

# A Guide to Understanding Your Investment Account Statement



Few documents allow you to monitor your financial activity as closely as your investment account statement. This report provides you with a snapshot of all relevant information regarding your portfolio. Whether tracking your deposits and withdrawals, or simply keeping an eye on your holdings, your investment account statement acts as your financial diary.

The important nature of this statement makes it imperative that you are able to both navigate and understand this document. This guide will provide you with the steps necessary to review and familiarize yourself with your statement's features and benefits.

## Make a Powerful Choice: Adopt Electronic Delivery

Conservation of resources has become an important initiative across the globe. Support efforts to go green by choosing electronic delivery (eDelivery) of your investment account statements, trade confirmations and other eligible account communications. Available through a password-protected website, electronic delivery provides convenience and increased security over paper documents.

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## Account Statement Sections

**JOHNSON FINANCIAL GROUP** (Fidelity Advisor Solutions LLC) (One Fidelity Place, Jersey City, NJ 07310)

**Investment Account Statement**

May 1, 2022 - May 31, 2022  
Account Number: 123456789

**Portfolio at a Glance**

	This Period	Year to Date
<b>BEGINNING ACCOUNT VALUE</b>	\$4,778.13	\$3,960
Net Cash Deposits and Withdrawals	0.00	2,000.00
<b>Adjusted Previous Account Value</b>	6,778.13	5,960.00
Dividends, Interest and Other Income*	8.88	13.88
<b>Net Change in Portfolio</b>	23.43	270.43
<b>ENDING ACCOUNT VALUE</b>	\$6,801.45	\$6,230.43
*Capital Gains Distributions (not included)	0.00	2.43
Estimated Annual Return	\$2.71	
*Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.		

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**Client Service Information**

Your Relationship Manager:  
ANNE O'LEARY  
JOHNSON FINANCIAL GROUP  
SUITE 1000  
555 WISCONSIN ST  
MILWAUKEE, WI 53202-3837

Contact Information:  
Business: (414) 270-2280

Client Service Information:  
Client Service Toll-Free Number: (800) 760-3796  
Web Site: WWW.JOHNSONFINANCIALGROUP.COM

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**Account Information** – Your account number and the statement period appear on the top right. Your name and address appear on the top left.

**Portfolio at a Glance** – The beginning and ending account values for the current statement period and an explanation of the changes in the value of your account appear here. A summary of your account activity including cash deposits, cash withdrawals, dividends and interest, fees and changes in account value are also present.

**Table of Contents** – Find the page numbers of sections that are important to you.

**Client Service Information** – Specific information about your financial organization, such as your advisor's name and address, service hours and other information.

Note: The images appearing in this document are of statements viewed online.



# Understanding Your Investment Account Statement

## Messages

Although a money market mutual fund (money fund) seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money fund. Shares of a money fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 15c2-10, (1) confirmations are not sent for purchases into money funds processed on the evening platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly. Please note, DWS money funds will no longer be available as sweep options to new clients effective May 6, 2022.

Pershing Advisor Solutions does not submit our act with discretion on any trade executions for your account. The terms solicited/unolicited and discretionary/non-discretionary on your trade confirmation identify how your investment advisor reported that it acted on this transaction.

## Asset Summary

Percent	Asset Type	Last Period	This Period
42%	U.S. Equities	2,530.76	2,864.54
21%	Intl Equities	1,361.04	1,360.33
36%	Fixed Income	2,573.22	2,444.16
1%	Cash, Money Funds and Bank Deposits	110.71	95.45
0%	Unallocated	109.96	0.00
100%	<b>Account Total</b>	<b>\$6,775.13</b>	<b>\$6,865.48</b>

Asset Classification information contained in this section is supplied by PERSHING ADVISOR SOLUTIONS LLC. (1) Information on asset classification (2) is proprietary to PERSHING ADVISOR SOLUTIONS LLC and/or its content providers; (2) may not be copied or distributed; and (3) is not warranted to be accurate, complete or timely.

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## Income and Expense Summary

	Current Period		Year to Date	
	Total	New Totals	Total	New Totals
Dividend Income	0.00	0.00	0.01	0.00
Money Market Non-Qualified	0.00	0.00	0.00	0.00
Other Dividends Non-Qualified	4.88	0.00	13.88	0.00
<b>Total Income</b>	<b>\$4.88</b>	<b>\$0.00</b>	<b>\$13.89</b>	<b>\$0.00</b>
Distributions	0.00	0.00	2.44	0.00
Long - Term Capital Gain Distributions	0.00	0.00	0.01	0.00
Short - Term Capital Gain Distributions	0.00	0.00	0.01	0.00
<b>Total Distributions</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$2.44</b>	<b>\$0.00</b>

Trading Activity Summary - 4/28/2022 (continued)  
 Version 10/05/2021, 07:15:29:10Z

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**Messages** – This section allows us to display important messages to you.

**Asset Summary** – Here you will find a summary of your portfolio holdings by asset class. The market value (based on prices as of the last day of the statement period) of each asset class and the percentage of the account it represents are displayed; the sum of market values for each asset class represents the net value of your portfolio. A pie chart may also be displayed, illustrating asset allocation.

**Income and Expense Summary** – A year-to-date summary of dividends, interest, expenses or distributions posted for your account(s).

Portfolio Holdings				
U.S. EQUITIES 42.00% of Portfolio				
Security Identifier	Quantity	Market Price	Market Value	Unrealized Gain/Loss
<b>Large-Cap</b>				
*AMERICAN BLUEN	15,330	22.4800	344.57	4.57
*DODGE & CO STOCK	1,670	237.1100	397.87	4.57
*VW	2,000	414.0100	828.74	-30.02
Security Distributions Method: First In First Out*				
1-BROW PIONEER GROWTH	7,2543	73.7000	535.20	64.80
<b>Total Large-Cap</b>			<b>\$2,107.38</b>	<b>\$84.82</b>
<b>Mid-Cap</b>				
*PIMCO CAP-CONVEX	7,9310	41.1000	325.96	-24.04
*PIMCO MID-CAP	12,9120	33.0000	426.20	-16.80
<b>Total Mid-Cap</b>			<b>\$752.16</b>	<b>\$-40.84</b>
<b>TOTAL U.S. EQUITIES</b>			<b>\$2,859.54</b>	<b>\$43.98</b>
<b>INTL EQUITIES 21.00% of Portfolio</b>				
Security Identifier	Quantity	Market Price	Market Value	Unrealized Gain/Loss
<b>Intl Developed Markets</b>				
*ARTIFAN	12,7500	45.1900	578.74	12.74
*INVEST OPPORTUNISM	5,0000	34.4000	172.00	-2.83
*SHARES TO CORE MCI	6,0000	63.0000	378.00	-0.98
Security Distributions Method: First In First Out*				
<b>Total Intl Developed Markets</b>			<b>\$1,088.74</b>	<b>\$7.93</b>
<b>Emerging Markets</b>				
*BALLE GRYD	15,6410	19.7700	309.22	9.22
<b>Total Emerging Markets</b>			<b>\$309.22</b>	<b>\$9.22</b>
<b>TOTAL INTL EQUITIES</b>			<b>\$1,397.96</b>	<b>\$17.15</b>
<b>FIXED INCOME 36.00% of Portfolio</b>				
Security Identifier	Quantity	Market Price	Market Value	Unrealized Gain/Loss
<b>Domestic</b>				
*BARCLAYS INTERMEDIATE	10,3630	10.5100	108.86	-23.64
*VINT LIMITED	2,42710	10.0000	24.27	-2.39
*SHARES TO 1-2 YR	7,0000	103.3000	723.10	0.11
*VINTROPOLEON WEST	10,3680	9.7000	100.56	-18.50
*VINTROPOLEON FUND	42,6140	9.8000	417.21	-18.17
<b>Total Fixed Income</b>			<b>\$1,973.99</b>	<b>\$-52.50</b>

**Portfolio Holdings** – This section includes all positions held by the account. Monthly statements will include an expanded Portfolio Holdings section indicating dates acquired, original cost basis, current price and unrealized gains and losses for all current holdings. For bonds, the statement reflects both original and adjusted cost basis (adjusted for principal paydowns and any accretion or amortization on premium or discounted bonds).



Pershing Advisor Solutions LLC

One Pershing Place

Jersey City, NJ 07310

Activity Summary (All amounts shown are in US dollars)

05/24/22

05/24/22

Activity Summary (All amounts shown are in US dollars)

	Credits This Period	Debits This Period	Net This Period	Credits Year to Date	Debits Year to Date	Net Year to Date
<b>Securities</b>						
Securities Bought	\$0.00	\$791.53	\$791.53	\$0.00	-\$791.53	-\$791.53
Securities Sold	\$771.39	\$0.00	\$771.39	\$771.39	\$0.00	\$771.39
<b>Total Securities</b>	<b>\$771.39</b>	<b>-\$791.53</b>	<b>\$0.00</b>	<b>\$771.39</b>	<b>-\$791.53</b>	<b>-\$20.14</b>
<b>Dividends and Interest</b>						
Dividends	\$4.88	\$0.00	\$4.88	\$13.89	\$0.00	\$13.89
Interest	\$0.00	\$0.00	\$0.00	\$2.45	\$0.00	\$2.45
<b>Total Dividends and Interest</b>	<b>\$4.88</b>	<b>\$0.00</b>	<b>\$4.88</b>	<b>\$16.34</b>	<b>\$0.00</b>	<b>\$16.34</b>
<b>Fees</b>						
Fees	\$0.00	\$0.00	\$0.00	\$15.75	\$15.75	-\$0.00
<b>Cash</b>						
Deposits	\$0.00	\$0.00	\$0.00	\$7,000.00	\$0.00	\$7,000.00
<b>Total Cash</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$7,000.00</b>	<b>\$0.00</b>	<b>\$7,000.00</b>
<b>Totals</b>	<b>\$776.27</b>	<b>-\$791.53</b>	<b>-\$15.26</b>	<b>\$8,065.10</b>	<b>\$7,065.45</b>	<b>\$999.65</b>

Transactions by Type of Activity

Transact Date	Transact Description	Quantity	Price	Amount	Interest	Commission	Comments
05/24/22	AMERICAN BLUEN FUND CLASS B	-1.0000	35.9700	-\$35.97			
05/24/22	AMERICAN BLUEN FUND CLASS B	1.0000	21.8100	\$21.81			
05/24/22	AMERICAN BLUEN FUND CLASS B	1.0000	21.8100	\$21.81			
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05/24/22	AMERICAN BLUEN FUND CLASS B	1.0000	21.8100	\$21.81			
05/24/22	AMERICAN BLUEN FUND CLASS B	1.0000					

**Activity Summary** – All activity since the previous statement is listed for each account, including net amounts of all security transactions, income, deposits, withdrawals and opening and closing balances.

**Transactions Section** – All financial transactions since the last statement period are displayed in this section, and will be ordered by type of activity, date sequence or CUSIP (not shown). For more information, please consult your advisor.

**JOHNSON** Financial Group  
Pershing Advisor Solutions LLC  
One Pershing Plaza  
Jersey City, NJ 07310

May 1, 2022 - May 31, 2022  
ACCOUNT BALANCE

**Money Market Fund Detail**

Date	Activity Type	Description	Amount	Balance
<b>Money Market Fund Detail</b>				
<b>GOLDMAN SACHS FUND GOVY CDS</b>				
Current Yield: 0.07% Activity Ending 05/31/22				
05/01/22	Closing Balance		110.33	110.33
05/02/22	Deposit	MONEY FUND PURCHASE	0.38	110.71
05/03/22	Deposit	MONEY FUND PURCHASE	3.08	113.79
05/04/22	Deposit	MONEY FUND PURCHASE	0.18	113.97
05/05/22	Withdrawal	MONEY FUND REDEMPTION	-20.14	93.83
05/06/22	Deposit	MONEY FUND PURCHASE	1.19	95.02
05/31/22	Closing Balance			\$95.02
<b>Total All Money Market Funds</b>				
<b>\$95.02</b>				

**Summary of Gains and Losses**

	The Period	Realized	Year-to-Date	Unrealized
Short-Term Gains/Losses	-36.01	-34.59	-179.28	
<b>Net Gain/Loss</b>	<b>-36.01</b>	<b>-34.59</b>	<b>-179.28</b>	

This summary excludes transactions where cost basis information is not available.

**Schedule of Realized Gains and Losses Current Period**

Acquisition Date	Date Acquired	Description	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
05/02/22	05/19/22	GOVY CDS	Minimize Short-Term Gains / SELL	7.962	296.39	300.00	-13.61
05/02/22	05/19/22	GOVY CDS	Minimize Short-Term Gains / SELL	18.116	175.00	177.90	-2.90

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**Money Market Fund Detail** – Here you will find the opening and closing balances, as well as daily money market fund activity presented in date sequence. If you hold more than one money market mutual fund, each fund's activity is listed separately.

**Summary of Gains and Losses** – For investors with gains and losses on their statements, information may be included here that displays a summary of unrealized and realized gains and losses.

**Schedule of Realized Gains and Losses** – For investors with information regarding cost basis and realized gains and losses on closed positions (as of the trade date) for the current statement period or year-to-date is listed here. Buy transactions, sell transactions and instruments that mature are displayed, among other transaction types. Also, as a result of IRS cost basis reporting requirements, the cost basis method, or tax lot disposition method used, will appear.

**JOHNSON** Financial Group  
Pershing Advisor Solutions LLC  
One Pershing Plaza  
Jersey City, NJ 07310

May 1, 2022 - May 31, 2022  
ACCOUNT BALANCE

**Your Account Information**

**TAX LOT DEFAULT DISPOSITION METHOD**  
Default Method for Mutual Funds: Minimize Short-Term Gains  
Default Method for Stocks in a Dividend Reinvestment Plan: Minimize Short-Term Gains  
Default Method for all Other Securities: Minimize Short-Term Gains

**BOND AMORTIZATION ELECTIONS**  
American premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: No  
Include market discount in income annually: No

**ELECTRONIC DELIVERY**  
Your electronic delivery selections for account communications are listed below:

**Electronic Delivery**

Enrollment	Communication
<input checked="" type="checkbox"/>	Statements and Reports
<input checked="" type="checkbox"/>	Trade Confirmations
<input checked="" type="checkbox"/>	Tax Documents
<input checked="" type="checkbox"/>	Notifications
<input checked="" type="checkbox"/>	Prospectus
<input checked="" type="checkbox"/>	Proxy/Shareholder Communications

Please log in to your account or contact your Relationship Manager to make any changes to your electronic delivery preferences.

**Important Information and Disclosures**

**The Role of Pershing**

- Pershing serves your account as a clearing agent pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it ensure the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents, the acceptance and, in certain instances, execution of securities orders, the assessment of the suitability of those transactions, where applicable, the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial institution's contact information can be found on the first page of this statement.

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**Your Account Information** – The default tax lots disposition methods for your account are displayed in this section. For information about all available methods, or to change your default selections, please consult your tax or financial advisor.

You will also find information regarding your e-delivery selections, interested parties that have received a copy of your statement, and any portfolio managers associated with the account. For retirement accounts, your prior year-end fair market value is displayed in this section.

**For Your Information** – Important messages and notices will be displayed, such as industry-related topics, regulatory announcements, and information regarding new solutions, will appear in this section.

## Additional Information

Your investment account statement is a vital tool in managing your financial stability, and we encourage you to review it whenever possible. Your personal statement will include only the sections that are relevant to your accounts and may not include all of the sections described in this guide. This particular sample investment account statement is designed to reflect a large number of potential situations. It is not intended to recommend any specific security or asset allocation.



Rated Excellent  
Every Year Since 2007  
DALBAR RATED COMMUNICATIONS  
EXCELLENCE



BANKING  
WEALTH  
INSURANCE