

The logo for Clearwater, featuring the word "clearwater" in a blue, lowercase, sans-serif font. A thick blue horizontal line is positioned below the text, curving slightly upwards at both ends.

clearwater

## **Standard Month End GAAP**

RB-Castellini, Robert (60815)

Month End (M11 Y2016)

11/01/2016 - 11/30/2016

Dated: 12/13/2016

Locked Down

<a href="#">GAAP Financials (RB-Castellini, Robert (60815))</a>	1
<a href="#">Base Summary (RB-Castellini, Robert (60815))</a>	2
<a href="#">GAAP Income Detail (RB-Castellini, Robert (60815))</a>	3
<a href="#">GAAP Balance Sheet by Lot (RB-Castellini, Robert (60815))</a>	4
<a href="#">GAAP Transaction Detail (RB-Castellini, Robert (60815))</a>	5
<a href="#">GAAP Trading Activity (RB-Castellini, Robert (60815))</a>	6

<b>Balance Sheet</b>		<i>RB-Castellini, Robert</i>	
<b>As of:</b>	<i>10/31/2016</i>	<i>11/30/2016</i>	
Book Value	1,063,015.69	1,064,056.15	
Accrued Balance	14,753.69	16,185.38	
<b>Book Value + Accrued</b>	<b>1,077,769.38</b>	<b>1,080,241.53</b>	
Net Unrealized Gain/Loss	63,959.81	22,108.34	
<b>Market Value + Accrued</b>	<b>1,141,729.19</b>	<b>1,102,349.87</b>	

<b>Income Statement</b>		<i>RB-Castellini, Robert</i>	
	<i>Begin Date</i>	<i>11/01/2016</i>	
	<i>End Date</i>	<i>11/30/2016</i>	
<b>Net Amortization/Accretion Income</b>			-1,460.83
Interest Income	3,932.97		
Dividend Income	0.00		
Misc Income	0.00		
<b>Income Subtotal</b>		<b>3,932.97</b>	
Net Realized Gain/Loss	0.00		
Impairment Loss	0.00		
<b>Net Gain/Loss</b>			<b>0.00</b>
Expense	0.00		
<b>Net Income</b>			<b>2,472.14</b>
Transfers In/Out			0.00
Change in Unrealized Gain/Loss			-41,851.47

<b>Statement of Cash Flows</b>		<i>RB-Castellini, Robert</i>	
	<i>Begin Date</i>	<i>11/01/2016</i>	
	<i>End Date</i>	<i>11/30/2016</i>	
<b>Net Income</b>			2,472.14
Amortization/Accretion on MS	1,460.83		
Change in Accrued on MS	-1,432.29		
Net Gain/Loss on MS	0.00		
Change in Unrealized G/L on CE	0.00		
<b>Subtotal</b>			<b>28.54</b>
Purchases of MS	0.00		
Purchased Accrued of MS	0.00		
Sales of MS	0.00		
Sold Accrued of MS	0.00		
Maturities of MS	0.00		
<b>Net Purchases/Sales</b>			<b>0.00</b>
Transfers of Cash & CE			0.00
<b>Total Change in Cash &amp; CE</b>			<b>2,500.68</b>
Beginning Cash & CE			10,328.97
<b>Ending Cash &amp; CE</b>			<b>12,829.65</b>

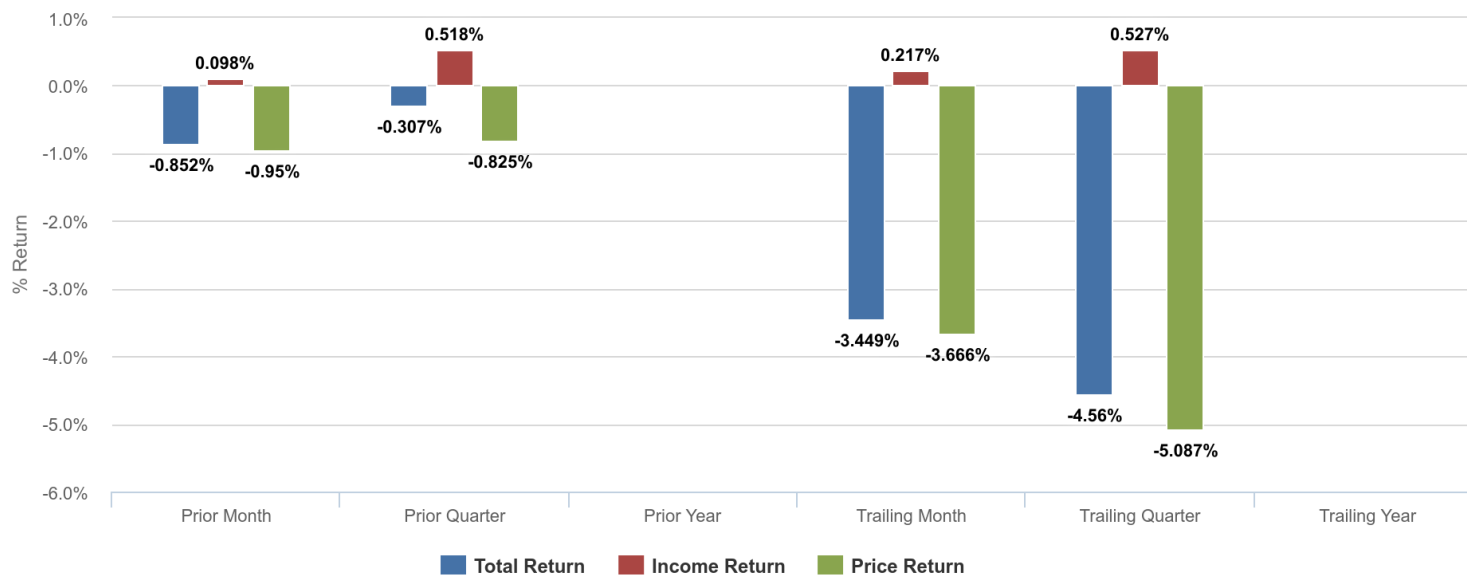
# Base Summary

Base Currency: USD As of 11/30/2016

RB-Castellini, Robert (60815)

Dated: 12/13/2016

[Return to Table of Contents](#)



Period	Period Begin	Period End	Total Return	Income Return	Price Return
Prior Month	10/01/2016	10/31/2016	-0.852%	0.098%	-0.950%
Prior Quarter	07/01/2016	09/30/2016	-0.307%	0.518%	-0.825%
Prior Year	01/01/2015	12/31/2015	---	---	---
Trailing Month	11/01/2016	11/30/2016	-3.449%	0.217%	-3.666%
Trailing Quarter	09/01/2016	11/30/2016	-4.560%	0.527%	-5.087%
Trailing Year	12/01/2015	11/30/2016	---	---	---

Account	Index	Index Start Date	Index End Date
RB-Castellini, Robert	NO BENCHMARK REQUIRED	---	---

All Fees (includes administrative, management, and trading).

Returns are actual and have not been annualized.

No Tax Adjustment.

Note that data will not exist prior to the performance inception date of: 05/01/2013.

Historical data exists for the options shown below:

Begin Date	End Date	Return Type	Fee Options	Tax Options
05/01/2013	12/31/2015	Total Return	Net of Fees	No Tax Adjustment

# GAAP Income Detail

RB-Castellini, Robert (60815)

11/01/2016 - 11/30/2016

[Return to Table of Contents](#)

Dated: 12/13/2016

Account	Identifier, Description	Current Units	Currency	BS Class	Amortization Expense	Accretion Income	Misc Income, Expense	Interest/Dividend Income	Realized Gain	Realized Loss	Impairment Loss	Net Income
RB-Castellini, Robert	0276SUGZ1 AMERICAN MUN PWR OHIO INC REV	20,000.00	USD	LT	-31.63	0.00	0.00 0.00	87.50	0.00	0.00	0.00	55.87
RB-Castellini, Robert	0276SUHX5 AMERICAN MUN PWR OHIO INC REV	5,000.00	USD	LT	-7.91	0.00	0.00 0.00	21.88	0.00	0.00	0.00	13.97
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	10,000.00	USD	LT	-16.52	0.00	0.00 0.00	41.67	0.00	0.00	0.00	25.14
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	20,000.00	USD	LT	-33.15	0.00	0.00 0.00	83.33	0.00	0.00	0.00	50.18
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	15,000.00	USD	LT	-23.97	0.00	0.00 0.00	62.50	0.00	0.00	0.00	38.53
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	5,000.00	USD	LT	-8.01	0.00	0.00 0.00	20.83	0.00	0.00	0.00	12.82
RB-Castellini, Robert	172311HA3 CINCINNATI OHIO WTR SYS REV	50,000.00	USD	LT	-85.98	0.00	0.00 0.00	208.33	0.00	0.00	0.00	122.36
RB-Castellini, Robert	186427BU3 CLEVELAND OHIO WTR REV	25,000.00	USD	LT	-42.28	0.00	0.00 0.00	104.17	0.00	0.00	0.00	61.89
RB-Castellini, Robert	199492DK2 COLUMBUS OHIO	50,000.00	USD	LT	-78.69	0.00	0.00 0.00	208.33	0.00	0.00	0.00	129.64
RB-Castellini, Robert	39167JAT2 GREATER CLEVELAND REGL TRAN AUTH OHIO SALES TAX S	50,000.00	USD	LT	-76.57	0.00	0.00 0.00	218.75	0.00	0.00	0.00	142.18
RB-Castellini, Robert	407272R54 HAMILTON CNTY OHIO HOSP FACs REV	25,000.00	USD	LT	-30.29	0.00	0.00 0.00	104.17	0.00	0.00	0.00	73.88
RB-Castellini, Robert	663903DV1 NORTHEAST OHIO REGL SWR DIST WASTEWTR REV	50,000.00	USD	LT	-80.77	0.00	0.00 0.00	208.33	0.00	0.00	0.00	127.57
RB-Castellini, Robert	677521AX4 OHIO STATE	50,000.00	USD	LT	-84.15	0.00	0.00 0.00	187.50	0.00	0.00	0.00	103.35
RB-Castellini, Robert	677521E44 OHIO STATE	50,000.00	USD	LT	-84.95	0.00	0.00 0.00	208.33	0.00	0.00	0.00	123.38
RB-Castellini, Robert	677521W36 OHIO STATE	50,000.00	USD	LT	-56.87	0.00	0.00 0.00	208.33	0.00	0.00	0.00	151.46
RB-Castellini, Robert	67755CYW3 OHIO ST BLDG AUTH	50,000.00	USD	LT	-97.19	0.00	0.00 0.00	208.33	0.00	0.00	0.00	111.15
RB-Castellini, Robert	67759HDX9 OHIO ST SPL OBLIG	25,000.00	USD	LT	-43.54	0.00	0.00 0.00	104.17	0.00	0.00	0.00	60.63
RB-Castellini, Robert	67760HJC6 OHIO ST TPK COMMN TPK REV	50,000.00	USD	LT	-54.45	0.00	0.00 0.00	208.33	0.00	0.00	0.00	153.88
RB-Castellini, Robert	67760HJM4 OHIO ST TPK COMMN TPK REV	25,000.00	USD	LT	-22.83	0.00	0.00 0.00	104.17	0.00	0.00	0.00	81.33
RB-Castellini, Robert	677632ZV6 OHIO ST UNIV GEN RCPTS	25,000.00	USD	LT	-46.31	0.00	0.00 0.00	104.17	0.00	0.00	0.00	57.86
RB-Castellini, Robert	67765QAH9 OHIO ST WTR DEV AUTH REV	50,000.00	USD	LT	-87.48	0.00	0.00 0.00	208.33	0.00	0.00	0.00	120.86
RB-Castellini, Robert	677704ZR2 OHIO UNIV GEN RCPTS ATHENS	50,000.00	USD	LT	-77.03	0.00	0.00 0.00	208.33	0.00	0.00	0.00	131.30
RB-Castellini, Robert	680616YN3 OLENTANGY LOC SCH DIST OHIO	50,000.00	USD	LT	-68.46	0.00	0.00 0.00	229.17	0.00	0.00	0.00	160.71
RB-Castellini, Robert	808515308 SCHWAB:MUNI MNY;SWP	12,829.34	USD	CE	0.00	0.00	0.00 0.00	0.68	0.00	0.00	0.00	0.68
RB-Castellini, Robert	821264AM0 SHEFFIELD LAKE OHIO CITY SCH DIST	50,000.00	USD	LT	-86.53	0.00	0.00 0.00	208.33	0.00	0.00	0.00	121.80
RB-Castellini, Robert	863370VH2 STRONGSVILLE OHIO	50,000.00	USD	LT	-74.58	0.00	0.00 0.00	166.67	0.00	0.00	0.00	92.08
RB-Castellini, Robert	889396QF7 TOLEDO OHIO WTRWKS REV	50,000.00	USD	LT	-60.69	0.00	0.00 0.00	208.33	0.00	0.00	0.00	147.64
<b>RB-Castellini, Robert</b>	<b>---</b>	<b>962,829.34</b>	<b>USD</b>	<b>---</b>	<b>-1,460.83</b>	<b>0.00</b>	<b>0.00 0.00</b>	<b>3,932.97</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2,472.14</b>

\* Weighted by: Ending Market Value + Accrued.

# GAAP Balance Sheet by Lot

As of 11/30/2016

[Return to Table of Contents](#)

RB-Castellini, Robert (60815)

Dated: 12/13/2016

Account	Identifier, Description	Current Units	Currency	BS Class	Trade Date	Final Maturity	Book Value	Interest/Dividend Due	Accrued Balance	Net Unrealized Gain/Loss	Market Value	Market Value + Accrued
RB-Castellini, Robert	02765UGZ1 AMERICAN MUN PWR OHIO INC REV	20,000.00	USD	LT	05/04/2013	02/15/2018	20,477.56	0.00	309.17	521.84	20,999.40	21,308.57
RB-Castellini, Robert	02765UHX5 AMERICAN MUN PWR OHIO INC REV	5,000.00	USD	LT	05/04/2013	02/15/2023	5,119.39	0.00	77.29	106.36	5,225.75	5,303.04
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	10,000.00	USD	LT	05/01/2013	12/01/2027	11,317.42	0.00	250.00	39.18	11,356.60	11,606.60
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	20,000.00	USD	LT	05/01/2013	12/01/2027	22,642.68	0.00	500.00	70.52	22,713.20	23,213.20
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	15,000.00	USD	LT	05/01/2013	12/01/2027	16,915.02	0.00	375.00	119.88	17,034.90	17,409.90
RB-Castellini, Robert	172217QK0 CINCINNATI OHIO	5,000.00	USD	LT	05/01/2013	12/01/2027	5,640.09	0.00	125.00	38.21	5,678.30	5,803.30
RB-Castellini, Robert	172311HA3 CINCINNATI OHIO WTR SYS REV	50,000.00	USD	LT	07/15/2013	12/01/2021	55,632.07	0.00	1,250.00	1,418.93	57,051.00	58,301.00
RB-Castellini, Robert	186427BU3 CLEVELAND OHIO WTR REV	25,000.00	USD	LT	05/07/2013	01/01/2026	27,830.17	0.00	520.83	213.08	28,043.25	28,564.08
RB-Castellini, Robert	199492DK2 COLUMBUS OHIO	50,000.00	USD	LT	05/30/2013	07/01/2023	56,975.45	0.00	1,041.67	1,782.05	58,757.50	59,799.17
RB-Castellini, Robert	39167JAT2 GREATER CLEVELAND REGL TRAN AUTH OHIO SALES TAX S	50,000.00	USD	LT	05/01/2013	12/01/2021	55,080.27	0.00	1,312.50	2,894.23	57,974.50	59,287.00
RB-Castellini, Robert	407272R54 HAMILTON CNTY OHIO HOSP FACS REV	25,000.00	USD	LT	04/03/2014	02/01/2022	27,093.29	0.00	416.67	806.46	27,899.75	28,316.42
RB-Castellini, Robert	663903DV1 NORTHEAST OHIO REGL SWR DIST WASTEWTR REV	50,000.00	USD	LT	05/13/2013	11/15/2027	56,915.70	0.00	111.11	20.30	56,936.00	57,047.11
RB-Castellini, Robert	677521AX4 OHIO STATE	50,000.00	USD	LT	07/17/2013	08/01/2020	53,952.43	0.00	750.00	890.57	54,843.00	55,593.00
RB-Castellini, Robert	677521E44 OHIO STATE	50,000.00	USD	LT	05/15/2013	10/01/2024	56,472.44	0.00	416.67	940.56	57,413.00	57,829.67
RB-Castellini, Robert	677521W36 OHIO STATE	50,000.00	USD	LT	07/24/2013	04/01/2023	53,208.87	0.00	416.67	2,599.63	55,808.50	56,225.17
RB-Castellini, Robert	67755CYW3 OHIO ST BLDG AUTH	50,000.00	USD	LT	08/26/2013	10/01/2019	53,450.70	0.00	416.67	1,287.30	54,738.00	55,154.67
RB-Castellini, Robert	67759HDX9 OHIO ST SPL OBLIG	25,000.00	USD	LT	01/14/2015	04/01/2027	29,861.61	0.00	208.33	-939.36	28,922.25	29,130.58
RB-Castellini, Robert	67760HJC6 OHIO ST TPK COMMN TPK REV	50,000.00	USD	LT	06/26/2013	02/15/2024	52,267.84	0.00	736.11	2,615.16	54,883.00	55,619.11
RB-Castellini, Robert	67760HJM4 OHIO ST TPK COMMN TPK REV	25,000.00	USD	LT	07/31/2013	02/15/2024	26,947.86	0.00	368.06	1,663.64	28,611.50	28,979.56
RB-Castellini, Robert	677632ZV6 OHIO ST UNIV GEN RCPTS	25,000.00	USD	LT	04/30/2013	06/01/2024	28,987.76	0.00	625.00	-167.51	28,820.25	29,445.25
RB-Castellini, Robert	67765QAH9 OHIO ST WTR DEV AUTH REV	50,000.00	USD	LT	07/31/2013	06/01/2021	55,122.48	0.00	1,250.00	1,667.52	56,790.00	58,040.00
RB-Castellini, Robert	677704ZR2 OHIO UNIV GEN RCPTS ATHENS	50,000.00	USD	LT	05/23/2013	12/01/2025	56,169.77	0.00	1,250.00	573.73	56,743.50	57,993.50
RB-Castellini, Robert	680616YN3 OLENTANGY LOC SCH DIST OHIO	50,000.00	USD	LT	07/11/2013	12/01/2025	56,638.64	0.00	1,375.00	3,033.86	59,672.50	61,047.50
RB-Castellini, Robert	808515308 SCHWAB:MUNI MNY;SWP	12,829.34	USD	CE	---	11/30/2016	12,829.34	0.00	0.31	0.00	12,829.34	12,829.65
RB-Castellini, Robert	821264AM0 SHEFFIELD LAKE OHIO CITY SCH DIST	50,000.00	USD	LT	04/30/2013	12/01/2019	53,319.03	0.00	1,250.00	1,841.47	55,160.50	56,410.50
RB-Castellini, Robert	863370VH2 STRONGSVILLE OHIO	50,000.00	USD	LT	06/23/2016	12/01/2027	57,901.34	0.00	722.22	-4,171.34	53,730.00	54,452.22
RB-Castellini, Robert	889396QF7 TOLEDO OHIO WTRWKS REV	50,000.00	USD	LT	06/17/2013	11/15/2024	55,286.93	0.00	111.11	2,242.07	57,529.00	57,640.11
<b>RB-Castellini, Robert</b>	<b>---</b>	<b>962,829.34</b>	<b>USD</b>	<b>---</b>	<b>---</b>	<b>10/14/2023</b>	<b>1,064,056.15</b>	<b>0.00</b>	<b>16,185.38</b>	<b>22,108.34</b>	<b>1,086,164.49</b>	<b>1,102,349.87</b>

\* Weighted by: Market Value + Accrued.

# GAAP Transaction Detail

11/01/2016 - 11/30/2016

[Return to Table of Contents](#)

RB-Castellini, Robert (60815)

Dated: 12/13/2016

\* Does not Lock Down.

Account	Identifier	Description	Current Units	Currency	Transaction Type	Entry Date	Settle Date	Final Maturity	Price	Principal	Realized Gain/Loss	Commission	Amount
RB-Castellini, Robert	663903DV1	NORTHEAST OHIO REGL SWR DIST WASTEWTR REV	0.00	USD	Coupon	11/15/2016	11/15/2016	11/15/2027	---	0.00	0.00	0.00	1,250.00
RB-Castellini, Robert	808515308	SCHWAB:MUNI MNY;SWP	2,501.29	USD	Buy	---	---	11/30/2016	1.00	2,501.29	0.00	0.00	-2,501.29
RB-Castellini, Robert	808515308	SCHWAB:MUNI MNY;SWP	0.00	USD	Money Market Funds	11/15/2016	11/15/2016	11/30/2016	---	0.00	0.00	0.00	1.29
RB-Castellini, Robert	889396QF7	TOLEDO OHIO WTRWKS REV	0.00	USD	Coupon	11/15/2016	11/15/2016	11/15/2024	---	0.00	0.00	0.00	1,250.00
<b>RB-Castellini, Robert</b>	---	---	<b>2,501.29</b>	<b>USD</b>	---	---	---	---	---	<b>2,501.29</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

\* Showing transactions with Entry Date within selected date range. \* MMF transactions are collapsed.

\* The Transaction Detail/Trading Activity reports provide our most up-to-date transactional details. As such, these reports are subject to change even after the other reports on the website have been locked down. While these reports can be useful tools in understanding recent activity, due to their dynamic nature we do not recommend using them for booking journal entries or reconciliation.

# GAAP Trading Activity

11/01/2016 - 11/30/2016

RB-Castellini, Robert (60815)

Dated: 12/13/2016

[Return to Table of Contents](#)

\* Does not Lock Down.

Account	Identifier	Description	Current Units	Currency	Transaction Type	Trade Date	Settle Date	Final Maturity	Price	Principal	Accrued Interest	Amount
RB-Castellini, Robert	808515308	SCHWAB:MUNI MNY;SWP	2,501.29	USD	Buy	---	---	11/30/2016	1.00	2,501.29	0.00	-2,501.29
<b>RB-Castellini, Robert</b>	<b>808515308</b>	<b>SCHWAB:MUNI MNY;SWP</b>	<b>2,501.29</b>	<b>USD</b>	<b>Buy</b>	<b>---</b>	<b>---</b>	<b>11/30/2016</b>	<b>1.00</b>	<b>2,501.29</b>	<b>0.00</b>	<b>-2,501.29</b>

\* Showing transactions with Trade Date within selected date range. \* MMF transactions are collapsed.

\* The Transaction Detail/Trading Activity reports provide our most up-to-date transactional details. As such, these reports are subject to change even after the other reports on the website have been locked down. While these reports can be useful tools in understanding recent activity, due to their dynamic nature we do not recommend using them for booking journal entries or reconciliation.