAX)	A	Dividend	J	T					
297. INVESCO GLOBAL CORE EQUITY A (AWSAX)	A	Dividend	K	T					
298. MSIF GROWTH A (MSEGX)	A	Dividend	M	T					
299. MSIF TR MID CAP GROWTH A (MACGX)	A	Dividend	K	T					
300. MSIF ULTRA-SHORT INCOME A (MUAIX)	B	Dividend	M	T					
301.									
302. MORGAN STANLEY 3 TRADITIONAL IRA (H)									
303. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
304. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
305. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	K	T					
306. AMERICAN EUROPACIFIC GRW A (ARPGX)	A	Dividend	J	T	Buy	03/28/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307. DAVIS NEW YORK VENTURE C (NYVCX)	A	Dividend	K	T					
308. MS U.S. GOVERNMENT SEC TR I (USGDX)	A	Dividend	J	T					
309. MSIF GROWTH L (MSHLX)	A	Dividend	L	T					
310.									
311. WILMINGTON TRUST (H)									
312. APPLE INC	A	Dividend	L	T					
313. CAMBIAR INTERNATIONAL EQUITY FUND	D	Dividend	M	T	Sold (part)	01/31/19	K	A	
314. ISHARES RUSSELL 2000 VALUE ETF	C	Dividend	M	T					
315. ISHARES RUSSELL 2000 ETF	C	Dividend	M	T					
316. ISHARES S&P 500 GROWTH ETF	D	Dividend	N	T					
317. ORACLE CORPORATION COM	A	Dividend	K	T					
318. REAL ESTATE SELECT SECTOR SPDR FUND	A	Dividend	K	T	Sold (part)	01/29/19	J	A	
319. STARBUCKS CORP COM	A	Dividend	K	T					
320. VANGUARD 500 INDEX FUND CLASS ADMIRAL	D	Dividend	N	T	Buy (add'l)	01/31/19	K		
321. VANGUARD CONSUMER DISCRETIONARY ETF	A	Dividend	L	T	Sold (part)	01/29/19	J	C	
322. VANGUARD CONSUMER STAPLES ETF	A	Dividend	K	T	Buy (add'l)	01/29/19	J		
323. VANGUARD EMERGING MARKETS STOCK INDEX FUND	C	Dividend	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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. VANGUARD ENERGY ETF	A	Dividend	K	T					
325. VANGUARD FINANCIALS ETF	B	Dividend	L	T	Sold (part)	01/29/19	J	B	
326. VANGUARD HEALTH CARE ETF	B	Dividend	L	T	Buy (add'l)	01/29/19	J		
327. VANGUARD INDUSTRIALS ETF	A	Dividend	L	T	Sold (part)	01/29/19	J	A	
328. VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	M	T	Sold (part)	01/29/19	K	D	
329. VANGUARD MATERIALS ETF	A	Dividend	K	T	Buy (add'l)	01/29/19	J		
330. VANGUARD TELECOMMUNICATION SERVICES ETF	A	Dividend	L	T	Buy (add'l)	01/29/19	K		
331. VANGUARD UTILITIES ETF	A	Dividend	J	T	Sold (part)	01/29/19	J	A	
332. NUVEEN HIGH YIELD MUNI CL-I	D	Dividend	M	T					
333. WILMINGTON INTERNATIONAL FUND	A	Dividend	K	T	Sold (part)	01/29/19	L	A	
334. WCM FOCUSED INTL GROWTH FD	A	Dividend	N	T	Sold (part)	01/31/19	K	A	
335. VANGUARD INT-TRM TAX EXEMPT FUND	D	Dividend	N	T					
336. VANGUARD SHORT-TERM TAX- EXEMPT FUND CLASS ADMIRAL	D	Dividend	O	T	Buy (add'l)	01/31/19	K		
337. LEWISTON MAINE GENERAL OBLIGATION	A	Dividend			Matured	02/15/19	K	A	
338. CHELMSFORD MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
339. SAN FRANCISCO CITY & CNTY CALIFORNIA GENERAL OBLIGATION	B	Dividend	K	T					
340. NEWBURYPORT MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
341. OKLAHOMA STATE CAPITAL IMPT AUTHS GENERAL OBLIGATION	A	Dividend	K	T					
342. TRI-CNTY OREGON METRO TRANSPRTN DIST GENERAL OBLIGATION	A	Dividend	K	T					
343. SAN ANTONIO TEXAS ELEC & GAS UTILITIES REVENUE	B	Dividend	K	T					
344. SAN FRANCISCO CALIFORNIA CITY & CNTY REVENUE BONDS	B	Dividend	K	T					
345. NORTH LAKE TAHOE CALIFORNIA REVENUE BOND	B	Dividend	K	T					
346. EAST BAY CALIFORNIA UTILITY WATER REVENUE	A	Dividend	K	T					
347. BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS INSTITUTIONAL	B	Dividend	L	T					
348. GATEWAY FUND CLASS Y	B	Dividend			Closed	12/17/19	M	A	
349. GATEWAY FUND CLASS N	B	Dividend	M	T	Open	12/17/19	M		
350. WILMINGTON TRUST BANK DEPOSIT SWEEP	B	Dividend	M	T					
351. WILMINGTON US GOVERNMENT MONEY MARKET FUND CLASS SELECT	A	Dividend	J	T					
352. WILMINGTON REAL ASSET FUND-I	D	Dividend	M	T					
353.									
354. BANK OF AMERICA, N.A. WEATH MGMT BOFA INTEREST CHECKING	A	Interest	M	T					
355. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 1	C	Interest	P1	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
356. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 2	C	Interest	O	T					
357. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 3	C	Interest	O	T					
358. BANK OF AMERICA, N.A. CORE CHECKING	A	Interest	L	T					
359. UNION BANK PRIVATE ADVANTAGE	A	Interest	J	T					
360. UNION BANK HIGH RATE MONEYMARKET	A	Interest	N	T					
361. WELLS FARGO HIGH YIELD SAVINGS	A	Interest	M	T					
362. WELLS FARGO PMA PRIME CHECKING ACCOUNT	A	Interest	L	T					
363. CHASE CHECKING ACCOUNT	A	Interest	J	T					
364. CHASE PRIVATE CLIENT	A	Interest	N	T					
365. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	M	T					
366. CITIBANK PRIVATE CLIENT INTEREST CHECKING	A	Interest	O	T					
367. CITIBANK PRIVATE BANK 6 MONTH CD	D	Interest	O	T					
368. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Interest	M	T					
369. EDISON INTERNATIONAL	A	Dividend	J	T					
370. WISCONSIN ENERGY CORPORATION	A	Dividend	J	T					
371. NEXTERA ENERGY, INC	B	Dividend	L	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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)
372.									
373. FIDELITY INVESTMENTS (H)									
374. FIDELITY INVESTMENTS	A	Int./Div.	J	T					
375. FIDELITY INT'L VALUE	A	Int./Div.	J	T					
376. FIDELITY INTL SMALL CAP OPP FUND	B	Int./Div.	J	T					
377. FIDELITY EQUITY DIVIDEND INCOME FUND	A	Int./Div.	K	T					
378. FIDELITY PURITAN	A	Int./Div.	K	T					
379.									
380. OPPENHEIMER & CO INC (H)									
381. OPPENHEIMER & CO INC ADVANTAGE BANK DEPOSITS	A	Interest	J	T					
382. MICHIGAN ST HOSP FIN AUTH REV MI AMBAC 5.25% DUE 05/15/26 B/E REV OID	A	Interest	J	T					
383. EXCHANGE TRADED CONCEPTS TR EMQQ EM INTERN	A	Dividend	J	T	Buy	01/29/19	J		
384.					Buy (add'l)	02/01/19	J		
385.					Buy (add'l)	09/30/19	J		
386. FIRST TR EXCHANG TRADED FD III MANAGD MUN ETF	A	Dividend	J	T	Buy	04/02/19	J		
387. INVESCO QQQ TR SER 1 ETF	A	Dividend	J	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(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)
388. INVESCO MSCI GLOBAL TIMBER ETF	A	Dividend	J	T					
389. ISHARES MSCI FRNTR 100 ETF	A	Dividend	J	T					
390. ISHARES TR MSCI EAFE ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T					
391. ISHARES TR CORE S&P MCP ETF CLOSED END SBI/CBI ETF	A	Dividend	K	T					
392. ISHARES TR CORE S&P SCP ETF CLOSED END SBI/CBI ETF	A	Dividend	K	T	Buy (add'l)	02/04/19	J		
393.					Buy (add'l)	02/05/19	J		
394. ISHARES MSCI EAFE SMALL CAP INDEX FUND CLOSED END SBI/CBI ETF	A	Dividend	J	T	Sold (part)	01/07/19	J	A	
395.					Sold (part)	01/10/19	J	A	
396.					Sold (part)	01/11/19	J	A	
397.					Sold (part)	01/15/19	J	A	
398. ISHARES INC CORE MSCI EMKT SBI/ CBI ETF	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
399.					Buy (add'l)	01/17/19	J		
400.					Buy (add'l)	01/28/19	J		
401.					Buy (add'l)	01/30/19	J		
402.					Buy (add'l)	02/01/19	J		
403. SPDR S&P 500 ETF TR TR UNIT CLOSED END SBI/CBI ETF	A	Dividend	J	T					

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

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
404. SPDR INDEX SHS FDS DJ GLB RL ES ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T					
405. SPDR SERIES TRUST BLMBRG BRC CNVRT CLOSED END SBI/CBI ETF	A	Dividend	J	T					
406. SPDR BLOOMBERG BARCLAYS 1-3 MONTH T-BILL	A	Dividend	J	T	Buy	02/05/19	J		
407.					Buy (add'l)	04/18/19	J		
408. SPDR BLKSTN/GSO SEN LOAN ETF	A	Dividend	J	T					
409. SELECT SECTOR SPDR TR SBI CONS DISCR CLOSED END SBI/CBI ETF	A	Dividend	J	T					
410. SELECT SECTOR SPDR TR SBI INT- INDS CLOSED END SBI/CBI ETF	A	Dividend	J	T					
411. VANGUARD WORLD FDS FINANCIAL ETF CLOSED END SBI/CBI ETF	A	Dividend	J	T					
412. VANECK VECTORS AMT FREE INTERM MUN INDEX ETF	A	Dividend	J	T	Sold (part)	01/07/19	J	A	
413.					Sold (part)	01/25/19	J	A	
414.					Sold (part)	03/29/19	J	A	
415.									
416. ASSOCIATED BANK N.A. INDIVIDUAL HSA W	A	Interest	K	T					
417.									
418. JOHN HANCOCK - TERM POLICY		None	J	T					
419.									
420. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 1	B	Dividend	K	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
421. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 2	A	Dividend	K	T					
422. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 3	B	Dividend	L	T					
423. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 4	A	Dividend	K	T					
424. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 5	A	Dividend	J	T					
425.									
426. HUNTINGTON NATIONAL BANK (H)									
427. CHECKING ACCOUNT	A	Interest	J	T					
428.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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

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

The ticker symbol for the asset on line 187 (Templeton Foreign Fund C) is corrected to read "TEMFX". It was inadvertently entered as "TEFTX" in the prior reports.

The ticker symbol for the asset on line 188 (Voya GBL Value Advantage C) is corrected to read "NAWGX". It was inadvertently entered as "NAWCX" in the prior reports.

The ticker symbol for the asset on line 236 (Fidelity Adv Stk Select MDCP A) is corrected to read "FMCDX". It was inadvertently entered as "FMCEX" in the prior reports.

The ticker symbol for the asset on line 237 (Franklin CA Insured TX FR A) is corrected to read "FKTFX". It was inadvertently entered as "FRCIX" in the prior reports.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

08/04/2020

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
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One Columbus Circle, N.E.
Washington, D.C. 20544