

Judiciary Branch Personnel

Financial Disclosure Report (AO Form 10)

Filer's Information

Smith, Milan D

Report Year: 2019

Electronic Signature - I certify that all information provided (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief.

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

/s/ Smith, Milan D [electronically signed on 05/07/2020 by Smith, Milan D in JEPS]

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Ninth Judicial Circuit Historical Society	Non-Profit	Director

II. Agreements

None

III A. Filer's Non-Investment Income

None

III B. Spouse's Non-Investment Income

#	SOURCE	DESCRIPTION
1	Self Employed Attorney	
2	Gogian Foundation-Trustee	

IV. Reimbursements

None

V. Gifts

None

VI. Liabilities

None

VII. Investments and Trusts

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
1	Intuitive Surgical Inc.	None	None	\$15,001 - \$50,000	Cash Market			
2	American Tower Corp CL A	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
2.1	American Tower Corp CL A					Sold	01/24/2019	\$15,000 or less
2.2	American Tower Corp CL A					Sold	07/01/2019	\$15,000 or less
2.3	American Tower Corp CL A					Sold	08/30/2019	\$15,000 or less
3	Pepsico Incorporated	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
4	Canadian Natl Ry Co.	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
5	Quanta SVCS Inc	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
6	Oneok Inc New	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
7	Ishares Trust Barclays 1-3 Yr. Treasury Bd FD	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
8	MFA Mortgage Investments Inc. (MFA Financial Inc)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
9	Putnam Managed Municipal Income Trust-SBI	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
10	Putnam Municipal Opportunities Trust-SBI	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
10.1	Putnam Municipal Opportunities Trust-SBI					Sold	07/02/2019	\$15,000 or less
11	Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund	\$2,501 - \$5,000	Dividend	\$100,001 - \$250,000	Cash Market			
11.1	Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Purchased	04/26/2019	\$15,000 or less
11.2	Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Purchased	09/27/2019	\$15,000 or less
11.3	Ishares Trust Iboxx \$ Investop Investment Grade Bond Fund					Sold	03/26/2019	\$15,001 - \$50,000
12	Ameren Corp	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
12.1	Ameren Corp					Sold	01/24/2019	\$15,000 or less
12.2	Ameren Corp					Sold	09/18/2019	\$15,000 or less
13	Abbott Laboratories	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
13.1	Abbott Laboratories					Sold	01/25/2019	\$15,000 or less
14	Enterprise Products Partners LP	\$1,001 - \$2,500	Distribution	\$15,001 - \$50,000	Cash Market			
15	Gabelli Dividend & Income Fund	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Cash Market			
15.1	Gabelli Dividend & Income Fund					Purchased	09/27/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
15.2	Gabelli Dividend & Income Fund					Purchased	11/25/2019	\$15,000 or less
15.3	Gabelli Dividend & Income Fund					Purchased	11/27/2019	\$15,000 or less
15.4	Gabelli Dividend & Income Fund					Sold	11/14/2019	\$15,000 or less
16	Eli Lilly & Co	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
16.1	Eli Lilly & Co					Purchased	01/10/2019	\$15,000 or less
16.2	Eli Lilly & Co					Purchased	09/27/2019	\$15,000 or less
16.3	Eli Lilly & Co					Sold	02/15/2019	\$15,000 or less
17	Tekla Healthcare Invs Sh Ben Int (FKA H & Q Healthcare Investors SBI)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
17.1	Tekla Healthcare Invs Sh Ben Int (FKA H & Q Healthcare Investors SBI)					Purchased	07/02/2019	\$15,000 or less
17.2	Tekla Healthcare Invs Sh Ben Int (FKA H & Q Healthcare Investors SBI)					Purchased	12/31/2019	\$15,000 or less
18	Ishares TR S&P Short Term Natl Amtfr	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
19	Textron Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
19.1	Textron Inc					Purchased	01/23/2019	\$15,000 or less
20	Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
20.1	Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Purchased	09/18/2019	\$15,001 - \$50,000
20.2	Vanguard Scottsdale Funds Vanguard Short Term Corp Bond ETF					Purchased	11/19/2019	\$15,001 - \$50,000
21	BlackRock Credit Allocation	\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
21.1	BlackRock Credit Allocation					Purchased	06/27/2019	\$15,000 or less
21.2	BlackRock Credit Allocation					Purchased	09/27/2019	\$15,000 or less
22	Ishares Trust S&P Global Info Technology Sector Index Fund	\$1,001 - \$2,500	Dividend	\$100,001 - \$250,000	Cash Market			
22.1	Ishares Trust S&P Global Info Technology Sector Index Fund					Purchased	09/27/2019	\$15,000 or less
22.2	Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	09/18/2019	\$15,000 or less
22.3	Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	11/01/2019	\$15,000 or less
22.4	Ishares Trust S&P Global Info Technology Sector Index Fund					Sold	11/27/2019	\$15,000 or less
23	Corning Inc	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
23.1	Corning Inc					Purchased	11/01/2019	\$15,000 or less
24	Koninklijke Philips Electrs N V Sponsored ADR New 2000	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
24.1	Koninklijke Philips Electrs N V Sponsored ADR New 2000					Purchased	09/27/2019	\$15,000 or less
25	Columbia Fds Ser TR IX Tax Exempt FD CL A	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
26	Gabelli Healthcare & Wellness Trust	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
27	BlackRock Equity Dividend Trust	\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
27.1	BlackRock Equity Dividend Trust					Purchased	09/27/2019	\$15,000 or less
27.2	BlackRock Equity Dividend Trust					Sold	12/16/2019	\$15,000 or less
28	Centerpoint Energy Inc.	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
28.1	Centerpoint Energy Inc.					Purchased	09/27/2019	\$15,000 or less
28.2	Centerpoint Energy Inc.					Purchased	11/01/2019	\$15,000 or less
29	American Electric Power Co Inc	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
29.1	American Electric Power Co Inc					Purchased	09/27/2019	\$15,000 or less
30	Pimco ETF TR Enhanced Short Maturity	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
30.1	Pimco ETF TR Enhanced Short Maturity					Purchased	09/27/2019	\$15,000 or less
30.2	Pimco ETF TR Enhanced Short Maturity					Sold	02/15/2019	\$15,000 or less
30.3	Pimco ETF TR Enhanced Short Maturity					Sold	12/09/2019	\$50,001 - \$100,000
31	Southern Co	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
31.1	Southern Co					Sold	06/24/2019	\$15,000 or less
31.2	Southern Co					Sold	08/22/2019	\$15,000 or less
32	Ishares TR Dow Jones SEL Divid Index FD	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
33	FirstEnergy Corp	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
34	Sempra Energy	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
34.1	Sempra Energy					Purchased	09/27/2019	\$15,000 or less
35	Anworth Mortgage Asset Corp	\$2,501 - \$5,000	Dividend	None	Cash Market			
35.1	Anworth Mortgage Asset Corp					Purchased	03/28/2019	\$15,000 or less
35.2	Anworth Mortgage Asset Corp					Sold	06/24/2019	\$15,000 or less
35.3	Anworth Mortgage Asset Corp					Sold	06/27/2019	\$15,000 or less
35.4	Anworth Mortgage Asset Corp					Sold	06/28/2019	\$15,001 - \$50,000
35.5	Anworth Mortgage Asset Corp					Sold	07/01/2019	\$15,001 - \$50,000
36	Eaton Vance Risk Managed Global Diversified Equity Income	\$1,000 or less	Dividend	None	Cash Market			
36.1	Eaton Vance Risk Managed Global Diversified Equity Income					Sold	05/31/2019	\$15,000 or less
36.2	Eaton Vance Risk Managed Global Diversified Equity Income					Sold	07/02/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
37	Abbvie Inc.	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
37.1	Abbvie Inc.					Purchased	05/15/2019	\$15,000 or less
38	Merck & Co. Inc.	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
38.1	Merck & Co. Inc.					Sold	03/26/2019	\$15,000 or less
38.2	Merck & Co. Inc.					Sold	10/31/2019	\$15,000 or less
39	Air Lease Corporation	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
40	Eaton Vance California Municipal Bond Fund	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
41	Conagra Foods Inc.	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
41.1	Conagra Foods Inc.					Purchased	07/01/2019	\$15,000 or less
41.2	Conagra Foods Inc.					Purchased	08/30/2019	\$15,000 or less
41.3	Conagra Foods Inc.					Sold	01/10/2019	\$15,000 or less
42	Neuberger Berman Real Estate Securities Income Fund	\$1,001 - \$2,500	Dividend	\$15,000 or less	Cash Market			
42.1	Neuberger Berman Real Estate Securities Income Fund					Sold	12/13/2019	\$15,000 or less
43	Ishares 3 to 7 Year Treasury Bond ETF	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
43.1	Ishares 3 to 7 Year Treasury Bond ETF					Purchased	09/27/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
44	Ishares US ETF Tr Short Term Maturity Bond ETF	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Cash Market			
44.1	Ishares US ETF Tr Short Term Maturity Bond ETF					Sold	06/21/2019	\$50,001 - \$100,000
44.2	Ishares US ETF Tr Short Term Maturity Bond ETF					Sold	07/02/2019	\$15,000 or less
44.3	Ishares US ETF Tr Short Term Maturity Bond ETF					Sold	12/09/2019	\$50,001 - \$100,000
45	One Gas Inc.	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
46	Ishares Tr 0-5 Yr Invt Grade Corp Bd ETF	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
47	Ishares Gold Trust	None	None	\$15,001 - \$50,000	Cash Market			
48	Sprott Physical Gold and Silver Trust	None	None	\$50,001 - \$100,000	Cash Market			
48.1	Sprott Physical Gold and Silver Trust					Purchased	09/27/2019	\$15,000 or less
48.2	Sprott Physical Gold and Silver Trust					Sold	12/05/2019	\$15,000 or less
49	Pimco Intermediate Municipal Bond Active Exchange Traded Fund	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
49.1	Pimco Intermediate Municipal Bond Active Exchange Traded Fund					Purchased	05/21/2019	\$15,000 or less
50	Pattern Energy Group Inc Class A	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
50.1	Pattern Energy Group Inc Class A					Sold	09/19/2019	\$15,000 or less
50.2	Pattern Energy Group Inc Class A					Sold	12/05/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
51	Centurylink Inc	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
51.1	Centurylink Inc					Purchased	02/15/2019	\$15,000 or less
51.2	Centurylink Inc					Purchased	09/27/2019	\$15,000 or less
51.3	Centurylink Inc					Purchased	11/01/2019	\$15,000 or less
51.4	Centurylink Inc					Sold	01/24/2019	\$15,000 or less
52	Bank of Nova Scotia	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
52.1	Bank of Nova Scotia					Purchased	09/27/2019	\$15,000 or less
53	Eaton Corporation	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
53.1	Eaton Corporation					Sold	01/28/2019	\$15,000 or less
54	Transamerica Advisors: Whole Life Insurance Policy		None	\$15,001 - \$50,000	Cash Market			
55	Aurora National Life Assurance: Whole Life Insurance Policy		None	\$15,001 - \$50,000	Cash Market			
56	Metlife: Whole Life Insurance Policy	\$1,000 or less	Int./Div.	\$1 - \$15,000	Cash Market			
57	Lamb Weston Holdings Inc Common Stock	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
58	Vaneck Vectors ETF TR Gold Miners ETF	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
58.1	Vaneck Vectors ETF TR Gold Miners ETF					Purchased	07/02/2019	\$15,000 or less

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58.2	Vaneck Vectors ETF TR Gold Miners ETF					Purchased	10/02/2019	\$15,000 or less
58.3	Vaneck Vectors ETF TR Gold Miners ETF					Purchased	12/13/2019	\$15,000 or less
58.4	Vaneck Vectors ETF TR Gold Miners ETF					Sold	08/30/2019	\$15,000 or less
58.5	Vaneck Vectors ETF TR Gold Miners ETF					Sold	01/14/2019	\$15,000 or less
59	Alps ETF TR Sprott Gold Miners ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
59.1	Alps ETF TR Sprott Gold Miners ETF					Purchased	07/02/2019	\$15,000 or less
60	SPDR Ser TR S&P Biotech ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
60.1	SPDR Ser TR S&P Biotech ETF					Purchased	03/28/2019	\$15,000 or less
60.2	SPDR Ser TR S&P Biotech ETF					Purchased	09/27/2019	\$15,000 or less
61	Franco-Nevada Corporation	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
61.1	Franco-Nevada Corporation					Purchased	01/24/2019	\$15,000 or less
61.2	Franco-Nevada Corporation					Purchased	07/02/2019	\$15,000 or less
61.3	Franco-Nevada Corporation					Purchased	09/27/2019	\$15,000 or less
61.4	Franco-Nevada Corporation					Sold	11/01/2019	\$15,000 or less
62	Pimco Stocksplus Short Fund Class	\$1,000 or less	Dividend	None	Cash Market			
62.1	Pimco Stocksplus Short Fund Class					Sold	03/26/2019	\$15,001 - \$50,000

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62.2	Pimco Stocksplus Short Fund Class					Sold	05/21/2019	\$15,001 - \$50,000
62.3	Pimco Stocksplus Short Fund Class					Sold	12/05/2019	\$15,000 or less
62.4	Pimco Stocksplus Short Fund Class					Purchased	09/27/2019	\$15,000 or less
63	Vanguard FTSE Developed Markets ETF	\$1,001 - \$2,500	Dividend	\$100,001 - \$250,000	Cash Market			
63.1	Vanguard FTSE Developed Markets ETF					Purchased	10/01/2019	\$15,000 or less
63.2	Vanguard FTSE Developed Markets ETF					Purchased	10/28/2019	\$15,000 or less
63.3	Vanguard FTSE Developed Markets ETF					Purchased	10/30/2019	\$15,000 or less
63.4	Vanguard FTSE Developed Markets ETF					Purchased	11/26/2019	\$15,001 - \$50,000
64	Schwab Target 2030 Fund	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
65	Schwab CA Tax Free Bond	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
65.1	Schwab CA Tax Free Bond					Sold	09/12/2019	\$15,001 - \$50,000
66	Albemarle Corporation	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
66.1	Albemarle Corporation					Purchased	02/21/2019	\$15,000 or less
66.2	Albemarle Corporation					Sold	01/24/2019	\$15,000 or less
67	Cryoport Inc Com	None	None	\$15,001 - \$50,000	Cash Market			
67.1	Cryoport Inc Com					Purchased	09/27/2019	\$15,000 or less

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67.2	Cryoport Inc Com					Purchased	12/13/2019	\$15,000 or less
67.3	Cryoport Inc Com					Purchased	12/16/2019	\$15,000 or less
67.4	Cryoport Inc Com					Purchased	12/27/2019	\$15,000 or less
67.5	Cryoport Inc Com					Sold	05/15/2019	\$15,000 or less
67.6	Cryoport Inc Com					Sold	07/26/2019	\$15,000 or less
67.7	Cryoport Inc Com					Sold	07/29/2019	\$15,000 or less
67.8	Cryoport Inc Com					Sold	08/09/2019	\$15,000 or less
67.9	Cryoport Inc Com					Sold	08/22/2019	\$15,000 or less
67.10	Cryoport Inc Com					Sold	08/27/2019	\$15,000 or less
67.11	Cryoport Inc Com					Sold	08/28/2019	\$15,000 or less
68	International Business Machines Corp	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
68.1	International Business Machines Corp					Purchased	09/27/2019	\$15,000 or less
69	Kroger Co	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
69.1	Kroger Co					Purchased	03/26/2019	\$15,000 or less
69.2	Kroger Co					Purchased	11/27/2019	\$15,000 or less
69.3	Kroger Co					Sold	10/08/2019	\$15,000 or less

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70	Warrior Met Coal Inc Common Stock	\$5,001 - \$15,000	Dividend	\$15,001 - \$50,000	Cash Market			
70.1	Warrior Met Coal Inc Common Stock					Purchased	08/09/2019	\$15,000 or less
70.2	Warrior Met Coal Inc Common Stock					Purchased	08/30/2019	\$15,000 or less
70.3	Warrior Met Coal Inc Common Stock					Sold	11/01/2019	\$15,000 or less
71	Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
71.1	Vaneck Vectors ETF TR Amt Free Intermediate Muni Index ETF					Sold	05/16/2019	\$15,000 or less
72	Thornburg California Limited Term Municipal Fund CL I	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
73	RBC Insured Deposits	\$1,000 or less	Int./Div., Interest	\$15,001 - \$50,000	Cash Market			
74	B&G Foods Inc	\$1,001 - \$2,500	Dividend	None	Cash Market			
74.1	B&G Foods Inc					Sold	08/21/2019	\$15,000 or less
74.2	B&G Foods Inc					Sold	08/27/2019	\$15,000 or less
75	Uniti Group Inc	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
75.1	Uniti Group Inc					Sold	08/30/2019	\$15,000 or less
76	Vanguard GNMA	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
76.1	Vanguard GNMA					Purchased	01/03/2019	\$50,001 - \$100,000

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76.2	Vanguard GNMA					Purchased	01/10/2019	\$50,001 - \$100,000
76.3	Vanguard GNMA					Purchased	05/20/2019	\$15,001 - \$50,000
76.4	Vanguard GNMA					Purchased	06/21/2019	\$15,001 - \$50,000
76.5	Vanguard GNMA					Purchased	06/24/2019	\$15,001 - \$50,000
76.6	Vanguard GNMA					Purchased	07/26/2019	\$15,000 or less
76.7	Vanguard GNMA					Purchased	08/21/2019	\$15,000 or less
76.8	Vanguard GNMA					Purchased	10/11/2019	\$15,000 or less
76.9	Vanguard GNMA					Purchased	10/31/2019	\$15,000 or less
76.10	Vanguard GNMA					Purchased	11/01/2019	\$15,000 or less
76.11	Vanguard GNMA					Purchased	11/26/2019	\$15,000 or less
76.12	Vanguard GNMA					Purchased	11/20/2019	\$50,001 - \$100,000
76.13	Vanguard GNMA					Purchased	12/13/2019	\$15,001 - \$50,000
76.14	Vanguard GNMA					Sold	03/26/2019	\$15,000 or less
76.15	Vanguard GNMA					Sold	06/16/2019	\$15,000 or less
76.16	Vanguard GNMA					Sold	08/09/2019	\$15,000 or less
76.17	Vanguard GNMA					Sold	10/21/2019	\$15,001 - \$50,000

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
76.18	Vanguard GNMA					Sold	11/25/2019	\$15,001 - \$50,000
76.19	Vanguard GNMA					Sold	11/27/2019	\$15,001 - \$50,000
76.20	Vanguard GNMA					Sold	12/09/2019	\$15,000 or less
77	General Mills Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
77.1	General Mills Inc					Sold	05/16/2019	\$15,000 or less
78	Molson Coors Brewing Co B	\$1,000 or less	Dividend	None	Cash Market			
78.1	Molson Coors Brewing Co B					Sold	11/25/2019	\$15,000 or less
79	Ventas Inc	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
80	Kraft Heinz Co.	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
80.1	Kraft Heinz Co.					Purchased	01/25/2019	\$15,001 - \$50,000
80.2	Kraft Heinz Co.					Purchased	03/26/2019	\$15,000 or less
80.3	Kraft Heinz Co.					Purchased	03/28/2019	\$15,000 or less
80.4	Kraft Heinz Co.					Purchased	05/15/2019	\$15,000 or less
80.5	Kraft Heinz Co.					Purchased	06/28/2019	\$15,000 or less
80.6	Kraft Heinz Co.					Sold	01/28/2019	\$15,000 or less
80.7	Kraft Heinz Co.					Sold	06/28/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
80.8	Kraft Heinz Co.					Sold	08/27/2019	\$15,000 or less
80.9	Kraft Heinz Co.					Sold	10/08/2019	\$15,000 or less
81	Salient Midstream & MLP Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
81.1	Salient Midstream & MLP Fund					Purchased	09/27/2019	\$15,000 or less
82	GlaxoSmithKline PLC	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
82.1	GlaxoSmithKline PLC					Purchased	09/27/2019	\$15,000 or less
83	iShares Intermediate-Term Corporate Bond ETF	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
83.1	iShares Intermediate-Term Corporate Bond ETF					Purchased	04/26/2019	\$15,000 or less
83.2	iShares Intermediate-Term Corporate Bond ETF					Purchased	06/24/2019	\$15,000 or less
83.3	iShares Intermediate-Term Corporate Bond ETF					Purchased	06/28/2019	\$15,000 or less
83.4	iShares Intermediate-Term Corporate Bond ETF					Purchased	09/27/2019	\$15,000 or less
83.5	iShares Intermediate-Term Corporate Bond ETF					Sold	08/30/2019	\$15,000 or less
83.6	iShares Intermediate-Term Corporate Bond ETF					Sold	12/09/2019	\$15,000 or less
84	iShares Short-Term Corporate Bond ETF	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
84.1	iShares Short-Term Corporate Bond ETF					Purchased	04/26/2019	\$15,000 or less
84.2	iShares Short-Term Corporate Bond ETF					Purchased	06/24/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
84.3	iShares Short-Term Corporate Bond ETF					Purchased	09/27/2019	\$15,000 or less
84.4	iShares Short-Term Corporate Bond ETF					Purchased	11/25/2019	\$15,000 or less
84.5	iShares Short-Term Corporate Bond ETF					Purchased	12/13/2019	\$15,001 - \$50,000
84.6	iShares Short-Term Corporate Bond ETF					Sold	12/09/2019	\$15,000 or less
85	SPDR Portfolio Short Term Treasury ETF	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
85.1	SPDR Portfolio Short Term Treasury ETF					Purchased	03/06/2019	\$15,000 or less
85.2	SPDR Portfolio Short Term Treasury ETF					Purchased	09/27/2019	\$15,000 or less
85.3	SPDR Portfolio Short Term Treasury ETF					Purchased	10/02/2019	\$15,000 or less
85.4	SPDR Portfolio Short Term Treasury ETF					Purchased	10/21/2019	\$15,001 - \$50,000
86	QTS Realty Trust, Inc.	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
86.1	QTS Realty Trust, Inc.					Purchased	09/27/2019	\$15,000 or less
86.2	QTS Realty Trust, Inc.					Sold	03/26/2019	\$15,000 or less
87	Energy Transfer LP	\$2,501 - \$5,000	Distribution	\$15,001 - \$50,000	Cash Market			
87.1	Energy Transfer LP					Purchased	09/24/2019	\$15,000 or less
87.2	Energy Transfer LP					Sold	01/10/2019	\$15,000 or less
87.3	Energy Transfer LP					Sold	12/13/2019	\$15,000 or less

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
88	Gilead Sciences, Inc.		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
89	Global X MLP ETF		\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
90	Verizon Communications Inc		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
91	Royal Gold, Inc.		\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
91.1	Royal Gold, Inc.						Purchased	01/25/2019	\$15,000 or less
91.2	Royal Gold, Inc.						Purchased	07/02/2019	\$15,000 or less
91.3	Royal Gold, Inc.						Sold	08/09/2019	\$15,000 or less
92	iShares Broad USD Investment Grade Corporate Bond ETF		\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
93	American Century California Intermediate-Term Tax-Free Bond Fund Investor Class		\$1,001 - \$2,500	Dividend	None	Cash Market			
93.1	American Century California Intermediate-Term Tax-Free Bond Fund Investor Class	See Note					Sold	07/24/2019	\$100,001 - \$250,000
94	Grizzly Short Fund		\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
94.1	Grizzly Short Fund						Purchased	05/21/2019	\$15,001 - \$50,000
94.2	Grizzly Short Fund						Purchased	11/01/2019	\$15,000 or less
94.3	Grizzly Short Fund						Purchased	09/18/2019	\$15,001 - \$50,000
94.4	Grizzly Short Fund						Purchased	12/06/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
94.5	Grizzly Short Fund					Purchased	12/31/2019	\$15,001 - \$50,000
94.6	Grizzly Short Fund					Sold	11/25/2019	\$15,001 - \$50,000
95	United States Treasury Bill	\$2,501 - \$5,000	Interest	None	Cash Market			
95.1	United States Treasury Bill					Sold	02/28/2019	\$250,001 - \$500,000
96	United States Treasury Bill	\$2,501 - \$5,000	Interest	None	Cash Market			
96.1	United States Treasury Bill					Sold	05/23/2019	\$100,001 - \$250,000
97	United States Treasury Bill	\$5,001 - \$15,000	Interest	None	Cash Market			
97.1	United States Treasury Bill					Sold	08/15/2019	\$250,001 - \$500,000
98	United States Treasury Bill	\$2,501 - \$5,000	Interest	None	Cash Market			
98.1	United States Treasury Bill					Sold	10/10/2019	\$100,001 - \$250,000
99	United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
99.1	United States Treasury Bill					Sold	03/28/2019	\$15,001 - \$50,000
100	United States Treasury Bill	\$1,000 or less	Interest	None	Cash Market			
100.1	United States Treasury Bill					Sold	03/28/2019	\$15,001 - \$50,000
101	United States Treasury Sec Strips	None	None	None	Cash Market			
101.1	United States Treasury Sec Strips					Sold	08/15/2019	\$15,001 - \$50,000

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
102	United States Treasury Note Strpped Principal Payment	None	None	None	Cash Market			
102.1	United States Treasury Note Strpped Principal Payment					Sold	11/15/2019	\$15,001 - \$50,000
103	Strips Tint Due 02/15/2020	None	None	\$15,001 - \$50,000	Cash Market			
104	Strips Tint Due 08/15/2020	None	None	\$15,001 - \$50,000	Cash Market			
105	United States Treasury Stripped Int Pmt Generic Tint Pmt	None	None	\$15,001 - \$50,000	Cash Market			
106	Strips Tint Due 02/15/2021	None	None	\$15,001 - \$50,000	Cash Market			
107	Intel Corporation - Common Stock	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
107.1	Intel Corporation - Common Stock					Purchased	09/27/2019	\$15,000 or less
108	Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
108.1	Vanguard Calif Tax Free Intermediate Term Tax Exempt Fund					Purchased	05/16/2019	\$15,001 - \$50,000
109	Global X Funds Global X Lithium & Battery	\$1,000 or less	Dividend	None	Cash Market			
109.1	Global X Funds Global X Lithium & Battery					Purchased	01/24/2019	\$15,001 - \$50,000
109.2	Global X Funds Global X Lithium & Battery					Sold	08/27/2019	\$15,001 - \$50,000
110	Royal Dutch Shell PLC Sponsored ADR	None	None	\$15,000 or less	Cash Market			
110.1	Royal Dutch Shell PLC Sponsored ADR					Purchased	12/13/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
111	Advisorshares TR Advisorshares Dorsey Wright Short ETF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
111.1	Advisorshares TR Advisorshares Dorsey Wright Short ETF					Purchased	01/10/2019	\$15,001 - \$50,000
111.2	Advisorshares TR Advisorshares Dorsey Wright Short ETF					Purchased	08/22/2019	\$15,000 or less
111.3	Advisorshares TR Advisorshares Dorsey Wright Short ETF					Purchased	11/26/2019	\$15,001 - \$50,000
111.4	Advisorshares TR Advisorshares Dorsey Wright Short ETF					Sold	12/31/2019	\$15,000 or less
112	Two Harbors Investment Corp Common Stock	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
112.1	Two Harbors Investment Corp Common Stock					Purchased	06/27/2019	\$15,001 - \$50,000
112.2	Two Harbors Investment Corp Common Stock					Purchased	06/28/2019	\$15,000 or less
112.3	Two Harbors Investment Corp Common Stock					Purchased	08/30/2019	\$15,001 - \$50,000
112.4	Two Harbors Investment Corp Common Stock					Purchased	09/27/2019	\$15,000 or less
113	Landmark Infrastructure Partners LP - Common Units	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
113.1	Landmark Infrastructure Partners LP - Common Units					Purchased	01/24/2019	\$15,001 - \$50,000
113.2	Landmark Infrastructure Partners LP - Common Units					Purchased	12/27/2019	\$15,000 or less
113.3	Landmark Infrastructure Partners LP - Common Units					Sold	08/27/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
113.4	Landmark Infrastructure Partners LP - Common Units					Sold	09/27/2019	\$15,000 or less
113.5	Landmark Infrastructure Partners LP - Common Units					Sold	10/30/2019	\$15,000 or less
114	Ishares Trust Ultra Short Term Bond ETFF	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
114.1	Ishares Trust Ultra Short Term Bond ETFF					Purchased	05/24/2019	\$15,001 - \$50,000
114.2	Ishares Trust Ultra Short Term Bond ETFF					Purchased	09/27/2019	\$15,000 or less
114.3	Ishares Trust Ultra Short Term Bond ETFF					Purchased	10/30/2019	\$15,000 or less
115	Dominion Energy Inc Common Stock	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
115.1	Dominion Energy Inc Common Stock					Purchased	08/21/2019	\$15,001 - \$50,000
116	Walgreen Boots Alliance Inc Com	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
116.1	Walgreen Boots Alliance Inc Com					Purchased	07/02/2019	\$15,001 - \$50,000
117	iShares Aaa - A Rated Corporate Bond	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
117.1	iShares Aaa - A Rated Corporate Bond					Purchased	03/26/2019	\$15,001 - \$50,000
117.2	iShares Aaa - A Rated Corporate Bond					Purchased	06/24/2019	\$15,000 or less
118	Pennymac Mortgage Investment Trust	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
118.1	Pennymac Mortgage Investment Trust					Purchased	06/24/2019	\$15,000 or less
118.2	Pennymac Mortgage Investment Trust					Purchased	08/20/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
119	Vanguard Specialized Funds Real Estate ETF	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
119.1	Vanguard Specialized Funds Real Estate ETF					Purchased	12/13/2019	\$15,000 or less
120	Targa Resources Corp	None	None	\$15,000 or less	Cash Market			
120.1	Targa Resources Corp					Purchased	12/13/2019	\$15,000 or less
121	Strips Tint Due 2/15/2021 Original Issue Discount	None	None	\$15,001 - \$50,000	Cash Market			
121.1	Strips Tint Due 2/15/2021 Original Issue Discount					Purchased	03/27/2019	\$15,001 - \$50,000
122	Strips Tint Due 8/15/2021	None	None	\$15,001 - \$50,000	Cash Market			
122.1	Strips Tint Due 8/15/2021					Purchased	11/25/2019	\$15,001 - \$50,000
123	American Centy Calif Tax-Free Calif Inter Term Tax Free CL I	\$1,000 or less	Dividend	\$100,001 - \$250,000	Cash Market			
123.1	American Centy Calif Tax-Free Calif Inter Term Tax Free CL I	See Note				Purchased	07/24/2019	\$100,001 - \$250,000
124	Prudential Financial Inc	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
124.1	Prudential Financial Inc					Purchased	01/24/2019	\$15,000 or less
124.2	Prudential Financial Inc					Purchased	06/28/2019	\$15,000 or less
124.3	Prudential Financial Inc					Purchased	08/30/2019	\$15,000 or less
125	New Residential Investment Corp	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
125.1	New Residential Investment Corp					Purchased	07/02/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
125.2	New Residential Investment Corp					Purchased	08/30/2019	\$15,000 or less
126	United States Treasury Bill	None	None	\$250,001 - \$500,000	Cash Market			
126.1	United States Treasury Bill					Purchased	03/04/2019	\$100,001 - \$250,000
126.2	United States Treasury Bill					Purchased	03/05/2019	\$50,001 - \$100,000
126.3	United States Treasury Bill					Purchased	08/30/2019	\$15,001 - \$50,000
127	United States Treasury Bill	None	None	\$100,001 - \$250,000	Cash Market			
127.1	United States Treasury Bill					Purchased	06/05/2019	\$50,001 - \$100,000
127.2	United States Treasury Bill					Purchased	06/06/2019	\$15,001 - \$50,000
127.3	United States Treasury Bill					Purchased	08/30/2019	\$15,000 or less
127.4	United States Treasury Bill					Purchased	10/21/2019	\$15,000 or less
127.5	United States Treasury Bill					Purchased	12/13/2019	\$15,000 or less
128	United States Treasury Bill	None	None	\$250,001 - \$500,000	Cash Market			
128.1	United States Treasury Bill					Purchased	08/15/2019	\$15,001 - \$50,000
128.2	United States Treasury Bill					Purchased	08/16/2019	\$50,001 - \$100,000
128.3	United States Treasury Bill					Purchased	08/26/2019	\$15,001 - \$50,000
128.4	United States Treasury Bill					Purchased	10/21/2019	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
128.5	United States Treasury Bill					Purchased	11/13/2019	\$50,001 - \$100,000
128.6	United States Treasury Bill					Purchased	12/13/2019	\$15,000 or less
129	United States Treasury Bill	None	None	\$100,001 - \$250,000	Cash Market			
129.1	United States Treasury Bill					Purchased	08/16/2019	\$50,001 - \$100,000
129.2	United States Treasury Bill					Purchased	11/13/2019	\$15,001 - \$50,000
129.3	United States Treasury Bill					Purchased	11/14/2019	\$15,001 - \$50,000
129.4	United States Treasury Bill					Purchased	11/27/2019	\$15,000 or less
129.5	United States Treasury Bill					Purchased	12/04/2019	\$15,001 - \$50,000
129.6	United States Treasury Bill					Purchased	12/13/2019	\$15,000 or less
130	United States Treasury Sec Strips	None	None	\$50,001 - \$100,000	Cash Market			
130.1	United States Treasury Sec Strips					Purchased	06/05/2019	\$50,001 - \$100,000
131	United States Treasury Bill	None	None	None	Cash Market			
131.1	United States Treasury Bill					Purchased	01/24/2019	\$50,001 - \$100,000
131.2	United States Treasury Bill					Sold	11/07/2019	\$50,001 - \$100,000

Additional Information or Explanation

PART	#	NOTE
VII.	93.1	Asset #93 merged with asset #123 on 07/24/2019.
VII.	123.1	Asset #93 merged with asset #123 on 07/24/2019.