UBS Financial Services Inc.
805 S.W. Broadway
Suite 2600
Portland OR 97205-3365

CNQ7003947921 0919 X14 LL 0

Summary of your UBS Portfolio

September 2019

GORGE COMMUNITY FOUNDATION
P.O. BOX 1711
HOOD RIVER OR 97031-0711

UBS Financial Services Inc.
805 S.W. Broadway
Suite 2600
Portland OR 97205-3365

CNQ7003947923 0919 X14 LL 0

Summary of your UBS Portfolio

September 2019

GORGE COMMUNITY FOUNDATION
P.O. BOX 1711
HOOD RIVER OR 97031-0711

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Phone: 503-221-5800/800-245-0900

Visit our website:
www.ubs.com/financialservices

Items for your attention

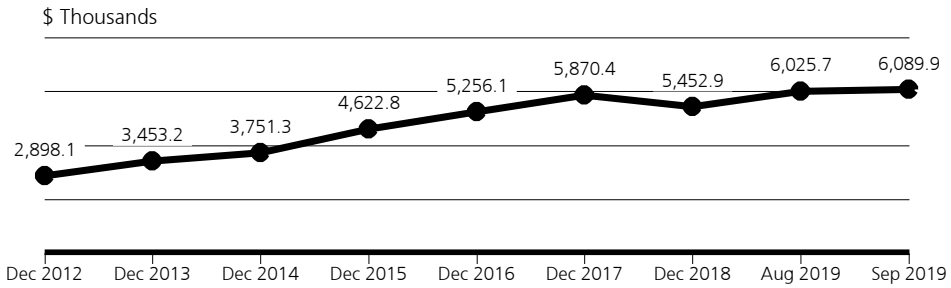
- Help protect yourself from fraud and review bank, credit card, and brokerage statements regularly. Also, get your free credit report annually from www.annualcreditreport.com.

Value of your portfolio

	on August 30 ($)	on September 30 ($)
Your assets	6,025,710.71	6,089,864.68
Your liabilities	0.00	0.00
Value of your portfolio	**$6,025,710.71**	**$6,089,864.68**
Accrued interest in value above	$6,402.01	$4,539.10

As a service to you, your portfolio value of $6,089,864.68 includes accrued interest.

Tracking the value of your portfolio



Sources of your portfolio growth during 2019

Value of your portfolio at year end 2018	$5,452,856.71
Net deposits and withdrawals	-$114,128.81
Your investment return:	
Dividend and interest income	$111,568.84
Change in value of accrued interest	-$1,938.35
Change in market value	$641,506.29
Value of your portfolio on Sep 30, 2019	**$6,089,864.68**

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Telephone 503-221-5800/800-245-0900

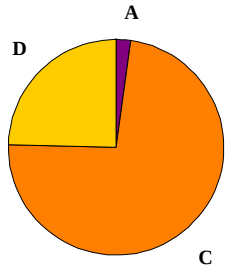
Your portfolio balance sheet

Summary of your assets

		Value on September 30 ($)	Percentage of your portfolio
A	Cash and money balances	133,948.73	2.20%
B	Cash alternatives	0.00	0.00%
C	Equities	4,458,980.34	73.22%
D	Fixed income	1,496,935.61	24.58%
E	Non-traditional	0.00	0.00%
F	Commodities	0.00	0.00%
G	Other	0.00	0.00%
Total assets		**$6,089,864.68**	**100.00%**

Value of your portfolio **$6,089,864.68**

Your current asset allocation



- *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

	Percentage change	
Index	September 2019	Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

Interest rates on September 30, 2019

3-month Treasury bills: 1.84%

One-month LIBOR: 2.02%

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Telephone 503-221-5800/800-245-0900

Accounts in your portfolio

Details on page	Account number	Account name and type	Value on August 30 ($)	Value on September 30 ($)	Percentage of portfolio
**	LL 51161 96	GORGE COMMUNITY FOUNDATION - Basic	38,127.99	38,133.27	0.63%
**	LL 59755 97	GORGE COMMUNITY FOUNDATION - Managed	5,974,474.87	6,038,461.43	99.15%
**	LL 66635 96	GORGE COMMUNITY FOUNDATION - BSA	13,107.85	13,269.98	0.22%
	Total		**$6,025,710.71**	**$6,089,864.68**	**100 %**

** indicates the statement for this account has been suppressed from printing.

Change in the value of your accounts

Account	Opening value on September 1 ($)	Deposits, including securities transferred in ($)	Withdrawals and fees, including securities transferred out ($)	Dividend and interest income ($)	Change in value of accrued interest ($)	Change in market value ($)	Closing value on September 30 ($)
LL 51161 96 GORGE COMMUNITY FOUNDATION - Basic	38,127.99	0.00	0.00	5.28	0.00	0.00	38,133.27
LL 59755 97 GORGE COMMUNITY FOUNDATION - Managed	5,974,474.87	0.00	0.00	22,357.90	-1,862.91	43,491.57	6,038,461.43
LL 66635 96 GORGE COMMUNITY FOUNDATION - BSA	13,107.85	0.00	0.00	44.43	0.00	117.70	13,269.98
Total	**$6,025,710.71**	**$0.00**	**$0.00**	**$22,407.61**	**-$1,862.91**	**$43,609.27**	**$6,089,864.68**

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Telephone 503-221-5800/800-245-0900

Dividend and interest income earned by account

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	Year to date					
Taxable accounts	Taxable dividends/ Capital gains ($)	Tax-exempt dividends ($)	Taxable interest ($)	Tax-exempt interest ($)	Total ($)	Estimated Annual Income($)
LL 51161 96 GORGE COMMUNITY FOUNDATION - Basic	0.00	0.00	97.34	0.00	97.34	
LL 59755 97 GORGE COMMUNITY FOUNDATION - Managed	92,206.53	0.00	18,983.23	0.00	111,189.76	149,260
LL 66635 96 GORGE COMMUNITY FOUNDATION - BSA	163.20	0.00	2.13	0.00	165.33	228
Total taxable accounts	**$92,369.73**	**$0.00**	**$19,082.70**	**$0.00**	**$111,452.43**	**$149,488**

Summary of gains and losses by account

Values reported below exclude products for which gains and losses are not classified and products with a trade date of the prior year.

Realized gains and losses

Unrealized gains and losses

	September 2019		Year to date			
Taxable accounts	Short term ($)	Long term ($)	Short term ($)	Long term ($)	Short term ($)	Long term ($)
LL 59755 97 GORGE COMMUNITY FOUNDATION - Managed	0.00	0.00	-17,681.14	-34,307.78	3,913.85	1,418,251.50

continued next page

Summary of gains and losses by account (continued)

Realized gains and losses

Unrealized gains and losses

	September 2019		Year to date			
Taxable accounts (continued)	Short term ($)	Long term ($)	Short term ($)	Long term ($)	Short term ($)	Long term ($)
LL 66635 96						
GORGE COMMUNITY FOUNDATION - BSA	0.00	0.00	0.00	0.00	0.00	2,712.82
Total taxable accounts	**$0.00**	**$0.00**	**-$17,681.14**	**-$34,307.78**	**$3,913.85**	**$1,420,964.32**

UBS

Your notes

UBS Financial Services Inc.
805 S.W. Broadway
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CNQ7003947929 0919 X14 LL 0

Investment Account

September 2019

GORGE COMMUNITY FOUNDATION
P.O. BOX 1711
HOOD RIVER OR 97031-0711

Account name: GORGE COMMUNITY FOUNDATION

Account number: LL 51161 96

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Phone: 503-221-5800/800-245-0900

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www.ubs.com/financialservices

Items for your attention

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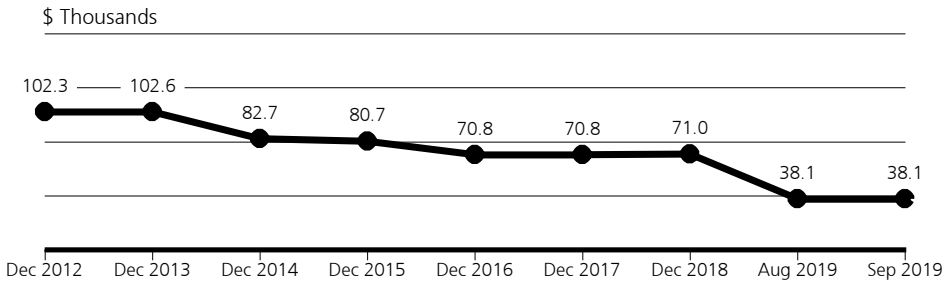
Value of your account

	on August 30 ($)	on September 30 ($)
Your assets	38,127.99	38,133.27
Your liabilities	0.00	0.00
Value of your account	**$38,127.99**	**$38,133.27**

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	$71,017.73
Net deposits and withdrawals	-$33,000.00
Your investment return:	
Dividend and interest income	$115.54
Change in market value	$0.00
Value of your account on Sep 30, 2019	**$38,133.27**

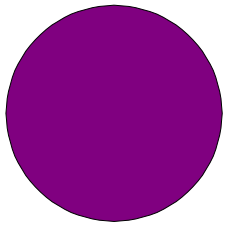
Your account balance sheet

Summary of your assets

		Value on September 30 ($)	Percentage of your account
A	Cash and money balances	38,133.27	100.00%
B	Cash alternatives	0.00	0.00%
C	Equities	0.00	0.00%
D	Fixed income	0.00	0.00%
E	Non-traditional	0.00	0.00%
F	Commodities	0.00	0.00%
G	Other	0.00	0.00%
Total assets		**$38,133.27**	**100.00%**

Value of your account **$38,133.27**

Your current asset allocation



▸ *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change September 2019	Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

Interest rates on September 30, 2019

3-month Treasury bills: 1.84%

One-month LIBOR: 2.02%

Account name: GORGE COMMUNITY FOUNDATION
Account number: LL 51161 96

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
503-221-5800/800-245-0900

Change in the value of your account

	September 2019 ($)	Year to date ($)
Opening account value	**$38,127.99**	**$71,017.73**
Withdrawals and fees, including investments transferred out	0.00	-33,000.00
Dividend and interest income	5.28	115.54
Closing account value	**$38,133.27**	**$38,133.27**

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	September 2019 ($)	Year to date ($)
Taxable interest	5.28	97.34
Total current year	**$5.28**	**$97.34**
Prior year adjustment	0.00	18.20
Total dividend & interest	**$5.28**	**$115.54**

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2019 ($)	Year to date ($)
Opening balances	**$38,127.99**	**$71,017.73**
Additions		
Dividend and interest income	5.28	115.54
Total additions	**$5.28**	**$115.54**
Subtractions		
Other funds debited	0.00	-33,000.00
Total subtractions	**$0.00**	**-$33,000.00**
Net cash flow	**$5.28**	**-$32,884.46**
Closing balances	**$38,133.27**	**$38,133.27**

UBS Bank USA Business Account APY

Interest period Aug 7 - Sep 8	
Opening UBS Bank USA Business balance Aug 7	$38,127.99
Closing UBS Bank USA Business balance Sep 8	$38,133.27
Number of days in interest period	33
Average daily balance	$38,127.99
Interest earned	$5.28
Annual percentage yield earned	0.15%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:
Current income
Your risk profile:
Primary - Conservative
Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *Important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC.

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	38,127.99	38,133.27					250,000.00

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**38,133.27**	**100.00%**	**38,133.27**		
Total		**$38,133.27**	**100.00%**	**$38,133.27**		

Account activity this month

	Date	Activity	Description	Amount ($)
Dividend and interest income				
Taxable interest	Sep 9	Interest	UBS BANK USA BUSINESS ACCOUNT AS OF 09/06/19	5.28
	Total taxable interest			**$5.28**
	Total dividend and interest income			**$5.28**

Account activity this month (continued)

	Date	Activity	Description	Amount ($)
Money balance activities	**Aug 30**	**Balance forward**		**$38,127.99**
	Sep 9	Deposit	UBS BANK USA BUSINESS ACCOUNT AS OF 09/06/19	5.28
	Sep 30	**Closing UBS Bank USA Business Account**		**$38,133.27**

UBS Financial Services Inc.
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Portfolio Management Program

September 2019

GORGE COMMUNITY FOUNDATION
(AVG)
P.O. BOX 1711
HOOD RIVER OR 97031-0711

Account name: GORGE COMMUNITY FOUNDATION (AVG)

Account number: LL 59755 97

Your Financial Advisor:
MT HOOD INVESTMENT GROUP - PMP
Phone: 503-221-5800/800-245-0900

Questions about your statement?
Call your Financial Advisor or the ResourceLine at 800-762-1000, account 342059755.

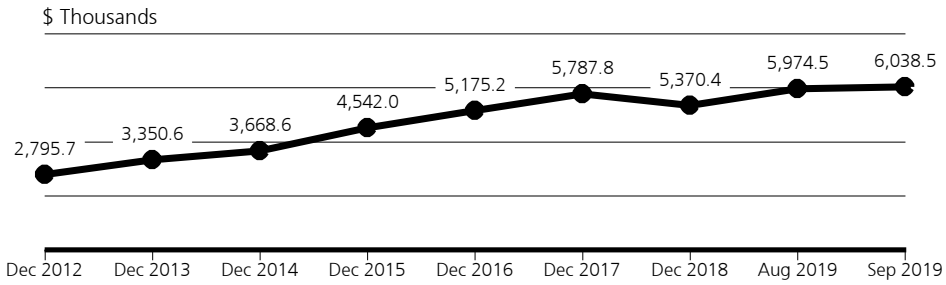
Visit our website:
www.ubs.com/financialservices

Value of your account

	on August 30 ($)	on September 30 ($)
Your assets	5,974,474.87	6,038,461.43
Your liabilities	0.00	0.00
Value of your account	**$5,974,474.87**	**$6,038,461.43**
Accrued interest in value above	$6,402.01	$4,539.10

As a service to you, your portfolio value of $6,038,461.43 includes accrued interest.

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	$5,370,412.12
Net deposits and withdrawals	-$81,128.81
Your investment return:	
Dividend and interest income	$111,287.76
Change in value of accrued interest	-$1,938.35
Change in market value	$639,828.71
Value of your account on Sep 30, 2019	**$6,038,461.43**

Your account balance sheet

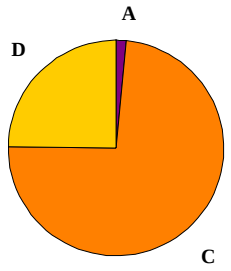
The value of your account includes assets held at UBS and certain assets held away from UBS. See page 1 for more information.

Summary of your assets

		Value on September 30 ($)	Percentage of your account
A	Cash and money balances	94,989.06	1.57%
B	Cash alternatives	0.00	0.00%
C	Equities	4,449,220.26	73.68%
D	Fixed income	1,494,252.11	24.75%
E	Non-traditional	0.00	0.00%
F	Commodities	0.00	0.00%
G	Other	0.00	0.00%
Total assets		**$6,038,461.43**	**100.00%**

Value of your account **$6,038,461.43**

Your current asset allocation



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Eye on the markets

Index	Percentage change September 2019	Percentage change Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

Interest rates on September 30, 2019

3-month Treasury bills: 1.84%

One-month LIBOR: 2.02%

Change in the value of your account

	September 2019 ($)	Year to date ($)
Opening account value	**$5,974,474.87**	**$5,370,412.12**
Withdrawals and fees, including investments transferred out	0.00	-81,128.81
Dividend and interest income	22,357.90	111,287.76
Change in value of accrued interest	-1,862.91	-1,938.35
Change in market value	43,491.57	639,828.71
Closing account value	**$6,038,461.43**	**$6,038,461.43**

Dividend and interest income earned

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	September 2019 ($)	Year to date ($)
Taxable dividends	15,828.70	92,206.53
Taxable interest	6,529.20	23,330.81
Taxable accrued interest paid	0.00	-4,347.58
Total current year	**$22,357.90**	**$111,189.76**
Prior year adjustment	0.00	98.00
Total dividend & interest	**$22,357.90**	**$111,287.76**

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized
	September 2019 ($)	Year to date ($)	gains and losses ($)
Short term	0.00	-17,681.14	3,913.85
Long term	0.00	-34,307.78	1,418,251.50
Total	**$0.00**	**-$51,988.92**	**$1,422,165.35**

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2019 ($)	Year to date ($)
Opening balances	**$124,472.60**	**$282,294.08**
Additions		
Dividend and interest income	22,357.90	111,287.76
Proceeds from investment transactions	0.00	542,537.69
Total additions	**$22,357.90**	**$653,825.45**
Subtractions		
Professional management fees and related services	0.00	-30,234.12
Other funds debited	0.00	-50,894.69
Funds withdrawn for investments bought	-51,841.44	-760,001.66
Total subtractions	**-$51,841.44**	**-$841,130.47**
Net cash flow	**-$29,483.54**	**-$187,305.02**
Closing balances	**$94,989.06**	**$94,989.06**

Withholdings and tax summary

	September 2019 ($)	Year to date ($)
Foreign taxes paid	0.00	-894.69

UBS Bank USA Business Account APY

Interest period Aug 7 - Sep 8

Opening UBS Bank USA Business balance Aug 7	$117,794.26
Closing UBS Bank USA Business balance Sep 8	$127,734.04
Number of days in interest period	33
Average daily balance	$123,174.69
Interest earned	$16.69
Annual percentage yield earned	0.15%

Your investment objectives:

You have identified the following investment objectives for this account. Contact your Financial Advisor if you have any questions, if your financial situation, individual needs, risk tolerance or investment objectives for your advisory account(s) have changed, or if you would like to impose or change investment restrictions on your discretionary advisory accounts. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:
Current income & capital appreciation
Your risk profile:
Primary - Moderate
Investment eligibility consideration - None selected

Your account instructions

- Your account is managed by your Financial Advisor under the Portfolio Management Program.
- Your account cost basis default closing method is FIFO, First In, First Out.

Your assets

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Cash

Cash and money balances

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Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	124,472.60	94,989.06					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Apr 3, 12	146.000	22.560	3,293.77	37.560	5,483.76	2,189.99	LT
	May 30, 12	1,443.000	16.386	23,645.04	37.560	54,199.08	30,554.04	LT
	Sep 19, 12	172.000	21.606	3,716.32	37.560	6,460.32	2,744.00	LT
	Jan 4, 16	538.000	29.753	16,007.33	37.560	20,207.28	4,199.95	LT
Security total		2,299.000	20.297	46,662.46		86,350.44	39,687.98	
ALPHABET INC CL A								
Symbol: GOOGL Exchange: OTC	Jul 6, 11	73.000	269.140	19,647.27	1,221.140	89,143.22	69,495.95	LT
	Sep 19, 12	5.000	362.954	1,814.77	1,221.140	6,105.70	4,290.93	LT
	Jan 4, 16	11.000	756.499	8,321.49	1,221.140	13,432.54	5,111.05	LT
Security total		89.000	334.646	29,783.53		108,681.46	78,897.93	
ALPHABET INC CL C								
Symbol: GOOG Exchange: OTC	Jul 6, 11	72.986	267.577	19,529.48	1,219.000	88,970.30	69,440.82	LT
	Sep 19, 12	5.014	360.847	1,809.18	1,219.000	6,111.70	4,302.52	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jan 4, 16	11.000	736.775	8,104.53	1,219.000	13,409.00	5,304.47	LT
Security total		89.000	330.822	29,443.19		108,491.00	79,047.81	
APPLE INC								
Symbol: AAPL Exchange: OTC								
EAI: $2,809 Current yield: 1.38%	Apr 1, 10	182.000	33.856	6,161.83	223.970	40,762.54	34,600.71	LT
	Mar 21, 11	238.000	48.208	11,473.64	223.970	53,304.86	41,831.22	LT
	Apr 27, 11	182.000	50.128	9,123.37	223.970	40,762.54	31,639.17	LT
	Sep 19, 12	49.000	100.304	4,914.91	223.970	10,974.53	6,059.62	LT
	May 7, 14	49.000	84.312	4,131.33	223.970	10,974.53	6,843.20	LT
	Jan 4, 16	212.000	103.716	21,987.81	223.970	47,481.64	25,493.83	LT
Security total		912.000	63.369	57,792.89		204,260.64	146,467.75	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: $2,257 Current yield: 2.96%	Nov 1, 18	171.000	414.111	70,813.15	445.640	76,204.44	5,391.29	ST
BOEING COMPANY								
Symbol: BA Exchange: NYSE								
EAI: $617 Current yield: 2.16%	Sep 28, 98	75.000	35.488	2,661.66	380.470	28,535.25	25,873.59	LT
CISCO SYSTEMS INC								
Symbol: CSCO Exchange: OTC								
EAI: $3,128 Current yield: 2.83%	Mar 24, 08	686.000	25.860	17,739.96	49.410	33,895.26	16,155.30	LT
	Mar 4, 09	68.000	15.331	1,042.55	49.410	3,359.88	2,317.33	LT
	Sep 10, 09	51.000	22.899	1,167.88	49.410	2,519.91	1,352.03	LT
	Feb 1, 10	83.000	22.676	1,882.19	49.410	4,101.03	2,218.84	LT
	Oct 4, 11	394.000	15.139	5,965.03	49.410	19,467.54	13,502.51	LT
	Sep 19, 12	195.000	19.136	3,731.58	49.410	9,634.95	5,903.37	LT
	Jan 4, 16	384.000	25.986	9,978.70	49.410	18,973.44	8,994.74	LT
	Aug 23, 16	373.000	30.995	11,561.14	49.410	18,429.93	6,868.79	LT
Security total		2,234.000	23.755	53,069.03		110,381.94	57,312.91	
COGNIZANT TECH SOLUTIONS CRP								
Symbol: CTSH Exchange: OTC								
EAI: $1,090 Current yield: 1.33%	Jul 23, 14	670.000	50.897	34,101.45	60.265	40,377.55	6,276.10	LT
	Jan 4, 16	172.000	57.975	9,971.70	60.265	10,365.58	393.88	LT
	Aug 8, 16	313.000	58.366	18,268.71	60.265	18,862.94	594.23	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 23, 16	208.000	58.278	12,122.03	60.265	12,535.12	413.09	LT
Security total		1,363.000	54.632	74,463.89		82,141.19	7,677.30	
CVS HEALTH CORP								
Symbol: CVS Exchange: NYSE								
EAI: $3,228 Current yield: 3.17%	Nov 7, 08	170.000	30.421	5,171.71	63.070	10,721.90	5,550.19	LT
	Mar 4, 09	55.000	25.390	1,396.45	63.070	3,468.85	2,072.40	LT
	Sep 10, 09	43.000	36.560	1,572.08	63.070	2,712.01	1,139.93	LT
	Feb 1, 10	76.000	32.860	2,497.36	63.070	4,793.32	2,295.96	LT
	Feb 17, 10	106.000	33.936	3,597.32	63.070	6,685.42	3,088.10	LT
	Sep 19, 12	105.000	47.446	4,981.91	63.070	6,622.35	1,640.44	LT
	Jan 4, 16	167.000	95.995	16,031.22	63.070	10,532.69	-5,498.53	LT
	Jul 26, 18	892.000	66.480	59,300.50	63.070	56,258.44	-3,042.06	LT
Security total		1,614.000	58.580	94,548.55		101,794.98	7,246.43	
DEERE AND CO								
Symbol: DE Exchange: NYSE								
EAI: $1,073 Current yield: 1.80%	May 30, 12	148.000	76.000	11,248.00	168.680	24,964.64	13,716.64	LT
	Sep 19, 12	46.000	81.916	3,768.17	168.680	7,759.28	3,991.11	LT
	Jan 4, 16	159.000	74.935	11,914.67	168.680	26,820.12	14,905.45	LT
Security total		353.000	76.291	26,930.84		59,544.04	32,613.20	
EATON CORP PLC								
Symbol: ETN Exchange: NYSE								
EAI: $2,616 Current yield: 3.42%	Mar 17, 16	565.000	56.496	31,920.51	83.150	46,979.75	15,059.24	LT
	Aug 8, 16	195.000	60.276	11,753.90	83.150	16,214.25	4,460.35	LT
	May 18, 17	161.000	72.420	11,659.62	83.150	13,387.15	1,727.53	LT
Security total		921.000	60.080	55,334.03		76,581.15	21,247.12	
FACEBOOK INC CL A								
Symbol: FB Exchange: OTC	Mar 27, 14	167.000	59.835	9,992.57	178.080	29,739.36	19,746.79	LT
	May 7, 14	168.000	56.756	9,535.06	178.080	29,917.44	20,382.38	LT
	Jan 4, 16	59.000	101.529	5,990.26	178.080	10,506.72	4,516.46	LT
Security total		394.000	64.766	25,517.89		70,163.52	44,645.63	

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FEDEX CORP								
Symbol: FDX Exchange: NYSE								
EAI: $1,136 Current yield: 1.79%	Mar 24, 08	2.000	91.110	182.22	145.570	291.14	108.92	LT
	Jul 8, 08	125.000	76.278	9,534.87	145.570	18,196.25	8,661.38	LT
	Mar 4, 09	33.000	41.960	1,384.68	145.570	4,803.81	3,419.13	LT
	Sep 10, 09	21.000	72.280	1,517.88	145.570	3,056.97	1,539.09	LT
	Feb 1, 10	31.000	80.390	2,492.09	145.570	4,512.67	2,020.58	LT
	Oct 7, 11	123.000	71.429	8,785.81	145.570	17,905.11	9,119.30	LT
	Jan 4, 16	97.000	144.749	14,040.74	145.570	14,120.29	79.55	LT
	Mar 23, 16	5.000	163.068	815.34	145.570	727.85	-87.49	LT
Security total		437.000	88.681	38,753.63		63,614.09	24,860.46	
GENTHERM INC								
Symbol: THRM Exchange: OTC	Dec 16, 14	624.000	34.093	21,274.55	41.085	25,637.04	4,362.49	LT
	Mar 18, 15	298.000	46.719	13,922.47	41.085	12,243.33	-1,679.14	LT
	Jan 4, 16	263.000	45.534	11,975.63	41.085	10,805.36	-1,170.27	LT
	Feb 12, 16	375.000	37.934	14,225.40	41.085	15,406.88	1,181.48	LT
Security total		1,560.000	39.358	61,398.05		64,092.60	2,694.56	
INTEL CORP								
Symbol: INTC Exchange: OTC								
EAI: $1,065 Current yield: 2.45%	Feb 1, 10	71.000	19.587	1,390.71	51.530	3,658.63	2,267.92	LT
	Mar 21, 11	537.000	20.319	10,911.41	51.530	27,671.61	16,760.20	LT
	Jan 4, 16	237.000	33.610	7,965.57	51.530	12,212.61	4,247.04	LT
Security total		845.000	23.985	20,267.69		43,542.85	23,275.16	
JOHNSON CTLS INTL PLC								
Symbol: JCI Exchange: NYSE								
EAI: $1,154 Current yield: 2.37%	Sep 6, 16	493.899	47.842	23,629.57	43.890	21,677.21	-1,952.36	LT
	Sep 6, 16	149.101	47.842	7,133.44	43.890	6,544.06	-589.38	LT
	May 18, 17	467.000	41.609	19,431.67	43.890	20,496.63	1,064.96	LT
Security total		1,110.000	45.220	50,194.68		48,717.90	-1,476.78	
JPMORGAN CHASE & CO								
Symbol: JPM Exchange: NYSE								
EAI: $2,347 Current yield: 3.06%	Mar 27, 18	652.000	110.079	71,772.08	117.690	76,733.88	4,961.80	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
LINCOLN NATL CORP IND								
Symbol: LNC Exchange: NYSE								
EAI: $2,744 Current yield: 2.45%	Nov 3, 11	828.000	19.557	16,193.90	60.320	49,944.96	33,751.06	LT
	Sep 19, 12	98.000	25.231	2,472.66	60.320	5,911.36	3,438.70	LT
	Jan 4, 16	248.000	48.272	11,971.56	60.320	14,959.36	2,987.80	LT
	Feb 12, 16	680.000	32.336	21,988.96	60.320	41,017.60	19,028.64	LT
Security total		1,854.000	28.386	52,627.08		111,833.28	59,206.20	
LOWES COMPANIES INC								
Symbol: LOW Exchange: NYSE								
EAI: $2,812 Current yield: 2.00%	Mar 24, 08	459.000	24.200	11,107.80	109.960	50,471.64	39,363.84	LT
	Mar 4, 09	74.000	14.171	1,048.71	109.960	8,137.04	7,088.33	LT
	Sep 10, 09	54.000	21.886	1,181.88	109.960	5,937.84	4,755.96	LT
	Feb 1, 10	85.000	21.897	1,861.29	109.960	9,346.60	7,485.31	LT
	Mar 21, 11	267.000	26.179	6,989.85	109.960	29,359.32	22,369.47	LT
	Sep 19, 12	126.000	29.626	3,732.94	109.960	13,854.96	10,122.02	LT
	Jan 4, 16	213.000	74.846	15,942.24	109.960	23,421.48	7,479.24	LT
Security total		1,278.000	32.758	41,864.71		140,528.88	98,664.17	
MCKESSON CORP								
Symbol: MCK Exchange: NYSE								
EAI: $751 Current yield: 1.20%	Sep 20, 16	350.000	164.983	57,744.13	136.660	47,831.00	-9,913.13	LT
	Nov 1, 16	108.000	128.982	13,930.07	136.660	14,759.28	829.21	LT
Security total		458.000	156.494	71,674.20		62,590.28	-9,083.92	
METLIFE INC								
Symbol: MET Exchange: NYSE								
EAI: $2,952 Current yield: 3.73%	Mar 4, 09	101.000	12.377	1,250.08	47.160	4,763.16	3,513.08	LT
	Sep 10, 09	41.000	34.288	1,405.83	47.160	1,933.56	527.73	LT
	Feb 1, 10	69.000	32.035	2,210.43	47.160	3,254.04	1,043.61	LT
	Dec 14, 10	97.000	39.495	3,831.08	47.160	4,574.52	743.44	LT
	Sep 19, 12	141.000	31.620	4,458.51	47.160	6,649.56	2,191.05	LT
	Dec 2, 14	215.000	49.322	10,604.39	47.160	10,139.40	-464.99	LT
	Jan 4, 16	257.000	41.806	10,744.23	47.160	12,120.12	1,375.89	LT
	Jan 14, 16	756.000	39.198	29,633.71	47.160	35,652.96	6,019.25	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		1,677.000	38.246	64,138.26		79,087.32	14,949.06	
MICROSOFT CORP								
Symbol: MSFT Exchange: OTC								
EAI: $1,336 Current yield: 1.47%	Oct 4, 11	96.000	24.727	2,373.86	139.030	13,346.88	10,973.02	LT
	Sep 19, 12	160.000	31.156	4,984.96	139.030	22,244.80	17,259.84	LT
	Mar 24, 14	251.000	40.499	10,165.47	139.030	34,896.53	24,731.06	LT
	Jan 4, 16	148.000	53.830	7,966.84	139.030	20,576.44	12,609.60	LT
Security total		655.000	38.918	25,491.13		91,064.65	65,573.52	
NETAPP INC								
Symbol: NTAP Exchange: OTC								
EAI: $1,686 Current yield: 3.66%	Sep 12, 19	878.000	56.399	49,518.94	52.510	46,103.78	-3,415.16	ST
NUTRIEN LTD CAD								
Symbol: NTR Exchange: NYSE								
EAI: $2,677 Current yield: 3.61%								
CAD Exchange rate: 1.32400	Jul 23, 14	956.260	41.209	39,406.71	49.880	47,698.25	8,291.54	LT
	Dec 2, 14	225.230	43.253	9,742.01	49.880	11,234.47	1,492.46	LT
	Jan 4, 16	305.510	39.093	11,943.56	49.880	15,238.84	3,295.28	LT
Security total		1,487.000	41.084	61,092.28		74,171.56	13,079.28	
PFIZER INC								
Symbol: PFE Exchange: NYSE								
EAI: $2,202 Current yield: 4.01%	Apr 5, 18	1,529.000	35.683	54,560.33	35.930	54,936.97	376.64	LT
POLARIS INC								
Symbol: PII Exchange: NYSE								
EAI: $1,420 Current yield: 2.77%	Nov 18, 15	263.000	105.139	27,651.80	88.010	23,146.63	-4,505.17	LT
	Jan 4, 16	94.000	84.919	7,982.39	88.010	8,272.94	290.55	LT
	Feb 12, 16	117.000	77.801	9,102.72	88.010	10,297.17	1,194.45	LT
	Sep 7, 16	108.000	83.896	9,060.81	88.010	9,505.08	444.27	LT
Security total		582.000	92.436	53,797.72		51,221.82	-2,575.90	
QUALCOMM INC								
Symbol: QCOM Exchange: OTC								
EAI: $2,388 Current yield: 3.25%	Apr 18, 13	96.000	61.148	5,870.29	76.280	7,322.88	1,452.59	LT
	Aug 15, 13	152.000	64.514	9,806.22	76.280	11,594.56	1,788.34	LT
	Dec 11, 13	121.000	71.244	8,620.61	76.280	9,229.88	609.27	LT
	Feb 4, 14	269.000	70.268	18,902.24	76.280	20,519.32	1,617.08	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jan 4, 16	325.000	46.744	15,192.05	76.280	24,791.00	9,598.95	LT
Security total		963.000	60.635	58,391.41		73,457.64	15,066.23	
SCHLUMBERGER LTD NETHERLANDS ANTILLES								
Symbol: SLB Exchange: NYSE								
EAI: $4,410 Current yield: 5.85%	Jan 4, 16	103.000	68.091	7,013.38	34.170	3,519.51	-3,493.87	LT
	Oct 3, 17	992.000	69.321	68,767.29	34.170	33,896.64	-34,870.65	LT
	Mar 2, 18	1,110.000	64.933	72,076.61	34.170	37,928.70	-34,147.91	LT
Security total		2,205.000	67.055	147,857.28		75,344.85	-72,512.43	
SKYWORKS SOLUTIONS INC								
Symbol: SWKS Exchange: OTC								
EAI: $1,156 Current yield: 2.22%	Jan 22, 15	18.000	77.137	1,388.47	79.250	1,426.50	38.03	LT
	Mar 18, 15	114.000	96.099	10,955.38	79.250	9,034.50	-1,920.88	LT
	Jan 4, 16	155.000	77.392	11,995.84	79.250	12,283.75	287.91	LT
	Aug 8, 16	159.000	65.822	10,465.84	79.250	12,600.75	2,134.91	LT
	Aug 23, 16	211.000	73.685	15,547.54	79.250	16,721.75	1,174.21	LT
Security total		657.000	76.641	50,353.07		52,067.25	1,714.18	
STARBUCKS CORP								
Symbol: SBUX Exchange: OTC								
EAI: $2,929 Current yield: 1.63%	Mar 24, 08	1,256.000	8.955	11,247.48	88.420	111,055.52	99,808.04	LT
	Mar 4, 09	238.000	4.403	1,048.13	88.420	21,043.96	19,995.83	LT
	Sep 10, 09	118.000	9.988	1,178.63	88.420	10,433.56	9,254.93	LT
	Feb 1, 10	112.000	11.096	1,242.86	88.420	9,903.04	8,660.18	LT
	Jan 4, 16	310.000	58.245	18,055.98	88.420	27,410.20	9,354.22	LT
Security total		2,034.000	16.113	32,773.08		179,846.28	147,073.20	
STERIS PLC								
Symbol: STE Exchange: NYSE								
EAI: $1,557 Current yield: 1.02%	Nov 3, 15	727.000	74.360	54,059.72	144.490	105,044.23	50,984.51	LT
	Nov 3, 15	325.000	74.360	24,167.00	144.490	46,959.25	22,792.25	LT
Security total		1,052.000	74.360	78,226.72		152,003.48	73,776.76	

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
TAIWAN SEMICONDUCTOR MFG CO LTD ADR								
Symbol: TSM Exchange: NYSE								
EAI: $2,436 Current yield: 3.42%	Dec 2, 14	213.000	22.579	4,809.53	46.480	9,900.24	5,090.71	LT
	Jan 4, 16	544.000	22.019	11,978.83	46.480	25,285.12	13,306.29	LT
	Feb 12, 16	777.000	22.029	17,117.23	46.480	36,114.96	18,997.73	LT
Security total		1,534.000	22.103	33,905.59		71,300.32	37,394.73	
TRACTOR SUPPLY COMPANY								
Symbol: TSCO Exchange: OTC								
EAI: $1,548 Current yield: 1.55%	Mar 24, 08	402.000	10.478	4,212.25	90.440	36,356.88	32,144.63	LT
	Mar 4, 09	116.000	7.482	867.97	90.440	10,491.04	9,623.07	LT
	Sep 10, 09	84.000	11.650	978.60	90.440	7,596.96	6,618.36	LT
	Feb 1, 10	168.000	13.011	2,185.85	90.440	15,193.92	13,008.07	LT
	Sep 19, 12	90.000	48.575	4,371.75	90.440	8,139.60	3,767.85	LT
	Jan 4, 16	144.000	82.879	11,934.71	90.440	13,023.36	1,088.65	LT
	Jun 15, 17	102.000	55.725	5,683.95	90.440	9,224.88	3,540.93	LT
Security total		1,106.000	27.337	30,235.08		100,026.64	69,791.56	
UNION PACIFIC CORP								
Symbol: UNP Exchange: NYSE								
EAI: $2,909 Current yield: 2.18%	Dec 13, 12	361.000	62.354	22,510.06	161.980	58,474.78	35,964.72	LT
	Apr 2, 13	256.000	71.029	18,183.67	161.980	41,466.88	23,283.21	LT
	Jan 4, 16	207.000	77.121	15,964.11	161.980	33,529.86	17,565.75	LT
Security total		824.000	68.760	56,657.84		133,471.52	76,813.68	
UNIVERSAL ELECTRONICS INC								
Symbol: UEIC Exchange: OTC	Dec 3, 15	249.000	51.461	12,814.02	50.900	12,674.10	-139.92	LT
	Aug 8, 16	245.000	76.206	18,670.56	50.900	12,470.50	-6,200.06	LT
Security total		494.000	63.734	31,484.58		25,144.60	-6,339.98	
W P CAREY INC REIT								
Symbol: WPC Exchange: NYSE								
EAI: $9,618 Current yield: 4.63%	Jan 23, 13	266.000	52.998	14,097.60	89.500	23,807.00	9,709.40	LT
	Dec 11, 13	136.000	59.159	8,045.74	89.500	12,172.00	4,126.26	LT
	Mar 24, 14	145.000	59.913	8,687.49	89.500	12,977.50	4,290.01	LT
	Dec 2, 14	521.000	67.122	34,970.97	89.500	46,629.50	11,658.53	LT

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Mar 18, 15	559.000	68.271	38,163.89	89.500	50,030.50	11,866.61	LT
	Jan 4, 16	340.000	57.782	19,645.93	89.500	30,430.00	10,784.07	LT
	Feb 12, 16	354.000	52.101	18,443.93	89.500	31,683.00	13,239.07	LT
Security total		2,321.000	61.204	142,055.55		207,729.50	65,673.95	
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol: DIS Exchange: NYSE								
EAI: $1,128 Current yield: 1.35%	May 10, 16	508.000	106.480	54,091.84	130.320	66,202.56	12,110.72	LT
	Aug 23, 16	133.000	95.845	12,747.39	130.320	17,332.56	4,585.17	LT
Security total		641.000	104.273	66,839.23		83,535.12	16,695.89	
ZIMMER BIOMET HOLDINGS INC								
Symbol: ZBH Exchange: NYSE								
EAI: $408 Current yield: 0.70%	Jun 26, 14	405.000	105.199	42,605.73	137.270	55,594.35	12,988.62	LT
	Nov 14, 17	20.000	112.244	2,244.88	137.270	2,745.40	500.52	LT
Security total		425.000	105.531	44,850.61		58,339.75	13,489.14	
Total				**$2,057,801.93**		**$3,333,636.86**	**$1,275,834.94**	

Total estimated annual income: $71,587

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ADAM NAT RES FD INC									
Symbol: PEO									
Trade date: Mar 24, 08	844.000	35.345	29,831.84	29,831.84	15.830	13,360.52	-16,471.32		LT
Trade date: Mar 4, 09	164.000	16.760	2,748.64	2,748.64	15.830	2,596.12	-152.52		LT
Trade date: Sep 10, 09	104.000	22.370	2,326.48	2,326.48	15.830	1,646.32	-680.16		LT

continued next page

Your assets › **Equities** › **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: Feb 1, 10	163.000	22.625	3,687.96	3,687.96	15.830	2,580.29	-1,107.67		LT
Trade date: Sep 19, 12	283.000	26.158	7,402.83	7,402.83	15.830	4,479.89	-2,922.94		LT
Trade date: Dec 2, 14	562.000	24.222	13,613.05	13,613.05	15.830	8,896.46	-4,716.59		LT
Trade date: Jan 4, 16	1,146.000	17.090	19,585.37	19,585.37	15.830	18,141.18	-1,444.19		LT
Total reinvested	782.000	21.148		16,538.14	15.830	12,379.06	-4,159.08		
EAI: $1,903 Current yield: 2.97%									
Security total	4,048.000	23.650	79,196.17	95,734.31		64,079.84	-31,654.47	-15,116.33	
ELLSWORTH GROWTH & INCOME FUND LTD									
Symbol: ECF									
Trade date: Apr 5, 10	309.000	6.909	2,135.04	2,135.04	10.490	3,241.41	1,106.37		LT
Trade date: Sep 19, 12	680.000	7.329	4,984.06	4,984.06	10.490	7,133.20	2,149.14		LT
Trade date: Feb 4, 14	8,618.000	8.137	70,131.64	70,131.64	10.490	90,402.82	20,271.18		LT
Total reinvested	3,188.000	8.068		25,723.64	10.490	33,442.12	7,718.48		
EAI: $6,142 Current yield: 4.58%									
Security total	12,795.000	8.048	77,250.74	102,974.38		134,219.55	31,245.17	56,968.81	
ISHARES RUSSELL 2000 VALUE ETF									
Symbol: IWN									
Trade date: Jan 4, 16	223.000	89.959	20,061.06	20,061.06	119.410	26,628.43	6,567.37	6,567.37	LT
EAI: $508 Current yield: 1.91%									
ISHARES NASDAQ BIOTECHNOLOGY ETF									
Symbol: IBB									
Trade date: Oct 4, 11	18.000	29.626	533.28	533.28	99.500	1,791.00	1,257.72		LT
Trade date: Sep 19, 12	51.000	47.956	2,445.79	2,445.79	99.500	5,074.50	2,628.71		LT
Trade date: Apr 2, 13	420.000	54.107	22,725.00	22,725.00	99.500	41,790.00	19,065.00		LT
Trade date: Jan 4, 16	147.000	109.273	16,063.18	16,063.18	99.500	14,626.50	-1,436.68		LT
Trade date: Feb 6, 19	308.000	110.122	33,917.73	33,917.73	99.500	30,646.00	-3,271.73		ST
EAI: $143 Current yield: 0.15%									
Security total	944.000	80.175	75,684.98	75,684.98		93,928.00	18,243.02	18,243.02	
ROYCE MICRO-CAP TRUST INC									

continued next page

Your assets ▸ **Equities** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Symbol: RMT									
Trade date: Sep 7, 10	833.000	7.632	6,357.73	6,357.73	8.040	6,697.32	339.59		LT
Trade date: Jan 18, 11	1,200.000	9.985	11,982.54	11,982.54	8.040	9,648.00	-2,334.54		LT
Trade date: Oct 4, 11	560.000	7.179	4,020.35	4,020.35	8.040	4,502.40	482.05		LT
Trade date: Sep 19, 12	264.000	9.386	2,478.04	2,478.04	8.040	2,122.56	-355.48		LT
Trade date: Aug 19, 13	830.000	11.372	9,439.51	9,439.51	8.040	6,673.20	-2,766.31		LT
Trade date: Jan 4, 16	1,698.000	7.059	11,987.71	11,987.71	8.040	13,651.92	1,664.21		LT
Total reinvested	4,962.000	9.324		46,268.96	8.040	39,894.48	-6,374.48		
EAI: $7,553 Current yield: 9.08%									
Security total	10,347.000	8.943	46,265.88	92,534.84		83,189.88	-9,344.96	36,924.00	
ROYCE VALUE TRUST INC									
Symbol: RVT									
Trade date: Jan 4, 16	699.000	11.433	7,991.95	7,991.95	13.760	9,618.24	1,626.29		LT
Trade date: Aug 23, 16	1,065.000	12.868	13,704.42	13,704.42	13.760	14,654.40	949.98		LT
Total reinvested	560.000	14.067		7,877.62	13.760	7,705.60	-172.02		
EAI: $2,812 Current yield: 8.79%									
Security total	2,324.000	12.725	21,696.37	29,573.99		31,978.24	2,404.25	10,281.87	
SPDR S&P BANK ETF									
Symbol: KBE									
Trade date: Jul 21, 15	790.000	36.559	28,882.35	28,882.35	43.160	34,096.40	5,214.05		LT
Trade date: Feb 12, 16	807.000	27.209	21,958.39	21,958.39	43.160	34,830.12	12,871.73		LT
Trade date: Aug 8, 16	395.000	32.706	12,919.11	12,919.11	43.160	17,048.20	4,129.09		LT
EAI: $2,054 Current yield: 2.39%									
Security total	1,992.000	32.008	63,759.85	63,759.85		85,974.72	22,214.87	22,214.87	
VANGUARD SMALL CAP GROWTH ETF									
Symbol: VBK									
Trade date: Mar 24, 08	182.000	63.699	11,593.38	11,593.38	182.040	33,131.28	21,537.90		LT
Trade date: Mar 4, 09	53.000	33.639	1,782.87	1,782.87	182.040	9,648.12	7,865.25		LT
Trade date: Sep 10, 09	35.000	56.206	1,967.23	1,967.23	182.040	6,371.40	4,404.17		LT
Trade date: Feb 1, 10	53.000	58.440	3,097.37	3,097.37	182.040	9,648.12	6,550.75		LT
Trade date: Sep 19, 12	69.000	90.554	6,248.23	6,248.23	182.040	12,560.76	6,312.53		LT

continued next page

Your assets › **Equities** › **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: Jan 4, 16	169.000	118.714	20,062.82	20,062.82	182.040	30,764.76	10,701.94		LT
EAI: $629 Current yield: 0.62%									
Security total	561.000	79.772	44,751.90	44,751.90		102,124.44	57,372.54	57,372.54	
VANGUARD FTSE EMERGING MARKETS									
ETF									
Symbol: VWO									
Trade date: Nov 11, 08	295.000	23.419	6,908.63	6,908.63	40.260	11,876.70	4,968.07		LT
Trade date: Feb 18, 09	107.000	21.170	2,265.19	2,265.19	40.260	4,307.82	2,042.63		LT
Trade date: Mar 4, 09	72.000	20.527	1,478.00	1,478.00	40.260	2,898.72	1,420.72		LT
Trade date: Jul 28, 09	107.000	34.787	3,722.28	3,722.28	40.260	4,307.82	585.54		LT
Trade date: Sep 10, 09	42.000	37.406	1,571.08	1,571.08	40.260	1,690.92	119.84		LT
Trade date: Feb 1, 10	64.000	39.160	2,506.24	2,506.24	40.260	2,576.64	70.40		LT
Trade date: Feb 17, 10	160.000	39.340	6,294.40	6,294.40	40.260	6,441.60	147.20		LT
Trade date: Sep 19, 12	116.000	42.837	4,969.18	4,969.18	40.260	4,670.16	-299.02		LT
Trade date: Aug 19, 13	431.000	38.669	16,666.66	16,666.66	40.260	17,352.06	685.40		LT
Trade date: Sep 5, 13	108.000	39.129	4,226.00	4,226.00	40.260	4,348.08	122.08		LT
Trade date: Dec 2, 14	266.000	41.395	11,011.15	11,011.15	40.260	10,709.16	-301.99		LT
Trade date: Jan 4, 16	631.000	31.685	19,993.49	19,993.49	40.260	25,404.06	5,410.57		LT
EAI: $2,732 Current yield: 2.83%									
Security total	2,399.000	34.019	81,612.30	81,612.30		96,583.74	14,971.44	14,971.44	
VANGUARD FTSE ALL WORLD EX-US									
SMALL-CAP ETF									
Symbol: VSS									
Trade date: Aug 3, 11	232.000	97.958	22,726.31	22,726.31	101.950	23,652.40	926.09		LT
Trade date: Sep 19, 12	42.000	89.250	3,748.50	3,748.50	101.950	4,281.90	533.40		LT
Trade date: Apr 2, 13	121.000	93.942	11,367.04	11,367.04	101.950	12,335.95	968.91		LT
Trade date: Aug 19, 13	167.000	95.811	16,000.54	16,000.54	101.950	17,025.65	1,025.11		LT
Trade date: Sep 6, 13	51.000	96.060	4,899.06	4,899.06	101.950	5,199.45	300.39		LT
Trade date: Dec 2, 14	130.000	98.395	12,791.40	12,791.40	101.950	13,253.50	462.10		LT
Trade date: Mar 18, 15	132.000	97.980	12,933.36	12,933.36	101.950	13,457.40	524.04		LT
Trade date: Jan 4, 16	263.000	91.164	23,976.37	23,976.37	101.950	26,812.85	2,836.48		LT
EAI: $3,411 Current yield: 2.94%									

continued next page

Your assets ▸ **Equities** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	1,138.000	95.292	108,442.58	108,442.58		116,019.10	7,576.52	7,576.52	
VANGUARD FTSE DEVELOPED MKT ETF									
Symbol: VEA									
Trade date: Mar 8, 17	2,933.000	38.275	112,261.27	112,261.27	41.080	120,487.64	8,226.37	8,226.37	LT
EAI: $3,766 Current yield: 3.13%									
WISDOMTREE EUROPE SMALLCAP DIVID FUND ETF									
Symbol: DFE									
Trade date: Feb 18, 14	569.000	61.235	34,842.72	34,842.72	55.910	31,812.79	-3,029.93		LT
Trade date: Dec 2, 14	235.000	52.315	12,294.17	12,294.17	55.910	13,138.85	844.68		LT
Trade date: Mar 18, 15	239.000	54.850	13,109.15	13,109.15	55.910	13,362.49	253.34		LT
Trade date: Jan 4, 16	289.000	55.291	15,979.19	15,979.19	55.910	16,157.99	178.80		LT
EAI: $2,922 Current yield: 3.92%									
Security total	1,332.000	57.226	76,225.23	76,225.23		74,472.12	-1,753.11	-1,753.11	
WISDOMTREE EMERGING MARKETS SMALLCAP DIVID FUND ETF									
Symbol: DGS									
Trade date: Nov 1, 11	369.000	42.820	15,800.58	15,800.58	44.300	16,346.70	546.12		LT
Trade date: Sep 19, 12	79.000	47.300	3,736.70	3,736.70	44.300	3,499.70	-237.00		LT
Trade date: Dec 21, 12	716.000	47.937	34,322.98	34,322.98	44.300	31,718.80	-2,604.18		LT
Trade date: Aug 19, 13	188.000	45.528	8,559.41	8,559.41	44.300	8,328.40	-231.01		LT
Trade date: Jan 4, 16	587.000	34.105	20,019.64	20,019.64	44.300	26,004.10	5,984.46		LT
EAI: $3,515 Current yield: 4.09%									
Security total	1,939.000	42.516	82,439.31	82,439.31		85,897.70	3,458.39	3,458.39	
Total			**$889,647.64**	**$986,056.00**		**$1,115,583.40**	**$129,527.40**	**$225,935.76**	

Total estimated annual income: $38,090

Your assets (continued)

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID). Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method. If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request UBS adjust cost basis for the bond premium amortization.

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
NORDSTROM INC NTS B/E +15BP RATE 04.750% MATURES 05/01/20 ACCRUED INTEREST $982.98 CUSIP 655664AN0 Moody: Baa1 S&P: BBB+ EAI: $2,375 Current yield: 4.68% Original cost basis: $52,212.50	Dec 12, 17	50,000.000	101.108	50,554.02	101.398	50,699.00	144.98	LT
PRECISION CASTPARTS CORP CALL@MW+15BP RATE 02.250% MATURES 06/15/20 ACCRUED INTEREST $328.12 CUSIP 740189AL9 Moody: A2 S&P: AA- EAI: $1,125 Current yield: 2.25% Original cost basis: $50,046.50	Jul 10, 19	50,000.000	100.070	50,035.31	100.161	50,080.50	45.19	ST
UNITEDHEALTH GROUP INC CALL@MW+15BP RATE 02.700% MATURES 07/15/20 ACCRUED INTEREST $281.25 CUSIP 91324PCM2 Moody: A3 S&P: A+ EAI: $1,350 Current yield: 2.68% Original cost basis: $50,234.50	Jul 10, 19	50,000.000	100.365	50,182.75	100.560	50,280.00	97.25	ST

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
GENL ELECT CAP CORP SUB B/E RATE 05.300% MATURES 02/11/21 ACCRUED INTEREST $324.62 CUSIP 369622SM8 Moody: Baa2 S&P: BBB EAI: $2,385 Current yield: 5.13% Original cost basis: $48,616.65	Dec 12, 17	45,000.000	103.536	46,591.58	103.321	46,494.45	-97.13	LT
AT&T INC NTS B/E CALL@MW+30BP RATE 04.600% MATURES 02/15/21 CALLABLE ACCRUED INTEREST $172.50 CUSIP 00206RCZ3 Moody: Baa2 S&P: BBB EAI: $1,380 Current yield: 4.48% Original cost basis: $31,690.80	Dec 20, 16	30,000.000	101.942	30,582.67	102.708	30,812.40	229.73	LT
CVS HEALTH CORP NTS B/E CALL@MW+15BP RATE 03.350% MATURES 03/09/21 CALLABLE ACCRUED INTEREST $97.71 CUSIP 126650DC1 Moody: Baa2 S&P: BBB EAI: $1,675 Current yield: 3.30% Original cost basis: $50,504.50	Mar 28, 19	50,000.000	100.750	50,375.28	101.599	50,799.50	424.22	ST
CAMPBELL SOUP CO NTS 5BP RATE 03.300% MATURES 03/15/21 ACCRUED INTEREST $68.75 CUSIP 134429BD0 Moody: Baa2 S&P: BBB- EAI: $1,650 Current yield: 3.25% Original cost basis: $50,372.50	Mar 28, 19	50,000.000	100.556	50,278.01	101.443	50,721.50	443.49	ST

continued next page

Your assets ▸ **Fixed income** ▸ **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
CITIGROUP INC NTS CALL@MW+20BP RATE 02.900% MATURES 12/08/21 CALLABLE ACCRUED INTEREST $451.11 CUSIP 172967LC3 Moody: A3 S&P: BBB+ EAI: $1,450 Current yield: 2.86% Original cost basis: $50,093.50	Mar 28, 19	50,000.000	100.152	50,076.35	101.475	50,737.50	661.15	ST
INTERPUB GROUP OF COS INC NTS B/E RATE 04.000% MATURES 03/15/22 ACCRUED INTEREST $83.33 CUSIP 460690BH2 Moody: Baa2 S&P: BBB EAI: $2,000 Current yield: 3.87% Original cost basis: $51,277.00	Mar 28, 19	50,000.000	102.131	51,065.93	103.328	51,664.00	598.07	ST
GOLDMAN SACHS GROUP INC 0BP RATE 03.000% MATURES 04/26/22 CALLABLE ACCRUED INTEREST $962.49 CUSIP 38141GWC4 Moody: A3 S&P: BBB+ EAI: $2,250 Current yield: 2.97% Original cost basis: $75,030.00	Mar 28, 19	75,000.000	100.033	75,025.22	101.087	75,815.25	790.03	ST
Total		**$500,000.000**		**$504,767.12**		**$508,104.10**	**$3,336.98**	

Total accrued interest: $3,752.86

Total estimated annual income: $17,640

Your assets ▸ **Fixed income** (continued)

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES TIPS BOND ETF									
Symbol: TIP									
Trade date: Feb 8, 10	21.000	104.870	2,202.27	2,202.27	116.290	2,442.09	239.82		LT
Trade date: Mar 3, 10	175.000	103.910	18,184.25	18,184.25	116.290	20,350.75	2,166.50		LT
Trade date: Jan 18, 11	270.000	107.946	29,145.64	29,145.64	116.290	31,398.30	2,252.66		LT
Trade date: Jan 19, 11	165.000	107.938	17,809.90	17,809.90	116.290	19,187.85	1,377.95		LT
Trade date: Sep 20, 12	229.000	121.804	27,893.18	27,893.18	116.290	26,630.41	-1,262.77		LT
EAI: $1,847 Current yield: 1.85%									
Security total	860.000	110.739	95,235.24	95,235.24		100,009.40	4,774.16	4,774.16	
ISHARES SHORT-TERM CORPORATE BOND ETF									
Symbol: IGSB									
Trade date: May 24, 12	876.000	52.286	45,803.19	45,803.19	53.670	47,014.92	1,211.73		LT
Trade date: Sep 20, 12	712.000	52.863	37,638.81	37,638.81	53.670	38,213.04	574.23		LT
Trade date: Oct 24, 12	872.000	52.930	46,155.20	46,155.20	53.670	46,800.24	645.04		LT
Trade date: Dec 11, 13	622.000	52.708	32,784.56	32,784.56	53.670	33,382.74	598.18		LT
Trade date: Aug 27, 14	502.000	52.708	26,459.74	26,459.74	53.670	26,942.34	482.60		LT
Trade date: Jul 21, 15	452.000	52.539	23,747.99	23,747.99	53.670	24,258.84	510.85		LT
EAI: $6,615 Current yield: 3.05%									
Security total	4,036.000	52.673	212,589.49	212,589.49		216,612.12	4,022.63	4,022.63	
ISHARES FLOATING RATE BOND ETF									
Symbol: FLOT									
Trade date: Dec 11, 13	1,282.000	50.669	64,958.81	64,958.81	50.970	65,343.54	384.73		LT
Trade date: Mar 24, 14	703.000	50.695	35,639.08	35,639.08	50.970	35,831.91	192.83		LT

continued next page

Your assets ▸ **Fixed income** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: May 7, 14	215.000	50.730	10,906.95	10,906.95	50.970	10,958.55	51.60		LT
Trade date: Aug 27, 14	457.000	50.790	23,211.03	23,211.03	50.970	23,293.29	82.26		LT
Trade date: Dec 2, 14	231.000	50.676	11,706.30	11,706.30	50.970	11,774.07	67.77		LT
Trade date: Feb 5, 15	233.000	50.626	11,795.97	11,795.97	50.970	11,876.01	80.04		LT
Trade date: Jul 21, 15	686.000	50.639	34,738.97	34,738.97	50.970	34,965.42	226.45		LT
Trade date: Mar 3, 17	685.000	50.828	34,817.25	34,817.25	50.970	34,914.45	97.20		LT
EAI: $6,594 Current yield: 2.88%									
Security total	4,492.000	50.707	227,774.36	227,774.36		228,957.24	1,182.88	1,182.88	
Total			**$535,599.09**	**$535,599.09**		**$545,578.76**	**$9,979.67**	**$9,979.67**	

Total estimated annual income: $15,056

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID). Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method. If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization.

Holding	Trade date	Quantity	Purchase price ($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
FANNIE MAE BOND RATE 1.6250% MATURES 01/21/20 ACCRUED INTEREST $233.59 CUSIP 3135G0A78 EAI: $609 Current yield: 1.63%	Jul 10, 19	75,000.000	99.770	74,827.57	99.913	74,934.75	107.18	ST
U S TREASURY NOTE RATE 1.6250% MATURES 03/15/20 ACCRUED INTEREST $117.18 CUSIP 912828W63 EAI: $1,422 Current yield: 1.63%	Mar 01, 19	175,000.000	99.062	173,359.38	99.887	174,802.25	1,442.87	ST
U S TREASURY NOTE RATE 2.6250% MATURES 08/31/20 ACCRUED INTEREST $435.47 CUSIP 9128284Y3 EAI: $4,856 Current yield: 2.61%	Sep 19, 18	185,000.000	99.652	184,356.84	100.699	186,293.15	1,936.31	LT
Total		**435,000.000**		**$432,543.79**		**$436,030.15**	**$3,486.36**	

Total accrued interest: $786.24

Total estimated annual income: $6,887

Your assets (continued)

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**94,989.06**	**1.57%**	**94,989.06**		
Equities	Common stock	3,333,636.86		2,057,801.93	71,587.00	1,275,834.94
	Closed end funds & Exchange traded products	1,115,583.40		986,056.00	38,090.00	129,527.40
	Total equities	**4,449,220.26**	**73.68%**	**3,043,857.93**	**109,677.00**	**1,405,362.34**
Fixed income	Corporate bonds and notes	508,104.10		504,767.12	17,640.00	3,336.98
	Closed end funds & Exchange traded products	545,578.76		535,599.09	15,056.00	9,979.67
	Government securities	436,030.15		432,543.79	6,887.00	3,486.36
	Total accrued interest	4,539.10				
	Total fixed income	**1,494,252.11**	**24.75%**	**1,472,910.00**	**39,583.00**	**16,803.01**
Total		**$6,038,461.43**	**100.00%**	**$4,611,756.99**	**$149,260.00**	**$1,422,165.35**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Aug 30		**Cash and money balance**					**$124,472.60**
Sep 3	Interest	US TSY NOTE 02.625 % DUE 08/31/20 DTD 08/31/18 FC 02/28/19 PAID ON 185000 AS OF 08/31/19 CUSIP: 9128284Y3				2,428.13	
Sep 3	Dividend	INTEL CORP PAID ON 845 AS OF 09/01/19 SYMBOL: INTC				266.18	
Sep 3	Dividend	PFIZER INC PAID ON 1529 SYMBOL: PFE				550.44	127,717.35
Sep 6	Dividend	BOEING COMPANY PAID ON 75 SYMBOL: BA				154.13	127,871.48
Sep 9	Dividend	ISHARES TIPS BOND ETF PAID ON 860 SYMBOL: TIP				51.15	

continued next page

Account activity this month (continued)

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Sep 9	Dividend	ISHARES SHORT-TERM CORPORATE BOND ETF PAID ON 4036 SYMBOL: IGSB				541.24	
Sep 9	Dividend	ISHARES FLOATING RATE BOND ETF PAID ON 4492 SYMBOL: FLOT				564.78	
Sep 9	Interest	UBS BANK USA BUSINESS ACCOUNT AS OF 09/06/19				16.69	
Sep 9	Interest	CVS HEALTH CORP NTS B/E 03.350% 030921 DTD030918 FC090918 CALL@MW+15BP PAID ON 50000 CUSIP: 126650DC1				837.50	129,882.84
Sep 10	Dividend	TRACTOR SUPPLY COMPANY PAID ON 1106 SYMBOL: TSCO				387.10	130,269.94
Sep 12	Dividend	MICROSOFT CORP PAID ON 655 SYMBOL: MSFT				301.30	130,571.24
Sep 13	Dividend	METLIFE INC PAID ON 1677 SYMBOL: MET				737.88	131,309.12
Sep 16	Bought	NETAPP INC SYMBOL: NTAP		878.000	56.399700	-49,518.94	
Sep 16	Interest	CAMPBELL SOUP CO NTS 03.300% 031521 DTD031618 CALL@MW+15BP PAID ON 50000 AS OF 09/15/19 CUSIP: 134429BD0				825.00	
Sep 16	Interest	INTERPUB GROUP OF COS 04.000% 031522 DTD030212 FC091512 INC NTS B/E PAID ON 50000 AS OF 09/15/19 CUSIP: 460690BH2				1,000.00	
Sep 16	Dividend	POLARIS INC PAID ON 582 SYMBOL: PII				355.02	83,970.20
Sep 17	Interest	US TSY NOTE 01.625 % DUE 03/15/20 DTD 03/15/17 FC 09/15/17 AS OF 09/15/19 CUSIP: 912828W63				1,421.88	
Sep 17	Dividend	SKYWORKS SOLUTIONS INC PAID ON 657 SYMBOL: SWKS				289.08	85,681.16

continued next page

Account activity this month (continued)

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Sep 19	Dividend	VANGUARD SMALL CAP GROWTH ETF PAID ON 561 SYMBOL: VBK				118.43	85,799.59
Sep 23	Dividend	ELLSWORTH GROWTH & INCOME FUND LTD PAID ON 12795 SYMBOL: ECF				1,535.40	87,334.99
Sep 24	Dividend	BLACKROCK INC PAID ON 171 SYMBOL: BLK				564.30	87,899.29
Sep 25	Dividend	SPDR S&P BANK ETF PAID ON 1992 SYMBOL: KBE				527.64	88,426.93
Sep 26	Dividend	QUALCOMM INC PAID ON 963 SYMBOL: QCOM				597.06	
Sep 26	Dividend	ROYCE MICRO-CAP TRUST INC PAID ON 10138 SYMBOL: RMT				1,723.46	
Sep 26	Reinvestment	ROYCE MICRO-CAP TRUST INC OPTIONAL DIVIDEND @ $ 8.230 PER SHARE SYMBOL: RMT		209.000		-1,720.07	
Sep 26	Dividend	ROYCE VALUE TRUST INC PAID ON 2281 SYMBOL: RVT				615.87	
Sep 26	Reinvestment	ROYCE VALUE TRUST INC OPTIONAL DIVIDEND @ $ 14.010 PER SHARE SYMBOL: RVT		43.000		-602.43	
Sep 26	Foreign Dividend	STERIS PLC PAID ON 1052 SYMBOL: STE				389.24	89,430.06
Sep 27	Dividend	ISHARES RUSSELL 2000 VALUE ETF PAID ON 223 SYMBOL: IWN				127.57	
Sep 27	Dividend	ISHARES NASDAQ BIOTECHNOLOGY ETF PAID ON 944 SYMBOL: IBB				67.46	
Sep 27	Dividend	VANGUARD FTSE EMERGING MARKETS ETF PAID ON 2399 SYMBOL: VWO				1,244.12	

continued next page

Account activity this month (continued)

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Sep 27	Dividend	VANGUARD FTSE ALL WORLD EX-US SMALL-CAP ETF PAID ON 1138 SYMBOL: VSS				638.99	
Sep 27	Dividend	VANGUARD FTSE DEVELOPED MKT ETF PAID ON 2933 SYMBOL: VEA				807.75	
Sep 27	Dividend	WISDOMTREE EUROPE SMALLCAP DIVID FUND ETF PAID ON 1332 SYMBOL: DFE				419.58	
Sep 27	Dividend	WISDOMTREE EMERGING MARKETS SMALLCAP DIVID FUND ETF PAID ON 1939 SYMBOL: DGS				1,454.25	
Sep 27	Dividend	UNION PACIFIC CORP PAID ON 824 SYMBOL: UNP				799.28	94,989.06
Sep 30		**Closing cash and money balance**					**$94,989.06**
		Funds used for investment transactions					**-$51,841.44**

	Date	Activity	Description	Amount ($)
Money balance activities	**Aug 30**	**Balance forward**		**$124,472.60**
	Sep 4	Deposit	UBS BANK USA BUSINESS ACCOUNT	3,244.75
	Sep 9	Deposit	UBS BANK USA BUSINESS ACCOUNT AS OF 09/06/19	16.69
	Sep 9	Deposit	UBS BANK USA BUSINESS ACCOUNT	154.13
	Sep 10	Deposit	UBS BANK USA BUSINESS ACCOUNT	1,994.67
	Sep 11	Deposit	UBS BANK USA BUSINESS ACCOUNT	387.10
	Sep 13	Deposit	UBS BANK USA BUSINESS ACCOUNT	301.30
	Sep 16	Withdrawal	UBS BANK USA BUSINESS ACCOUNT	-48,781.06
	Sep 17	Deposit	UBS BANK USA BUSINESS ACCOUNT	2,180.02
	Sep 18	Deposit	UBS BANK USA BUSINESS ACCOUNT	1,710.96
	Sep 20	Deposit	UBS BANK USA BUSINESS ACCOUNT	118.43
	Sep 24	Deposit	UBS BANK USA BUSINESS ACCOUNT	1,535.40
	Sep 25	Deposit	UBS BANK USA BUSINESS ACCOUNT	564.30
	Sep 26	Deposit	UBS BANK USA BUSINESS ACCOUNT	527.64
	Sep 27	Deposit	UBS BANK USA BUSINESS ACCOUNT	1,003.13

continued next page

Account activity this month (continued)

	Date	Activity	Description	Amount ($)
Money balance activities (continued)	Sep 30	Deposit	UBS BANK USA BUSINESS ACCOUNT	5,559.00
	Sep 30	**Closing UBS Bank USA Business Account**		**$94,989.06**

The UBS Bank USA Business Account is your primary sweep option.

Unsettled transaction activity

The following transaction(s) are pending settlement.

Trade date	Settlement date	Activity	Description	Quantity	Price / Value ($)	Amount ($)
Sep 30, 19	Oct 02, 19	Sold	MCKESSON CORP	-458.000	136.832600	62,668.03
Total pending investments sold						**$62,668.03**

UBS

Your notes

UBS Financial Services Inc.
805 S.W. Broadway
Suite 2600
Portland OR 97205-3365

CNQ7003947963 0919 X14 LL 0

Business Services Account

September 2019

GORGE COMMUNITY FOUNDATION
P.O. BOX 1711
HOOD RIVER OR 97031-0711

Account name: GORGE COMMUNITY FOUNDATION

Account number: LL 66635 96

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
Phone: 503-221-5800/800-245-0900

Questions about your statement?
Call your Financial Advisor or the ResourceLine at 800-762-1000, account 342066635.

Visit our website:
www.ubs.com/financialservices

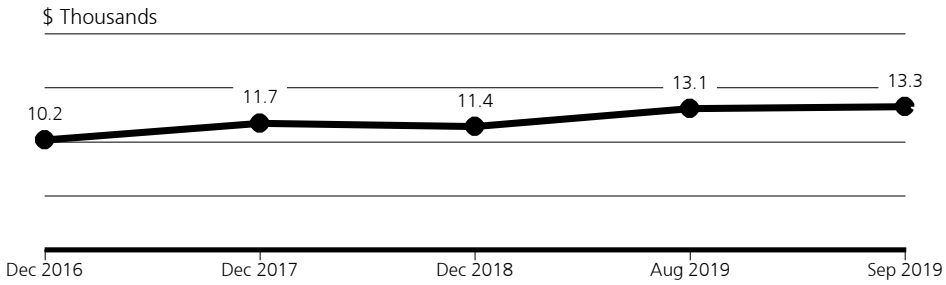
Items for your attention

- Help protect yourself from fraud and review bank, credit card, and brokerage statements regularly. Also, get your free credit report annually from www.annualcreditreport.com.

Value of your account

	on August 30 ($)	on September 30 ($)
Your assets	13,107.85	13,269.98
Your liabilities	0.00	0.00
Value of your account	**$13,107.85**	**$13,269.98**

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	$11,426.86
Your investment return:	
Dividend and interest income	$165.54
Change in market value	$1,677.58
Value of your account on Sep 30, 2019	**$13,269.98**

Account name: GORGE COMMUNITY FOUNDATION
Account number: LL 66635 96

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
503-221-5800/800-245-0900

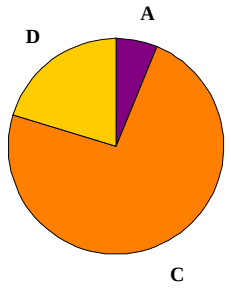
Your account balance sheet

Summary of your assets

		Value on September 30 ($)	Percentage of your account
A	Cash and money balances	826.40	6.23%
B	Cash alternatives	0.00	0.00%
C	Equities	9,760.08	73.55%
D	Fixed income	2,683.50	20.22%
E	Non-traditional	0.00	0.00%
F	Commodities	0.00	0.00%
G	Other	0.00	0.00%
Total assets		**$13,269.98**	**100.00%**

Value of your account **$13,269.98**

Your current asset allocation



- *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

	Percentage change	
Index	September 2019	Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

Interest rates on September 30, 2019

3-month Treasury bills: 1.84%

One-month LIBOR: 2.02%

Account name: GORGE COMMUNITY FOUNDATION
Account number: LL 66635 96

Your Financial Advisor:
MT HOOD INVESTMENT GROUP
503-221-5800/800-245-0900

Change in the value of your account

	September 2019 ($)	Year to date ($)
Opening account value	**$13,107.85**	**$11,426.86**
Dividend and interest income	44.43	165.54
Change in market value	117.70	1,677.58
Closing account value	**$13,269.98**	**$13,269.98**

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	September 2019 ($)	Year to date ($)
Taxable dividends	44.43	163.20
Taxable interest	0.00	2.13
Total current year	**$44.43**	**$165.33**
Prior year adjustment	0.00	0.21
Total dividend & interest	**$44.43**	**$165.54**

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized
	September 2019 ($)	Year to date ($)	gains and losses ($)
Long term	0.00	0.00	2,712.82

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2019 ($)	Year to date ($)
Opening balances	**$781.97**	**$660.86**
Additions		
Dividend and interest income	44.43	165.54
Total additions	**$44.43**	**$165.54**
Net cash flow	**$44.43**	**$165.54**
Closing balances	**$826.40**	**$826.40**

UBS Bank USA Business Account APY

Interest period Aug 7 - Sep 8

Opening UBS Bank USA Business balance Aug 7	$775.26
Closing UBS Bank USA Business balance Sep 8	$781.97
Number of days in interest period	33
Average daily balance	$781.77
Interest earned	$0.00
Annual percentage yield earned	0.00%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:
Current income & capital appreciation
Your risk profile:
Primary - Moderate
Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *Important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC.

Holding	Opening balance on Sep 1 ($)	Closing balance on Sep 30 ($)	Price per share on Sep 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	781.97	826.40					250,000.00

Equities

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES MSCI KLD 400 SOCIAL									
ETF									
Symbol: DSI									
Trade date: Oct 12, 16	88.000	80.435	7,078.28	7,078.28	110.910	9,760.08	2,681.80	2,681.80	LT
EAI: $146 Current yield: 1.50%									

Your assets (continued)

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES SHORT-TERM CORPORATE									
BOND ETF									
Symbol: IGSB									
Trade date: Nov 3, 16	50.000	53.049	2,652.48	2,652.48	53.670	2,683.50	31.02	31.02	LT
EAI: $82 Current yield: 3.06%									

Your total assets

		Value on Sep 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**826.40**	**6.23%**	**826.40**		
Equities	**Closed end funds & Exchange traded products**	**9,760.08**	**73.55%**	**7,078.28**	**146.00**	**2,681.80**
Fixed income	**Closed end funds & Exchange traded products**	**2,683.50**	**20.22%**	**2,652.48**	**82.00**	**31.02**
Total		**$13,269.98**	**100.00%**	**$10,557.16**	**$228.00**	**$2,712.82**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Aug 30		**Cash and money balance**					**$781.97**
Sep 9	Dividend	ISHARES SHORT-TERM CORPORATE BOND ETF PAID ON 50 SYMBOL: IGSB				6.71	788.68

continued next page

Account activity this month (continued)

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Sep 27	Dividend	ISHARES MSCI KLD 400 SOCIAL ETF PAID ON 88 SYMBOL: DSI				37.72	826.40
Sep 30		**Closing cash and money balance**					**$826.40**

	Date	Activity	Description	Amount ($)
Money balance activities	**Aug 30**	**Balance forward**		**$781.97**
	Sep 10	Deposit	UBS BANK USA BUSINESS ACCOUNT	6.71
	Sep 30	Deposit	UBS BANK USA BUSINESS ACCOUNT	37.72
	Sep 30	**Closing UBS Bank USA Business Account**		**$826.40**

The UBS Bank USA Business Account is your primary sweep option.

UBS

Your notes

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

UBS Financial Services Inc.
1200 Harbor Boulevard
Weehawken, NJ 07086

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.
- As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- For TTY services: Call 844-612-0986 or from outside the U.S.: Call 201-352-1495
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

  Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.
  - Provide your name and account number (if any).
  - Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
  - Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-Insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit www.fdic.gov. Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the bank deposits may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities customers of its members up to $500,000 (including $250,000 for claims for cash). Explanatory brochure available upon request or at *www.sipc.org*. The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.
The Firm, together with certain affiliates, has also purchased supplemental insurance. The maximum amount payable to all eligible clients, collectively under this protection is $500 million as of December 10, 2016. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to $1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent);
- Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
- Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between your accounts. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- *Produce Current Income*: Investments seeking the generation of income only.
- *Achieve Capital Appreciation*: Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation*: Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative*: Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate*: Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive*: Willing to accept high risk to principal and high volatility to seek high returns over time.
- *Investment Eligibility Consideration*: If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. If you prefer to receive individual statements mailed in separate envelopes, you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. You can change your Friendly account names through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus deposit balances at affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in *Agreements and Disclosures* at *www.ubs.com/accountdisclosures*.

Important information about your statement (continued)

Your assets
Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services. In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.
- **Unrealized gains/losses**. When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.
- **Callable securities**. Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.
- **Price/value**. Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
  - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
  - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
  - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
  - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
  - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

  To obtain current quotations, when available, contact your Financial Advisor.

- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
  - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
  - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
  - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
  - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
  - Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
  - When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
  - "Distributions to date" may include return of capital, income or both.
  - "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.
  - DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally illiquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

- **Restricted securities**. Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock *for purposes of this statement only*. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
  - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
  - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
  - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities/deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
  - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
  - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.
  - In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
  - In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
  - Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
  - We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

Activity
Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling
If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders
Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy
To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at *www.ubs.com/privacypolicy*.

- UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.
- Investment, insurance, and annuity products:
- Not FDIC insured • No bank guarantee• May lose value
- RMA. Resource Management Account, Business Services Account BSA, IRMA and international Resource Management Account are registered service marks of UBS Financial Services Inc.
- VISA is a registered trademark owned by Visa International Service Association and used under license. The UBS Visa credit cards and the UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated. All other trademarks, registered trademarks, service marks and registered service marks are of their respective companies.

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