

**Fill in this information to identify the case:**

Debtor Proterra Inc

United States Bankruptcy Court for the: \_\_\_\_\_ District of Delaware  
(State)

Case number 23-11120

Official Form 410  
**Proof of Claim**

04/22

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense. Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies or any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

**Part 1: Identify the Claim**

1. **Who is the current creditor?** Alexander Spaulding  
Name of the current creditor (the person or entity to be paid for this claim)  
Other names the creditor used with the debtor \_\_\_\_\_

2. **Has this claim been acquired from someone else?**  No  
 Yes. From whom? \_\_\_\_\_

3. **Where should notices and payments to the creditor be sent?**

Where should notices to the creditor be sent?	Where should payments to the creditor be sent? (if different)
<u>Alexander Spaulding</u> <u>7905 TISDALE DR</u> <u>Unit B</u> <u>AUSTIN, Texas 78757-8414, United States</u>	
Contact phone <u>2812168243</u> Contact email <u>aspauld11@gmail.com</u>	Contact phone _____ Contact email _____
Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____	

4. **Does this claim amend one already filed?**  No  
 Yes. Claim number on court claims registry (if known) \_\_\_\_\_ Filed on \_\_\_\_\_  
MM / DD / YYYY

5. **Do you know if anyone else has filed a proof of claim for this claim?**  No  
 Yes. Who made the earlier filing? \_\_\_\_\_



**Part 2: Give Information About the Claim as of the Date the Case Was Filed**

6. Do you have any number you use to identify the debtor?  No  
 Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: \_\_\_\_ \_

7. How much is the claim? \$ 575.13. Does this amount include interest or other charges?  
 No  
 Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.  
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).  
Limit disclosing information that is entitled to privacy, such as health care information.  
  
I own shares of Proterra.

9. Is all or part of the claim secured?  No  
 Yes. The claim is secured by a lien on property.  
**Nature or property:**  
 Real estate: If the claim is secured by the debtor's principle residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.  
 Motor vehicle  
 Other. Describe: \_\_\_\_\_  
**Basis for perfection:** \_\_\_\_\_  
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  
**Value of property:** \$ \_\_\_\_\_  
**Amount of the claim that is secured:** \$ \_\_\_\_\_  
**Amount of the claim that is unsecured:** \$ \_\_\_\_\_ (The sum of the secured and unsecured amount should match the amount in line 7.)  
**Amount necessary to cure any default as of the date of the petition:** \$ \_\_\_\_\_  
**Annual Interest Rate** (when case was filed) \_\_\_\_\_ %  
 Fixed  
 Variable

10. Is this claim based on a lease?  No  
 Yes. Amount necessary to cure any default as of the date of the petition. \$ \_\_\_\_\_

11. Is this claim subject to a right of setoff?  No  
 Yes. Identify the property: \_\_\_\_\_



12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

No

Yes. Check all that apply:

	Amount entitled to priority
<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	\$ _____
<input type="checkbox"/> Up to \$3,350* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$ _____
<input type="checkbox"/> Wages, salaries, or commissions (up to \$15,150*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)(____) that applies.	\$ _____

\* Amounts are subject to adjustment on 4/01/25 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim pursuant to 11 U.S.C. § 503(b)(9)?

No

Yes. Indicate the amount of your claim arising from the value of any goods received by the debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ \_\_\_\_\_

**Part 3: Sign Below**

**The person completing this proof of claim must sign and date it. FRBP 9011(b).**

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

**A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.**

*Check the appropriate box:*

I am the creditor.

I am the creditor's attorney or authorized agent.

I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgement that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 10/23/2023  
MM / DD / YYYY

/s/Alexander Spaulding  
Signature

**Print the name of the person who is completing and signing this claim:**

Name Alexander Spaulding  
First name Middle name Last name

Title \_\_\_\_\_

Company \_\_\_\_\_  
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address \_\_\_\_\_

Contact phone \_\_\_\_\_ Email \_\_\_\_\_



# KCC ePOC Electronic Claim Filing Summary

For phone assistance: Domestic (888) 251-3076 | International (310) 751-2617

<b>Debtor:</b> 23-11120 - Proterra Inc		
<b>District:</b> District of Delaware		
<b>Creditor:</b> Alexander Spaulding 7905 TISDALE DR Unit B AUSTIN, Texas, 78757-8414 United States <b>Phone:</b> 2812168243 <b>Phone 2:</b>  <b>Fax:</b>  <b>Email:</b> aspauld11@gmail.com	<b>Has Supporting Documentation:</b> Yes, supporting documentation successfully uploaded <b>Related Document Statement:</b>	
	<b>Has Related Claim:</b> No <b>Related Claim Filed By:</b>	
	<b>Filing Party:</b> Creditor	
<b>Other Names Used with Debtor:</b>	<b>Amends Claim:</b> No <b>Acquired Claim:</b> No	
<b>Basis of Claim:</b> I own shares of Proterra.	<b>Last 4 Digits:</b> No	<b>Uniform Claim Identifier:</b>
<b>Total Amount of Claim:</b> 575.13	<b>Includes Interest or Charges:</b> No	
<b>Has Priority Claim:</b> No	<b>Priority Under:</b>	
<b>Has Secured Claim:</b> No <b>Amount of 503(b)(9):</b> No <b>Based on Lease:</b> No <b>Subject to Right of Setoff:</b> No	<b>Nature of Secured Amount:</b> <b>Value of Property:</b> <b>Annual Interest Rate:</b> <b>Arrearage Amount:</b> <b>Basis for Perfection:</b> <b>Amount Unsecured:</b>	
<b>Submitted By:</b> Alexander Spaulding on 23-Oct-2023 11:22:44 a.m. Eastern Time <b>Title:</b> <b>Company:</b>		



Envelope # BPKBVHBBBLFH

ALEXANDER M SPAULDING  
7905 TISDALE DR # B  
AUSTIN TX 78757-8414

**Your Portfolio Value:** **\$24,977.50**

Portfolio Change from Last Period: ▼ \$1,097.36

	This Period	Year-to-Date
<b>Beginning Portfolio Value</b>	<b>\$26,074.86</b>	<b>\$21,998.49</b>
Additions	-	6,500.00
Subtractions	-7.47	-5,033.69
Transaction Costs, Fees & Charges	-	-0.14
Change in Investment Value *	-1,089.89	1,512.70
<b>Ending Portfolio Value **</b>	<b>\$24,977.50</b>	<b>\$24,977.50</b>
Accrued Interest (AI)	-	
<b>Ending Portfolio Value incl. AI</b>	<b>\$24,977.50</b>	

Contact Information

Online	Fidelity.com
FAST®-Automated Telephone	(800) 544-5555
Customer Service	(800) 544-6666

\* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

\*\* Excludes unpriced securities.





## Portfolio Summary

### Accounts Included in This Report

Page	Account Type/Name	Account Number	Beginning Value	Ending Value
<b>GENERAL INVESTMENTS</b>				
4	FIDELITY ACCOUNT ALEXANDER M SPAULDING - INDIVIDUAL TOD	X96-991584	\$5,063.65	\$5,106.46
9	FIDELITY ACCOUNT ALEXANDER M SPAULDING - INDIVIDUAL TOD	Z23-100188	3,740.85	3,548.25
<b>PERSONAL RETIREMENT</b>				
17	FIDELITY ROTH IRA ALEXANDER M SPAULDING - ROTH INDIVIDUAL RETIREMENT ACCOUNT - FMTC CUSTODIAN	239-267577	17,270.36	16,322.79
<b>Ending Portfolio Value</b>			<b>\$26,074.86</b>	<b>\$24,977.50</b>

Total Portfolio Trades Oct 2022 - Sep 2023: 0

## Portfolio Summary (continued)

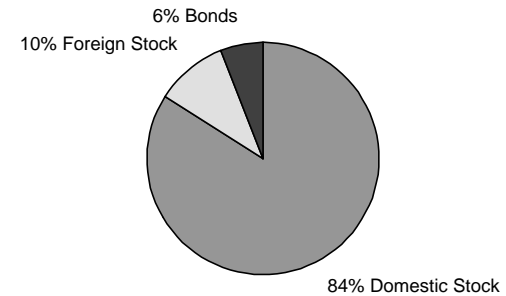
### Income Summary

	This Period	Year-to-Date
<b>Taxable</b>	<b>\$62.52</b>	<b>\$197.77</b>
Dividends	62.52	197.76
Interest	-	0.01
<b>Tax-free</b>	<b>22.39</b>	<b>196.47</b>
<b>Total</b>	<b>\$84.91</b>	<b>\$394.24</b>

### Top Holdings

Description	Value	Percent of Portfolio
Fidelity National Financial Fnf Group Com USD0.0001	\$5,051	20%
Fidelity Zero Large Cap Index Fund	1,894	8
Fidelity Msci Health Care Index ETF	1,821	7
Fidelity Zero International Index	1,301	5
Fidelity Mid Cap Index Fund	1,099	4
<b>Total</b>	<b>\$11,169</b>	<b>44%</b>

### Asset Allocation



Asset Class	Percent of Portfolio
Domestic Stock	84%
Foreign Stock	10
Bonds	6
Short Term	-
Other	-

*IMPORTANT: If you have any unsettled trades pending, the asset allocation presented above may be materially impacted and, depending on the size and scope of such unsettled trades, rendered unreliable. Asset allocation includes Other Holdings and Assets Held Away when applicable. Please note that, due to rounding, percentages may not add to 100%. For further details, please see "Frequently Asked Questions" at [Fidelity.com/Statements](https://www.fidelity.com/Statements).*



## Account Summary

Account # X96-991584  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Account Value: **\$5,106.46**

### Account Holdings

Change in Account Value **▲ \$42.81**

	This Period	Year-to-Date
<b>Beginning Account Value</b>	<b>\$5,063.65</b>	<b>\$4,822.47</b>
<b>Subtractions</b>	-	<b>-374.36</b>
Withdrawals	-	-194.76
Exchanges Out	-	-179.60
<b>Change in Investment Value *</b>	<b>42.81</b>	<b>658.35</b>
<b>Ending Account Value</b>	<b>\$5,106.46</b>	<b>\$5,106.46</b>
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$5,106.46	

Free Credit Balance \$55.04

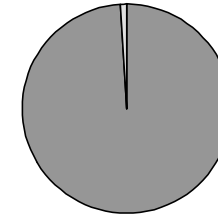
**Free credit balances (FCB)** include cash credits from the sale of long positions, deposits, cash dividends, and interest payments which have not been transferred to a money market fund or FDIC core position. FCB also includes positions, FCASH and credit balances that exceed the amount required to satisfy your margin obligations. Refer to the back of your statement for more information.

Total Account Trades Oct 2022 - Sep 2023: 0

\* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

► In an effort to streamline and enhance statement viewability, we're removing the Core Account Cash Flow table from statements beginning in October 2023. 1106074.1.0

1% Core Account (\$55)



99% Stocks (\$5,051)

### Top Holdings

Description	Value	Percent of Account
Fidelity National Financial Fnf Group Com USD0.0001	\$5,051	99%
Cash	55	1
<b>Total</b>	<b>\$5,106</b>	<b>100%</b>

Please note that, due to rounding, percentages may not add to 100%.

### Income Summary

	This Period	Year-to-Date
<b>Taxable</b>	<b>\$55.04</b>	<b>\$168.33</b>
Dividends	55.04	168.32
Interest	-	0.01
<b>Total</b>	<b>\$55.04</b>	<b>\$168.33</b>





Account # X96-991584  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Core Account and Credit Balance Cash Flow

	This Period	Year-to-Date
<b>Beginning Balance</b>	-	<b>\$61.07</b>
<b>Investment Activity</b>		
Securities Sold	-	200.00
Dividends, Interest & Other Income <sup>D</sup>	55.04	168.33
Exchanges Out	-	-179.60
<b>Total Investment Activity</b>	<b>\$55.04</b>	<b>\$188.73</b>
<b>Cash Management Activity</b>		
Withdrawals	-	-194.76
<b>Total Cash Management Activity</b>	<b>-</b>	<b>-\$194.76</b>
<b>Ending Balance</b>	<b>\$55.04</b>	<b>\$55.04</b>

<sup>D</sup> Includes dividend reinvestments.

Realized Gains and Losses from Sales

(May not reflect all gains and losses due to incomplete cost basis)

	This Period	Year-to-Date
<b>Net Short-term Gain/Loss</b>	<b>-</b>	<b>45.95</b>
Short-term Gain	-	45.95
<b>Net Gain/Loss</b>	<b>-</b>	<b>\$45.95</b>

Holdings

Core Account

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
CASH	unavailable	55.040	\$1.0000	\$55.04	not applicable	not applicable	-
<i>For balances below \$99,999,999,999.99, the current interest rate is 2.69%.</i>							
<b>Total Core Account (1% of account holdings)</b>	<b>unavailable</b>			<b>\$55.04</b>			<b>-</b>

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## Holdings

Account # X96-991584  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Stocks

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Common Stock</b>							
FIDELITY NATIONAL FINANCIAL FNF GROUP COM USD0.0001 (FNF)	\$5,063.65	122.311	\$41.3000	\$5,051.42	\$5,453.59	-\$402.17	\$220.16 4.360%
Total Common Stock (99% of account holdings)	\$5,063.65			\$5,051.42	\$5,453.59	-\$402.17	\$220.16
<b>Total Stocks (99% of account holdings)</b>	<b>\$5,063.65</b>			<b>\$5,051.42</b>	<b>\$5,453.59</b>	<b>-\$402.17</b>	<b>\$220.16</b>
<b>Total Holdings</b>				<b>\$5,106.46</b>	<b>\$5,453.59</b>	<b>-\$402.17</b>	<b>\$220.16</b>

EAI **Estimated Annual Income (EAI) & Estimated Yield (EY)**- EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EAI may be negative on short & EY positions. EY is calculated by dividing the current EAI for a security position by its statement closing date market value. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. Actual income and yield might be lower or higher than the estimated amounts. **For calculation details, refer to the "Additional Information and Endnotes" section.**

All positions held in cash account unless indicated otherwise.

Total Cost Basis does not include the cost basis on core, money market or other positions where cost basis is unknown or not applicable.

## Activity

### Dividends, Interest & Other Income

(Includes dividend reinvestment)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
09/29	FIDELITY NATIONAL FINANCIAL FNF GROUP COM USD0.0001	31620R303	Dividend Received	-	-	\$55.04
<b>Total Dividends, Interest &amp; Other Income</b>						<b>\$55.04</b>

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## Activity

Account # X96-991584  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Core Fund Activity

For more information about the operation of your core account, please refer to your Customer Agreement.

#### Settlement Account

Date	Type	Transaction	Description	Quantity	Price	Amount	Balance
09/29	CASH	You Bought	CASH @ 1	55.040	\$1.0000	\$55.04	\$55.04
<b>Total Core Fund Activity</b>						<b>\$55.04</b>	

### Open Orders as of September 30, 2023

Date Entered	Exp. Date	Security Name	Description	Quantity	Limit Price	Market Price
09/05/23	12/01/23	FIDELITY NATIONAL FINANCIAL FNF GROUP COM USD0.0001 (FNF)	Sell Limit	20.000	\$52.00000	\$41.3000
09/05/23	10/27/23	FIDELITY NATIONAL FINANCIAL FNF GROUP COM USD0.0001 (FNF)	Sell Limit	20.000	49.00000	41.3000
09/18/23	10/06/23	FIDELITY NATIONAL FINANCIAL FNF GROUP COM USD0.0001 (FNF)	Sell Limit	20.000	47.00000	41.3000

Expiration date details are available online or can be provided upon request.

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**Estimated Cash Flow** (Rolling as of September 30, 2023)

Account # X96-991584  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Month	Bond & CD Income	Bond & CD Principal	Stock Income	ETP Income	Mutual Fund Income	Other Income	Total Est. Cash Flow
October 2023	--	--	--	--	--	--	--
November	--	--	--	--	--	--	--
December	--	--	55	--	--	--	55
January 2024	--	--	--	--	--	--	--
February	--	--	--	--	--	--	--
March	--	--	55	--	--	--	55
April	--	--	--	--	--	--	--
May	--	--	--	--	--	--	--
June	--	--	55	--	--	--	55
July	--	--	--	--	--	--	--
August	--	--	--	--	--	--	--
September	--	--	55	--	--	--	55
<b>Total</b>	--	--	<b>\$220</b>	--	--	--	<b>\$220</b>

This table presents the estimated monthly interest and dividend income and return of principal that your current holdings may generate over the next rolling 12 months. The cash flows displayed are estimates provided for informational purposes only and there is no guarantee that you will actually receive any of the amounts displayed. These estimates should not be relied upon for making investment, trading or tax decisions. The estimates for fixed income are calculated using the security's coupon rate. The estimates for all other securities are calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. IADs are sourced from third party vendors believed to be reliable, but no assurance can be made as to accuracy. There are circumstances in which these estimates will not be presented for a specific security you hold. **Please refer to Help/Glossary on Fidelity.com for additional information on these calculations.**

**Bond & CD Income** includes interest payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Bond & CD Principal** includes maturing principal payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Stock Income** includes estimated dividend payments for common stocks, preferred stocks, ADRs, closed-end mutual funds, and MLPs.

**ETP Income** includes estimated dividend payments for Exchange Traded Funds (ETFs) and Exchange Traded Notes (ETNs).

**Mutual Fund Income** includes estimated dividend payments for Fidelity and non-Fidelity mutual funds.

**Other Income** includes, but is not limited to estimated dividend payments for Unit Investment Trusts (UITs), REITs, and LPs.

This table does not include cash flow from foreign denominated fixed income.

-- not available



## Account Summary

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Account Value: **\$3,548.25**

Account Holdings

Change in Account Value ▼ **\$192.60**

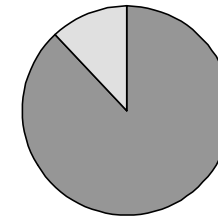
	This Period	Year-to-Date
<b>Beginning Account Value</b>	<b>\$3,740.85</b>	<b>\$7,892.29</b>
<b>Subtractions</b>	<b>-7.47</b>	<b>-4,659.33</b>
Withdrawals	-7.47	-338.79
Exchanges Out	-	-4,320.40
Transaction Costs, Fees & Charges	-	-0.14
<b>Change in Investment Value *</b>	<b>-185.13</b>	<b>315.29</b>
<b>Ending Account Value</b>	<b>\$3,548.25</b>	<b>\$3,548.25</b>
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$3,548.25	

Total Account Trades Oct 2022 - Sep 2023: 0

\* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

► In an effort to streamline and enhance statement viewability, we're removing the Core Account Cash Flow table from statements beginning in October 2023. 1106074.1.0

12% Stocks (\$409)



88% Exchange Traded Products (\$3,138)

## Top Holdings

Description	Value	Percent of Account
Fidelity Msci Health Care Index ETF	\$1,211	34%
Fidelity Blue Chip Growth ETF	868	24
Spdr Portfolio S&P 500 Growth ETF	592	17
<b>Total</b>	<b>\$2,673</b>	<b>75%</b>

Please note that, due to rounding, percentages may not add to 100%.

## Income Summary

	This Period	Year-to-Date
<b>Taxable</b>	<b>\$7.48</b>	<b>\$29.44</b>
Dividends	7.48	29.44
<b>Total</b>	<b>\$7.48</b>	<b>\$29.44</b>

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Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Core Account and Credit Balance Cash Flow

	This Period	Year-to-Date
<b>Beginning Balance</b>	-	<b>\$1,398.23</b>
<b>Investment Activity</b>		
Securities Sold	-	3,224.26
Dividends, Interest & Other Income <sup>D</sup>	7.48	29.44
Exchanges Out	-	-4,320.40
Other Activity In	-	7.27
<b>Total Investment Activity</b>	<b>\$7.48</b>	<b>-\$1,059.43</b>
<b>Cash Management Activity</b>		
Withdrawals	-7.47	-338.79
<b>Total Cash Management Activity</b>	<b>-\$7.47</b>	<b>-\$338.79</b>
<b>Ending Balance</b>	<b>\$0.01</b>	<b>\$0.01</b>

<sup>D</sup> Includes dividend reinvestments.

Realized Gains and Losses from Sales

(May not reflect all gains and losses due to incomplete cost basis)

	This Period	Year-to-Date
<b>Net Short-term Gain/Loss</b>	-	<b>38.80</b>
Short-term Gain	-	39.59
Short-term Loss	-	-0.79
<b>Net Long-term Gain/Loss</b>	-	<b>-128.60</b>
Long-term Gain	-	13.22
Long-term Loss	-	-141.82
<b>Net Gain/Loss</b>	-	<b>-\$89.80</b>

Holdings

Core Account

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	unavailable	0.010	\$1.0000	\$0.01	not applicable	not applicable	-
<b>Total Core Account (0% of account holdings)</b>	<b>unavailable</b>			<b>\$0.01</b>			<b>-</b>

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## Holdings

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Exchange Traded Products

Includes exchange-traded funds (ETFs), exchange-traded notes (ETNs), and other exchange-traded vehicles.

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Equity ETPs</b>							
FIDELITY BLUE CHIP GROWTH ETF (FBCG)	\$925.50	30.000	\$28.9587	\$868.76	\$994.84	-\$126.08	-
FIDELITY MSCI FINLS INDEX ETF (FNCL)	144.90	3.000	46.5600	139.68	157.67	-17.99	3.19
FIDELITY MSCI HEALTH CARE INDEX ETF (FHLC)	1,261.40	20.000	60.5800	1,211.60	1,302.25	-90.65	17.48
FIDELITY MSCI COMMUNICATION SERVICES INDEX ETF (FCOM)	82.70	2.000	39.7100	79.42	103.28	-23.86	0.65
INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100 (QQQJ)	261.80	10.000	24.6400	246.40	353.31	-106.91	2.14
SPDR PORTFOLIO S&P 500 GROWTH ETF (SPYG)	625.00	10.000	59.2800	592.80	688.48	-95.68	6.84
							1.150
Total Equity ETPs(88% of account holdings)	\$3,301.30			3,138.66	3,599.83	-461.17	30.30
<b>Total Exchange Traded Products (88% of account holdings)</b>	<b>\$3,301.30</b>			<b>\$3,138.66</b>	<b>\$3,599.83</b>	<b>-\$461.17</b>	<b>\$30.30</b>

### Stocks

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Common Stock</b>							
AYR WELLNESS INC SUB LTD VTG SHS ISIN #CA05475P1099 SEDOL #BNNQQ29 (AYRWF)	\$14.79	11.000	\$2.2929	\$25.22	\$221.53	-\$196.31	-
CRESCO LABS INC SUB VTG SHS ISIN #CA22587M1068 SEDOL #BGPVCY7 (CRLBF)	37.32	25.000	2.0118	50.29	223.35	-173.06	-

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## Holdings

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Stocks (continued)

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Total Cost Basis	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Common Stock (continued)</b>							
<b>JUSHI HOLDINGS INC CLASS B SUBORDINATE</b> VOTING SHARES ISIN #CA48213Y1079 SEDOL #BKDJWP2 (JUSHF)	27.27	41.000	0.8284	33.96	167.36	-133.40	-
<b>MATCH GROUP INC NEW COM (MTCH)</b>	93.74	2.000	39.1750	78.35	296.50	-218.15	-
<b>MATTERPORT INC COM CL A (MTTR)</b>	18.76	7.000	2.1700	15.19	104.17	-88.98	-
<b>BARK INC COM (BARK)</b>	48.00	30.000	1.2000	36.00	249.44	-213.44	-
<b>PLANET 13 HOLDINGS INC COM NPV</b> ISIN #US72707C1080 SEDOL #BR53N92 (PLNH)	unavailable	42.000	0.8654	36.34	181.66	-145.32	-
<b>PROTERRA INC COM (PTRAQ)</b>	3.48	40.000	0.0540	2.16	412.15	-409.99	-
<b>RIOT PLATFORMS INC COM (RIOT)</b>	45.40	4.000	9.3300	37.32	95.40	-58.08	-
<b>TELADOC HEALTH INC COM (TDOC)</b>	113.20	5.000	18.5900	92.95	581.97	-489.02	-
<b>VIRGIN GALACTIC HOLDINGS INC COM (SPCE)</b>	2.52	1.000	1.8000	1.80	20.63	-18.83	-
Total Common Stock (12% of account holdings)	\$404.48			\$409.58	\$2,554.16	-\$2,144.58	-
<b>Total Stocks (12% of account holdings)</b>	<b>\$404.48</b>			<b>\$409.58</b>	<b>\$2,554.16</b>	<b>-\$2,144.58</b>	-
<b>Total Holdings</b>				<b>\$3,548.25</b>	<b>\$6,153.99</b>	<b>-\$2,605.75</b>	<b>\$30.30</b>

All positions held in cash account unless indicated otherwise.

EAI **Estimated Annual Income (EAI) & Estimated Yield (EY)**- EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EAI may be negative on short & EY positions. EY is calculated by dividing the current EAI for a security position by its statement closing date market value. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. Actual income and yield might be lower or higher than the estimated amounts. **For calculation details, refer to the "Additional Information and Endnotes" section.**





## Holdings

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Total Cost Basis does not include the cost basis on core, money market or other positions where cost basis is unknown or not applicable.

## Activity

### Dividends, Interest & Other Income

(Includes dividend reinvestment)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
09/20	FIDELITY MSCI HEALTH CARE INDEX ETF	316092600	Dividend Received	-	-	\$4.38
09/20	FIDELITY MSCI COMMUNICATION SERVICES INDEX ETF	316092873	Dividend Received	-	-	0.19
09/20	FIDELITY MSCI FINLS INDEX ETF	316092501	Dividend Received	-	-	0.73
09/21	SPDR PORTFOLIO S&P 500 GROWTH ETF	78464A409	Dividend Received	-	-	1.79
09/22	INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100	46138G631	Dividend Received	-	-	0.38
09/29	FIDELITY GOVERNMENT MONEY MARKET	31617H102	Dividend Received	-	-	0.01
<b>Total Dividends, Interest &amp; Other Income</b>						<b>\$7.48</b>

### Other Activity In

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Transaction Cost	Amount
09/18	PLANET 13 HOLDINGS INC COM NPV ISIN #US72707C1080 SEDOL #BR53N92 MER FROM 72706K101 #REOR M0051528800001	72707C108	Merger	42.000	-	-	-
<b>Total Other Activity In</b>						<b>-</b>	<b>-</b>



## Activity

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Other Activity Out

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Transaction Cost	Amount
09/18	PLANET 13 HOLDINGS INC COM NPV ISIN #CA72706K1012 SEDOL #BFXX8R3 *EXCHANGED FOR CUSIP 72707C108* MER PAYOUT #REOR M0051528800000	72706K101	Merger	-42.000	-	-	-
<b>Total Other Activity Out</b>						-	-

### Withdrawals

Date	Reference	Description	Amount
09/26	Money Line Paid	EFT FUNDS PAID ED09854695 /WEB WELLS FARGO BANK NA *****1855	-\$7.47
<b>Total Withdrawals</b>			<b>-\$7.47</b>

### Core Fund Activity

For more information about the operation of your core account, please refer to your Customer Agreement.

Settlement Date	Account Type	Transaction	Description	Quantity	Price	Amount	Balance
09/20	CASH	You Bought	FIDELITY GOVERNMENT MONEY MARKET MORNING TRADE @ 1	5.300	\$1.0000	\$5.30	\$5.30
09/21	CASH	You Bought	FIDELITY GOVERNMENT MONEY MARKET MORNING TRADE @ 1	1.790	1.0000	1.79	7.09
09/22	CASH	You Bought	FIDELITY GOVERNMENT MONEY MARKET MORNING TRADE @ 1	0.380	1.0000	0.38	7.47
09/26	CASH	You Sold	FIDELITY GOVERNMENT MONEY MARKET @ 1	-7.470	1.0000	-7.47	-
09/29	CASH	You Bought	FIDELITY GOVERNMENT MONEY MARKET @ 1	0.010	1.0000	0.01	0.01
<b>Total Core Fund Activity</b>						<b>\$0.01</b>	

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## Activity

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

### Open Orders as of September 30, 2023

Date Entered	Exp. Date	Security Name	Description	Quantity	Limit Price	Market Price
07/27/23	01/23/24	MATCH GROUP INC NEWCOM (MTCH)	Sell Limit	2.000	\$150.00000	\$39.1750
07/27/23	01/23/24	TELADOC HEALTH INCCOM (TDOC)	Sell Limit	5.000	117.00000	18.5900
07/27/23	01/23/24	MATTERPORT INC COM CL A (MTTR)	Sell Limit	7.000	15.00000	2.1700
07/27/23	01/23/24	VIRGIN GALACTIC HOLDINGS INC COM (SPCE)	Sell Limit	1.000	21.00000	1.8000
08/22/23	10/06/23	FIDELITY MSCI HEALTH CARE INDEXETF (FHLC)	Sell Limit	10.000	65.15000	60.5800
08/22/23	10/27/23	FIDELITY MSCI HEALTH CARE INDEXETF (FHLC)	Sell Limit	10.000	67.00000	60.5800
08/22/23	10/27/23	FIDELITY BLUE CHIPGROWTH ETF (FBCG)	Sell Limit	10.000	35.00000	28.9587
08/22/23	12/01/23	FIDELITY BLUE CHIPGROWTH ETF (FBCG)	Sell Limit	10.000	37.00000	28.9587
08/22/23	11/03/23	FIDELITY MSCI FINLS INDEX ETF (FNCL)	Sell Limit	3.000	53.00000	46.5600
08/22/23	11/03/23	SPDR PORTFOLIO S&P500 GROWTH ETF (SPYG)	Sell Limit	10.000	69.00000	59.2800
08/22/23	12/01/23	FIDELITY MSCI COMMUNICATION SERVICES INDEX ETF (FCOM)	Sell Limit	2.000	52.00000	39.7100
08/22/23	12/01/23	INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100 (QQQJ)	Sell Limit	10.000	35.50000	24.6400

Expiration date details are available online or can be provided upon request.

## Estimated Cash Flow (Rolling as of September 30, 2023)

Account # Z23-100188  
ALEXANDER M SPAULDING - INDIVIDUAL - TOD

Month	Bond & CD Income	Bond & CD Principal	Stock Income	ETP Income	Mutual Fund Income	Other Income	Total Est. Cash Flow
October 2023	--	--	--	--	--	--	--
November	--	--	--	--	--	--	--
December	--	--	--	8	--	--	8
January 2024	--	--	--	--	--	--	--
February	--	--	--	--	--	--	--
March	--	--	--	8	--	--	8
April	--	--	--	--	--	--	--
May	--	--	--	--	--	--	--
June	--	--	--	8	--	--	8
July	--	--	--	--	--	--	--
August	--	--	--	--	--	--	--
September	--	--	--	8	--	--	8
<b>Total</b>	--	--	--	<b>\$32</b>	--	--	<b>\$32</b>

This table presents the estimated monthly interest and dividend income and return of principal that your current holdings may generate over the next rolling 12 months. The cash flows displayed are estimates provided for informational purposes only and there is no guarantee that you will actually receive any of the amounts displayed. These estimates should not be relied upon for making investment, trading or tax decisions. The estimates for fixed income are calculated using the security's coupon rate. The estimates for all other securities are calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. IADs are sourced from third party vendors believed to be reliable, but no assurance can be made as to accuracy. There are circumstances in which these estimates will not be presented for a specific security you hold. **Please refer to Help/Glossary on Fidelity.com for additional information on these calculations.**

**Bond & CD Income** includes interest payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Bond & CD Principal** includes maturing principal payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Stock Income** includes estimated dividend payments for common stocks, preferred stocks, ADRs, closed-end mutual funds, and MLPs.

**ETP Income** includes estimated dividend payments for Exchange Traded Funds (ETFs) and Exchange Traded Notes (ETNs).

**Mutual Fund Income** includes estimated dividend payments for Fidelity and non-Fidelity mutual funds.

**Other Income** includes, but is not limited to estimated dividend payments for Unit Investment Trusts (UITs), REITs, and LPs.

This table does not include cash flow from foreign denominated fixed income.

-- not available



## Account Summary

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

Account Value: **\$16,322.79**

Account Holdings

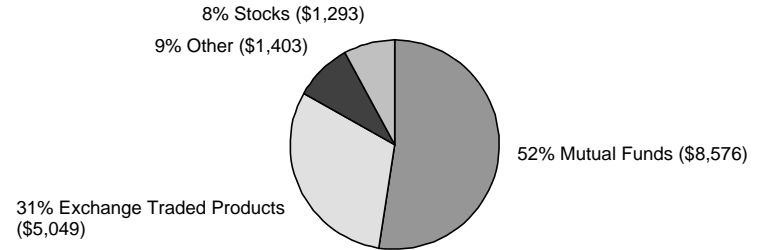
Change in Account Value ▼ **\$947.57**

	This Period	Year-to-Date
<b>Beginning Account Value</b>	<b>\$17,270.36</b>	<b>\$9,283.73</b>
<b>Additions</b>	-	<b>6,500.00</b>
Contributions	-	6,500.00
<b>Change in Investment Value *</b>	<b>-947.57</b>	<b>539.06</b>
<b>Ending Account Value</b>	<b>\$16,322.79</b>	<b>\$16,322.79</b>
Accrued Interest (AI)	0.00	
Ending Account Value Incl. AI	\$16,322.79	

Total Account Trades Oct 2022 - Sep 2023: 0

\* Reflects appreciation or depreciation of your holdings due to price changes, transactions from Other Activity In or Out and Multi-currency transactions, plus any distribution and income earned during the statement period.

► In an effort to streamline and enhance statement viewability, we're removing the Core Account Cash Flow table from statements beginning in October 2023. 1106074.1.0



## Top Holdings

Description	Value	Percent of Account
Fidelity Zero Large Cap Index Fund	\$1,894	12%
Fidelity Zero International Index	1,301	8
Fidelity Mid Cap Index Fund	1,099	7
<b>Total</b>	<b>\$4,296</b>	<b>27%</b>

Please note that, due to rounding, percentages may not add to 100%.

## Income Summary

	This Period	Year-to-Date
<b>Tax-free</b>	<b>\$22.39</b>	<b>\$196.47</b>
<b>Total</b>	<b>\$22.39</b>	<b>\$196.47</b>

## Contributions and Distributions

	This Period	Year-to-Date
2023 Contributions	-	\$6,500.00



Core Account and Credit Balance Cash Flow

	This Period	Year-to-Date
<b>Beginning Balance</b>	<b>\$0.03</b>	<b>\$3.21</b>
<b>Investment Activity</b>		
Securities Bought	-	-\$7,648.93
Securities Sold	-	1,059.47
Dividends, Interest & Other Income <sup>D</sup>	-	86.28
<b>Total Investment Activity</b>	<b>-</b>	<b>-\$6,503.18</b>
<b>Cash Management Activity</b>		
Contributions	-	6,500.00
<b>Total Cash Management Activity</b>	<b>-</b>	<b>\$6,500.00</b>
<b>Ending Balance</b>	<b>\$0.03</b>	<b>\$0.03</b>

<sup>D</sup> Includes dividend reinvestments.

Holdings

Core Account

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
FIDELITY GOVERNMENT MONEY MARKET (SPAXX) -- 7-day yield: 4.99%	\$0.03	0.030	\$1.0000	\$0.03	not applicable	not applicable	-
<b>Total Core Account (0% of account holdings)</b>	<b>\$0.03</b>			<b>\$0.03</b>			<b>-</b>

Mutual Funds

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Stock Funds</b>							
FIDELITY ZERO LARGE CAP INDEX FUND (FNILX)	\$1,988.18	124.261	\$15.2500	\$1,894.98	\$1,855.00	\$39.98	\$25.47 1.340%

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## Holdings

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

### Mutual Funds (continued)

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Stock Funds (continued)</b>							
FIDELITY ZERO EXTND MARKET INDEX FUND (FZIPX)	196.14	16.938	10.9400	185.30	185.00	0.30	2.93 1.580
FIDELITY SMALL CAP INDEX FUND (FSSNX)	663.23	28.115	22.2000	624.15	700.00	-75.85	10.07 1.610
FIDELITY MID CAP INDEX FUND (FSMDX)	1,157.77	40.954	26.8500	1,099.61	1,200.00	-100.39	17.28 1.570
FIDELITY ZERO INTERNATIONAL INDEX (FZILX)	1,346.70	125.625	10.3600	1,301.48	1,316.50	-15.02	33.42 2.570
FIDELITY ZERO TOTAL MARKET INDEX (FZROX)	959.38	60.797	15.0200	913.17	879.50	33.67	12.77 1.400
FIDELITY LARGE CAP GROWTH INDEX FUND (FSPGX)	1,018.68	37.097	25.9700	963.41	980.00	-16.59	7.12 0.740
FIDELITY WOMEN'S LEADERSHIP FUND (FWOMX)	227.48	15.863	13.4500	213.36	250.00	-36.64	0.74 0.350
Total Stock Funds (44% of account holdings)	\$7,557.56			\$7,195.46	\$7,366.00	-\$170.54	\$109.80
<b>Bond Funds</b>							
FIDELITY U.S. BOND INDEX FUND (FXNAX) -- 30-day yield: 4.72%	\$479.18	47.379	\$9.8600	\$467.16	\$477.00	-\$9.84	\$13.58 2.910%
FID L/T TREASURY BOND INDEX FUND (FNBGX) -- 30-day yield: 4.79%	466.90	47.492	9.1100	432.65	482.00	-49.35	15.05 3.480
FIDELITY SHORT TERM BOND INDEX FUND (FNSOX) -- 30-day yield: 5.13%	482.81	50.624	9.5000	480.93	477.00	3.93	7.22 1.500
Total Bond Funds (8% of account holdings)	\$1,428.89			\$1,380.74	\$1,436.00	-\$55.26	\$35.85
<b>Total Mutual Funds (53% of account holdings)</b>	<b>\$8,986.45</b>			<b>\$8,576.20</b>	<b>\$8,802.00</b>	<b>-\$225.80</b>	<b>\$145.65</b>

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## Holdings

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

### Exchange Traded Products

Includes exchange-traded funds (ETFs), exchange-traded notes (ETNs), and other exchange-traded vehicles.

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Equity ETPs</b>							
ARK ETF TR GENOMIC REV ETF (ARKG)	\$225.75	7.000	\$27.8600	\$195.02	\$359.81	-\$164.79	-
ETF SER SOLUTIONS DEFIANCE QUANT (QTUM)	206.61	4.081	47.9700	195.76	212.48	-16.72	1.74 0.890
FIDELITY METAVERSE ETF (FMET)	76.44	3.002	23.9600	71.92	71.92	-	-
FIDELITY CRYPTO INDUSTRY AND DIGITAL PAYMENTS ETF (FDIG)	112.44	6.000	16.0200	96.12	123.95	-27.83	-
FIDELITY MSCI ENERGY INDEX ETF (FENY)	123.52	5.079	24.9100	126.51	105.86	20.65	3.85 3.040
FIDELITY MSCI HEALTH CARE INDEX ETF (FHLC)	632.97	10.072	60.5800	610.16	622.71	-12.55	8.80 1.440
INVESCO EXCHANGE TRADED FD TR WATER RES ETF (PHO)	561.28	9.832	53.1800	522.86	514.80	8.06	3.72 0.710
INVESCO EXCHANGE TRADED FD TR SEMICONDUCTORS (PSI)	702.38	15.030	42.8000	643.28	581.48	61.80	3.11 0.480
INVESCO EXCHANGE-TRADED FUND TRUST INVESCO DORSEY WRIGHT HEALTHCARE MOMENTUM ETF (PTH)	221.94	6.000	33.5800	201.48	277.26	-75.78	0.41 0.200
INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100 (QQQJ)	79.84	3.055	24.6400	75.27	99.99	-24.72	0.65 0.860
ISHARES INC FRONTIER AND SEL(FM)	84.55	3.126	25.9200	81.02	104.55	-23.53	1.59 1.960
ISHARES TR EXPONENTIAL TECH(XT)	167.97	3.031	52.2100	158.24	193.50	-35.26	0.89 0.560
ISHARES TR MSCI INTL QUALTY (IQLT)	179.17	5.115	33.6100	171.91	195.74	-23.83	4.03 2.340
ISHARES TRUST CORE DIVID GWTH (DGRO)	522.50	10.052	49.5300	497.87	522.01	-24.14	12.82 2.570
ISHARES TR CYBERSECURITY (IHAK)	119.41	3.008	38.5100	115.83	127.68	-11.85	0.11 0.090

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## Holdings

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

### Exchange Traded Products (continued)

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Equity ETPs (continued)</b>							
PROSHARES S&P 500 DIVIDEND ARISTOCRATS ETF (NOBL)	678.03	7.220	88.5500	639.33	686.79	-47.46	13.99 2.190
SPDR SER TR S&P KENSHO NEW (KOMP)	219.28	5.104	39.6051	202.14	284.30	-82.16	2.66 1.320
VANGUARD MEGA CAP 300 VALUE INDEX FUND(MGV)	217.30	2.080	101.4000	210.91	218.50	-7.59	5.49 2.600
WISDOMTREE TR CLOUD COMPUTNG (WCLD)	95.73	3.000	29.6300	88.89	143.94	-55.05	- -
Total Equity ETPs(30% of account holdings)	\$5,227.11			4,904.52	5,447.27	-542.75	63.86
<b>Fixed Income ETPs</b>							
FIDELITY HIGH YIELD FACTOR ETF (FDHY)	\$146.97	3.168	\$45.7019	\$144.78	\$152.70	-\$7.92	\$9.00 6.220%
Total Fixed Income ETPs(1% of account holdings)	\$146.97			144.78	152.70	-7.92	9.00
<b>Total Exchange Traded Products (31% of account holdings)</b>	<b>\$5,374.08</b>			<b>\$5,049.30</b>	<b>\$5,599.97</b>	<b>-\$550.67</b>	<b>\$72.86</b>

### Stocks

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Common Stock</b>							
AYR WELLNESS INC SUB LTD VTG SHS ISIN #CA05475P1099 SEDOL #BNNQQ29 (AYRWF)	\$4.03	3.000	\$2.2929	\$6.87	\$40.86	-\$33.99	- -
CHEWY INC CL A (CHWY)	311.74	13.000	18.2600	237.38	517.84	-280.46	- -
COINBASE GLOBAL INC COM CL A (COIN)	318.40	4.000	75.0800	300.32	551.01	-250.69	- -

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## Holdings

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

### Stocks (continued)

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>Common Stock (continued)</b>							
<b>CRESCO LABS INC SUB VTG SHS</b> ISIN #CA22587M1068 SEDOL #BGPVCY7 (CRLBF)	14.93	10.000	2.0118	20.11	73.00	-52.89	-
<b>FORD MTR CO DEL COM (F)</b>	218.34	18.223	12.4200	226.32	281.29	-54.97	10.93 4.830
<b>GOPRO INC. COM USD0.0001 CLASS A</b> (GPRO)	72.70	20.000	3.1400	62.80	200.96	-138.16	-
<b>JUSHI HOLDINGS INC CLASS B</b> <b>SUBORDINATE</b> VOTING SHARES ISIN #CA48213Y1079 SEDOL #BKDJWP2 (JUSHF)	11.30	17.000	0.8284	14.08	55.58	-41.50	-
<b>BARK INC COM (BARK)</b>	20.80	13.000	1.2000	15.60	50.95	-35.35	-
<b>PLANET 13 HOLDINGS INC COM NPV</b> ISIN #US72707C1080 SEDOL #BR53N92 (PLNH)	unavailable	17.000	0.8654	14.71	44.27	-29.56	-
<b>PROTERRA INC COM (PTRAQ)</b>	1.74	20.000	0.0540	1.08	162.98	-161.90	-
<b>RIOT PLATFORMS INC COM (RIOT)</b>	45.40	4.000	9.3300	37.32	98.20	-60.88	-
<b>TELADOC HEALTH INC COM(TDOC)</b>	90.56	4.000	18.5900	74.36	245.91	-171.55	-
<b>VESTAS WIND SYS AS UNSP ADR</b> (VWDRY)	308.68	40.000	7.0700	282.80	395.98	-113.18	0.45 0.160
Total Common Stock (8% of account holdings)	\$1,418.62			\$1,293.75	\$2,718.83	-\$1,425.08	\$11.38
<b>Total Stocks (8% of account holdings)</b>	<b>\$1,418.62</b>			<b>\$1,293.75</b>	<b>\$2,718.83</b>	<b>-\$1,425.08</b>	<b>\$11.38</b>

### Other

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Accrued Interest (AI) Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
<b>AGNC INVT CORP COM (AGNC)</b>	\$436.47	44.589	\$9.4400	\$420.92	\$522.13	-\$101.21	\$64.21 15.250%



## Holdings

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

Other (continued)

Description	Beginning Market Value Sep 1, 2023	Quantity Sep 30, 2023	Price Per Unit Sep 30, 2023	Ending Market Value Accrued Interest (AI) Sep 30, 2023	Cost	Unrealized Gain/Loss Sep 30, 2023	EAI (\$) / EY (%)
ANNALY CAPITAL MANAGEMENT INC COM NEW (NLY)	334.43	16.499	18.8100	310.34	379.85	-69.51	46.69 15.040
MEDICAL PROPERTIES TRUST INC (MPW)	180.50	25.000	5.4500	136.25	303.05	-166.80	15.00 11.010
OMEGA HEALTHCARE INVESTORS INC (OHI)	454.93	14.297	33.1600	474.08	401.85	72.23	38.32 8.080
PHYSICIANS REALTY TRUST (DOC)	70.66	5.080	12.1900	61.92	93.14	-31.22	4.67 7.540
<b>Total Other (9% of account holdings)</b>	<b>\$1,476.99</b>			<b>\$1,403.51</b>	<b>\$1,700.02</b>	<b>-\$296.51</b>	<b>\$168.89</b>
<b>Total Holdings</b>				<b>\$16,322.79</b>	<b>\$18,820.82</b>	<b>-\$2,498.06</b>	<b>\$398.78</b>

All positions held in cash account unless indicated otherwise.

EAI **Estimated Annual Income (EAI) & Estimated Yield (EY)**- EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EAI may be negative on short & EY positions. EY is calculated by dividing the current EAI for a security position by its statement closing date market value. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. Actual income and yield might be lower or higher than the estimated amounts. **For calculation details, refer to the "Additional Information and Endnotes" section.**

Total Cost does not include the cost basis on core, money market or other positions where cost basis is unknown or not applicable.

## Activity

### Dividends, Interest & Other Income

(Includes dividend reinvestment)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
09/01	FIDELITY HIGH YIELD FACTOR ETF TRADE DATE 08-31-23	316092618	Reinvestment	0.017	\$46.66110	-\$0.81
09/01	FIDELITY HIGH YIELD FACTOR ETF	316092618	Dividend Received	-	-	0.81

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## Activity

### Dividends, Interest & Other Income (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
09/01	FORD MTR CO DEL COM TRADE DATE 08-30-23	345370860	Reinvestment	0.223	12.08150	-2.70
09/01	FORD MTR CO DEL COM	345370860	Dividend Received	-	-	2.70
09/12	AGNC INVT CORP COM TRADE DATE 09-08-23	00123Q104	Reinvestment	0.545	9.70290	-5.29
09/12	AGNC INVT CORP COM	00123Q104	Dividend Received	-	-	5.29
09/20	FIDELITY METAVERSE ETF TRADE DATE 09-19-23	316092188	Reinvestment	0.001	24.42000	-0.03
09/20	FIDELITY METAVERSE ETF	316092188	Dividend Received	-	-	0.03
09/20	FIDELITY MSCI ENERGY INDEX ETF TRADE DATE 09-19-23	316092402	Reinvestment	0.035	25.17990	-0.87
09/20	FIDELITY MSCI HEALTH CARE INDEX ETF TRADE DATE 09-19-23	316092600	Reinvestment	0.036	61.83620	-2.20
09/20	FIDELITY MSCI ENERGY INDEX ETF	316092402	Dividend Received	-	-	0.87
09/20	FIDELITY MSCI HEALTH CARE INDEX ETF	316092600	Dividend Received	-	-	2.20
09/21	SPDR SER TR S&P KENSHO NEW TRADE DATE 09-20-23	78468R648	Reinvestment	0.015	40.91530	-0.62
09/21	SPDR SER TR S&P KENSHO NEW	78468R648	Dividend Received	-	-	0.62
09/22	ETF SER SOLUTIONS DEFIANCE QUANT TRADE DATE 09-22-23	26922A420	Reinvestment	0.013	47.93960	-0.60
09/22	ETF SER SOLUTIONS DEFIANCE QUANT	26922A420	Dividend Received	-	-	0.60
09/22	INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100 TRADE DATE 09-20-23	46138G631	Reinvestment	0.005	25.12360	-0.12
09/22	INVESCO EXCH TRADED FD TR II NASDAQNXTGEN100	46138G631	Dividend Received	-	-	0.12
09/22	INVESCO EXCHANGE TRADED FD TR WATER RES ETF TRADE DATE 09-20-23	46137V142	Reinvestment	0.009	54.74580	-0.50
09/22	INVESCO EXCHANGE TRADED FD TR SEMICONDUCTORS TRADE DATE 09-20-23	46137V647	Reinvestment	0.009	42.94480	-0.37
09/22	INVESCO EXCHANGE TRADED FD TR WATER RES ETF	46137V142	Dividend Received	-	-	0.50
09/22	INVESCO EXCHANGE TRADED FD TR SEMICONDUCTORS	46137V647	Dividend Received	-	-	0.37

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## Activity

### Dividends, Interest & Other Income (continued)

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Amount
09/26	VANGUARD MEGA CAP 300 VALUE INDEX FUND TRADE DATE 09-25-23	921910840	Reinvestment	0.014	102.70610	-1.41
09/26	VANGUARD MEGA CAP 300 VALUE INDEX FUND	921910840	Dividend Received	-	-	1.41
09/27	PROSHARES S&P 500 DIVIDEND ARISTOCRATS ETF TRADE DATE 09-25-23	74348A467	Reinvestment	0.042	89.96110	-3.74
09/27	PROSHARES S&P 500 DIVIDEND ARISTOCRATS ETF	74348A467	Dividend Received	-	-	3.74
09/29	FID L/T TREASURY BOND INDEX FUND	31635V232	Reinvestment	0.139	9.11000	-1.27
09/29	FID L/T TREASURY BOND INDEX FUND	31635V232	Dividend Received	-	-	1.27
09/29	FIDELITY SHORT TERM BOND INDEX FUND	31635V273	Reinvestment	0.068	9.50000	-0.65
09/29	FIDELITY SHORT TERM BOND INDEX FUND	31635V273	Dividend Received	-	-	0.65
09/29	FIDELITY U.S. BOND INDEX FUND	316146356	Reinvestment	0.123	9.86000	-1.21
09/29	FIDELITY U.S. BOND INDEX FUND	316146356	Dividend Received	-	-	1.21
<b>Total Dividends, Interest &amp; Other Income</b>						<b>-</b>

### Other Activity In

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Transaction Cost	Amount
09/18	PLANET 13 HOLDINGS INC COM NPV ISIN #US72707C1080 SEDOL #BR53N92 MER FROM 72706K101 #REOR M0051528800001	72707C108	Merger	17.000	-	-	-
<b>Total Other Activity In</b>						<b>-</b>	<b>-</b>

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## Activity

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

### Other Activity Out

Settlement Date	Security Name	Symbol/ CUSIP	Description	Quantity	Price	Transaction Cost	Amount
09/18	PLANET 13 HOLDINGS INC COM NPV ISIN #CA72706K1012 SEDOL #BFXX8R3 *EXCHANGED FOR CUSIP 72707C108* MER PAYOUT #REOR M0051528800000	72706K101	Merger	-17.000	-	-	-
<b>Total Other Activity Out</b>						-	-

### Estimated Cash Flow *(Rolling as of September 30, 2023)*

Month	Bond & CD Income	Bond & CD Principal	Stock Income	ETP Income	Mutual Fund Income	Other Income	Total Est. Cash Flow
October 2023	--	--	--	\$4	\$3	\$22	\$29
November	--	--	--	1	3	15	19
December	--	--	3	15	95	5	118
January 2024	--	--	--	4	3	22	29
February	--	--	--	1	3	15	19
March	--	--	3	12	3	5	23
April	--	--	--	4	3	22	29
May	--	--	--	1	3	15	19
June	--	--	3	15	21	5	44
July	--	--	--	4	3	22	29
August	--	--	--	1	3	15	19
September	--	--	3	12	3	5	23
<b>Total</b>	--	--	<b>\$12</b>	<b>\$74</b>	<b>\$146</b>	<b>\$168</b>	<b>\$400</b>

This table presents the estimated monthly interest and dividend income and return of principal that your current holdings may generate over the next rolling 12 months. The cash flows displayed are estimates provided for informational purposes only and there is no guarantee that you will actually receive any of the amounts displayed. These estimates should not be relied upon for making investment, trading or tax decisions. The estimates for fixed income are calculated using the security's coupon rate. The estimates for all other securities are calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. IADs are sourced from third party vendors believed to be reliable, but no assurance can be made as to accuracy. There are circumstances in which these estimates will not be presented for a specific security you hold. **Please refer to Help/Glossary on Fidelity.com for additional information on these calculations.**



## Estimated Cash Flow *(Rolling as of September 30, 2023)*

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

**Bond & CD Income** includes interest payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Bond & CD Principal** includes maturing principal payments for fixed and variable rate bonds, international bonds that pay in USD, and Certificates of Deposit (CDs).

**Stock Income** includes estimated dividend payments for common stocks, preferred stocks, ADRs, closed-end mutual funds, and MLPs.

**ETP Income** includes estimated dividend payments for Exchange Traded Funds (ETFs) and Exchange Traded Notes (ETNs).

**Mutual Fund Income** includes estimated dividend payments for Fidelity and non-Fidelity mutual funds.

**Other Income** includes, but is not limited to estimated dividend payments for Unit Investment Trusts (UITs), REITs, and LPs.

This table does not include cash flow from foreign denominated fixed income.

-- *not available*

## Additional Information and Endnotes

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

- ▶ **Order Flow Practices:** As the introducing broker for your account, FBS routes your orders to our clearing firm affiliate, National Financial Services ("NFS"). In deciding where to send orders received for execution, NFS looks at a number of factors, such as size of the order, trading characteristics of the security, favorable execution prices (including the opportunity for price improvement), access to reliable market data, availability of efficient automated transaction processing, and execution cost. Some market centers or broker-dealers may execute orders at prices superior to the publicly quoted market. NFS's order routing policies are designed to result in transaction processing that is favorable to its customers. Where a customer directs the market center to which an order is routed, FBS or NFS will route the order to such market center in accordance with the customer's instructions without regard to its general order-routing practices.

FBS and/or NFS receives remuneration, compensation, or other consideration for directing customer orders to certain market centers. Such consideration may take the form of financial credits, monetary payments, rebates, volume discounts, or reciprocal business. The details of any credit, payment, rebate, or other form of compensation received in connection with the routing of a particular order will be provided on your request. Unless your account is managed on a discretionary basis by Strategic Advisers LLC, an affiliate of NFS, NFS may execute certain transactions as principal. In addition, from time to time, Fidelity may provide aggregated trade execution data to customers and prospective customers.

**Order Routing Disclosure Quarterly reports:** Quarterly information regarding the routing of orders by NFS in listed equity securities and listed options is available online at Fidelity.com. The reports are formatted in accordance with Securities and Exchange Commission requirements. **Investor Inquiry:** You can request your specific order routing and execution information for the preceding six months. This information will include the identity of the marketplace where your orders were routed for execution, whether the orders were directed or non-directed, and, if executed, the time of the execution. You may contact Fidelity for additional details on the information that is available.

**BrokerCheck(R) by FINRA:** As part of the Financial Industry Regulatory Authority (FINRA) BrokerCheck program, you have access to the BrokerCheck hotline at 800-289-9999 and FINRA website at [www.finra.org](http://www.finra.org). You can call or email your inquiries and request a brochure that includes information detailing the BrokerCheck program.

**Municipal Securities Rulemaking Board Investor Brochure:** Fidelity Brokerage Services LLC is registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). An investor brochure may be obtained at [MSRB.org](http://MSRB.org) that describes the protections that may be provided by the MSRB and how to file a complaint with an appropriate regulatory authority.

- ▶ Fidelity is required by the Securities Exchange Act of 1934 to provide certain financial information from the Statement of Financial Condition of National Financial Services LLC (NFS). At July 31, 2023, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$9,274 million, which was 23.40% of aggregate debit items and exceeded its minimum requirement by \$8,481 million. To acquire the Statement of Financial Condition of National Financial Services LLC (NFS), go to [fidelity.com/customer-service/nfs-statement-financial-condition](http://fidelity.com/customer-service/nfs-statement-financial-condition). If you wish to obtain a copy of this document at no cost, or have any questions regarding its contents, please call Fidelity at 800-343-3548. 457389.41.0





## Additional Information and Endnotes

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

- ▶ In compliance with U.S. Securities and Exchange Commission requirements, Fidelity regularly provides you with documents that describe the various accounts and services that Fidelity offers. When material updates occur, the Fidelity Brokerage Services (FBS) and Fidelity Personal and Workplace Advisors LLC (FPWA) Customer Relationship Summaries (Form CRS) are provided with printed statements mailed at quarter-end and as a link in email notices of statement delivery. These and other important disclosure documents, including the Products, Services, and Conflicts of Interest (PSCOI) document, may be updated periodically and are available to you for review online at <https://communications.fidelity.com/information/crs/>. In addition, you may contact Fidelity at any time to request a printed copy.

The PSCOI has recently been updated with information about Fidelity's Workplace Savings Plan Account distribution assistance process through which Fidelity provides information and/or recommendations for certain retirement plan distributions. The Workplace Savings Plan Account distribution process only provides information and/or recommendations for Fidelity IRAs. Please see the section entitled "Rollovers from an Employer-Sponsored Retirement Plan" and the Retirement Account Supplement for more information about how Fidelity makes recommendations and mitigates conflicts of interest. 919834.11.0

- ▶ The 2023 Fidelity Investments and Fidelity Funds Privacy Notice is available at [Fidelity.com/privacy](https://www.fidelity.com/privacy).

## Additional Information and Endnotes

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

- NOTIFICATION OF YOUR TAX WITHHOLDING OPTIONS IN REGARD TO DISTRIBUTIONS FROM YOUR IRA. Federal Income Tax Withholding - The default withholding rate is 10%. You can choose a different rate by entering a rate between zero and 100%. Generally, you can't choose less than 10% for payments to be delivered outside of the United States and its possessions. Federal income tax will not be withheld from distributions from a Roth IRA unless you elect to have such tax withheld or are otherwise subject to withholding because you are a non-resident alien. If taking a systematic withdrawal, you may have a different tax withholding election which will remain in effect on checkwriting or systematic withdrawals taken from your IRA until revoked by you.

State Income Tax Withholding - If federal income tax withholding is applied to your distribution, state income tax may also apply. Your state of residence will determine your state income tax withholding requirements, if any. Please refer to the lists below. Your state of residence is determined by the legal address of record on your IRA. For residents of AR, IA, KS, MA, ME, OK and VT, if federal income tax withholding is applied to your distribution, state income tax will also apply. For residents of CA, DE, MN, NC or OR, if federal income tax withholding is applied to your distribution, state income tax will also apply unless you elect not to have state income tax withheld. For residents of DC, if you take a distribution of your entire account balance and do not directly roll that amount over to another eligible retirement account, DC requires that a minimum amount be withheld from the taxable portion of the distribution, whether or not federal income tax is withheld.

For residents of CT or MI, state income tax applies regardless of whether or not federal income tax withholding is applied to your distribution. Please reference the CT or MI W-4P Form for information and to calculate the amount to withhold from your distribution. Tax withholding is not required if you meet certain CT or MI requirements governing pension and retirement benefits. For residents of MS, state income tax withholding will apply regardless of whether or not federal income tax withholding is applied to your distribution, unless you elect not to have state income tax withheld. For residents of SC, you must provide a valid Social Security number; individual tax identification number; or tax identification number for a nonresident alien, if not SC requires that 7% tax be withheld from the distribution.

For residents of AK, FL, HI, NH, SD, TN, TX, WA or WY, state income tax withholding is not applicable on IRA distributions. For residents of all other states not mentioned above, you are not subject to mandatory state income tax withholding; however, you may elect voluntary state income tax withholding in a percentage. If you elect to have state income taxes withheld and your state provides a minimum amount or percentage for withholding, you must elect a percentage that is not less than your state's minimum withholding requirements. If the percentage you elect for withholding is less than your state's minimum withholding requirements, your state's minimum amount or percentage will be withheld.

Whether or not you elect to have federal and/or state income tax withheld from your distribution(s), you are responsible for the full payment of federal income tax, any state or local taxes, and any penalties which may apply. You may be responsible for estimated tax payments and could incur penalties if your estimated tax payments are not sufficient. Please contact Fidelity for more information or contact your state taxing authority for assistance. THE INFORMATION PROVIDED ABOVE IS GENERAL IN NATURE AND SHOULD NOT BE CONSIDERED LEGAL OR TAX ADVICE. 532971.16.0

**Estimated Annual Income (EAI) & Estimated Yield (EY)** - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness. **Please refer to the Help/Glossary on Fidelity.com for additional information regarding these calculations.**



## Additional Information and Endnotes

Account # 239-267577  
ALEXANDER M SPAULDING - ROTH IRA

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For more information about your statement, please refer to our **Frequently Asked Questions** document at [Fidelity.com/statements](https://www.fidelity.com/statements).



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**Income Summary** Shows income by tax status for the statement and year-to-date periods. Except for interest income earned on, or distributed by, tax-exempt securities, Fidelity reports dividends and capital gains held in taxable accounts as taxable income. A portion of income reported as tax-exempt income may be subject to alternative minimum taxes and/or state and local taxes. In Traditional IRAs, Rollover IRAs, SEP-IRAs, SIMPLE IRAs and Keoghs, earnings are reported as tax-deferred income. In Roth IRAs and HSAs, earnings are reported as tax-exempt income as they may be federally tax-exempt if certain conditions are met.

**Cost Basis, Gain/Loss, and Holding Period Information** NFS is required to report certain cost basis and holding period information to the IRS on Form 1099-B. Unless otherwise specified, NFS applies the average cost method for open-end mutual funds and the first-in, first-out (FIFO) method for all other securities. Cost basis is adjusted for wash sales on securities with the same CUSIP held in the same account (unless your account receives mark-to-market reporting). Your statement may not reflect all adjustments required for tax purposes. Customers should consult their tax advisors for further information.

**Cost** Fidelity provides purchase cost information for securities held in retirement and HSA accounts. Such information may be adjusted for certain transactions and does not reflect dividends or capital gains reinvestments. Fidelity reports transaction profit or loss information when securities are sold within a retirement or HSA account. Transaction profit or loss is calculated by subtracting purchase cost from sales proceeds

using the FIFO method if shares were purchased at different times or prices. **Statement Mailing** We deliver statements at least four times during the calendar year for any account with a balance.

**Statement Discrepancies** Please review your statement and report any inaccuracies or discrepancies. Inquiries, concerns or questions regarding your brokerage account or the activity therein should be directed to FBS by calling 800-544-6666, and NFS, who carries your brokerage accounts, by calling 866-408-1138. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act (SIPA).

**Material Changes** Please advise us of material changes in your investment objectives or financial situation related to your brokerage account(s).

**Mutual Funds and Performance** Before investing, consider the funds' investment objectives, risks, charges and expenses. Contact Fidelity for a prospectus containing this information. Read it carefully. Performance data shown represents past performance and is no guarantee of future results. Investment return and principal value will fluctuate, so you may have a gain or loss when shares are sold. Current performance may be higher or lower than that quoted. Visit [Fidelity.com/performance](http://Fidelity.com/performance) for most recent month-end performance.

**Sales Loads & Fees** Each fund reserves the right to terminate or modify its exchange privilege in the future. In connection with (i) access to, purchase, sale, exchange or redemption of, and/or maintenance of positions in mutual funds, ETFs and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay FBS and/or NFS sales loads and 12b-1 fees described in the prospectus as well as additional compensation for shareholder services, start-up fees, platform support and maintenance, and marketing, engagement and analytics programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by FBS or NFS will be furnished to you upon written request. At the time you purchase shares of funds those shares will be assigned either a load, transaction fee (TF) or no transaction fee (NTF) status. When you subsequently sell those shares, any fees applicable to your transaction will be assessed based on the status assigned to the shares at the time of purchase.

## Additional Information About Your Brokerage Account, If Applicable

**Free credit balances (FCB)** are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law. **Assets Separate from Your Brokerage Account** Only securities in the margin portion of your brokerage account contribute to margin and maintenance requirements. Other Assets, which may be reported on your statement, including insurance products that are distributed by FBS and Fidelity Insurance Agency, Inc. and mutual fund only accounts held directly with the fund (Fidelity Mutual Fund Accounts) are not carried by NFS, not covered by the Securities Investor Protection Corporation (SIPC) and do not count toward your margin and maintenance requirements. Assets held in brokerage accounts managed by Fidelity Personal and Workplace Advisors LLC (FPWA) are carried by NFS and covered by SIPC but do not contribute to your margin and maintenance requirements. **Short Account Balances** Securities sold short are held in a segregated short account. These securities are marked-to-market for margin purposes, and any increase or decrease from the previous week's value is transferred weekly to your margin account. Fidelity represents your short account balance as of the last weekly mark-to-market, not as of the statement end date.

**Information About Your Option Transactions** Each transaction confirmation previously delivered to you contains full information about commissions and other charges, and such information is available promptly upon request. Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description is available upon request. Short positions in American-style options are liable for assignment anytime. The writer of a European-style option is subject to exercise assignment only during the exercise period. For more information, please call Fidelity at 800-544-6666. **Equity Dividend Reinvestment** Shares credited to your account resulted from transactions by FBS acting as agent for your account, or the Depository Trust Company (DTC). **Price Information/Total Market Value** The Total Market Value has been calculated out to 9 decimal places but the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency with which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. In certain situations, a price may be derived from a single market participant, also known as a "single broker quote". The prices provided are not firm bids or offers. Certain securities may reflect as N/A or unavailable where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not closely reflect the

value at which the security may be sold or purchased based on various market factors. The sale or redemption of any fixed income security prior to maturity may result in a loss. Prices for Certificates of Deposits (CDs) on your statement are generally estimates and are not based on actual market prices. The secondary market for CDs is generally illiquid. You should always request a current valuation for your securities prior to making a financial decision or placing an order.

**Executing Orders on the Floor of the NYSE** The Floor broker may permit the Designated Market Maker to trade on parity with the order for some or all of the executions associated with filling that order, where such permission would not be inconsistent with the broker's best execution obligations.

**SIPC** Securities in accounts carried by NFS, a Fidelity Investments company, are protected in accordance with the SIPC up to \$500,000 (including cash claims limited to \$250,000). For details, including the SIPC brochure, please see [www.sipc.org](http://www.sipc.org) or call 1-202-371-8300. NFS has arranged for additional protection for cash and covered securities to supplement its SIPC coverage. Neither coverage protects against a decline in the market value of securities.

**Fidelity Investments** Fidelity Distributors Company LLC (FDC) is the distributor for Fidelity Funds with marketing and shareholder services provided by FBS or NFS. **Brokerage services are provided by FBS, which clears all transactions through its affiliate, NFS. NFS carries all brokerage accounts. FBS and NFS are members of the NYSE and SIPC.** Upon written request, Fidelity will mail an NFS financial statement, which is also available for inspection at its office. Fidelity Investments (with pyramid logo) is a trademark of FMR LLC.

**FPWA Services** Fidelity Go®, Fidelity Managed FidFoliosSM and Fidelity® Strategic Disciplines are advisory services offered by FPWA, a registered investment adviser. Fidelity® Strategic Disciplines includes the Breckinridge Intermediate Municipal Strategy, the Fidelity® Equity-Income Strategy, the Fidelity® Tax-Managed U.S. Equity Index Strategy, the Fidelity® U.S. Large Cap Equity Strategy, the Fidelity® International Equity Strategy, the Fidelity® Tax-Managed International Equity Index Strategy, the Fidelity® Intermediate Municipal Strategy and the Fidelity® Core Bond Strategy. Fidelity® Wealth Services are advisory services offered by FPWA or Fidelity Personal Trust Company, FSB (FPTC), a federal savings bank. Nondeposit investment products and trust services offered by FPTC and its affiliates are not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency, are not obligations of any bank, and are subject to risk, including possible loss of principal. **These advisory services are provided for a fee.** FBS, NFS, FDC, FPWA and FPTC are direct or indirect subsidiaries of FMR LLC.

**Miscellaneous** Mutual fund shares, other securities held in your account, and insurance products are neither deposits nor obligations of, nor endorsed or guaranteed by, any bank or other depositing institution, nor are they federally insured by the FDIC or any other agency. If you request a reprint of your statement, the disclosure information may not be the same as the information originally provided. To confirm that an authorized, direct deposit has been made to your Fidelity Account or Fidelity Mutual Fund Account, call Fidelity at 1-800-544-5555.

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