

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Schultz, David T.	2. Court or Organization U.S. District Court for the District of Minnesota	3. Date of Report 07/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States District Court 9E U.S. Courthouse 300 South Fourth Street Minneapolis, MN 55415		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

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

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2017	Retirement savings plan with Maslon (former employer)
2.	
3.	

Name of Person Reporting	Date of Report
Schultz, David T.	07/24/2020

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

A. Filer's Non-Investment Income

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

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

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.
(Dollar amount not required except for honoraria.)

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

DATE	SOURCE AND TYPE
1. 2019	Fairview Health Systems (salary)
2.	
3.	
4.	

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

[X] NONE (No reportable reimbursements.)

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

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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.		

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. BMO Harris (cash) (X)	C	Interest	O	T					
3. Hiway Federal Credit Union (cash) (X)	A	Interest	J	T					
4. Tri Enterprises, LLC (approx. 2% interest) (X)		None	K	U					
5. IRA #1 (H)									
6. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
7. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	K	T	Buy (add'l)	01/11/19	J		
8.					Buy (add'l)	09/24/19	J		
9. ALPHABET INC CL A (GOOGL)		None	K	T	Sold (part)	01/11/19	J	A	
10.					Sold (part)	09/24/19	J	A	
11. ALPHABET IN CL C (GOOG)		None	K	T	Sold (part)	01/11/19	J	A	
12.					Sold (part)	09/24/19	J	A	
13. AMAZON.COM INC (AMZN)		None	K	T	Buy (add'l)	01/11/19	J		
14.					Buy (add'l)	09/24/19	J		
15. CONSTELLATION BRANDS INC (STZ)	A	Dividend	K	T	Buy	01/11/19	K		
16.					Buy (add'l)	09/24/19	J		
17. LOREAL CO ADR FRANCE ADR (LRLCY)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Sold (part)	09/24/19	J	A	
19. MICROSOFT CORP (MSFT)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
20.					Sold (part)	09/24/19	J	B	
21. VISA INC CL A (V)	A	Dividend	K	T	Sold (part)	01/11/19	J	A	
22.					Buy (add'l)	12/30/19	J		
23. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	K	T					
24. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
25. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
26.					Buy (add'l)	09/24/19	J		
27. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
28.					Buy (add'l)	12/30/19	J		
29. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
30.					Buy (add'l)	09/24/19	J		
31. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	K	T	Buy (add'l)	09/24/19	J		
32. VANGUARD S&P 500 ETF (VOO)	A	Dividend	K	T					
33. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		
34. HARTFORD SCHRODERS EMERGING MKTS EQUITY FUND (SEMNX)	A	Dividend	K	T	Buy (add'l)	01/11/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

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35. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T	Sold (part)	01/11/19	J		
36. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE TRADED FD (MINT)	A	Dividend	K	T	Buy	08/02/19	J		
37.					Buy (add'l)	08/16/19	K		
38.					Buy (add'l)	09/24/19	J		
39.					Sold (part)	12/30/19	K		
40. SCHWAB US TIPS ETF (SCHP)	A	Dividend	J	T	Buy	08/02/19	J		
41. ANGEL OAK FINANCIAL INCOME FUND (ANFIX)	A	Dividend	K	T	Buy (add'l)	01/10/19	J		
42.					Buy (add'l)	09/24/19	J		
43. BNY MELLON GLOBAL FIXED INCOME FUND (SDGIX)	A	Dividend	L	T	Buy (add'l)	01/11/19	K		
44.					Buy (add'l)	09/24/19	J		
45. EATON VANCE SHORT DURATION GOV'T INCOME FUND (EILDY)	A	Dividend	K	T	Buy (add'l)	01/10/19	J		
46.					Buy (add'l)	09/24/19	J		
47. PGIM TOTAL RETURN BOND FUND (PDBZX)	C	Dividend	K	T	Buy (add'l)	01/11/19	J		
48.					Buy (add'l)	09/24/19	J		
49. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PFPNX)	B	Dividend	K	T	Buy (add'l)	01/11/19	J		
50. SPDR GOLD SHARES ETF DE (GLD)		None	K	T	Sold (part)	01/11/19	J		

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51.					Sold (part)	09/24/19	J	A	
52.					Buy (add'l)	12/30/19	J		
53. BANK OF AMERICA CORP (BAC)	A	Dividend			Sold (part)	01/11/19	J	A	
54.					Sold (part)	08/02/19	J	C	
55.					Sold	09/24/19	J	B	
56. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)	A	Dividend			Sold	08/05/19	J	B	
57. VANGUARD FTSE ALL WORLD EX-US ETF (VEU)		None			Sold	01/11/19	J	A	
58. VANGUARD DEVELOPED MARKETS INDEX FUND ADMIRAL (VTMGX)	A	Dividend			Buy (add'l)	01/11/19	J		
59.					Sold	08/02/19	K	B	
60. EV MULTISECTOR INCOME FUND (EVBIX)	A	Dividend			Buy (add'l)	01/10/19	J		
61.					Sold	08/16/19	K	B	
62. IRA #2 (H)									
63. UBS BANK USA DEP ACCT (CASH) (X)	A	Interest	K	T					
64. JPMORGAN CHASE FINANCIAL CT- GEARS RTY 09/30/2020		None	K	T					
65. HSBC USA INC CT-GEARS EEM 09/30/2020		None	K	T					
66. CITIGROUP GLOBAL MARKETS CT- GEARS RTY 01/29/2021		None	K	T					
67. GS FINANCE CORP CT-GEARS EEM 02/26/2021		None	K	T					

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

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68. JPMORGAN CHASE FINANCIAL CT-GEARS RTY 04/30/2021		None	K	T					
69. GS FINANCE CORP CT-GEARS RTY 08/31/2021		None	J	T					
70. CITIGROUP GLOBAL MARKETS L/O TA-CYN MXEA RTY 02/02/2023	B	Dividend	K	T					
71. SKYBRIDGE MULTI-ADVISER HEDGE FD PORTFOLIOS LLC SER A/O	B	Dividend	L	T					
72. ABBEY CAPITAL MULTI-MANAGER FUND LTD		None	K	T					
73. CITIGROUP GLOBAL MARKETS CB-GEARS SPX 08/30/2019		None			Redeemed	08/30/19	K	C	
74. IRA #3 (H)									
75. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
76. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
77. ALLERGAN PLC (AGN)	A	Dividend	J	T					
78. ALPHABET INC CL A (GOOGL)		None	K	T					
79. AMERICA TOWER CORP REIT (AMT)	A	Dividend	J	T					
80. APPLE INC (AAPL)	A	Dividend	J	T					
81. BROOKS AUTOMATION INC (BRKS)	A	Dividend	J	T					
82. CHEVRON CORP (CVX)	A	Dividend	J	T					
83. COGNEX CORP (CGNX)	A	Dividend	J	T					
84. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
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85. FACEBOOK INC CL A (FB)		None	J	T					
86. INTEL CORP (INTC)	A	Dividend	J	T					
87. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					
88. JPMORGAN CHASE & CO (JPM)	A	Dividend	K	T					
89. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T					
90. LULULEMON ATHLETICA INC (LULU)		None	K	T					
91. MEDTRONIC PLC (MDT)	A	Dividend	J	T					
92. MICROCHIP TECHNOLOGY INC (MCHP)	A	Dividend	J	T					
93. MICROSOFT CORP (MSFT)	A	Dividend	K	T					
94. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T					
95. PALO ALTO NETWORKS INC (PANW)		None	J	T					
96. PAYPAL HOLDINGS INC (PYPL)		None	K	T					
97. PEPSICO INC (PEP)	A	Dividend	J	T					
98. PROCTOR & GAMBLE CO (PG)	A	Dividend	J	T					
99. PULTE GROUP INC DE (PHM)	A	Dividend	J	T					
100. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
101. VISA INC CL A (V)	A	Dividend	K	T					

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
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G =\$100,001 - \$1,000,000
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R =Cost (Real Estate Only)
V =Other

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

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

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

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102. WALT DISNEY CO DISNEY COM (DIS)	A	Dividend	J	T					
103. 3M CO (MMM)	A	Dividend	J	T					
104. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	K	T					
105. SPDR S&P AEROSPACE & DEFENSE ETF (XAR)	A	Dividend	J	T					
106. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	K	T					
107. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
108. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend			Sold	10/09/19	J		
109. IRA #4 (H)									
110. UBS BANK USA DEP ACCT (cash)	A	Interest	J	T					
111. ALIBABA GROUP HLDG LTD SPON ADR (BABA)		None	J	T	Buy (add'l)	01/28/19	J		
112. AMAZON.COM INC (AMZN)		None	K	T	Buy (add'l)	01/28/19	J		
113. BIOXCEL THERAPEUTICS INC (BTAI)		None	K	T	Buy	01/28/19	J		
114. BROADCOM LTD (AVGO)	A	Dividend	K	T	Buy (add'l)	01/28/19	J		
115. CONAG RA BRANDS, INC. DE (CAG)	A	Dividend	J	T	Buy	01/28/19	J		
116.					Buy (add'l)	10/16/19	J		
117. CONSTELLATION BRANDS INC (STZ)	A	Dividend	J	T	Buy	01/28/19	J		
118.					Buy (add'l)	10/16/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

Name of Person Reporting	Date of Report
Schultz, David T.	07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
119. DANAHER CORP (DHR)	A	Dividend	J	T					
120. EXPEDIA INC (EXPE)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
121. FORTIVE CORP (FTV)	A	Dividend	J	T	Buy	01/28/19	J		
122. IAC INTERACTIVE CORP (IAC)		None	J	T					
123. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
124. INTUITIVE SURGICAL INC (ISRG)		None	J	T	Buy (add'l)	01/28/19	J		
125. KLA-TENCOR CORP (KLAC)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
126. MARATHON PETROLEUM CO (MPC)	A	Dividend	J	T					
127. NVIDIA CORP (NVDA)	A	Dividend	K	T	Buy (add'l)	01/28/19	J		
128.					Sold (part)	10/16/19	J	A	
129. OLLIE'S BARGAIN OUTLET HOLDI (OLLI)		None	J	T	Buy	10/16/19	J		
130. SERVICE CORP INTL (SCI)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
131. SKYWORKS SOLUTIONS INC (SWKS)	A	Dividend	J	T	Buy	01/28/19	J		
132. TAKE-TWO INTERACTIVE SOFTWARE (TTWO)		None	J	T	Buy (add'l)	01/28/19	J		
133. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
134. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
135. ISHARES US AEROSPACE & DEFENSE ETF (ITA)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
136. VANECK VECTORS SEMICONDUCTOR (SMH)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
137.					Sold (part)	01/28/19	J	A	
138. VANGUARD TOTAL WORLD STK ETF (VT)		None			Sold	01/28/19	J		
139. CIGNA CORP (CI)		None			Sold	01/28/19	J	A	
140. CITIGROUP INC (C) (Y)									
141. INTERNATIONAL FLAVORS & FRAGRANCES (IFF)	A	Dividend			Sold	01/28/19	J		
142. LEAR CORP COM NEW (LEA)	A	Dividend			Buy (add'l)	01/28/19	J		
143.					Sold	10/16/19	J		
144. MCKESSON CORP (MCK)	A	Dividend			Sold	01/28/19	J		
145. PVH CORP COM (PVH)	A	Dividend			Buy (add'l)	01/28/19	J		
146.					Sold	08/05/19	J		
147. TJX COS INC NEW (TJX)		None			Sold	01/28/19	J	C	
148. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)		None			Sold	08/05/19	J		
149. IRA #5 (H)									
150. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
151. ABB LTD SPON ADR (ABB)	A	Dividend	J	T	Buy	12/12/19	J		
152. ALLY FINANCIAL INC (ALLY)	A	Dividend	J	T	Buy	01/17/19	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
153. AMER EXPRESS CO (AXP)	A	Dividend	J	T	Buy	01/17/19	J		
154. BLACKROCK INC DE (BLK)	A	Dividend	J	T	Sold (part)	01/17/19	J		
155. BOEING COMPANY (BA)	A	Dividend	J	T	Buy	01/17/19	J		
156. CHEVRON CORP (CVX)	A	Dividend	J	T	Buy	01/17/19	J		
157. HEALTHCARE TR AMER INC NEW REIT CL A (HTA)	A	Dividend	J	T	Buy	01/17/19	J		
158. HOME DEPOT INC (HD)	A	Dividend	K	T	Buy (add'l)	01/17/19	J		
159. HONEYWELL INTL INC (HON)	A	Dividend	J	T					
160. INTEL CORP (INTC)	A	Dividend	J	T					
161. JOHNSON & JOHNSON COM (JNJ)	A	Dividend	K	T	Buy (add'l)	01/17/19	J		
162. LINDE PLC (LIN)	A	Dividend	K	T					
163. LOCKHEED MARTIN CORP (LMT)	A	Dividend	K	T	Sold (part)	01/17/19	J	A	
164. MCDONALDS CORP (MCD)	A	Dividend	J	T					
165. MEDTRONIC PLC (MDT)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
166. MONDELEZ INTL INC (MDLZ)	A	Dividend	J	T	Buy	01/17/19	J		
167. NEXTERA ENERGY INC COM (NEE)	A	Dividend	K	T					
168. PEPSICO INC (PEP)	A	Dividend	J	T					
169. STARBUCKS CORP (SBUX)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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)
170. TAIWAN SEMICONDUCTOR MFG CO LTD ADR (TSM)	A	Dividend	K	T					
171. TEXAS INSTRUMENTS (TXN)	A	Dividend	J	T	Sold (part)	01/17/19	J	B	
172. TRUIST FINL CORP (TFC)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
173. VF CORP (VFC)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
174. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	K	T					
175. VANGUARD VALUE ETF (VTV)	A	Dividend	K	T					
176. VANGUARD DIVID APPRECIATION ETF (VIG)	A	Dividend	K	T					
177. CME GROUP INC (CME)		None			Sold	01/17/19	J	D	
178. SUNCOR ENERGY INC (SU)		None			Sold	08/05/19	J		
179. 3M CO (MMM)	A	Dividend			Sold	12/12/19	J	A	
180. UNTD TECHNOLOGIES CORP (UTX)		None			Sold	01/17/19	J		
181. IRA #6 (H)									
182. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	J	T					
183. ALPHABET INC CL A (GOOGL)		None	J	T	Sold (part)	01/09/19	J	A	
184. ALPHABET INC CL C (GOOG)		None	J	T	Sold (part)	01/09/19	J	A	
185. AMAZON.COM INC (AMZN)		None	J	T					
186. CONSTELLATION BRANDS INC CL A (STZ)	A	Dividend	J	T	Buy	01/09/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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)
187. LOREAL CO ADR FRANCE ADR DE		None	J	T					
188. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
189. VISA INC CL A (V)	A	Dividend	J	T					
190. CONSUMER DICRESTIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T					
191. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					
192. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
193. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T					
194. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T	Buy (add'l)	01/09/19	J		
195. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	J	T					
196. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
197. VANGUARD FTSE PAC ETF DE (VPL)	A	Dividend	J	T					
198. HARTFORD SCHRODERS EMERGING MARKETS EQUITY FUND CL I (SEMNX)	A	Dividend	J	T					
199. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
200. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT) (X)	A	Dividend	J	T	Buy	08/16/19	J		
201.					Sold (part)	12/30/19	J		
202. SCHWAB US TIPS ETF (SCHP)	A	Dividend	J	T	Buy	08/02/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

Name of Person Reporting	Date of Report
Schultz, David T.	07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
203. ANGEL OAK FINANCIAL INCOME FUND CLASS I (ANFIX)	A	Dividend	J	T					
204. BNY MELLON GLOBAL FIXED INCOME FUND - CLASS I (SDGIX)		None	J	T	Buy (add'l)	01/10/19	J		
205. EATON VANCE SHORT DURATION GOVT INC CL I (EILDIX)	A	Dividend	J	T					
206. PGIM TOTAL RETURN BOND CL Z (PDBZX)	A	Dividend	J	T					
207. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PFNNX)	A	Dividend	J	T					
208. SPDR GOLD SHARES ETF (GLD)		None	J	T	Buy (add'l)	12/30/19	J		
209. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)		None			Sold	08/05/19	J	A	
210. VANGUARD DEVELOPED MARKETS INDEX FUND CLASS ADMIRAL (VTMGX)		None			Sold	08/02/19	J	A	
211. EV MULTISECTOR INCOME FUND CLASS I (EVBIX)	A	Dividend			Sold	08/16/19	J	A	
212. BANK OF AMER CORP (BAC) (Y)									
213. IRA #7 (H)									
214. UBS BANK DEPOSIT ACCOUNT (cash)	A	Interest	K	T					
215. BLACKROCK ENHANCED CAPITAL & INCOME FUND, INC (CII)	B	Dividend	K	T	Sold (part)	04/11/19	J	A	
216. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T	Buy (add'l)	04/11/19	J		
217. CONSUMERS STAPLES SELECT (XLP)	A	Dividend	K	T	Buy	04/11/19	K		
218. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend	J	T	Buy	04/11/19	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
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)
219. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T	Buy	04/11/19	J		
220. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Sold (part)	04/11/19	J	B	
221. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXXMX)	B	Dividend	K	T	Sold (part)	04/11/19	J		
222. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	K	T	Sold (part)	04/11/19	J	A	
223. SPDR S&P BIOTECH ETF (XBI)	A	Dividend	J	T	Buy	04/11/19	J		
224. UTILITIES SECTOR SPDR FUND ETF (XLU)	A	Dividend	J	T	Buy	04/11/19	J		
225. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	K	T					
226. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T	Buy (add'l)	04/11/19	J		
227. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T					
228. ISHARES 20+ YEAR TREAS BOND ETF (TLT)	A	Dividend	J	T	Buy	04/11/19	J		
229. NUVEEN PFD SECURITIES INCOME FUND (JPS)	B	Dividend	K	T	Sold (part)	04/11/19	J		
230. PIONEER HIGH INCOME TRUST (PHT)	B	Dividend	K	T	Buy	04/11/19	J		
231.					Buy (add'l)	04/12/19	J		
232. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	K	T					
233. WESTERN ASSET INVT GRADE DEFINED OPP TR INC (IGI)	B	Dividend	K	T					
234. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	B	Dividend	K	T					
235. PIMCO ENHANCED SHORT MAT ACTIVE ETF (MINT)	A	Dividend			Buy (add'l)	01/03/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
236.					Sold	04/11/19	J		
237. SPDR S&P INTL DIVIDEND ETF (DWX)	A	Dividend			Sold	04/11/19	K		
238. BLACKROCK MUNIYIELD QUALITY FUND (MYI)	A	Dividend			Sold	04/11/19	J	A	
239. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend			Sold	04/11/19	K		
240. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend			Sold	04/11/19	J		
241. BROKERAGE ACCOUNT #1 (H)									
242. UBS CASH FLOW ACCOUNT (cash)	A	Interest	J	T					
243. BROKERAGE ACCOUNT #2 (H)									
244. UBS BANK DEPOSIT ACCOUNT (CASH) (X)	A	Interest	J	T					
245. VANGUARD REAL ESTATE ETF (VNQ)	A	Dividend	J	T	Buy	01/03/19	J		
246. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T	Buy (add'l)	02/01/19	J		
247. VANGUARD S&P SMALL-CAP 600 ETF (VIOO)	A	Dividend	J	T	Buy	01/03/19	J		
248. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT)	A	Dividend	J	T	Sold (part)	02/01/19	J		
249. VANGUARD MORTGAGE BACKED SECURITIES ETF (VMBS)	A	Dividend	J	T					
250. ANGEL OAK MULTI-STRATEGY INCOME FUND CLASS INSTL (ANGIX)	A	Dividend	J	T	Sold (part)	02/01/19	J		
251. PIMCO DIVERSIFIED INCOME FUND (PDVPX)	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
252. PIMCO LOW DURATION INCOME FUND CLASS I2 (PFTPX)	A	Dividend	J	T	Sold (part)	02/01/19	J	A	
253. TEMPLETON GLBAL BOND ADV (TGBAX)	A	Dividend	J	T					
254. VANGUARD INTERMEDIATE TERM TREASURY FUND ADM (VFIUX)	A	Dividend	K	T	Buy (add'l)	02/01/19	J		
255. VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (PIMSX)	A	Dividend	J	T					
256. RIVERPARK LONG/SHORT OPPORTUNITY FUND (RLSIX)	B	Dividend	J	T	Sold (part)	02/01/19	J	A	
257. SPDR GOLD SHARES ETF DE (GLD)		None	J	T					
258. AC ALTERNATIVES INCOME FUND CLASS 1 (ALNIX)	A	Dividend	J	T	Buy	02/01/19	J		
259. AMER FUNDS AMERICAN BALANCED FUND (AMBFX)	A	Dividend	J	T	Sold (part)	02/01/19	J	A	
260. PIMCO STOCKPLUS INTL FUND (PIUHX)		None			Sold	02/01/19	J	A	
261. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)		None			Sold	10/16/19	J		
262. BROKERAGE ACCOUNT #3 (H)									
263. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
264. BLACKROCK ENHANCED CAP & INCOME STRATEGIES FUND INC (CII)	A	Dividend	J	T	Sold (part)	04/11/19	J	A	
265. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T	Buy (add'l)	04/11/19	J		
266. CONSUMERS STAPES SELECT (XLP)	A	Dividend	J	T	Buy	04/11/19	J		
267. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend	J	T	Buy	04/11/19	J		
268. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T	Buy	04/11/19	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
269. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T	Sold (part)	04/11/19	J	B	
270. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXXM)	A	Dividend	K	T					
271. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
272. SPDR S&P BIOTECH ETF (XBI)	A	Dividend	J	T	Buy	04/11/19	J		
273. UTILITIES SECTOR SPDR FUND ETF (XLU)	A	Dividend	J	T	Buy	04/11/19	J		
274.					Buy (add'l)	04/12/19	J		
275. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T					
276. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T	Buy	04/11/19	J		
277. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T					
278. ISHARES 20+ YEAR TREAS BOND ETF (TLT)	A	Dividend	J	T	Buy	04/11/19	J		
279. NUVEEN PFD SECURITIES INCOME FUND (JPS)	A	Dividend	J	T	Sold (part)	04/11/19	J	A	
280. PIONEER HIGH INCOME TRUST (PHT)	A	Dividend	J	T	Buy	04/11/19	J		
281. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	J	T					
282. WESTERN ASSET INVT GRADE DEFINED OPP TR INC (IGI)	A	Dividend	K	T					
283. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	A	Dividend	J	T					
284. SPDR S&P INTL DIVI F (DWX)	A	Dividend			Sold	04/11/19	J	A	
285. BLACKROCK MUNIYIELD QUALITY FUND III INC (MYI)	A	Dividend			Sold	04/11/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
286. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend			Sold	04/11/19	J	A	
287. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend			Sold	04/11/19	J	A	
288. PIMCO ENHANCED SHORT MAT ACTIVE ETF (MINT)	A	Dividend			Sold	04/11/19	J	A	
289. BROKERAGE ACCOUNT #4 (H)									
290. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
291. CITIGROUP GLOBAL MARKETS CB-GEARS EEM (06/30/2020)		None	K	T					
292. JPMORGAN CHASE FINANCIAL CB-GEARS SPX		None	J	T	Buy	04/25/19	J		
293. CREDIT SUISSE AG (RTY)		None	K	T	Buy	04/25/19	K		
294. BARCLAYS BANK PLC CT-GEARS EEM (08/31/2021)		None	K	T					
295. JPMORGAN CHASE FINANCIAL CB-GEARS INTL BASKET		None	K	T	Buy	08/28/19	K		
296. UBS AG BUFFERED ROS SPY		None			Redeemed	03/22/19	K	D	
297. UBS AG CB-GEARS SX5E		None			Redeemed	07/31/19	K	A	
298. HSBC USA INC CT-GEARS EEM		None			Redeemed	09/30/19	K	C	
299. BROKERAGE ACCOUNT #5 (H)									
300. UBS BANK USA DEP ACCT (cash)	A	Interest	J	T					
301. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
302. ALLERGAN PLC (AGN)	A	Dividend	J	T					

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

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)
303. ALPHABET INC CL A (GOOGL)		None	K	T					
304. AMERICAN TOWER CORP REIT (AMT)	A	Dividend	J	T					
305. APPLE INC (AAPL)	A	Dividend	J	T					
306. BROOKS AUTOMATION INC (BRKS)	A	Dividend	J	T					
307. CHEVRON CORP (CVX)	A	Dividend	J	T					
308. COGNEX CORP (CGNX)	A	Dividend	J	T					
309. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
310. FACEBOOK INC CL A (FB)		None	J	T					
311. INTEL CORP (INTC)	A	Dividend	J	T					
312. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					
313. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T					
314. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T					
315. LULULEMON ATHLETICA INC (LULU)		None	J	T					
316. MEDTRONIC PLC (MDT)	A	Dividend	J	T					
317. MICROCHIP TECHNOLOGY INC (MCHP)	A	Dividend	J	T					
318. MICROSOFT CORP (MSFT)	A	Dividend	K	T					
319. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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)
320. PALO ALTO NETWORKS INC (PANW)		None	J	T					
321. PAYPAL HOLDINGS INC (PYPL)		None	J	T					
322. PEPSICO INC (PEP)	A	Dividend	J	T					
323. PROCTOR & GAMBLE CO (PG)	A	Dividend	J	T					
324. PULTE GROUP INC DE (PHM)	A	Dividend	J	T					
325. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
326. VISA INC CL A (V)	A	Dividend	J	T					
327. WALT DISNEY CO (DIS)	A	Dividend	J	T					
328. 3M CO (MMM)	A	Dividend	J	T					
329. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
330. SPDR S&P AEROSPACE & DEFENSE ETF (XAR)	A	Dividend	J	T					
331. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	K	T					
332. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
333. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend			Sold	10/09/19	J		
334. BROKERAGE ACCOUNT #6 (H)									
335. UBS BANK DEPOSIT ACCOUNT (cash)	A	Interest	J	T					
336. ADOBE SYSTEMS INC (ADBE)		None	K	T	Buy (add'l)	01/09/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

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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.)

☐

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
337. ALPHABET INC CL A (GOOGL)		None	J	T	Buy (add'l)	01/09/19	J		
338. ALPHABET INC CL C (GOOG)		None	J	T					
339. AMAZON.COM INC (AMZN)		None	K	T	Buy (add'l)	01/09/19	J		
340. CONSTELLATION BRANDS INC CL A (STZ)	A	Dividend	J	T	Buy	01/09/19	J		
341.					Buy (add'l)	09/24/19	J		
342. LOREAL CO ADR FRANCE ADR (LRLCY)		None	J	T	Buy (add'l)	01/09/19	J		
343. MICROSOFT CORP (MSFT)	A	Dividend	K	T	Buy (add'l)	01/09/19	J		
344.					Sold (part)	09/24/19	J	A	
345. VISA INC CL A (V)	A	Dividend	K	T	Sold (part)	01/09/19	J	A	
346.					Buy (add'l)	12/30/19	J		
347. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T					
348. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					
349. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
350. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T	Buy (add'l)	12/30/19	J		
351. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	K	T	Buy (add'l)	01/09/19	J		
352.					Buy (add'l)	09/24/19	J		
353. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	K	T					

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

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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

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

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

D =\$5,001 - \$15,000
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)
354. VANGUARD S&P 500 ETF (VOO)	A	Dividend	K	T	Sold (part)	01/09/19	J		
355. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	J	T					
356. HARTFORD SCHRODERS EMERGING MARKETS EQUITY FUND CL I (SEMNX)	A	Dividend	J	T	Buy (add'l)	01/10/19	J		
357. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T	Sold (part)	01/09/19	J		
358. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT)	A	Dividend	K	T	Buy	08/02/19	J		
359.					Buy (add'l)	08/16/19	J		
360.					Buy (add'l)	09/24/19	J		
361.					Sold (part)	12/30/19	J		
362. SCHWAB US TIPS ETF (SCHP)	A	Dividend	J	T	Buy	08/02/19	J		
363. ANGEL OAK FINANCIAL INCOME FUND CLASS I (ANFIX)	A	Dividend	J	T					
364. BNY MELLON GLOBAL FIXED INCOME FUND CLASS I (SDGIX)		None	K	T	Buy (add'l)	01/10/19	J		
365. EATON VANCE SHORT DURATION GOVT (EILDY)	A	Dividend	K	T	Buy (add'l)	01/09/19	J		
366.					Buy (add'l)	09/24/19	J		
367. PGIM TOTAL RETURN BOND CL Z (PDBZX)	B	Dividend	K	T	Sold (part)	01/10/19	J		
368.					Buy (add'l)	09/24/19	J		
369. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PPPNX)	A	Dividend	J	T	Buy (add'l)	01/10/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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370. SPDR GOLD SHARES ETF (GLD)		None	J	T	Sold (part)	01/09/19	J		
371. BANK OF AMERICA CORP (BAC)	A	Dividend			Sold (part)	08/02/19	J		
372.					Sold	09/24/19	J		
373. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)		None			Sold	08/05/19	J	A	
374. VANGUARD DEVELOPED MARKETS INDEX ADMIRAL (VTMGX)		None			Sold	08/02/19	J	A	
375. EV MULTISECTOR INCOME FUND CLASS I (EVBIX)	A	Dividend			Sold	08/16/19	J	A	
376. VANGUARD FTSE ALL WORLD (VEU)		None			Sold	01/09/19	J	A	
377. BROKERAGE ACCOUNT #7 (H)									
378. UBS BANK DEPOSIT ACCT (cash) (Y)									
379. ALIBABA GROUP HLDG LTD (BABA)		None	J	T					
380. AMAZON.COM (AMZN)		None	K	T	Sold (part)	01/28/19	J	B	
381.					Buy (add'l)	10/16/19	J		
382. BIOXCEL THERAPEUTICS INC (BTAI)		None	J	T	Buy	01/28/19	J		
383. BROADCOM LTD (AVGO)	A	Dividend	J	T					
384. CONAGRA BRANDS INC (CAG)	A	Dividend	J	T	Buy	01/28/19	J		
385. CONSTELLATION BRANDS INC (STZ)	A	Dividend	J	T	Buy (add'l)	10/16/19	J		
386. DANAHER CORP (DHR)	A	Dividend	J	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
387. EXPEDIA INC (EXPE)	A	Dividend	J	T					
388. FORTIVE CORP (FTV)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
389. IAC INTERACTIVE CORP (IAC)		None	J	T					
390. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T	Sold (part)	01/28/19	J	A	
391. INTUITIVE SURGICAL INC (ISRG)		None	J	T	Buy (add'l)	01/28/19	J		
392. KLA-TENCOR (KLAC)	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
393. MARATHON PETROLEUM CO (MPC)	A	Dividend	J	T					
394. NVIDIA CORP (NVDA)	A	Dividend	J	T					
395. OLLIE'S BARGAIN OUTLET HOLDI (OLLI)		None	J	T	Buy	10/16/19	J		
396. SERVICE CORP INTL (SCI)	A	Dividend	J	T					
397. SKYWORKS SOLUTIONS INC (SWKS)	A	Dividend	J	T	Buy	01/28/19	J		
398. TAKE-TWO INTERACTIVE SOFTWARE (TTWO)		None	J	T					
399. UNITED TECHNOLOGIES (UTX)	A	Dividend	J	T					
400. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T					
401. ISHARES US AEROSPACE & DEFENSE (ITA)	A	Dividend	J	T	Sold (part)	01/28/19	J	A	
402. VANECK VECTORS SEMICONDUCTOR ETF (SMH)	A	Dividend	J	T					
403. INTERNATIONAL FLAVORS AND FRAGRANCES (IFF)		None			Sold	01/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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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.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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404. LEAR CORP (LEA)	A	Dividend			Sold	10/16/19	J	A	
405. PVH CORP (PVH)		None			Sold	08/05/19	J		
406. TJX COS INC (TJX)		None			Sold	01/28/19	J	B	
407. ROBO GLOBAL ROBOTICS & AUTOMATION INDEX (ROBO)		None			Sold	08/05/19	J	A	
408. VANGUARD TOTAL WORLD STK ETF (VT)		None			Sold	01/28/19	J		
409. EDUCATION ACCOUNT #1 (H)									
410. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 10-12 C		None	M	T	Buy	06/01/19	M		
411. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 7-9 C		None			Sold	06/01/19	M		
412. EDUCATION ACCOUNT #2 (H)									
413. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 16-18 C		None	M	T	Buy	03/01/19	M		
414. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 13-15 C		None			Sold	03/01/19	M		
415. EDUCATION ACCOUNT #3 (H)									
416. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 13-15 C (X)		None	M	T					
417. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 10-12 C (Y)									
418. EDUCATION ACCOUNT #4 (H)									
419. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER (CIB A)	A	Dividend	J	T					
420. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA (GFA A)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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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.)

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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)
421. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND (NPF A)	A	Dividend	J	T					
422. EDUCATION ACCOUNT #5 (H)									
423. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER (CIB A)	A	Dividend	J	T					
424. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA (GFA A)	A	Dividend	J	T					
425. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND (NPF A)	A	Dividend	J	T					
426. EDUCATION ACCOUNT #6 (H)									
427. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER (CIB A)	A	Dividend	J	T					
428. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA (GFA A)	A	Dividend	J	T					
429. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND (NPF A)	A	Dividend	J	T					
430. RETIREMENT SAVINGS PLAN #1 (H)									
431. MASLON CASH BALANCE PENSION PLAN (NO CONTROL)	D	Interest	N	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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FINANCIAL DISCLOSURE REPORT

Page 30 of 31

Name of Person Reporting	Date of Report
Schultz, David T.	07/24/2020

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

Part VII, line 4: The reportable underlying asset is an investment property in Yankton, SD.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

ANGEL OAK FINANCIAL INCOME FUND CLASS I (ANFIX) was ANGEL OAK FLEXIBLE INCOME FUND CLASS I (ANFIX).

TRUIST FINL CORP (TFC) was SUNTRUST BANKS INC (STI).

BNY MELLON GLOBAL FIXED INCOME FUND - CLASS I (SDGIX) was DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIC).

PGIM TOTAL RETURN BOND CL Z (PDBZX) was PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX).

FINANCIAL DISCLOSURE REPORT

Page 31 of 31

Name of Person Reporting

Schultz, David T.

Date of Report

07/24/2020

IX. CERTIFICATION.

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

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

Signature: s/ **David T. Schultz**

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

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