

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Duncan, Stuart K.	2. Court or Organization U.S. Court of Appeals for the Fifth Circuit	3. Date of Report 05/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III judge active status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 777 Florida Street Suite 369 Baton Rouge, LA 70801		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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Name of Person Reporting

Duncan, Stuart K.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**☐NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	Regent University School of Law (fee for teaching course)	\$6,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Regent University School of Law	January 16-17, 2020	Virginia Beach, VA	Moot Court Competition	Transportation, meals, lodging
2.				
3.				
4.				
5.				

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Duncan, Stuart K.	05/12/2021

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

Duncan, Stuart K.

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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)

1. ACWI	A	Dividend			Sold	04/22/20	J	A	
2. ACWI	A	Dividend			Sold	04/17/20	J	A	
3. ACWI		None			Sold	04/15/20	J	A	
4. ACWI		None			Sold	04/09/20	J	A	
5. AGG	A	Dividend	J	T	Buy	03/06/20	J		
6. AGG	A	Dividend			Sold	03/04/20	K	A	
7. ASPZX		None			Buy	12/18/20	J		
8. ASPZX	C	Distribution	J	T	Buy	12/17/20	J		
9. ASPZX		None			Sold	04/22/20	J	A	
10. ASPZX		None			Sold	04/17/20	J	A	
11. ASPZX		None			Sold	04/15/20	J	A	
12. ASPZX		None			Sold	04/09/20	J	A	
13. ASPZX		None			Buy	03/13/20	J		
14. ASPZX		None			Buy	02/28/20	J		
15. BND	A	Dividend			Sold	03/04/20	J	A	
16. CSDIX		None			Buy	12/18/20	J		
17. CSDIX	A	Dividend	J	T	Buy	12/11/20	J		

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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. CSDIX	A	Dividend	J	T	Buy	10/01/20	J		
19. CSDIX	A	Distribution	J	T	Buy	07/01/20	J		
20. CSDIX	A	Dividend	J	T	Buy	07/01/20	J		
21. CSDIX		None			Sold	04/22/20	J	A	
22. CSDIX		None			Sold	04/17/20	J	A	
23. CSDIX		None			Sold	04/15/20	J	A	
24. CSDIX		None			Sold	04/09/20	J	A	
25. CSDIX	A	Dividend	J	T	Buy	04/01/20	J		
26. DBLTX	A	Dividend	J	T	Buy	12/01/20	J		
27. DBLTX	A	Dividend	J	T	Buy	11/02/20	J		
28. DBLTX	A	Dividend	J	T	Buy	10/01/20	J		
29. DBLTX	A	Dividend	J	T	Buy	09/01/20	J		
30. DBLTX	A	Dividend	J	T	Buy	08/03/20	J		
31. DBLTX	A	Dividend	J	T	Buy	07/01/20	J		
32. DBLTX	A	Dividend	J	T	Buy	06/01/20	J		
33. DBLTX	A	Dividend	J	T	Buy	05/01/20	J		
34. DBLTX	A	Dividend	J	T	Buy	04/01/20	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

Duncan, Stuart K.

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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)
35. DBLTX		None			Buy	03/04/20	J		
36. DBLTX		None			Buy	03/04/20	J		
37. FTHSX	A	Dividend	J	T	Buy	12/23/20	J		
38. FTHSX		None			Buy	12/18/20	J		
39. FTHSX		None			Sold	04/22/20	J	A	
40. FTHSX		None			Sold	04/17/20	J	A	
41. FTHSX		None			Sold	04/15/20	J	A	
42. FTHSX		None			Sold	04/09/20	J	A	
43. FTHSX		None			Buy	03/13/20	J		
44. FTHSX		None			Buy	02/28/20	J		
45. FTHSX	A	Dividend	J	T	Buy	01/02/20	J		
46. GBIL		None			Sold (part)	12/18/20	J	A	
47. GBIL	A	Dividend	J	T	Buy	11/04/20	L		
48. GBIL	A	Dividend			Sold	03/13/20	J		
49. GBIL	A	Dividend			Sold	02/28/20	J		
50. GOGIX	A	Dividend	J	T	Buy	12/21/20	J		
51. GOGIX		None			Buy	12/18/20	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	

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☐ 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)
52. GOGIX		None			Sold	04/22/20	J	A	
53. GOGIX		None			Sold	04/17/20	J	A	
54. GOGIX		None			Sold	04/15/20	J	A	
55. GOGIX		None			Sold	04/09/20	J	A	
56. GOGIX		None			Buy	03/13/20	J		
57. GOGIX		None			Buy	02/28/20	J		
58. ICEIX		None			Sold (part)	12/18/20	J		
59. ICEIX	A	Dividend	J	T	Buy	12/11/20	J		
60. ICEIX		None			Buy	02/28/20	J		
61. IPOIX		None			Buy	12/18/20	J		
62. IPOIX		None			Buy	12/18/20	J		
63. IPOIX	A	Dividend	J	T	Buy	12/11/20	J		
64. IPOIX		None			Sold	04/22/20	J	A	
65. IPOIX		None			Sold	04/17/20	J	A	
66. IPOIX		None			Sold	04/15/20	J	A	
67. IPOIX		None			Sold	04/09/20	J	A	
68. IPOIX		None			Buy	03/13/20	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	

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

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. IVV	A	Dividend	J	T	Sold (part)	04/22/20	J	A	
70. IVV	A	Dividend			Sold (part)	04/17/20	J	A	
71. IVV	A	Dividend			Sold (part)	04/15/20	J	A	
72. IVV	A	Dividend			Sold (part)	04/09/20	J	A	
73. JVMIX	A	Distribution	J	T	Buy	12/21/20	J		
74. JVMIX	A	Dividend	J	T	Buy	12/21/20	J		
75. JVMIX		None			Buy	12/18/20	J		
76. JVMIX		None			Sold	04/22/20	J	A	
77. JVMIX		None			Sold	04/17/20	J	A	
78. JVMIX		None			Sold	04/15/20	J	A	
79. JVMIX		None			Sold	04/09/20	J	A	
80. JVMIX		None			Buy	03/13/20	J		
81. JVMIX		None			Buy	02/28/20	J		
82. KLCIX		None			Buy	12/18/20	J		
83. KLCIX	B	Distribution	J	T	Buy	12/07/20	J		
84. KLCIX		None			Sold	04/22/20	J	A	
85. KLCIX		None			Sold	04/17/20	J	A	

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)					

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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) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. KLCIX		None			Sold	04/15/20	J	A	
87. KLCIX		None			Sold	04/09/20	J	A	
88. KLCIX		None			Buy	03/13/20	J		
89. KLCIX		None			Buy	02/28/20	J		
90. LDLFX	A	Dividend	J	T	Buy	12/01/20	J		
91. LDLFX	A	Dividend	J	T	Buy	11/02/20	J		
92. LDLFX	A	Dividend	J	T	Buy	10/01/20	J		
93. LDLFX	A	Dividend	J	T	Buy	09/01/20	J		
94. LDLFX	A	Dividend	J	T	Buy	08/03/20	J		
95. LDLFX	A	Dividend	J	T	Buy	07/01/20	J		
96. LDLFX	A	Dividend	J	T	Buy	06/01/20	J		
97. LDLFX	A	Dividend	J	T	Buy	05/01/20	J		
98. LDLFX	A	Dividend	J	T	Buy	04/01/20	J		
99. LDLFX		None			Buy	03/04/20	J		
100. LDLFX		None			Buy	03/04/20	J		
101. MCVIX		None			Buy	12/18/20	J		
102. MCVIX	A	Dividend	J	T	Buy	12/11/20	J		

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
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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)
103. MCVIX		None			Sold	04/22/20	J		
104. MCVIX		None			Sold	04/17/20	J		
105. MCVIX		None			Sold	04/15/20	J		
106. MCVIX		None			Sold	04/09/20	J		
107. MCVIX		None			Buy	03/13/20	J		
108. MCVIX		None			Buy	02/28/20	J		
109. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
110. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
111. MDIIX	A	Dividend	J	T	Buy	12/30/20	J		
112. MDIIX		None			Buy	12/18/20	J		
113. MDIIX		None			Sold	04/22/20	J	A	
114. MDIIX		None			Sold	04/17/20	J	A	
115. MDIIX		None			Sold	04/15/20	J	A	
116. MDIIX		None			Sold	04/09/20	J	A	
117. MDIIX		None			Buy	03/13/20	J		
118. MDIIX		None			Buy	02/28/20	J		
119. MEIIX		None			Buy	12/18/20	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

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)
120. MEIIX	A	Distribution	J	T	Buy	12/18/20	J		
121. MEIIX	A	Dividend	J	T	Buy	12/18/20	J		
122. MEIIX	A	Dividend	J	T	Buy	09/25/20	J		
123. MEIIX	A	Dividend	J	T	Buy	06/26/20	J		
124. MEIIX		None			Sold	04/22/20	J	A	
125. MEIIX		None			Sold	04/17/20	J	A	
126. MEIIX		None			Sold	04/15/20	J	A	
127. MEIIX		None			Sold	04/09/20	J	A	
128. MEIIX	A	Dividend	J	T	Buy	03/27/20	J		
129. MEIIX		None			Buy	03/13/20	J		
130. MEIIX		None			Buy	02/28/20	J		
131. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
132. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
133. MWTIX	A	Dividend	J	T	Buy	12/01/20	J		
134. MWTIX	A	Dividend	J	T	Buy	11/02/20	J		
135. MWTIX	A	Dividend	J	T	Buy	10/01/20	J		
136. MWTIX	A	Dividend	J	T	Buy	09/01/20	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

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. MWTIX	A	Dividend	J	T	Buy	08/03/20	J		
138. MWTIX	A	Dividend	J	T	Buy	07/01/20	J		
139. MWTIX	A	Dividend	J	T	Buy	06/01/20	J		
140. MWTIX	A	Dividend	J	T	Buy	05/01/20	J		
141. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
142. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
143. MWTIX		None			Buy	03/04/20	J		
144. MWTIX		None			Buy	03/04/20	J		
145. NDVIX		None			Buy	12/18/20	J		
146. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
147. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
148. NDVIX	A	Dividend	J	T	Buy	08/03/20	J		
149. NDVIX		None			Sold	04/22/20	J	A	
150. NDVIX		None			Sold	04/17/20	J	A	
151. NDVIX		None			Sold	04/15/20	J	A	
152. NDVIX		None			Sold	04/09/20	J	A	
153. NDVIX		None			Buy	03/13/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
154. NDVIX		None			Buy	02/28/20	J		
155. PCBIX		None			Buy	12/18/20	J		
156. PCBIX	A	Distribution	J	T	Buy	12/14/20	J		
157. PCBIX		None			Sold	04/22/20	J	A	
158. PCBIX		None			Sold	04/17/20	J	A	
159. PCBIX		None			Sold	04/15/20	J	A	
160. PCBIX		None			Sold	04/09/20	J	A	
161. PCBIX		None			Buy	03/13/20	J		
162. PCBIX		None			Buy	02/28/20	J		
163. PONPX	A	Dividend	J	T	Buy	12/01/20	J		
164. PONPX	A	Dividend	J	T	Buy	11/02/20	J		
165. PONPX	A	Dividend	J	T	Buy	10/01/20	J		
166. PONPX	A	Dividend	J	T	Buy	09/01/20	J		
167. PONPX	A	Dividend	J	T	Buy	08/03/20	J		
168. PONPX	A	Dividend	J	T	Buy	07/01/20	J		
169. PONPX	A	Dividend	J	T	Buy	06/01/20	J		
170. PONPX	A	Dividend	J	T	Buy	05/01/20	J		

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)					

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
171. PONPX	A	Dividend	J	T	Buy	04/01/20	J		
172. PONPX		None			Buy	03/04/20	J		
173. PONPX		None			Buy	03/04/20	J		
174. POSIX	A	Dividend	J	T	Buy	12/30/20	J		
175. POSIX		None			Buy	12/18/20	J		
176. POSIX	A	Dividend	J	T	Buy	09/21/20	J		
177. POSIX	A	Dividend	J	T	Buy	06/18/20	J		
178. POSIX		None			Sold	04/22/20	J	A	
179. POSIX		None			Sold	04/17/20	J	A	
180. POSIX		None			Sold	04/15/20	J	A	
181. POSIX		None			Sold	04/09/20	J	A	
182. PRDSX		None			Buy	12/18/20	J		
183. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
184. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
185. PRDSX		None			Sold	04/22/20	J	A	
186. PRDSX		None			Sold	04/17/20	J	A	
187. PRDSX		None			Sold	04/15/20	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.)

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. PRDSX		None			Sold	04/09/20	J	A	
189. PRDSX		None			Buy	03/13/20	J		
190. PRDSX		None			Buy	02/28/20	J		
191. QLEIX	A	Distribution	J	T	Buy	12/23/20	J		
192. QUAYX		None			Buy	12/18/20	J		
193. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
194. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
195. QUAYX		None			Sold	04/22/20	J	A	
196. QUAYX		None			Sold	04/17/20	J	A	
197. QUAYX		None			Sold	04/15/20	J	A	
198. QUAYX		None			Sold	04/09/20	J	A	
199. QUAYX		None			Buy	03/13/20	J		
200. QUAYX		None			Buy	02/28/20	J		
201. SH		None			Sold	11/04/20	L	A	
202. SH		None			Buy	11/02/20	L		
203. SH		None			Sold	04/22/20	J	A	
204. SH		None			Buy	04/17/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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. SH		None			Sold	04/15/20	J	A	
206. SH		None			Buy	04/09/20	J		
207. SHY	A	Dividend	J	T	Buy	04/22/20	K		
208. SHY	A	Dividend	J	T	Buy	04/15/20	K		
209. SHY	A	Dividend			Sold (part)	03/13/20	J	A	
210. SHY	A	Dividend			Sold	02/28/20	J	A	
211. TRVLX		None			Buy	12/18/20	J		
212. TRVLX	A	Distribution	J	T	Buy	12/15/20	J		
213. TRVLX	A	Dividend	J	T	Buy	12/15/20	J		
214. TRVLX		None			Sold	04/22/20	J	A	
215. TRVLX		None			Sold	04/17/20	J	A	
216. TRVLX		None			Sold	04/15/20	J	A	
217. TRVLX		None			Sold	04/09/20	J	A	
218. TRVLX		None			Closed	03/13/20	J		
219. TRVLX		None			Buy	02/28/20	J		
220. AGG	A	Dividend	J	T	Sold (part)	03/04/20	J	A	
221. ASPZX		None			Buy	12/18/20	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)
222. ASPZX	B	Distribution	J	T	Buy	12/17/20	J		
223. ASPZX		None			Sold	04/22/20	J	A	
224. ASPZX		None			Sold	04/17/20	J	A	
225. ASPZX		None			Sold	04/15/20	J	A	
226. ASPZX		None			Sold	04/09/20	J	A	
227. ASPZX		None			Buy	03/13/20	J		
228. ASPZX		None			Buy	02/28/20	J		
229. BND	A	Dividend	J	T	Sold (part)	03/04/20	J	A	
230. BSV	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
231. BSV	A	Dividend			Sold (part)	02/28/20	J	A	
232. CSDIX		None			Buy	12/18/20	J		
233. CSDIX	A	Dividend	J	T	Buy	12/11/20	J		
234. CSDIX	A	Dividend	J	T	Buy	10/01/20	J		
235. CSDIX	A	Distribution	J	T	Buy	07/01/20	J		
236. CSDIX	A	Dividend	J	T	Buy	07/01/20	J		
237. CSDIX		None			Sold	04/22/20	J	A	
238. CSDIX		None			Sold	04/17/20	J	A	

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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
239. CSDIX		None			Sold	04/15/20	J	A	
240. CSDIX		None			Sold	04/09/20	J	A	
241. CSDIX	A	Dividend	J	T	Buy	04/01/20	J		
242. DBLTX	A	Dividend	J	T	Buy	12/01/20	J		
243. DBLTX	A	Dividend	J	T	Buy	11/02/20	J		
244. DBLTX	A	Dividend	J	T	Buy	10/01/20	J		
245. DBLTX	A	Dividend	J	T	Buy	09/01/20	J		
246. DBLTX	A	Dividend	J	T	Buy	08/03/20	J		
247. DBLTX	A	Dividend	J	T	Buy	07/01/20	J		
248. DBLTX	A	Dividend	J	T	Buy	06/01/20	J		
249. DBLTX	A	Dividend	J	T	Buy	05/01/20	J		
250. DBLTX	A	Dividend	J	T	Buy	04/01/20	J		
251. DBLTX		None			Buy	03/04/20	J		
252. DBLTX		None			Buy	03/04/20	J		
253. FTHSX	A	Dividend	J	T	Buy	12/23/20	J		
254. FTHSX		None			Buy	12/18/20	J		
255. FTHSX		None			Sold	04/22/20	J	A	

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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
256. FTHSX		None			Sold	04/17/20	J	A	
257. FTHSX		None			Sold	04/15/20	J	A	
258. FTHSX		None			Sold	04/09/20	J	A	
259. FTHSX		None			Buy	03/13/20	J		
260. FTHSX		None			Buy	02/28/20	J		
261. FTHSX	A	Dividend	J	T	Buy	01/02/20	J		
262. GBIL		None	K	T	Sold (part)	12/18/20	J	A	
263. GBIL		None			Buy	11/04/20	K		
264. GOGIX	A	Dividend	J	T	Buy	12/21/20	J		
265. GOGIX		None			Buy	12/18/20	J		
266. GOGIX		None			Sold	04/22/20	J	A	
267. GOGIX		None			Sold	04/17/20	J	A	
268. GOGIX		None			Sold	04/15/20	J	A	
269. GOGIX		None			Sold	04/09/20	J	A	
270. GOGIX		None			Buy	03/13/20	J		
271. GOGIX		None			Buy	02/28/20	J		
272. ICEIX		None			Sold (part)	12/18/20	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.)

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)
273. ICEIX	A	Dividend	J	T	Buy	12/11/20	J		
274. ICEIX		None			Buy	02/28/20	J		
275. IPOIX		None			Buy	12/18/20	J		
276. IPOIX		None			Buy	12/18/20	J		
277. IPOIX	A	Dividend	J	T	Buy	12/11/20	J		
278. IPOIX		None			Sold	04/22/20	J	A	
279. IPOIX		None			Sold	04/17/20	J	A	
280. IPOIX		None			Sold	04/15/20	J	A	
281. IPOIX		None			Sold	04/09/20	J	A	
282. IPOIX		None			Buy	03/13/20	J		
283. JVMIX	A	Distribution	J	T	Buy	12/21/20	J		
284. JVMIX	A	Dividend	J	T	Buy	12/21/20	J		
285. JVMIX		None			Buy	12/18/20	J		
286. JVMIX		None			Sold	04/22/20	J	A	
287. JVMIX		None			Sold	04/17/20	J	A	
288. JVMIX		None			Sold	04/15/20	J	A	
289. JVMIX		None			Sold	04/09/20	J	A	

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

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)
290. JVMIX		None			Buy	03/13/20	J		
291. JVMIX		None			Buy	02/28/20	J		
292. KLCIX		None			Buy	12/18/20	J		
293. KLCIX	A	Distribution	J	T	Buy	12/07/20	J		
294. KLCIX		None			Sold	04/22/20	J	A	
295. KLCIX		None			Sold	04/17/20	J	A	
296. KLCIX		None			Sold	04/15/20	J	A	
297. KLCIX		None			Sold	04/09/20	J	A	
298. KLCIX		None			Buy	03/13/20	J		
299. KLCIX		None			Buy	02/28/20	J		
300. LDLFX	A	Dividend	J	T	Buy	12/01/20	J		
301. LDLFX	A	Dividend	J	T	Buy	11/02/20	J		
302. LDLFX	A	Dividend	J	T	Buy	10/01/20	J		
303. LDLFX	A	Dividend	J	T	Buy	09/01/20	J		
304. LDLFX	A	Dividend	J	T	Buy	08/03/20	J		
305. LDLFX	A	Dividend	J	T	Buy	07/01/20	J		
306. LDLFX	A	Dividend	J	T	Buy	06/01/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
307. LDLFX	A	Dividend	J	T	Buy	05/01/20	J		
308. LDLFX	A	Dividend	J	T	Buy	04/01/20	J		
309. LDLFX		None			Buy	03/04/20	J		
310. LDLFX		None			Buy	03/04/20	J		
311. MCVIX		None			Buy	12/18/20	J		
312. MCVIX	A	Dividend	J	T	Buy	12/11/20	J		
313. MCVIX		None			Sold	04/22/20	J	A	
314. MCVIX		None			Sold	04/17/20	J	A	
315. MCVIX		None			Sold	04/15/20	J	A	
316. MCVIX		None			Sold	04/09/20	J	A	
317. MCVIX		None			Buy	03/13/20	J		
318. MCVIX		None			Buy	02/28/20	J		
319. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
320. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
321. MDIIX	A	Dividend	J	T	Buy	12/30/20	J		
322. MDIIX		None			Buy	12/18/20	J		
323. MEIIX		None			Buy	12/18/20	J		

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) 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. MEIIX	A	Distribution	J	T	Buy	12/18/20	J		
325. MEIIX	A	Dividend	J	T	Buy	12/18/20	J		
326. MEIIX	A	Dividend	J	T	Buy	09/25/20	J		
327. MEIIX	A	Dividend	J	T	Buy	06/26/20	J		
328. MEIIX		None			Sold	04/22/20	J	A	
329. MEIIX		None			Sold	04/17/20	J	A	
330. MEIIX		None			Sold	04/15/20	J	A	
331. MEIIX		None			Sold	04/09/20	J	A	
332. MEIIX	A	Dividend	J	T	Buy	03/27/20	J		
333. MEIIX		None			Buy	03/13/20	J		
334. MEIIX		None			Buy	02/28/20	J		
335. MINIX	A	Distribution	J	T	Buy	12/11/20	J		
336. MINIX	A	Distribution	J	T	Buy	12/11/20	J		
337. MINIX	A	Dividend	J	T	Buy	12/11/20	J		
338. MINIX		None			Sold	04/22/20	J	A	
339. MINIX		None			Sold	04/17/20	J	A	
340. MINIX		None			Sold	04/15/20	J	A	

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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
341. MINIX		None			Sold	04/09/20	J	A	
342. MINIX		None			Buy	03/13/20	J		
343. MINIX		None			Buy	02/28/20	J		
344. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
345. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
346. MWTIX	A	Dividend	J	T	Buy	12/01/20	J		
347. MWTIX	A	Dividend	J	T	Buy	11/02/20	J		
348. MWTIX	A	Dividend	J	T	Buy	10/01/20	J		
349. MWTIX	A	Dividend	J	T	Buy	09/01/20	J		
350. MWTIX	A	Dividend	J	T	Buy	08/03/20	J		
351. MWTIX	A	Dividend	J	T	Buy	07/01/20	J		
352. MWTIX	A	Dividend	J	T	Buy	06/01/20	J		
353. MWTIX	A	Dividend	J	T	Buy	05/01/20	J		
354. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
355. MWTIX		None			Buy	03/04/20	J		
356. MWTIX		None			Buy	03/04/20	J		
357. NDVIX		None			Buy	12/18/20	J		

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	

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)
358. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
359. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
360. NDVIX	A	Dividend	J	T	Buy	08/03/20	J		
361. NDVIX		None			Sold	04/22/20	J	A	
362. NDVIX		None			Sold	04/17/20	J	A	
363. NDVIX		None			Sold	04/15/20	J	A	
364. NDVIX		None			Sold	04/09/20	J	A	
365. NDVIX		None			Buy	03/13/20	J		
366. NDVIX		None			Buy	02/28/20	J		
367. PCBIX		None			Buy	12/18/20	J		
368. PCBIX	A	Distribution	J	T	Buy	12/14/20	J		
369. PCBIX		None			Sold	04/22/20	J	A	
370. PCBIX		None			Sold	04/17/20	J	A	
371. PCBIX		None			Sold	04/15/20	J	A	
372. PCBIX		None			Sold	04/09/20	J	A	
373. PCBIX		None			Buy	03/13/20	J		
374. PCBIX		None			Buy	02/28/20	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

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)
375. PONPX	A	Dividend	J	T	Buy	12/01/20	J		
376. PONPX	A	Dividend	J	T	Buy	11/02/20	J		
377. PONPX	A	Dividend	J	T	Buy	10/01/20	J		
378. PONPX	A	Dividend	J	T	Buy	09/01/20	J		
379. PONPX	A	Dividend	J	T	Buy	08/03/20	J		
380. PONPX	A	Dividend	J	T	Buy	07/01/20	J		
381. PONPX	A	Dividend	J	T	Buy	06/01/20	J		
382. PONPX	A	Dividend	J	T	Buy	05/01/20	J		
383. PONPX	A	Dividend	J	T	Buy	04/01/20	J		
384. PONPX		None			Buy	03/04/20	J		
385. PONPX		None			Buy	03/04/20	J		
386. POSIX	A	Dividend	J	T	Buy	12/30/20	J		
387. POSIX		None			Buy	12/18/20	J		
388. POSIX	A	Dividend	J	T	Buy	09/21/20	J		
389. POSIX	A	Dividend	J	T	Buy	06/18/20	J		
390. POSIX		None			Sold	04/22/20	J	A	
391. POSIX		None			Sold	04/17/20	J	A	

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

Duncan, Stuart K.

Date of Report

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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)
392. POSIX		None			Sold	04/15/20	J	A	
393. POSIX		None			Sold	04/09/20	J	A	
394. PRDSX		None			Buy	12/18/20	J		
395. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
396. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
397. PRDSX		None			Sold	04/22/20	J	A	
398. PRDSX		None			Sold	04/17/20	J	A	
399. PRDSX		None			Sold	04/15/20	J	A	
400. PRDSX		None			Sold	04/09/20	J	A	
401. PRDSX		None			Buy	03/13/20	J		
402. PRDSX		None			Buy	02/28/20	J		
403. QLEIX	A	Distribution	J	T	Buy	12/23/20	J		
404. QUAYX		None			Buy	12/18/20	J		
405. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
406. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
407. QUAYX		None			Sold	04/22/20	J	A	
408. QUAYX		None			Sold	04/17/20	J	A	

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)					

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Name of Person Reporting

Duncan, Stuart K.

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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)
409. QUAYX		None			Sold	04/15/20	J	A	
410. QUAYX		None			Sold	04/09/20	J	A	
411. QUAYX		None			Buy	03/13/20	J		
412. QUAYX		None			Buy	02/28/20	J		
413. SH		None			Sold	11/04/20	K	A	
414. SH		None			Buy	11/02/20	K		
415. SH		None			Sold	04/22/20	J	A	
416. SH		None			Buy	04/17/20	J		
417. SH		None			Sold	04/15/20	J	A	
418. SH		None			Buy	04/09/20	J		
419. SHY	A	Dividend	J	T	Sold (part)	11/02/20	K	A	
420. SHY	A	Dividend	J	T	Buy	04/22/20	J		
421. SHY	A	Dividend	J	T	Buy	04/15/20	J		
422. SHY	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
423. SHY	A	Dividend	J	T	Sold (part)	02/28/20	J	A	
424. TRVLX		None			Buy	12/18/20	J		
425. TRVLX	A	Distribution	J	T	Buy	12/15/20	J		

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)
426. TRVLX	A	Dividend	J	T	Buy	12/15/20	J		
427. TRVLX		None			Sold	04/22/20	J	A	
428. TRVLX		None			Sold	04/17/20	J	A	
429. TRVLX		None			Sold	04/15/20	J	A	
430. TRVLX		None			Sold	04/09/20	J	A	
431. TRVLX		None			Buy	03/13/20	J		
432. TRVLX		None			Buy	02/28/20	J		
433. AGG	A	Dividend	J	T	Sold (part)	03/04/20	J	A	
434. ASPZX		None			Buy	12/18/20	J		
435. ASPZX	A	Distribution	J	T	Buy	12/17/20	J		
436. ASPZX		None			Sold	04/22/20	J	A	
437. ASPZX		None			Sold	04/17/20	J	A	
438. ASPZX		None			Sold	04/15/20	J	A	
439. ASPZX		None			Sold	04/09/20	J	A	
440. ASPZX		None			Buy	03/13/20	J		
441. ASPZX		None			Buy	02/28/20	J		
442. BND	A	Dividend	J	T	Sold (part)	03/04/20	J	A	

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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Duncan, Stuart K.

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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)
443. CSDIX		None			Buy	12/18/20	J		
444. CSDIX	A	Dividend	J	T	Buy	12/11/20	J		
445. CSDIX	A	Dividend	J	T	Buy	10/01/20	J		
446. CSDIX	A	Dividend	J	T	Buy	07/01/20	J		
447. CSDIX	A	Distribution	J	T	Buy	07/01/20	J		
448. CSDIX		None			Sold	04/22/20	J	A	
449. CSDIX		None			Sold	04/17/20	J	A	
450. CSDIX		None			Sold	04/15/20	J	A	
451. CSDIX		None			Sold	04/09/20	J	A	
452. CSDIX	A	Dividend	J	T	Buy	04/01/20	J		
453. DBLTX	A	Dividend	J	T	Buy	12/01/20	J		
454. DBLTX	A	Dividend	J	T	Buy	11/02/20	J		
455. DBLTX	A	Dividend	J	T	Buy	10/01/20	J		
456. DBLTX	A	Dividend	J	T	Buy	09/01/20	J		
457. DBLTX	A	Dividend	J	T	Buy	08/03/20	J		
458. DBLTX	A	Dividend	J	T	Buy	07/01/20	J		
459. DBLTX	A	Dividend	J	T	Buy	06/01/20	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	

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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)
460. DBLTX	A	Dividend	J	T	Buy	05/01/20	J		
461. DBLTX	A	Dividend	J	T	Buy	04/01/20	J		
462. DBLTX		None			Buy	03/04/20	J		
463. DBLTX		None			Buy	03/04/20	J		
464. FTHSX	A	Dividend	J	T	Buy	12/23/20	J		
465. FTHSX		None			Buy	12/18/20	J		
466. FTHSX		None			Sold	04/22/20	J	A	
467. FTHSX		None			Sold	04/17/20	J	A	
468. FTHSX		None			Sold	04/15/20	J	A	
469. FTHSX		None			Sold	04/09/20	J	A	
470. FTHSX		None			Buy	03/13/20	J		
471. FTHSX		None			Buy	02/28/20	J		
472. FTHSX	A	Dividend	J	T	Buy	01/02/20	J		
473. GBIL	A	Dividend			Sold (part)	12/18/20	J	A	
474. GBIL	A	Dividend			Buy	11/04/20	J		
475. GBIL	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
476. GBIL	A	Dividend	J	T	Sold (part)	02/28/20	J	A	

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)					

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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)
477. GOGIX	A	Dividend	J	T	Buy	12/21/20	J		
478. GOGIX		None			Buy	12/18/20	J		
479. GOGIX		None			Sold	04/22/20	J	A	
480. GOGIX		None			Sold	04/17/20	J	A	
481. GOGIX		None			Sold	04/15/20	J	A	
482. GOGIX		None			Sold	04/09/20	J	A	
483. GOGIX		None			Buy	03/13/20	J		
484. GOGIX		None			Buy	02/28/20	J		
485. ICEIX		None			Sold (part)	12/18/20	J	A	
486. ICEIX	A	Dividend	J	T	Buy	12/11/20	J		
487. ICEIX		None			Buy	02/28/20	J		
488. IPOIX		None			Buy	12/18/20	J		
489. IPOIX		None			Buy	12/18/20	J		
490. IPOIX	A	Dividend	J	T	Buy	12/11/20	J		
491. IPOIX		None			Sold	04/22/20	J	A	
492. IPOIX		None			Sold	04/17/20	J	A	
493. IPOIX		None			Sold	04/15/20	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	

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Name of Person Reporting

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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)
494. IPOIX		None			Sold	04/09/20	J	A	
495. iPOIX		None			Buy	03/13/20	J		
496. JVMIX	A	Distribution	J	T	Buy	12/21/20	J		
497. JVMIX	A	Dividend	J	T	Buy	12/21/20	J		
498. JVMIX		None			Buy	12/18/20	J		
499. JVMIX		None			Sold	04/22/20	J	A	
500. JVMIX		None			Sold	04/17/20	J	A	
501. JVMIX		None			Sold	04/15/20	J	A	
502. JVMIX		None			Sold	04/09/20	J	A	
503. JVMIX		None			Buy	03/13/20	J		
504. JVMIX		None			Buy	02/28/20	J		
505. KLCIX		None			Buy	12/18/20	J		
506. KLCIX	A	Distribution	J	T	Buy	12/07/20	J		
507. KLCIX		None			Sold	04/22/20	J	A	
508. KLCIX		None			Sold	04/17/20	J	A	
509. KLCIX		None			Sold	04/15/20	J	A	
510. KLCIX		None			Sold	04/09/20	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	

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Duncan, Stuart K.

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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)
511. KLCIX		None			Buy	03/13/20	J		
512. KLCIX		None			Buy	02/28/20	J		
513. LDLFX	A	Dividend	J	T	Buy	12/01/20	J		
514. LDLFX	A	Dividend	J	T	Buy	11/02/20	J		
515. LDLFX	A	Dividend	J	T	Buy	10/01/20	J		
516. LDLFX	A	Dividend	J	T	Buy	09/01/20	J		
517. LDLFX	A	Dividend	J	T	Buy	08/03/20	J		
518. LDLFX	A	Dividend	J	T	Buy	07/01/20	J		
519. LDLFX	A	Dividend	J	T	Buy	06/01/20	J		
520. LDLFX	A	Dividend	J	T	Buy	05/01/20	J		
521. LDLFX	A	Dividend	J	T	Buy	04/01/20	J		
522. LDLFX		None			Buy	03/04/20	J		
523. LDLFX		None			Buy	03/04/20	J		
524. MCVIX		None			Buy	12/18/20	J		
525. MCVIX	A	Dividend	J	T	Buy	12/11/20	J		
526. MCVIX		None			Sold	04/22/20	J	A	
527. MCVIX		None			Sold	04/17/20	J	A	

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) 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)
528. MCVIX		None			Sold	04/15/20	J	A	
529. MCVIX		None			Sold	04/09/20	J	A	
530. MCVIX		None			Buy	03/13/20	J		
531. MCVIX		None			Buy	02/28/20	J		
532. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
533. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
534. MDIIX	A	Dividend	J	T	Buy	12/30/20	J		
535. MDIIX		None			Buy	12/18/20	J		
536. MDIIX		None			Sold	04/22/20	J	A	
537. MDIIX		None			Sold	04/17/20	J	A	
538. MDIIX		None			Sold	04/15/20	J	A	
539. MDIIX		None			Sold	04/09/20	J	A	
540. MDIIX		None			Buy	03/13/20	J		
541. MDIIX		None			Buy	02/28/20	J		
542. MEIIX		None			Buy	12/18/20	J		
543. MEIIX	A	Distribution	J	T	Buy	12/18/20	J		
544. MEIIX	A	Dividend	J	T	Buy	12/18/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
545. MEIIX	A	Dividend	J	T	Buy	09/25/20	J		
546. MEIIX	A	Dividend	J	T	Buy	06/26/20	J		
547. MEIIX		None			Sold	04/22/20	J	A	
548. MEIIX		None			Sold	04/17/20	J	A	
549. MEIIX		None			Sold	04/15/20	J	A	
550. MEIIX		None			Sold	04/09/20	J	A	
551. MEIIX	A	Dividend	J	T	Buy	03/27/20	J		
552. MEIIX		None			Buy	03/13/20	J		
553. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
554. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
555. MWTIX	A	Dividend	J	T	Buy	12/01/20	J		
556. MWTIX	A	Dividend	J	T	Buy	11/02/20	J		
557. MWTIX	A	Dividend	J	T	Buy	10/01/20	J		
558. MWTIX	A	Dividend	J	T	Buy	09/01/20	J		
559. MWTIX	A	Dividend	J	T	Buy	08/03/20	J		
560. MWTIX	A	Dividend	J	T	Buy	07/01/20	J		
561. MWTIX	A	Dividend	J	T	Buy	06/01/20	J		

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)
562. MWTIX	A	Dividend	J	T	Buy	05/01/20	J		
563. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
564. MWTIX		None			Buy	03/04/20	J		
565. MWTIX		None			Buy	03/04/20	J		
566. NDVIX		None			Buy	12/18/20	J		
567. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
568. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
569. NDVIX	A	Dividend	J	T	Buy	08/03/20	J		
570. NDVIX		None			Sold	04/22/20	J	A	
571. NDVIX		None			Sold	04/17/20	J	A	
572. NDVIX		None			Sold	04/15/20	J	A	
573. NDVIX		None			Sold	04/09/20	J	A	
574. NDVIX		None			Buy	03/13/20	J		
575. NDVIX		None			Buy	02/28/20	J		
576. PCBIX		None			Buy	12/18/20	J		
577. PCBIX	A	Distribution	J	T	Buy	12/14/20	J		
578. PCBIX		None			Sold	04/22/20	J	A	

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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
579. PCBIX		None			Sold	04/17/20	J	A	
580. PCBIX		None			Sold	04/15/20	J	A	
581. PCBIX		None			Sold	04/09/20	J	A	
582. PCBIX		None			Buy	03/13/20	J		
583. PCBIX		None			Buy	02/28/20	J		
584. PONPX	A	Dividend	J	T	Buy	12/01/20	J		
585. PONPX	A	Dividend	J	T	Buy	11/02/20	J		
586. PONPX	A	Dividend	J	T	Buy	10/01/20	J		
587. PONPX	A	Dividend	J	T	Buy	09/01/20	J		
588. PONPX	A	Dividend	J	T	Buy	08/03/20	J		
589. PONPX	A	Dividend	J	T	Buy	07/01/20	J		
590. PONPX	A	Dividend	J	T	Buy	06/01/20	J		
591. PONPX	A	Dividend	J	T	Buy	05/01/20	J		
592. PONPX	A	Dividend	J	T	Buy	04/01/20	J		
593. PONPX		None			Buy	03/04/20	J		
594. PONPX		None			Buy	03/04/20	J		
595. POSIX	A	Dividend	J	T	Buy	12/30/20	J		

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)
596. POSIX		None			Buy	12/18/20	J		
597. POSIX	A	Dividend	J	T	Buy	09/21/20	J		
598. POSIX	A	Dividend	J	T	Buy	06/18/20	J		
599. POSIX		None			Sold	04/22/20	J	A	
600. POSIX		None			Sold	04/17/20	J	A	
601. POSIX		None			Sold	04/15/20	J	A	
602. POSIX		None			Sold	04/09/20	J	A	
603. PRDSX		None			Buy	12/18/20	J		
604. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
605. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
606. PRDSX		None			Sold	04/22/20	J	A	
607. PRDSX		None			Sold	04/17/20	J	A	
608. PRDSX		None			Sold	04/15/20	J	A	
609. PRDSX		None			Sold	04/09/20	J	A	
610. PRDSX		None			Buy	03/13/20	J		
611. PRDSX		None			Buy	02/28/20	J		
612. QLEIX	A	Distribution	J	T	Buy	12/23/20	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

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)
613. QUAYX		None			Buy	12/18/20	J		
614. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
615. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
616. QUAYX		None			Sold	04/22/20	J	A	
617. QUAYX		None			Sold	04/17/20	J	A	
618. QUAYX		None			Sold	04/15/20	J	A	
619. QUAYX		None			Sold	04/09/20	J	A	
620. QUAYX		None			Buy	03/13/20	J		
621. QUAYX		None			Buy	02/28/20	J		
622. SH	A	Dividend	J	T	Sold (part)	11/04/20	J	A	
623. SH	A	Dividend	J	T	Buy	11/02/20	J		
624. SH	A	Dividend	J	T	Sold (part)	04/22/20	J	A	
625. SH	A	Dividend	J	T	Buy	04/17/20	J		
626. SH	A	Dividend	J	T	Sold (part)	04/15/20	J	A	
627. SH	A	Dividend	J	T	Buy	04/09/20	J		
628. SHY		None			Sold (part)	11/02/20	J	A	
629. SHY	A	Dividend	J	T	Buy	04/22/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
630. SHY	A	Dividend	J	T	Buy	04/15/20	J		
631. SHY	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
632. SHY	A	Dividend	J	T	Sold (part)	02/28/20	J	A	
633. SHY	A	Dividend			Sold (part)	02/07/20	J	A	
634. TRVLX		None			Buy	12/18/20	J		
635. TRVLX	A	Distribution	J	T	Buy	12/15/20	J		
636. TRVLX	A	Dividend	J	T	Buy	12/15/20	J		
637. TRVLX		None			Sold	04/22/20	J	A	
638. TRVLX		None			Sold	04/17/20	J	A	
639. TRVLX		None			Sold	04/15/20	J	A	
640. TRVLX		None			Sold	04/09/20	J	A	
641. TRVLX		None			Buy	03/13/20	J		
642. TRVLX		None			Buy	02/28/20	J		
643. AGG	A	Dividend	J	T	Sold (part)	03/04/20	J	A	
644. ASPZX		None			Buy	12/18/20	J		
645. ASPZX	A	Distribution	J	T	Buy	12/17/20	J		
646. ASPZX		None			Sold	04/22/20	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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
647. ASPZX		None			Sold	04/17/20	J	A	
648. ASPZX		None			Sold	04/15/20	J	A	
649. ASPZX		None			Sold	04/09/20	J	A	
650. ASPZX		None			Buy	03/13/20	J		
651. ASPZX		None			Buy	02/28/20	J		
652. BND	A	Dividend	J	T	Sold (part)	03/04/20	J	A	
653. CSDIX		None			Buy	12/18/20	J		
654. CSDIX	A	Dividend	J	T	Buy	12/11/20	J		
655. CSDIX	A	Dividend	J	T	Buy	10/01/20	J		
656. CSDIX	A	Distribution	J	T	Buy	07/01/20	J		
657. CSDIX	A	Dividend	J	T	Buy	07/01/20	J		
658. CSDIX		None			Sold	04/22/20	J	A	
659. CSDIX		None			Sold	04/17/20	J	A	
660. CSDIX		None			Sold	04/15/20	J	A	
661. CSDIX		None			Sold	04/09/20	J	A	
662. CSDIX	A	Dividend	J	T	Buy	04/01/20	J		
663. DBLTX	A	Dividend	J	T	Buy	12/01/20	J		

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)					

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
664. DBLTX	A	Dividend	J	T	Buy	11/02/20	J		
665. DBLTX	A	Dividend	J	T	Buy	10/01/20	J		
666. DBLTX	A	Dividend	J	T	Buy	09/01/20	J		
667. DBLTX	A	Dividend	J	T	Buy	08/03/20	J		
668. DBLTX	A	Dividend	J	T	Buy	07/01/20	J		
669. DBLTX	A	Dividend	J	T	Buy	06/01/20	J		
670. DBLTX	A	Dividend	J	T	Buy	05/01/20	J		
671. DBLTX	A	Dividend	J	T	Buy	04/01/20	J		
672. DBLTX		None			Buy	03/04/20	J		
673. DBLTX		None			Buy	03/04/20	J		
674. FTHSX	A	Dividend	J	T	Buy	12/23/20	J		
675. FTHSX		None			Buy	12/18/20	J		
676. FTHSX		None			Sold	04/22/20	J	A	
677. FTHSX		None			Sold	04/17/20	J	A	
678. FTHSX		None			Sold	04/15/20	J	A	
679. FTHSX		None			Sold	04/09/20	J	A	
680. FTHSX		None			Buy	03/13/20	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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
681. FTHSX		None			Buy	02/28/20	J		
682. GBIL	A	Dividend			Sold (part)	12/18/20	J	A	
683. GBIL	A	Dividend	J	T	Buy	11/04/20	J		
684. GBIL	A	Dividend	J	T	Sold (part)	03/13/20	J	A	
685. GBIL	A	Dividend	J	T	Sold (part)	02/28/20	J	A	
686. GOGIX	A	Dividend	J	T	Buy	12/21/20	J		
687. GOGIX		None			Buy	12/18/20	J		
688. GOGIX		None			Sold	04/22/20	J	A	
689. GOGIX		None			Sold	04/17/20	J	A	
690. GOGIX		None			Sold	04/15/20	J	A	
691. GOGIX		None			Sold	04/09/20	J	A	
692. GOGIX		None			Buy	03/13/20	J		
693. GOGIX		None			Buy	02/28/20	J		
694. ICEIX		None			Sold (part)	12/18/20	J	A	
695. ICEIX	A	Dividend	J	T	Buy	12/11/20	J		
696. ICEIX		None			Buy	02/28/20	J		
697. IPOIX		None			Buy	12/18/20	J		

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	

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)
698. IPOIX		None			Buy	12/18/20	J		
699. IPOIX	A	Dividend	J	T	Buy	12/11/20	J		
700. IPOIX		None			Sold	04/22/20	J	A	
701. IPOIX		None			Sold	04/17/20	J	A	
702. IPOIX		None			Sold	04/15/20	J	A	
703. IPOIX		None			Sold	04/09/20	J	A	
704. IPOIX		None			Buy	03/13/20	J		
705. JVMIX	A	Distribution	J	T	Buy	12/21/20	J		
706. JVMIX	A	Dividend	J	T	Buy	12/21/20	J		
707. JVMIX		None			Buy	12/18/20	J		
708. JVMIX		None			Sold	04/22/20	J	A	
709. JVMIX		None			Sold	04/17/20	J	A	
710. JVMIX		None			Sold	04/15/20	J	A	
711. JVMIX		None			Sold	04/09/20	J	A	
712. JVMIX		None			Buy	03/13/20	J		
713. JVMIX		None			Buy	02/28/20	J		
714. KLCIX		None			Buy	12/18/20	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

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)
715. KLCIX	A	Distribution	J	T	Buy	12/07/20	J		
716. KLCIX		None			Sold	04/22/20	J	A	
717. KLCIX		None			Sold	04/17/20	J	A	
718. KLCIX		None			Sold	04/15/20	J	A	
719. KLCIX		None			Sold	04/09/20	J	A	
720. KLCIX		None			Buy	03/13/20	J		
721. KLCIX		None			Buy	02/28/20	J		
722. LDLFX	A	Dividend	J	T	Buy	12/01/20	J		
723. LDLFX	A	Dividend	J	T	Buy	11/02/20	J		
724. LDLFX	A	Dividend	J	T	Buy	10/01/20	J		
725. LDLFX	A	Dividend	J	T	Buy	09/01/20	J		
726. LDLFX	A	Dividend	J	T	Buy	08/03/20	J		
727. LDLFX	A	Dividend	J	T	Buy	07/01/20	J		
728. LDLFX	A	Dividend	J	T	Buy	06/01/20	J		
729. LDLFX	A	Dividend	J	T	Buy	05/01/20	J		
730. LDLFX	A	Dividend	J	T	Buy	04/01/20	J		
731. LDLFX		None			Buy	03/04/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
732. LDLFX		None			Buy	03/04/20	J		
733. MCVIX		None			Buy	12/18/20	J		
734. MCVIX	A	Dividend	J	T	Buy	12/11/20	J		
735. MCVIX		None			Sold	04/22/20	J	A	
736. MCVIX		None			Sold	04/17/20	J	A	
737. MCVIX		None			Sold	04/15/20	J	A	
738. MCVIX		None			Sold	04/09/20	J	A	
739. MCVIX		None			Buy	03/13/20	J		
740. MCVIX		None			Buy	02/28/20	J		
741. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
742. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
743. MDIIX	A	Dividend	J	T	Buy	12/30/20	J		
744. MDIIX		None			Buy	12/18/20	J		
745. MDIIX		None			Sold	04/22/20	J	A	
746. MDIIX		None			Sold	04/17/20	J	A	
747. MDIIX		None			Sold	04/15/20	J	A	
748. MDIIX		None			Sold	04/09/20	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.)

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)
749. MDIIX		None			Buy	03/13/20	J		
750. MDIIX		None			Buy	02/28/20	J		
751. MEIIX		None			Buy	12/18/20	J		
752. MEIIX	A	Distribution	J	T	Buy	12/18/20	J		
753. MEIIX	A	Dividend	J	T	Buy	12/18/20	J		
754. MEIIX	A	Dividend	J	T	Buy	09/25/20	J		
755. MEIIX	A	Dividend	J	T	Buy	06/26/20	J		
756. MEIIX		None			Sold	04/22/20	J	A	
757. MEIIX		None			Sold	04/17/20	J	A	
758. MEIIX		None			Sold	04/15/20	J	A	
759. MEIIX		None			Sold	04/09/20	J	A	
760. MEIIX	A	Dividend	J	T	Buy	03/27/20	J		
761. MEIIX		None			Buy	03/13/20	J		
762. MEIIX		None			Buy	02/28/20	J		
763. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
764. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
765. MWTIX	A	Dividend	J	T	Buy	12/01/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
766. MWTIX	A	Dividend	J	T	Buy	11/02/20	J		
767. MWTIX	A	Dividend	J	T	Buy	10/01/20	J		
768. MWTIX	A	Dividend	J	T	Buy	09/01/20	J		
769. MWTIX	A	Dividend	J	T	Buy	08/03/20	J		
770. MWTIX	A	Dividend	J	T	Buy	07/01/20	J		
771. MWTIX	A	Dividend	J	T	Buy	06/01/20	J		
772. MWTIX	A	Dividend	J	T	Buy	05/01/20	J		
773. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
774. MWTIX		None			Buy	03/04/20	J		
775. MWTIX		None			Buy	03/04/20	J		
776. NDVIX		None			Buy	12/18/20	J		
777. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
778. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
779. NDVIX	A	Dividend	J	T	Buy	08/03/20	J		
780. NDVIX		None			Sold	04/22/20	J	A	
781. NDVIX		None			Sold	04/17/20	J	A	
782. NDVIX		None			Sold	04/15/20	J	A	

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)
783. NDVIX		None			Sold	04/09/20	J	A	
784. NDVIX		None			Sold	03/13/20	J	A	
785. NDVIX		None			Sold	02/28/20	J	A	
786. PCBIX		None			Buy	12/18/20	J		
787. PCBIX	A	Distribution	J	T	Buy	12/14/20	J		
788. PCBIX		None			Sold	04/22/20	J	A	
789. PCBIX		None			Sold	04/17/20	J	A	
790. PCBIX		None			Sold	04/15/20	J	A	
791. PCBIX		None			Sold	04/09/20	J	A	
792. PCBIX		None			Buy	03/13/20	J		
793. PCBIX		None			Buy	02/28/20	J		
794. PONPX	A	Dividend	J	T	Buy	12/01/20	J		
795. PONPX	A	Dividend	J	T	Buy	11/02/20	J		
796. PONPX	A	Dividend	J	T	Buy	10/01/20	J		
797. PONPX	A	Dividend	J	T	Buy	09/01/20	J		
798. PONPX	A	Dividend	J	T	Buy	08/03/20	J		
799. PONPX	A	Dividend	J	T	Buy	07/01/20	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

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)
800. PONPX	A	Dividend	J	T	Buy	06/01/20	J		
801. PONPX	A	Dividend	J	T	Buy	05/01/20	J		
802. PONPX	A	Dividend	J	T	Buy	04/01/20	J		
803. PONPX		None			Buy	03/04/20	J		
804. PONPX		None			Buy	03/04/20	J		
805. POSIX	A	Dividend	J	T	Buy	12/30/20	J		
806. POSIX		None			Buy	12/18/20	J		
807. POSIX	A	Dividend	J	T	Buy	09/21/20	J		
808. POSIX	A	Dividend	J	T	Buy	06/18/20	J		
809. POSIX		None			Sold	04/22/20	J	A	
810. POSIX		None			Sold	04/17/20	J	A	
811. POSIX		None			Sold	04/15/20	J	A	
812. POSIX		None			Sold	04/09/20	J	A	
813. PRDSX		None			Buy	12/18/20	J		
814. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
815. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
816. PRDSX		None			Sold	04/22/20	J	A	

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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
817. PRDSX		None			Sold	04/17/20	J	A	
818. PRDSX		None			Sold	04/15/20	J	A	
819. PRDSX		None			Sold	04/09/20	J	A	
820. PRDSX		None			Buy	03/13/20	J		
821. PRDSX		None			Buy	02/28/20	J		
822. QLEIX	A	Distribution	J	T	Buy	12/23/20	J		
823. QUAYX		None			Buy	12/18/20	J		
824. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
825. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
826. QUAYX		None			Sold	04/22/20	J	A	
827. QUAYX		None			Sold	04/17/20	J	A	
828. QUAYX		None			Sold	04/15/20	J	A	
829. QUAYX		None			Sold	04/09/20	J	A	
830. QUAYX		None			Buy	03/13/20	J		
831. QUAYX		None			Buy	02/28/20	J		
832. SH		None			Sold	11/04/20	J	A	
833. SH		None			Buy	11/02/20	J		

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) 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)
834. SH		None			Sold	04/22/20	J	A	
835. SH		None			Buy	04/17/20	J		
836. SH		None			Sold	04/15/20	J	A	
837. SH		None			Buy	04/09/20	J		
838. SHY	A	Dividend	J	T	Sold (part)	11/02/20	J	A	
839. SHY	A	Dividend	J	T	Buy	04/22/20	J		
840. SHY	A	Dividend	J	T	Buy	04/15/20	J		
841. SHY	A	Dividend		T	Sold (part)	03/13/20	J	A	
842. SHY	A	Dividend	J	T	Sold (part)	02/28/20	J	A	
843. TRVLX		None			Buy	12/18/20	J		
844. TRVLX	A	Distribution	J	T	Buy	12/15/20	J		
845. TRVLX	A	Dividend	J	T	Buy	12/15/20	J		
846. TRVLX		None			Sold	04/22/20	J	A	
847. TRVLX		None			Sold	04/17/20	J	A	
848. TRVLX		None			Sold	04/15/20	J	A	
849. TRVLX		None			Sold	04/09/20	J	A	
850. TRVLX		None			Buy	03/13/20	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

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)
851. TRVLX		None			Buy	02/28/20	J		
852. AAFXX	A	Dividend	J	T	Buy	05/01/20	J		
853. AAFXX	A	Dividend	J	T	Buy	04/01/20	J		
854. AAFXX	A	Dividend	J	T	Buy	03/02/20	J		
855. AAFXX	A	Dividend	J	T	Buy	02/03/20	J		
856. AAFXX	A	Dividend	J	T	Buy	01/02/20	J		
857. CAFAX	A	Distribution		T	Buy	12/17/20	J		
858. CAFAX	A	Dividend	J	T	Buy	12/17/20	J		
859. CAFAX	A	Distribution	J	T	Buy	06/18/20	J		
860. CEUAX	A	Dividend	J	T	Buy	12/18/20	J		
861. CGFAX	A	Distribution	J	T	Buy	12/21/20	J		
862. CGFAX	A	Dividend	J	T	Buy	12/21/20	J		
863. CICAX	A	Dividend	J	T	Buy	12/17/20	J		
864. CICAX	A	Dividend	J	T	Buy	09/17/20	J		
865. CICAX	A	Distribution	J	T	Buy	06/18/20	J		
866. CICAX	A	Dividend	J	T	Buy	06/18/20	J		
867. CICAX	A	Dividend	J	T	Buy	03/19/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
868. CNPAX	A	Distribution	J	T	Buy	12/18/20	J		
869. CNPAX	A	Dividend	J	T	Buy	12/18/20	J		
870. CWIAX	A	Dividend	J	T	Buy	12/16/20	J		
871. CWIAX	A	Dividend	J	T	Buy	09/15/20	J		
872. CWIAX	A	Dividend	J	T	Buy	06/16/20	J		
873. CWIAX	A	Dividend	J	T	Buy	03/17/20	J		
874. CAFAX	A	Distribution	J	T	Buy	12/17/20	J		
875. CAFAX	A	Dividend	J	T	Buy	12/17/20	J		
876. CAFAX	A	Distribution	J	T	Buy	06/18/20	J		
877. CEUAX	A	Dividend	J	T	Buy	12/18/20	J		
878. CGFAX	A	Distribution	J	T	Buy	12/21/20	J		
879. CGFAX	A	Dividend	J	T	Buy	12/21/20	J		
880. CICAX	A	Dividend	J	T	Buy	12/17/20	J		
881. CICAX	A	Dividend	J	T	Buy	09/17/20	J		
882. CICAX	A	Dividend	J	T	Buy	06/18/20	J		
883. CICAX	A	Distribution	J	T	Buy	06/18/20	J		
884. CICAX	A	Dividend	J	T	Buy	03/19/20	J		

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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
885. CNPAX	A	Distribution	J	T	Buy	12/18/20	J		
886. CNPAX	A	Dividend	J	T	Buy	12/18/20	J		
887. CWIAX	A	Dividend	J	T	Buy	12/16/20	J		
888. CWIAX	A	Dividend	J	T	Buy	09/15/20	J		
889. CWIAX	A	Dividend	J	T	Buy	06/16/20	J		
890. CWIAX	A	Dividend	J	T	Buy	03/17/20	J		
891. CAFAX	A	Distribution	J	T	Buy	12/17/20	J		
892. CAFAX	A	Dividend	J	T	Buy	12/17/20	J		
893. CAFAX	A	Distribution	J	T	Buy	06/18/20	J		
894. CEUAX	A	Dividend	J	T	Buy	12/18/20	J		
895. CGFAX	A	Distribution	J	T	Buy	12/21/20	J		
896. CGFAX	A	Dividend	J	T	Buy	12/21/20	J		
897. CICAX	A	Dividend	J	T	Buy	12/17/20	J		
898. CICAX	A	Dividend	J	T	Buy	09/17/20	J		
899. CICAX	A	Distribution	J	T	Buy	06/18/20	J		
900. CICAX	A	Dividend	J	T	Buy	06/18/20	J		
901. CICAX	A	Dividend	J	T	Buy	03/19/20	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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
902. CNPAX	A	Distribution	J	T	Buy	12/18/20	J		
903. CNPAX	A	Dividend	J	T	Buy	12/18/20	J		
904. CWIAX	A	Dividend	J	T	Buy	12/16/20	J		
905. CWIAX	A	Dividend	J	T	Buy	09/15/20	J		
906. CWIAX	A	Dividend	J	T	Buy	06/16/20	J		
907. CWIAX	A	Dividend	J	T	Buy	03/17/20	J		
908. CAFAX	A	Distribution	J	T	Buy	12/17/20	J		
909. CAFAX	A	Dividend	J	T	Buy	12/17/20	J		
910. CAFAX	A	Distribution	J	T	Buy	06/18/20	J		
911. CEUAX	A	Dividend	J	T	Buy	12/18/20	J		
912. CGFAX	A	Distribution	J	T	Buy	12/21/20	J		
913. CGFAX	A	Dividend	J	T	Buy	12/21/20	J		
914. CICAX	A	Dividend	J	T	Buy	12/17/20	J		
915. CICAX	A	Dividend	J	T	Buy	09/17/20	J		
916. CICAX	A	Distribution	J	T	Buy	06/18/20	J		
917. CICAX	A	Dividend	J	T	Buy	06/18/20	J		
918. CNPAX	A	Distribution	J	T	Buy	12/18/20	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)
919. CNPAX	A	Dividend	J	T	Buy	12/18/20	J		
920. CWIAX	A	Dividend	J	T	Buy	12/16/20	J		
921. CWIAX	A	Dividend	J	T	Buy	09/15/20	J		
922. CWIAX	A	Dividend	J	T	Buy	06/16/20	J		
923. CWIAX	A	Dividend	J	T	Buy	03/17/20	J		
924. MVRXX	A	Dividend	J	T	Buy	12/31/20	J		
925. MVRXX	A	Dividend	J	T	Buy	11/30/20	J		
926. MVRXX	A	Dividend	J	T	Buy	10/30/20	J		
927. MVRXX	A	Dividend	J	T	Buy	09/30/20	J		
928. MVRXX	A	Dividend	J	T	Buy	08/31/20	J		
929. MVRXX	A	Dividend	J	T	Buy	07/31/20	J		
930. MVRXX	A	Dividend	J	T	Buy	06/30/20	J		
931. MVRXX	A	Dividend	J	T	Buy	05/29/20	J		
932. MVRXX	A	Dividend	J	T	Buy	04/30/20	J		
933. MVRXX	A	Dividend	J	T	Buy	03/31/20	J		
934. MVRXX	A	Dividend	J	T	Buy	02/28/20	J		
935. MVRXX	A	Dividend	J	T	Buy	01/31/20	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

Duncan, Stuart K.

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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)
936. ASPCX	A	Distribution	J	T	Buy	12/17/20	J		
937. MEICX	A	Distribution	J	T	Buy	12/18/20	J		
938. MEICX	A	Dividend	J	T	Buy	12/18/20	J		
939. MEICX	A	Dividend	J	T	Buy	09/25/20	J		
940. MEICX	A	Dividend	J	T	Buy	06/26/20	J		
941. MEICX	A	Dividend	J	T	Buy	03/27/20	J		
942. CAFAX	A	Distribution	J	T	Buy	12/17/20	J		
943. CAFAX	A	Dividend	J	T	Buy	12/17/20	J		
944. CAFAX	A	Distribution	J	T	Buy	06/18/20	J		
945. CEUAX	A	Dividend	J	T	Buy	12/18/20	J		
946. CGFAX	A	Distribution	J	T	Buy	12/21/20	J		
947. CGFAX	A	Dividend	J	T	Buy	12/21/20	J		
948. CICAX	A	Dividend	J	T	Buy	12/17/20	J		
949. CICAX	A	Dividend	J	T	Buy	09/17/20	J		
950. CICAX	A	Distribution	J	T	Buy	06/18/20	J		
951. CICAX	A	Dividend	J	T	Buy	06/18/20	J		
952. CICAX	A	Dividend	J	T	Buy	03/19/20	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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

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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)
953. CNPAX	A	Distribution	J	T	Buy	12/18/20	J		
954. CNPAX	A	Dividend	J	T	Buy	12/18/20	J		
955. CWIAX	A	Dividend	J	T	Buy	12/16/20	J		
956. CWIAX	A	Dividend	J	T	Buy	09/15/20	J		
957. CWIAX	A	Dividend	J	T	Buy	06/16/20	J		
958. CWIAX	A	Dividend	J	T	Buy	03/17/20	J		
959. ACWI	A	Dividend	J	T	Sold (part)	04/22/20	J	A	
960. ACWI	A	Dividend			Sold (part)	04/17/20	J	A	
961. ACWI		None			Sold	04/15/20	J	A	
962. ACWI		None			Sold	04/09/20	J	A	
963. ACWI		None			Buy	03/09/20	J		
964. ACWI		None			Buy	02/25/20	J		
965. ACWI		None			Buy	01/16/20	J		
966. AGG	A	Dividend	J	T	Buy	03/09/20	J		
967. AGG	A	Dividend	J	T	Buy	03/06/20	J		
968. AGG	A	Dividend			Sold (part)	03/04/20	K	A	
969. AGG	A	Dividend	J	T	Buy	02/25/20	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	

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Name of Person Reporting

Duncan, Stuart K.

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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)
970. AGG	A	Dividend	J	T	Buy	01/16/20	J		
971. ASPZX		None			Buy	12/18/20	J		
972. ASPZX	B	Distribution	J	T	Buy	12/17/20	J		
973. ASPZX		None			Sold	04/22/20	J	A	
974. ASPZX		None			Sold	04/17/20	J	A	
975. ASPZX		None			Sold	04/15/20	J	A	
976. ASPZX		None			Sold	04/09/20	J	A	
977. ASPZX		None			Buy	03/09/20	J		
978. ASPZX		None			Buy	02/25/20	J		
979. ASPZX		None			Buy	01/16/20	J		
980. BFGIX		None			Sold	03/06/20	J	A	
981. BFGIX		None			Buy	02/25/20	J		
982. BFGIX		None			Buy	01/16/20	J		
983. BHYIX	A	Dividend			Sold (part)	03/06/20	J	A	
984. BHYIX	A	Dividend	J	T	Buy	03/02/20	J		
985. BHYIX		None			Buy	02/25/20	J		
986. BHYIX	A	Dividend	J	T	Buy	02/03/20	J		

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)					

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Name of Person Reporting

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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)
987. BHYIX		None			Buy	01/16/20	J		
988. BHYIX	A	Dividend	J	T	Buy	01/02/20	J		
989. BND	A	Dividend	J	T	Buy	03/05/20	J		
990. BND	A	Dividend			Sold (part)	03/04/20	K	A	
991. BND	A	Dividend	J	T	Buy	02/25/20	J		
992. BND	A	Dividend	J	T	Buy	01/16/20	J		
993. CSDIX		None			Buy	12/18/20	J		
994. CSDIX	A	Dividend	J	T	Buy	12/11/20	J		
995. CSDIX	A	Dividend	J	T	Buy	10/01/20	J		
996. CSDIX	A	Distribution	J	T	Buy	07/01/20	J		
997. CSDIX	A	Dividend	J	T	Buy	07/01/20	J		
998. CSDIX		None			Sold	04/22/20	J	A	
999. CSDIX		None			Sold	04/17/20	J	A	
1000. CSDIX		None			Sold	04/15/20	J	A	
1001. CSDIX		None			Sold	04/09/20	J	A	
1002. CSDIX	A	Dividend	J	T	Buy	04/01/20	J		
1003. CSDIX		None			Buy	03/09/20	J		

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)					

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1004. CSDIX		None			Buy	02/25/20	J		
1005. CSDIX		None			Buy	01/16/20	J		
1006. DBLTX	A	Dividend	J	T	Buy	12/01/20	J		
1007. DBLTX	A	Dividend	J	T	Buy	11/02/20	J		
1008. DBLTX	A	Dividend	J	T	Buy	10/01/20	J		
1009. DBLTX	A	Dividend	J	T	Buy	09/01/20	J		
1010. DBLTX	A	Dividend	J	T	Buy	08/03/20	J		
1011. DBLTX	A	Dividend	J	T	Buy	07/01/20	J		
1012. DBLTX	A	Dividend	J	T	Buy	06/01/20	J		
1013. DBLTX	A	Dividend	J	T	Buy	05/01/20	J		
1014. DBLTX	A	Dividend	J	T	Buy	04/01/20	J		
1015. DBLTX		None			Buy	03/09/20	J		
1016. DBLTX		None			Buy	03/04/20	J		
1017. DBLTX		None			Buy	03/04/20	J		
1018. DLBTX	A	Dividend	J	T	Buy	03/02/20	J		
1019. DBLTX		None			Buy	02/25/20	J		
1020. DBLTX	A	Dividend	J	T	Buy	02/03/20	J		

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)					

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Name of Person Reporting

Duncan, Stuart K.

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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)
1021. DBLTX		None			Buy	01/16/20	J		
1022. DBLTX	A	Dividend	J	T	Buy	01/02/20	J		
1023. DBLTX		None			Buy	01/02/20	J		
1024. FTHSX	A	Dividend	J	T	Buy	12/23/20	J		
1025. FTHSX		None			Buy	12/18/20	J		
1026. FTHSX		None			Sold	04/22/20	J	A	
1027. FTHSX		None			Sold	04/17/20	J	A	
1028. FTHSX		None			Sold	04/15/20	J	A	
1029. FTHSX		None			Sold	04/09/20	J	A	
1030. FTHSX		None			Buy	03/09/20	J		
1031. FTHSX		None			Buy	02/25/20	J		
1032. FTHSX		None			Buy	01/16/20	J		
1033. FTHSX	A	Dividend	J	T	Buy	01/02/20	J		
1034. GBIL		None			Sold	12/18/20	J	A	
1035. GBIL		None			Buy	11/04/20	K		
1036. GOGIX	A	Dividend	J	T	Buy	12/21/20	J		
1037. GOGIX		None			Buy	12/18/20	J		

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		

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)
1038. GOGIX		None			Sold	04/22/20	J	A	
1039. GOGIX		None			Sold	04/17/20	J	A	
1040. GOGIX		None			Sold	04/15/20	J	A	
1041. GOGIX		None			Sold	04/09/20	J	A	
1042. GOGIX		None			Buy	03/10/20	J		
1043. GOGIX		None			Buy	02/25/20	J		
1044. GOGIX		None			Buy	01/16/20	J		
1045. IPOIX		None			Buy	12/18/20	J		
1046. IPOIX	A	Dividend	J	T	Buy	12/11/20	J		
1047. IPOIX		None			Sold	04/22/20	J	A	
1048. IPOIX		None			Sold	04/17/20	J	A	
1049. IPOIIX		None			Sold	04/15/20	J	A	
1050. IPOIX		None			Sold	04/09/20	J	A	
1051. IPOIX		None			Buy	03/09/20	J		
1052. IPOIX		None			Buy	02/25/20	J		
1053. IPOIX		None			Buy	01/16/20	J		
1054. IVV		None			Sold (part)	04/22/20	J	A	

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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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)
1055. IVV		None			Sold	04/17/20	J	A	
1056. IVV		None			Sold	04/15/20	J	A	
1057. IVV		None			Sold	04/09/20	J	A	
1058. IVV		None	J	T	Buy	03/09/20	J		
1059. IVV		None			Buy	02/25/20	J		
1060. IVV		None			Buy	01/16/20	J		
1061. JHBIX	A	Distribution	J	T	Buy	12/21/20	J		
1062. JHBIX	A	Dividend	J	T	Buy	12/01/20	J		
1063. JHBIX	A	Dividend	J	T	Buy	11/02/20	J		
1064. JHBIX	A	Dividend	J	T	Buy	10/01/20	J		
1065. JHBIX	A	Dividend	J	T	Buy	09/01/20	J		
1066. JHBIX	A	Dividend	J	T	Buy	08/03/20	J		
1067. JHBIX	A	Dividend	J	T	Buy	07/01/20	J		
1068. JHBIX	A	Dividend	J	T	Buy	06/01/20	J		
1069. JHBIX	A	Dividend	J	T	Buy	05/01/20	J		
1070. JHBIX	A	Dividend	J	T	Buy	04/01/20	J		
1071. JHBIX		None			Buy	03/10/20	J		

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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1072. JHBIX	A	Dividend	J	T	Buy	03/02/20	J		
1073. JHBIX		None			Buy	02/25/20	J		
1074. JHBIX	A	Dividend	J	T	Buy	02/03/20	J		
1075. JHBIX		None			Buy	01/16/20	J		
1076. JHBIX	A	Dividend	J	T	Buy	01/02/20	J		
1077. JVMIX	A	Distribution	J	T	Buy	12/21/20	J		
1078. JVMIX	A	Dividend	J	T	Buy	12/21/20	J		
1079. JVMIX		None			Buy	12/18/20	J		
1080. JVMIX		None			Sold	04/22/20	J	A	
1081. JVMIX		None			Sold	04/17/20	J	A	
1082. JVMIX		None			Sold	04/15/20	J	A	
1083. JVMIX		None			Sold	04/09/20	J	A	
1084. JVMIX		None			Buy	03/10/20	J		
1085. JVMIX		None			Buy	02/25/20	J		
1086. JVMIX		None			Buy	01/16/20	J		
1087. KLCIX		None			Buy	12/18/20	J		
1088. KLCIX	A	Distribution	J	T	Buy	12/07/20	J		

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)
1089. KLCIX		None			Sold	04/22/20	J	A	
1090. KLCIX		None			Sold	04/17/20	J	A	
1091. KLCIX		None			Sold	04/15/20	J	A	
1092. KLCIX		None			Sold	04/09/20	J	A	
1093. KLCIX		None			Buy	03/09/20	J		
1094. KLCIX		None			Buy	02/25/20	J		
1095. KLCIX		None			Buy	01/16/20	J		
1096. LDLFX	A	Dividend	J	T	Buy	12/01/20	J		
1097. LDLFX	A	Dividend	J	T	Buy	11/02/20	J		
1098. LDLFX	A	Dividend	J	T	Buy	10/01/20	J		
1099. LDLFX	A	Dividend	J	T	Buy	09/01/20	J		
1100. LDLFX	A	Dividend	J	T	Buy	08/03/20	J		
1101. LDLFX	A	Dividend	J	T	Buy	07/01/20	J		
1102. LDLFX	A	Dividend	J	T	Buy	06/01/20	J		
1103. LDLFX	A	Dividend	J	T	Buy	05/01/20	J		
1104. LDLFX	A	Dividend	J	T	Buy	04/01/20	J		
1105. LDLFX		None			Buy	03/09/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1106. LDLFX		None			Buy	03/06/20	J		
1107. LDLFX		None			Buy	03/04/20	J		
1108. LDLFX		None			Buy	03/04/20	J		
1109. LDLFX	A	Dividend	J	T	Buy	03/02/20	J		
1110. LDLFX		None			Buy	02/25/20	J		
1111. LDLFX	A	Dividend	J	T	Buy	02/03/20	J		
1112. LDLFX		None			Buy	01/16/20	J		
1113. LDLFX	A	Dividend	J	T	Buy	01/02/20	J		
1114. LHYFX		None			Sold (part)	03/06/20	J	A	
1115. LHYFX	A	Dividend	J	T	Buy	03/02/20	J		
1116. LHYFX		None			Buy	02/25/20	J		
1117. LHYFX	A	Dividend	J	T	Buy	02/03/20	J		
1118. LHYFX		None			Buy	01/16/20	J		
1119. LHYFX	A	Dividend	J	T	Buy	01/02/20	J		
1120. MCVIX		None			Buy	12/18/20	J		
1121. MCVIX	A	Dividend	J	T	Buy	12/11/20	J		
1122. MCVIX		None			Sold	04/22/20	J	A	

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)					

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1123. MCVIX		None			Sold	04/17/20	J	A	
1124. MCVIX		None			Sold	04/15/20	J	A	
1125. MCVIX		None			Sold	04/09/20	J	A	
1126. MCVIX		None			Buy	03/09/20	J		
1127. MCVIX		None			Buy	02/25/20	J		
1128. MCVIX		None			Buy	01/16/20	J		
1129. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
1130. MDIIX	A	Distribution	J	T	Buy	12/30/20	J		
1131. MDIIX	A	Dividend	J	T	Buy	12/30/20	J		
1132. MDIIX		None			Buy	12/18/20	J		
1133. MDIIX		None			Sold	04/22/20	J	A	
1134. MDIIX		None			Sold	04/17/20	J	A	
1135. MDIIX		None			Sold	04/15/20	J	A	
1136. MDIIX		None			Sold	04/09/20	J	A	
1137. MDIIX		None			Buy	03/09/20	J		
1138. MDIIX		None			Buy	02/25/20	J		
1139. MDIIX		None			Buy	01/16/20	J		

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)
1140. MEIIX		None			Buy	12/18/20	J		
1141. MEIIX	A	Distribution	J	T	Buy	12/18/20	J		
1142. MEIIX	A	Dividend	J	T	Buy	12/18/20	J		
1143. MEIIX	A	Dividend	J	T	Buy	09/25/20	J		
1144. MEIIX	A	Dividend	J	T	Buy	06/26/20	J		
1145. MEIIX		None			Sold	04/22/20	J	A	
1146. MEIIX		None			Sold	04/17/20	J	A	
1147. MEIIX		None			Sold	04/15/20	J	A	
1148. MEIIX		None			Sold	04/09/20	J	A	
1149. MEIIX	A	Dividend	J	T	Buy	03/27/20	J		
1150. MEIIX		None			Buy	03/09/20	J		
1151. MEIIX		None			Buy	02/25/20	J		
1152. MEIIX		None			Buy	01/16/20	J		
1153. MVRXX	A	Dividend			Sold (part)	03/09/20	K	A	
1154. MVRXX	A	Dividend	J	T	Buy	02/28/20	J		
1155. MVRXX		None			Sold	02/25/20	K	A	
1156. MVRXX	A	Dividend	J	T	Buy	01/31/20	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

Duncan, Stuart K.

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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)
1157. MVRXX		None			Sold	01/16/20	K	A	
1158. MWCIX	A	Distribution	J	T	Buy	12/09/20	J		
1159. MWCIX	A	Dividend	J	T	Buy	12/01/20	J		
1160. MWCIX	A	Dividend	J	T	Buy	11/02/20	J		
1161. MWCIX	A	Dividend	J	T	Buy	10/01/20	J		
1162. MWCIX	A	Dividend	J	T	Buy	09/01/20	J		
1163. MWCIX	A	Dividend	J	T	Buy	08/03/20	J		
1164. MWCIX	A	Dividend	J	T	Buy	07/01/20	J		
1165. MWCIX	A	Dividend	J	T	Buy	06/01/20	J		
1166. MWCIX	A	Dividend	J	T	Buy	05/01/20	J		
1167. MWCIX	A	Dividend	J	T	Buy	04/01/20	J		
1168. MWCIX		None			Buy	03/10/20	J		
1169. MWCIX	A	Dividend	J	T	Buy	03/02/20	J		
1170. MWCIX	A	Dividend	J	T	Buy	03/02/20	J		
1171. MWCIX		None			Buy	02/25/20	J		
1172. MWCIX	A	Dividend	J	T	Buy	02/03/20	J		
1173. MWCIX		None			Buy	01/16/20	J		

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 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

Duncan, Stuart K.

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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)
1174. MWCIX	A	Dividend	J	T	Buy	01/02/20	J		
1175. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
1176. MWTIX	A	Distribution	J	T	Buy	12/09/20	J		
1177. MWTIX	A	Dividend	J	T	Buy	12/01/20	J		
1178. MWTIX	A	Dividend	J	T	Buy	11/02/20	J		
1179. MWTIX	A	Dividend	J	T	Buy	10/01/20	J		
1180. MWTIX	A	Dividend	J	T	Buy	09/01/20	J		
1181. MWTIX	A	Dividend	J	T	Buy	08/03/20	J		
1182. MWTIX	A	Dividend	J	T	Buy	07/01/20	J		
1183. MWTIX	A	Dividend	J	T	Buy	06/01/20	J		
1184. MWTIX	A	Dividend	J	T	Buy	05/01/20	J		
1185. MWTIX	A	Dividend	J	T	Buy	04/01/20	J		
1186. MWTIX		None			Buy	03/04/20	J		
1187. MWTIX		None			Buy	03/04/20	J		
1188. MWTIX	A	Dividend	J	T	Buy	03/02/20	J		
1189. MWTIX		None			Buy	02/25/20	J		
1190. MWTIX	A	Dividend	J	T	Buy	02/03/20	J		

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	

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1191. MWTIX		None			Buy	01/16/20	J		
1192. MWTIX	A	Dividend	J	T	Buy	01/02/20	J		
1193. NDVIX		None			Buy	12/18/20	J		
1194. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
1195. NDVIX	A	Distribution	J	T	Buy	08/03/20	J		
1196. NDVIX	A	Dividend	J	T	Buy	08/03/20	J		
1197. NDVIX		None			Sold	04/22/20	J	A	
1198. NDVIX		None			Sold	04/17/20	J	A	
1199. NDVIX		None			Sold	04/15/20	J	A	
1200. NDVIX		None			Sold (part)	04/09/20	J	A	
1201. NDVIX		None			Buy	03/09/20	J		
1202. NDVIX		None			Buy	02/25/20	J		
1203. NDVIX		None			Buy	01/16/20	J		
1204. PCBIX		None			Buy	12/18/20	J		
1205. PCBIX	A	Distribution	J	T	Buy	12/14/20	J		
1206. PCBIX		None			Sold	04/22/20	J	A	
1207. PCBIX		None			Sold	04/17/20	J	A	

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)					

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Name of Person Reporting

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1208. PCBIX		None			Sold	04/15/20	J	A	
1209. PCBIX		None			Sold	04/09/20	J	A	
1210. PCBIX		None			Buy	03/10/20	J		
1211. PCBIX		None			Buy	02/25/20	J		
1212. PCBIX		None			Buy	01/16/20	J		
1213. PFBPX	A	Dividend	J	T	Buy	12/29/20	J		
1214. PFBPX	A	Dividend	J	T	Buy	12/01/20	J		
1215. PFBPX	A	Dividend	J	T	Buy	11/02/20	J		
1216. PFBPX	A	Dividend	J	T	Buy	10/01/20	J		
1217. PFBPX	A	Dividend	J	T	Buy	09/01/20	J		
1218. PFBPX	A	Dividend	J	T	Buy	08/01/20	J		
1219. PFBPX	A	Dividend	J	T	Buy	07/01/20	J		
1220. PFBPX	A	Dividend	J	T	Buy	06/01/20	J		
1221. PFBPX	A	Dividend	J	T	Buy	05/01/20	J		
1222. PFBPX	A	Dividend	J	T	Buy	04/01/20	J		
1223. PFBPX		None			Buy	03/09/20	J		
1224. PFBPX	A	Dividend	J	T	Buy	03/02/20	J		

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)
1225. PFBPX		None			Buy	02/25/20	J		
1226. PFBPX	A	Dividend	J	T	Buy	02/03/20	J		
1227. PFBPX		None			Buy	01/16/20	J		
1228. PFBPX	A	Dividend	J	T	Buy	01/02/20	J		
1229. PFUPX	A	Dividend	J	T	Buy	12/01/20	J		
1230. PFUPX	A	Dividend	J	T	Buy	11/02/20	J		
1231. PFUPX	A	Dividend	J	T	Buy	10/01/20	J		
1232. PFUPX	A	Dividend	J	T	Buy	09/01/20	J		
1233. PFUPX	A	Dividend	J	T	Buy	08/03/20	J		
1234. PFUPX	A	Dividend	J	T	Buy	07/01/20	J		
1235. PFUPX	A	Dividend	J	T	Buy	06/01/20	J		
1236. PFUPX	A	Dividend	J	T	Buy	05/01/20	J		
1237. PFUPX	A	Dividend	J	T	Buy	04/01/20	J		
1238. PFUPX		None			Buy	03/09/20	J		
1239. PFUPX	A	Dividend	J	T	Buy	03/02/20	J		
1240. PFUPX		None			Buy	02/25/20	J		
1241. PFUPX	A	Dividend	J	T	Buy	02/03/20	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

Duncan, Stuart K.

Date of Report

05/12/2021

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)
1242. PFUPX		None			Buy	01/16/20	J		
1243. PFUPX	A	Dividend	J	T	Buy	01/02/20	J		
1244. PONPX	A	Dividend	J	T	Buy	12/01/20	J		
1245. PONPX	A	Dividend	J	T	Buy	11/02/20	J		
1246. PONPX	A	Dividend	J	T	Buy	10/01/20	J		
1247. PONPC	A	Dividend	J	T	Buy	09/01/20	J		
1248. PONPX	A	Dividend	J	T	Buy	08/03/20	J		
1249. PONPX	A	Dividend	J	T	Buy	07/01/20	J		
1250. PONPX	A	Dividend	J	T	Buy	06/01/20	J		
1251. PONPX	A	Dividend	J	T	Buy	05/01/20	J		
1252. PONPX	A	Dividend	J	T	Buy	04/01/20	J		
1253. PONPX		None			Buy	03/10/20	J		
1254. PONPX		None			Buy	03/04/20	J		
1255. PONPX		None			Buy	03/04/20	J		
1256. PONPX	A	Dividend	J	T	Buy	03/02/20	J		
1257. PONPX		None			Buy	02/25/20	J		
1258. PONPX	A	Dividend	J	T	Buy	02/03/20	J		

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		

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)
1259. PONPX		None			Buy	01/16/20	J		
1260. PONPX	A	Dividend	J	T	Buy	01/02/20	J		
1261. POSIX	A	Dividend	J	T	Buy	12/30/20	J		
1262. POSIX		None			Buy	12/18/20	J		
1263. POSIX	A	Dividend	J	T	Buy	09/21/20	J		
1264. POSIX	A	Dividend	J	T	Buy	06/18/20	J		
1265. POSIX		None			Sold	04/22/20	J	A	
1266. POSIX		None			Sold	04/17/20	J	A	
1267. POSIX		None			Sold	04/15/20	J	A	
1268. POSIX		None			Sold	04/09/20	J	A	
1269. POSIX		None			Buy	02/25/20	J		
1270. POSIX		None			Buy	01/16/20	J		
1271. PPGNX	A	Dividend	J	T	Buy	12/29/20	J		
1272. PPGNX	A	Dividend	J	T	Buy	12/01/20	J		
1273. PPGNX	A	Dividend	J	T	Buy	11/02/20	J		
1274. PPGNX	A	Dividend	J	T	Buy	10/01/20	J		
1275. PPGNX	A	Dividend	J	T	Buy	09/01/20	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

Duncan, Stuart K.

Date of Report

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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)
1276. PPGNX	A	Dividend	J	T	Buy	08/03/20	J		
1277. PPGNX	A	Dividend	J	T	Buy	07/01/20	J		
1278. PPGNX	A	Dividend	J	T	Buy	06/01/20	J		
1279. PPGNX	A	Dividend	J	T	Buy	05/01/20	J		
1280. PPGNX	A	Dividend	J	T	Buy	04/01/20	J		
1281. PPGNX		None			Buy	03/09/20	J		
1282. PPGNX		None			Buy	03/06/20	J		
1283. PRDSX		None			Buy	12/18/20	J		
1284. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
1285. PRDSX	A	Distribution	J	T	Buy	12/15/20	J		
1286. PRDSX		None			Sold	04/22/20	J	A	
1287. PRDSX		None			Sold	04/17/20	J	A	
1288. PRDSX		None			Sold	04/15/20	J	A	
1289. PRDSX		None			Sold	04/09/20	J	A	
1290. PRDSX		None			Buy	03/09/20	J		
1291. PRDSX		None			Buy	02/25/20	J		
1292. PRDSX		None			Buy	01/16/20	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)
1293. 72201M594	A	Dividend	J	T	Buy	12/29/20	J		
1294. 72201M594	A	Dividend	J	T	Buy	12/01/20	J		
1295. 72201M594	A	Dividend	J	T	Buy	11/02/20	J		
1296. 72201M594	A	Dividend	J	T	Buy	10/01/20	J		
1297. 72001M594	A	Dividend	J	T	Buy	09/01/20	J		
1298. 72201M594	A	Dividend	J	T	Buy	08/03/20	J		
1299. 72291M594	A	Dividend	J	T	Buy	07/01/20	J		
1300. 72201M594	A	Dividend	J	T	Buy	06/01/20	J		
1301. 72201M594	A	Dividend	J	T	Buy	05/01/20	J		
1302. 72205M594	A	Dividend	J	T	Buy	04/01/20	J		
1303. 72201M594		None	J	T	Buy	03/09/20	J		
1304. &2201M594	A	Dividend	J	T	Buy	03/02/20	J		
1305. 72201M594		None			Buy	02/25/20	J		
1306. 72201M594	A	Dividend	J	T	Buy	02/03/20	J		
1307. 72201M594		None			Buy	01/16/20	J		
1308. 72201M594	A	Dividend	J	T	Buy	01/02/20	J		
1309. QLEIX	A	Distribution	J	T	Buy	12/23/20	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

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)
1310. QLEIX		None			Buy	03/09/20	J		
1311. QLEIX		None			Buy	02/25/20	J		
1312. QLEIX		None			Buy	01/16/20	J		
1313. QSPIX		None	J	T	Buy	03/09/20	J		
1314. QSPIX		None			Buy	02/25/20	J		
1315. QSPIX		None			Buy	01/16/20	J		
1316. QUAYX		None			Buy	12/18/20	J		
1317. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
1318. QUAYX	A	Distribution	J	T	Buy	12/09/20	J		
1319. QUAYX		None			Sold	04/22/20	J	A	
1320. QUAYX		None			Sold	04/17/20	J	A	
1321. QUAYX		None			Sold	04/15/20	J	A	
1322. QUAYX		None			Sold	04/09/20	J	A	
1323. QUA"YX		None	J	T	Buy	03/09/20	J		
1324. QUAYX		None	J	T	Buy	02/25/20	J		
1325. QUAYX		None			Buy	01/16/20	J		
1326. SH		None			Sold	11/04/20	J	A	

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

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)
1327. SH		None			Buy	11/02/20	K		
1328. SH		None			Sold	04/22/20	K	A	
1329. SH		None			Buy	04/17/20	J		
1330. SH		None			Sold	04/15/20	J	A	
1331. SH		None			Buy	04/09/20	J		
1332. SHY	A	Dividend	J	T	Sold (part)	11/02/20	K	A	
1333. SHY	A	Dividend	J	T	Buy	04/22/20	K		
1334. SHY	A	Dividend	J	T	Buy	04/15/20	K		
1335. TGEIX	A	Dividend	J	T	Buy	12/30/20	J		
1336. TGEIX	A	Dividend	J	T	Buy	12/01/20	J		
1337. TGEIX	A	Dividend	J	T	Buy	11/03/20	J		
1338. TGEIX	A	Dividend	J	T	Buy	10/01/20	J		
1339. TGEIX	A	Dividend	J	T	Buy	09/01/20	J		
1340. TGEIX	A	Dividend	J	T	Buy	08/03/20	J		
1341. TGEIX	A	Dividend	J	T	Buy	07/01/20	J		
1342. TGEIX	A	Dividend	J	T	Buy	06/01/20	J		
1343. TGEIX	A	Dividend	J	T	Buy	05/01/20	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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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)
1344. TGEIX	A	Dividend	J	T	Buy	04/01/20	J		
1345. TGEIX		None			Buy	03/10/20	J		
1346. TGEIX	A	Dividend	J	T	Buy	03/02/20	J		
1347. TGEIX		None			Buy	02/25/20	J		
1348. TGEIX	A	Dividend	J	T	Buy	02/03/20	J		
1349. TGEIX		None			Buy	01/16/20	J		
1350. TRVLX		None			Buy	12/18/20	J		
1351. TRVLX	A	Distribution	J	T	Buy	12/15/20	J		
1352. TRVLX	A	Dividend	J	T	Buy	12/15/20	J		
1353. TRVLX		None			Sold	04/22/20	J	A	
1354. TRVLX		None			Sold	04/17/20	J	A	
1355. TRVLX		None			Sold	04/15/20	J	A	
1356. TRVLX		None			Sold	04/09/20	J	A	
1357. TRVLX		None			Buy	03/09/20	J		
1358. TRVLX		None			Buy	02/25/20	J		
1359. TRVLX		None			Buy	01/16/20	J		

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)					

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

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Name of Person Reporting

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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/ **Stuart K. Duncan**

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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