



# QUARTERLY REPORT OF ACCESS PERSONS SECURITIES TRANSACTIONS

Private Client Services, LLC's Code of Ethics and SEC regulations require that each *access person* (defined at Rule 204A-1(e)(1)) report, within 30 days of the end of each calendar quarter, any personal securities transactions in any account of the *access person*, or any account in which the *access person* or any immediate family or household member, has a direct or indirect pecuniary interest.

*Access Person* includes directors, officers, employees (full , part time and contractors) of the Registered Investment Advisor, but would also include any employees or associates who handle/touch/see investment advisory account client information (for example, front office/Ops, sales assistants to an advisory rep, consultants, etc.). **If you are receiving this request then you have been identified as an access person of Private Client Services, LLC.**

**NEW:** If you have a brokerage account with PCS, held at Pershing, you do not need to provide copies of statements or confirmations to comply with this request. Please list the account numbers below and the home office will review the account activity online. Please list all applicable accounts.

YES, I have had reportable personal securities transactions within the past quarter as reported on:

**PCS Brokerage Accounts:**

My brokerage account(s) is held at PCS. Account number(s): \_\_\_\_\_  
 \_\_\_\_\_

**Outside Brokerage Accounts:**

- Securities Transactions Reporting Form (attached)
- Confirmations/statements (attached)

NO, I have had no reportable personal securities transaction(s) in the past quarter.

**This Report is to be signed, dated and returned to the attention of the Compliance Department or scanned and e-mailed to [compliance@kfg.com](mailto:compliance@kfg.com).**

**The report must be received by the Compliance Department within 30 days of each calendar quarter end.** (March, June, September, December)

<i>By signing below I attest that the information contained on this report and attachments is true and accurate to the best of my knowledge:</i>		
<b>Access Person Name:</b>	<b>Signature:</b>	<b>Date:</b>

**Home Office Use Only:**

<i>Date reviewed:</i>		
<b>Approver Name:</b> John Taylor-Jones	<b>Signature:</b>	<b>Date:</b>



# ACCESS PERSONS SECURITIES TRANSACTIONS REPORTING FORM

<b>Access Person Name:</b>	<b>Quarter Ending:</b>	<b>Submission Date:</b>
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**Transactions do not need to be reported for:**

- 1) Any account in which the adviser or any *access person* has no direct or indirect influence or control,
- 2) Direct obligations of the U.S. Government, e.g., U.S. Treasury bills, notes and bonds,
- 3) High quality short-term instruments, e.g., U.S. bank certificates of deposit, bankers' acceptances, and commercial paper,
- 4) Open-end investment companies, i.e., mutual funds unless our firm, or an affiliated company acts as investment adviser, sub-adviser or principal underwriter to the mutual fund(s); and
- 5) Units of unit investment trusts, so long as the unit investment trust is neither managed by our firm, any affiliate of our firm, nor invested in affiliated mutual funds.

Trade Date	Security Description / Symbol / CUSIP	Buy / Sell	# Shares	Price / Share	Principal Amount	Name of Broker/Dealer or Bank

The reporting or recording of any such transaction shall not be construed as an admission that the investment adviser or access person has any direct or indirect beneficial ownership in the security.