Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2020

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2020 or fiscal plan year beginning 12/01/2020 and ending 11/30/2021

A This return/report is for:
- ☐ a multiemployer plan
- ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- ☒ a single-employer plan
- ☐ a DFE (specify) ____

B This return/report is:
- ☐ the first return/report
- ☐ the final return/report
- ☐ an amended return/report
- ☐ a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. . . . . ▶ ☐

D Check box if filing under:
- ☒ Form 5558
- ☐ automatic extension
- ☐ the DFVC program
- ☐ special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 01/01/1973

2a Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
FREDERIC W. COOK & CO., INC.

685 THIRD AVENUE
28TH FLOOR
NEW YORK, NY 10017

2b Employer Identification Number (EIN) 13-2733056

2c Plan Sponsor's telephone number 212-986-6330

2d Business code (see instructions) 541600

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	08/26/2022	ROSEMARY KILLEEN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address [X] Same as Plan Sponsor

3b Administrator's EIN

3c Administrator's telephone number

4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report:
a Sponsor's name
c Plan Name

4b EIN

4d PN

5 Total number of participants at the beginning of the plan year	**5**	148
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**).		
a(1) Total number of active participants at the beginning of the plan year	**6a(1)**	102
a(2) Total number of active participants at the end of the plan year	**6a(2)**	105
b Retired or separated participants receiving benefits	**6b**	4
c Other retired or separated participants entitled to future benefits	**6c**	44
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	153
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f Total. Add lines **6d** and **6e**	**6f**	153
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	153
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	0
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2G 2J 2T 3D 2R

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply)

(1)	[ ]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

(1)	[ ]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

(1)	[X]	**R** (Retirement Plan Information)
(2)	[ ]	**MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
(3)	[ ]	**SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

(1)	[X]		**H** (Financial Information)
(2)	[ ]		**I** (Financial Information – Small Plan)
(3)	[ ]	0	**A** (Insurance Information)
(4)	[X]		**C** (Service Provider Information)
(5)	[ ]		**D** (DFE/Participating Plan Information)
(6)	[ ]		**G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2020 Form M-1 annual report. If the plan was not required to file the 2020 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2020** **This Form is Open to Public Inspection.**

For calendar plan year 2020 or fiscal plan year beginning 12/01/2020 and ending 11/30/2021

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

WILKIN & GUTTENPLAN PC

22-2612018

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
10	ACCOUNTANT/AUDITOR	15000	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

STRATEGIC ADVISORS, INC.

04-2654524

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	8083	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65 71	RECORDKEEPER	-44537	Yes [X] No [ ]	Yes [X] No [ ]	80	Yes [X] No [ ]

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABF SM CAP VALUE A - DST ASSET MAN 430 W 7TH STREET STE 219432 KANSAS CITY, MO 64105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN MID CAP VAL - DST ASSET MA 430 W 7TH STREET STE 219432 KANSAS CITY, MO 64105	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON ASSET FUND - DST SYSTEMS INC 43-1581814	0.40%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS DEVELOP MKT A - INVESCO INVES 11 GREENWAY PLAZA, SUITE 100 HOUSTON, TX 77046	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP EQUITY INC ADV - T. ROWE PRICE 52-2269240	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON EMERGING MARKETS 767 5TH AVENUE 49TH FLOOR NEW YORK, NY 10153	0.10%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BRANDES EMERGING MARKETS	11988 EL CAMINO RALO STE 500 SAN DIEGO, CA 92130	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
DF DENT SMALL CAP GROWTH	2 EAST READ ST 6TH FLOOR BALTIMORE, MD 21202	0.12%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GUGGENHEIM TOTAL RETURN	9601 BLACKWELL RD., STE. 500 ROCKVILLE, MD 20850	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	16

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARTNER SELECT EQUITY 1290 BROADWAY, SUITE 1100 DENVER, CO 80203	-

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	16

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARTNER SELECT ALT 1290 BROADWAY, SUITE 1100 DENVER, CO 80203	-

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	16

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARTNERSELECT OLDFIELD 1290 BROADWAY, SUITE 1100 DENVER, CO 80203	-

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	16

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
LITMAN GREGORY PRTSLSBH FOCUS 1290 BROADWAY, SUITE 1100 DENVER, CO 80203	-

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	16

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PARTNER SELECT HIGH 1290 BROADWAY, SUITE 1100 DENVER, CO 80203	-

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ALPHASIMPLEX MANAGED 399 BOYLSTON STREET, 8TH FLOOR BOSTON, MA 02116	0.05%

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

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Part III	**Termination Information on Accountants and Enrolled Actuaries (see instructions)** (complete as many entries as needed)

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2020

This Form is Open to Public Inspection

For calendar plan year 2020 or fiscal plan year beginning 12/01/2020 and ending 11/30/2021

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	13125	17438
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	0	0
(2) Participant contributions	1b(2)	0	0
(3) Other	1b(3)	0	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	4151392	4610707
(2) U.S. Government securities	1c(2)	0	0
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	0	0
(B) All other	1c(3)(B)	0	0
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	0	0
(B) Common	1c(4)(B)	9814909	9637894
(5) Partnership/joint venture interests	1c(5)	0	0
(6) Real estate (other than employer real property)	1c(6)	0	0
(7) Loans (other than to participants)	1c(7)	0	0
(8) Participant loans	1c(8)	112294	155590
(9) Value of interest in common/collective trusts	1c(9)	0	0
(10) Value of interest in pooled separate accounts	1c(10)	0	0
(11) Value of interest in master trust investment accounts	1c(11)	0	0
(12) Value of interest in 103-12 investment entities	1c(12)	0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	79624583	95021858
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)	0	0
(15) Other	1c(15)	-14217	1647

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	1d(1)	0	0
	(2) Employer real property	1d(2)	0	0
e	Buildings and other property used in plan operation	1e	0	0
f	Total assets (add all amounts in lines 1a through 1e)	1f	93702086	109445134
	Liabilities			
g	Benefit claims payable	1g	0	0
h	Operating payables	1h	0	0
i	Acquisition indebtedness	1i	0	0
j	Other liabilities	1j	0	0
k	Total liabilities (add all amounts in lines 1g through1j)	1k	0	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	93702086	109445134

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

	Income		**(a)** Amount	**(b)** Total
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	2a(1)(A)	3009983	
	(B) Participants	2a(1)(B)	1107225	
	(C) Others (including rollovers)	2a(1)(C)	23493	
	(2) Noncash contributions	2a(2)	0	
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		4140701
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	510	
	(B) U.S. Government securities	2b(1)(B)	0	
	(C) Corporate debt instruments	2b(1)(C)	0	
	(D) Loans (other than to participants)	2b(1)(D)	0	
	(E) Participant loans	2b(1)(E)	6073	
	(F) Other	2b(1)(F)	0	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		6583
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)	0	
	(B) Common stock	2b(2)(B)	13704	
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	5367875	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		5381579
	(3) Rents	2b(3)		0
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)	15040016	
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)	13550199	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		1489817
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)	0	
	(B) Other	2b(5)(B)	-1483056	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		-1483056

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		0
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		0
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		9880589
c Other income	2c		0
d Total income. Add all **income** amounts in column (b) and enter total	2d		19416213
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	3694620	
(2) To insurance carriers for the provision of benefits	2e(2)	0	
(3) Other	2e(3)	0	
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		3694620
f Corrective distributions (see instructions)	2f		0
g Certain deemed distributions of participant loans (see instructions)	2g		0
h Interest expense	2h		0
i Administrative expenses: **(1)** Professional fees	2i(1)	0	
(2) Contract administrator fees	2i(2)	0	
(3) Investment advisory and management fees	2i(3)	8083	
(4) Other	2i(4)	-29538	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		-21455
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		3673165
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		15743048
l Transfers of assets:			
(1) To this plan	2l(1)		0
(2) From this plan	2l(2)		0

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [X] Unmodified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) [X] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [ ] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: WILKIN AND GUTTENPLAN PC **(2)** EIN: 22-2612018

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	

			Yes	No	Amount
b	Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	**4b**		X	
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	**4c**		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	**4d**		X	
e	Was this plan covered by a fidelity bond?	**4e**	X		500000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	**4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	**4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	**4k**		X	
l	Has the plan failed to provide any benefit when due under the plan?	**4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No

If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2020

This Form is Open to Public Inspection.

For calendar plan year 2020 or fiscal plan year beginning 12/01/2020 and ending 11/30/2021

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions **1**

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 04-6568107

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year **3**

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) **6a**

b Enter the amount contributed by the employer to the plan for this plan year **6b**

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) **6c**

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 a Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment)	**14a**	
b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14b**	
c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

19 If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

20 **PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation_____

WilkinGuttenplan
CPAs & Advisors

August 18, 2022

To the Plan Administrator and Trustees of

Frederic W. Cook & Co., Inc.

We have audited the financial statements of Frederic W. Cook & Co., Inc., (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) ("ERISA Section 103(a)(3)(C) audit") for the year ended November 30, 2021 and we will issue our report thereon dated August 18, 2022. As permitted by ERISA Section 103(a)(3)(C), our audit did not extend to any statements or information related to assets held for investment of the Plan (investment information) by Fidelity Management Trust Company, the trustee, which is a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, that prepared and certified the statements or information regarding assets so held in accordance with 29 CFR 2520.103-5. Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements and ERISA-required supplemental schedules, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of GAAP. Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with GAAP. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our engagement letter dated February 23, 2022.

Professional standards require that we provide you with certain information related to our audit. Part I of this letter relays this required information. Part II details our comments and recommendations, all of which have been discussed with appropriate members of management, that are intended to improve the internal control or result in other operating efficiencies. We will be pleased to discuss this letter as well as the comments in further detail at your convenience, perform any additional study of these matters, or assist you in implementing the recommendations. We will review the status of these comments during our next audit engagement.

This letter does not affect our report on the above referenced financial statements of the Plan.

PART I COMMUNICATION OF INFORMATION AS REQUIRED BY PROFESSIONAL STANDARDS

A. Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Plan are described in Note 2 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during the year ended November 30, 2021. We noted no transactions entered into by the plan during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements and are based on your knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected.

The most sensitive estimates affecting the financial statements were:

Your estimate of the fair value of financial instruments is based upon the following:

Registered Investment Companies: unadjusted quoted prices in active markets for identical assets.
Common stocks: closing price quoted in the active market on which the individual securities are traded.

We evaluated the key factors and assumptions used to develop the fair value of financial instruments in determining that it is reasonable in relation to the financial statements taken as a whole.

There were no sensitive disclosures affecting the financial statements in the current year.

The financial statement disclosures are neutral, consistent, and clear.

B. Form 5500 Procedures

We are required to obtain and read a substantially complete draft of Form 5500 prior to dating our auditor's report. The purpose of this procedure is to identify any material inconsistencies between the draft Form 5500 and the Plan's financial statements. We identified no material inconsistencies in performing and completing our audit.

C. Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in performing and completing our audit.

D. Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. Management has corrected all such misstatements and has represented to us in the signed representation letter that they have considered the effects of uncorrected misstatements and that their effects are immaterial, both individually and in the aggregate, to the financial statements taken as a whole. The uncorrected misstatements, if any, or the matters underlying them could potentially cause future period financial statements to be materially misstated, even though, in our judgment, such uncorrected misstatements are immaterial to the financial statements under audit.

E. Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

F. Other Matters

Our responsibility for the ERISA-required supplemental schedules accompanying the financial statements is to perform adequate procedures to evaluate whether the form and content of the ERISA-required supplemental schedules, other than that agreed to or derived from the certified investment information, is presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA, and whether the information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

PART II COMMENTS AND RECOMMENDATIONS

A. Employees Opting out of Plan Participation

We recommend that the Plan obtain and retain an opt-out waiver from eligible employees who elect not to participate in the Plan. This waiver provides substantiation that the Plan has offered participation to eligible employees in the event of a Department of Labor or Internal Revenue Service audit.

This information is intended solely for the use of the Trustees and management of the Plan and is not intended to be and should not be used by anyone other than those specified parties.

We would like to thank all management and Plan officials for the cooperation and courtesy extended to us during our audit.

Very truly yours,



Wilkin & Guttenplan, P.C.
Certified Public Accountants

Frederic W. Cook & Co., Inc.
Deferred Profit Sharing Plan
Financial Statements
November 30, 2021 and 2020

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
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November 30, 2021 and 2020

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WilkinGuttenplan
CPAs & Advisors

Independent Auditors' Report

To the Plan Administrator and Participants of the
Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit

We have performed an audit of the accompanying financial statements of Frederic W. Cook & Co., Inc. Deferred Profit Sharing (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) ("ERISA Section 103(a)(3)(C) audit"). The financial statements comprise the statement of net assets available for benefits as of November 30, 2021, and the related statement of changes in net assets available for benefits for the year then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of the Plan's financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the Plan ("investment information") by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA ("qualified institution").

Management has obtained a certification from a qualified institution as of and for the year ended November 30, 2021, stating that the certified investment information, as described in Note 3 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audit and on the procedures performed as described in the Auditor's Responsibilities for the Audit of the Financial Statements section –

1. the amounts and disclosures in the financial statements referred to above, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

2. the information in the financial statements referred to above related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

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Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all Plan amendments; administering the Plan; and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

1. Exercise professional judgment and maintain professional skepticism throughout the audit.

2. Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.

3. Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.

4. Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.

5. Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedules Required by ERISA

The supplemental schedule of Schedule of Assets Held are presented for purposes of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedules, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with generally accepted auditing standards. For information included in the supplemental schedules that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, other than the information agreed to or derived from the certified investment information, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion —

1. the form and content of the supplemental schedules, other than the information in the supplemental schedules that agreed to or is derived from the certified investment information, are presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

2. the information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).



East Brunswick, New Jersey

August 18, 2022

WilkinGuttenplan
CPAs & Advisors

Independent Auditors' Report

To the Plan Administrator and Participants of the
Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statement of Frederic W. Cook & Co., Inc. Deferred Profit Sharing (the "Plan"), which comprise the statement of net assets available for Benefits as of November 30, 2021, and the related statement of changes in net assets available for benefits for the year ended November 30, 2021, and the related notes to the financial statement.

Management's Responsibility for the Financial Statements

Plan management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company ("Fidelity"), except for comparing the information with the related information included in the financial statements and supplemental schedule. We have been informed by the Plan administrator that Fidelity holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Fidelity as of and for the years ended November 30, 2021, that the information provided to the Plan administrator by Fidelity is complete and accurate.

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Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by Fidelity, has been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.



East Brunswick, New Jersey

August 18, 2022

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statements of Net Assets Available for Benefits
November 30, 2021 and 2020

	2021	2020
Assets		
Investments at Fair Value		
Registered investment companies	$ 95,023,505	$ 79,610,366
Self-directed brokerage account	9,637,894	9,814,909
Cash and cash equivalents	4,628,145	4,164,517
Total Investments	109,289,544	93,589,792
Participants' Notes Receivable	155,590	112,294
Net Assets Available for Benefits	$ 109,445,134	$ 93,702,086

The accompanying notes are an integral part of these financial statements.

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statement of Changes in Net Assets Available for Benefits
For the Year Ended November 30, 2021

Additions	
Investment income	
Net appreciation in fair value of investments	$ 9,887,350
Interest and dividends	5,382,089
Total Investment Income	15,269,439
Contributions	
Participant	1,107,225
Employer	3,009,983
Rollovers	23,493
Total Contributions	4,140,701
Interest income on participant notes receivable	6,073
Revenue Sharing Arrangement, net	29,538
Total Additions to Net Assets	19,445,751
Deductions	
Benefits paid to participants	3,694,620
Administrative expenses	8,083
Total Deductions	3,702,703
Net Increase in Net Assets Available for Benefits	15,743,048
Net Assets Available for Benefits - Beginning of Year	93,702,086
Net Assets Available for Benefits - End of Year	$ 109,445,134

The accompanying notes are an integral part of these financial statements.

Note 1 Description of Plan

The following description of Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan (the "Plan") is provided for general information purposes only. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General

The Plan is a participant-directed defined contribution plan established on January 1, 1973, by Frederic W. Cook & Co., Inc. (collectively, the "Company" or "Plan Sponsor") under the provision of Section 401(a) of the Internal Revenue Code ("IRC"), which includes a qualified cash or deferred arrangement as described in section 401(k) of the IRC, for the benefit of eligible employees of the Company. Effective August 27, 2014, a new volume submitter Plan document was adopted and became effective, which covers all eligible employees (as defined by the Plan) of the Company. There were no significant changes to Plan provisions as a result of the adoption of the new Plan document. The Plan is subject to the provisions of the Employee Retirement Security Act of 1974, as amended (ERISA).

Plan Contributions

Eligible employees can contribute up to 75% of their eligible compensation as defined by the Plan, subject to certain limitations under the IRC. Eligible employees are permitted to make both pre-tax and after-tax (ROTH) contributions provided the total of such elective contributions does not exceed the limits stated in the Plan. Participants who have obtained age 50 before the end of the Plan year are eligible to make catch up contributions. Participants may also contribute amounts representing distributions from other qualified plans. The Plan allows for a discretionary employer contribution. Employer contributions for the year ended November 30, 2021 totaled $3,009,983.

Participants' Accounts

Each participant's account is credited with the participant's contribution and allocations of (a) the Company's contribution and (b) Plan earnings. The participant's account is also charged with an allocation of administrative expenses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Vesting

Participants are vested immediately in their contributions plus actual earnings thereon. Participants are 100% vested immediately in the Company's contribution portion of their accounts.

Note 1 Description of Plan (Continued)

Participants' Notes Receivable

A participant may borrow from his or her account up to a maximum equal to the lesser of $50,000 or 50 percent of the vested account balance. The maximum loan term is five years unless the loan is taken to purchase a principal residence. Notes are secured by the balance in the participant's account and bear interest at a rate of prime plus one percent, determined as of the date of the loan origination. Interest rates ranged from 4.25%-6.50% during the year ended November 30, 2021. Notes are repaid through payroll deductions.

Payment of Benefits

On termination of service due to death, disability, or retirement, a participant may elect to receive either a lump-sum amount equal to the value of the participant's vested interest in his or her account, or annual installments. For termination of service for other reasons, a participant may receive the value of the vested interest in his or her account as a lump-sum distribution.

Hardship Benefits

The Plan allows for "hardship withdrawals" of employee benefits from participant's pre-tax elective deferral and ROTH elective deferral accounts based the provisions of the Plan document.

Note 2 Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements of the Plan have been prepared on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

Cash and Cash Equivalents

Cash is held in bank deposit accounts which, at times, may exceed federally insured limits. All highly liquid financial instruments with a maturity date of 90 days or less when purchased are considered to be cash equivalents.

Investment Valuation and Income Recognition

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation (depreciation) includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Note 2 Summary of Significant Accounting Policies (Continued)

Investment Valuation and Income Recognition (Continued)

Investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's trustee determines the Plan's valuation policies utilizing information provided by the investment advisers, custodians and insurance company (See Note 3).

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of November 30, 2021 and 2020. If a participant ceases to make loan repayments and the Plan administrator deems the participant loan to be in default, the participant loan balance is reduced, and a benefit payment is recorded.

Revenue Sharing Agreement

The Plan is party to a revenue sharing agreement which provides for a revenue account for the Plan to pay for certain administrative expenses from Plan assets. The account is funded by revenue generated by certain Plan investment funds. The agreement provides that excess amounts in the Plan revenue account at the end of each Plan year may be applied towards allowable administrative expenses or allocated at the direction of the Plan's administrator. For the year ended November 30, 2021, revenue received under the agreement totaled $45,000 and Plan expenses paid from revenue sharing funds were approximately $15,000.

Payment of Benefits

Benefit payments to participants are recorded when paid.

Expenses

Expenses related to the administration of the Plan are primarily paid by the Company. Investment related expenses, other than those paid directly by the Plan, are integrated with investment performance.

Subsequent Events

Management has evaluated subsequent events and transactions for potential recognition or disclosure through the date of the auditors' report, which is the date the financial statements were available to be issued.

Note 3 Fair Value Measurements

Generally accepted accounting principles ("GAAP") establish a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The Plan did not hold any level 2 or level 3 investments at November 30, 2021 and 2020.

At November 30, 2021, the Plan held Level 1 investments, as described below:

Level 1
Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at November 30, 2021 and 2020.

Registered Investment Companies
Registered investment companies consist of mutual funds and exchange traded funds. Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are open-end mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily net asset value (NAV) and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

Self-directed brokerage account
Accounts primarily consist of exchange traded mutual funds, common stocks, and derivative securities that are valued at the closing price reported on the active market on which the individual securities are traded.

The following table sets forth by level, within the fair value hierarchy, the Plan's financial assets at fair value as of November 30, 2021 and 2020:

Note 3 Fair Value Measurements (Continued)

Investments at fair value:

	November 30, 2021	November 30, 2020
Level 1 - Registered Investment companies	$ 95,023,505	$ 79,610,366
Level 1 - Cash and Cash equivalents	4,628,145	4,164,517
Level 1 - Self-directed brokerage account	9,637,894	9,814,909
Total	$109,289,544	$ 93,589,792

Note 4 Related Party and Party-In-Interest Transactions

Certain Plan investments are registered investment companies, managed by Fidelity Investments Institutional Operations Company, Inc., a subsidiary of Fidelity. Fidelity is the custodian as defined by the Plan and, therefore, these transactions qualify as party-in-interest transactions. Fees paid to Fidelity by the Plan for administrative services amount to $8,083 for the year ended November 30, 2021.

Note 5 Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination or partial termination, participants are fully vested, and net assets will be distributed to participants and beneficiaries in proportion to their respective account balances.

Note 6 Tax Status

The IRS has determined and informed the Company by a letter dated June 30, 2020, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code ("IRC"). Although the Plan has been amended since receiving the determination letter, the Plan administrator and the Plan's tax counsel believe that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

Note 6 Tax Status (Continued)

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the organization has taken an uncertain position that more likely than not would not be sustained upon examination by the taxing authorities. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan will be open for examination for three years.

Note 7 Risk and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term, and that such changes could materially affect participants' account balances and the amounts reported in the Statements of Net Assets Available for Plan Benefits and participant account balances.

The Plan's exposure to a concentration of credit risk is limited by the diversification of investments across a variety of participant-directed fund elections. Additionally, the investments within each participant-directed fund election are further diversified into varied financial instruments.

At November 30, 2021, two investments option accounted for more than 10% of the Plan's total net assets:

Vanguard Primecap Admiral Overview	$27,058,292	25%
FID 500 Index PR	11,378,440	10%

Note 8 Certified Investments

The information related to investments and notes receivable from participants disclosed in the accompanying financial statements and supplemental schedule, including investments and notes receivable from participants held at November 30, 2021 and 2020, and net appreciation in fair value of investments, interest and dividends for the year ended November 30, 2021, was obtained or derived from information supplied to the plan administrator and certified as complete and accurate by Fidelity Management Trust Company (the trustee of the Plan).

SUPPLEMENTARY INFORMATION

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at November 30, 2021

EIN: 04-2033129
Plan #: 001

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
	Vanguard Primecap Admiral Overview	Registered Investment Company	**	$ 27,058,292
*	Fidelity 500 Index PR	Registered Investment Company	**	11,378,440
*	Fidelity Freedom 2035 K	Registered Investment Company	**	4,433,367
*	Fidelity Capital Appreciation K	Registered Investment Company	**	4,396,436
*	Fidelity Freedom 2020 K	Registered Investment Company	**	4,265,606
*	Fidelity US Bond Index	Registered Investment Company	**	3,799,862
*	Fidelity Freedom 2050 K	Registered Investment Company	**	2,887,487
*	Fidelity International Discovery K	Registered Investment Company	**	2,797,295
*	Fidelity Extended Market Index	Registered Investment Company	**	2,757,187
	Baron Asset Fund	Registered Investment Company	**	2,690,763
*	Fidelity Freedom 2040 K	Registered Investment Company	**	2,637,801
*	Fidelity Freedom 2015 K	Registered Investment Company	**	2,520,213
*	Fidelity Freedom 2030 K	Registered Investment Company	**	1,825,089
*	Fidelity Balanced K	Registered Investment Company	**	1,659,015
*	Fidelity Value Discovery K	Registered Investment Company	**	1,364,304
*	Fidelity Total Bond	Registered Investment Company	**	1,310,788
*	Fidelity Freedom 2025 K	Registered Investment Company	**	1,216,754
*	Fidelity Freedom 2045 K	Registered Investment Company	**	1,083,982
*	Fidelity Freedom 2060 K	Registered Investment Company	**	1,033,854
*	Fidelity Small Capital Index	Registered Investment Company	**	1,001,986
*	Fidelity Freedom 2055 K	Registered Investment Company	**	963,084
*	Fidelity Real Estate Investment	Registered Investment Company	**	959,724
	ABF Small Cap Value A	Registered Investment Company	**	952,864
*	Fidelity Capital & Income	Registered Investment Company	**	848,586
*	Fidelity International Index	Registered Investment Company	**	567,878
	Artisan Mid Cap Value	Registered Investment Company	**	539,904
	Oppenheimer Developing Markets Fund	Registered Investment Company	**	452,693
*	Fidelity Freedom 2010 K	Registered Investment Company	**	261,724

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at November 30, 2021

EIN: 04-2033129
Plan #: 001

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
*	Fidelity Stock Trading Select Mid Cap	Registered Investment Company	**	221,793
*	Fidelity Value K	Registered Investment Company	**	200,291
*	Fidelity Freedom 2065 K	Registered Investment Company	**	140,508
	T. Rowe Price Equity Inc Advantage	Registered Investment Company	**	91,595
*	Fidelity Freedom Inc K	Registered Investment Company	**	29,297
				88,348,462
	Brokerage Link Accounts - Exhibit I			20,941,082
		Total Investments		$ 109,289,544
*	Cash equivalents	Fidelity Cash Reserve Account	**	1,995,508
*	Cash equivalents	Fidelity Money Market	**	2,615,199
*	Cash equivalents	Non-interest bearing cash	**	17,438
				$ 4,628,145
*	Participant Notes Receivable	Participant Notes Receivable with interest rates ranging from 4.25% - 6.50%		$ 155,590

(a) * Party-In-Interest as defined by ERISA.
(d) ** Cost is omitted for Participant-directed investments.

See Independent Auditors' Report.

EXHIBIT I

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
	CASH				
316067107	FIDELITY CASH RESERVES	1,995,507.980	$1.00	$1,995,507.98	$1,995,507.98
	COMMON STOCK				
81141R100	SEA LIMITED ADS EACH REP ONE CLASS A ORD	13.000	$288.07	$3,744.91	$2,425.34
844741108	SOUTHWEST AIRLNS CO NFS LLC IS A SPECIAL	100.000	$44.40	$4,440.00	$2,876.27
858098106	STEEL CONNECT INC COM	101.714	$1.58	$160.71	$79.47
876030107	TAPESTRY INC COM	200.000	$40.12	$8,024.00	$0.00
87612E106	TARGET CORP NFS IS A SPECIALIST	100.586	$243.84	$24,526.89	$21,624.39
879382208	TELEFONICA S A ADR REPRSTG THREE SHRS	47.621	$4.51	$214.77	$255.17
88033T102	TENGTU INTL CORP	12,500.000	$0.00	$0.00	$0.00
89788C104	TRULIEVE CANNABIS CORP COM NPV	36,870.000	$26.66	$982,968.95	$833,424.04
90238J103	TYME TECHNOLOGIES INC COM	600.000	$0.74	$441.00	$1,610.37
90353T100	UBER TECHNOLOGIES INC COM	90.000	$38.00	$3,420.00	$3,784.95
903899102	ULTRALIFE BATTERIES INC	3,000.000	$5.35	$16,050.00	$18,070.11
91688R108	UR ENERGY INC COM ISIN #CA91688R1082	45,098.000	$1.49	$67,196.02	$37,762.90
92343V104	VERIZON COMMUNICATIONS	250.245	$50.27	$12,579.82	$7,253.22
92556H206	VIACOMCBS INC CL B	140.000	$30.95	$4,333.00	$800.55
92707Y108	VILLAGE FARMS INTERNATIONAL INC	50,000.000	$6.63	$331,500.00	$603,761.62
92826C839	VISA INC COM CL A	293.072	$193.77	$56,788.56	$52,032.90
931142103	WAL-MART STORES INC NFS IS A SPECIALIST	221.202	$140.63	$31,107.64	$31,051.28
G6674U108	NOVOCURE LTD COM USD0.00	26,000.000	$93.64	$2,434,640.00	$310,870.75
G7998G106	SEADRILL LTD COM USD2.00	2.000	$0.19	$0.38	$20,076.18
H8817H100	TRANSOCEAN LTD ZUG NAMEN -AKT	6,000.000	$3.02	$18,120.00	$20,940.00
00214Q807	ARK ETF TR ARK SPACE EXPL	817.000	$19.20	$15,686.40	$16,819.58
00507V109	ACTIVISION BLIZZARD INC COM	578.663	$58.60	$33,909.65	$32,169.26
005094107	ACTUA CORP COM	4.000	$0.00	$0.00	$0.00
007903107	ADVANCED MICRO DEVICES INC	250.000	$158.37	$39,592.50	$22,002.75
009279100	AIRBUS GROUP ADR	118.000	$27.78	$3,278.04	$2,995.07
02079K305	ALPHABET INC CAP STK CL A	104.000	$2,837.95	$295,146.80	$103,065.14
02081G201	ALPHATEC HOLDINGS INC COM NEW	164,167.000	$11.10	$1,822,253.70	$2,022,889.87
021ESC017	ALTABA INC ESCROW	200.000	$0.00	$0.00	$0.00
023135106	AMAZON.COM INC NFS LLC IS A MARKET	80.000	$3,507.07	$280,565.60	$173,641.50
037833100	APPLE COMPUTER INC NFS LLC IS A MARKET	2,331.197	$165.30	$385,346.86	$50,937.20
04367G103	ASENSUS SURGICAL INC COM	770.000	$1.34	$1,031.80	$37,788.00
056752108	BAIDU COM INC SPON ADR RESTG ORD SHS CL	49.000	$149.84	$7,342.16	$11,328.84
060505104	BANK OF AMERICA CORP	414.472	$44.47	$18,431.57	$10,237.32
067532101	BARFRESH FOOD GROUP INC COM	48,000.000	$0.32	$15,331.20	$33,755.93
084670702	BERKSHIRE HATHAWAY INC DEL CL B NEW	650.000	$276.69	$179,848.50	$114,692.17
08860E309	BEYOND CORP COM NEW	67.000	$0.00	$0.00	$0.00
090624107	BIOMETRICS 2000 CORP	1,000.000	$0.00	$0.00	$0.00
11135B100	BROADMARK RLTY CAP INC COM	250.000	$9.00	$2,250.00	$2,557.50
17275R102	CISCO SYS INC NFS LLC IS A MARKET	1,561.782	$54.84	$85,648.12	$14,380.68
229050307	CRYOPORT INC COM PAR $0.001	3,050.000	$66.44	$202,642.00	$27,042.59
247361702	DELTA AIR LINES INC DEL COM NEW	1,350.000	$36.20	$48,870.00	$45,244.00
254687106	DISNEY WALT CO DEL (HOLDING COMPANY)	697.511	$144.90	$101,069.34	$63,694.59
270318108	EARTHFIRST TECHNOLOGIES INC	30,000.000	$0.00	$15.00	$0.00
278642103	EBAY INC NFS LLC IS A MARKET	400.000	$67.46	$26,984.00	$0.00
30048L104	EVOFEM BIOSCIENCES INC COM	1,058.000	$0.44	$469.75	$27,943.80
30231G102	EXXON MOBIL CORP NFS IS A SPECIALIST	584.340	$59.84	$34,966.91	$37,526.30
30303M102	FACEBOOK INC COM USD0.000006 CL A	310.000	$324.46	$100,582.60	$37,113.86
31428X106	FEDEX CORP NFS LLC IS A	100.000	$230.37	$23,037.00	$0.00
378973408	GLOBALSTAR INC COM	10,000.000	$1.39	$13,900.00	$14,379.50
43300A203	HILTON WORLDWIDE HLDGS INC	30.000	$135.07	$4,052.10	$2,245.80
437076102	HOME DEPOT INC NFS IS A SPECIALIST	204.491	$400.61	$81,921.14	$32,921.38
444859102	HUMANA INC NFS LLC IS A SPECIAL	5.073	$419.71	$2,129.19	$1,353.55
45253H101	IMMUNOGEN INC NFS LLC IS A MARKET	100.000	$6.17	$617.00	$0.00
458140100	INTEL CORP NFS LLC IS A MARKET	200.002	$49.20	$9,840.10	$2,590.05
46185L103	INVITAE CORP COM ISIN #US46185L1035	3,660.000	$17.00	$62,220.00	$79,280.56
50202M102	LI AUTO INC SPN ADS ECH REP 2 ORD SHS CL	70.000	$35.44	$2,480.80	$2,481.15
524ESC100	LEHMAN BROTHERS HOLDINGS INC	25.639	$0.00	$0.00	$1,476.06

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
53632A201	LIQTECH INTL INC COM	2,000.000	$4.91	$9,820.00	$10,570.00
539439109	LLOYDS TSB GROUP PLC	1,994.212	$2.43	$4,845.94	$3,177.00
571903202	MARRIOTT INTL INC CL A	60.000	$147.56	$8,853.60	$5,157.60
580135101	MCDONALDS CORP NFS IS A SPECIALIST	204.856	$244.60	$50,107.78	$18,031.66
594918104	MICROSOFT CORP NFS LLC IS A MARKET	86.097	$330.59	$28,462.81	$3,775.52
60937P106	MONGODB INC CL A	20.000	$498.10	$9,962.00	$3,045.40
62914V106	NIO INC ADS EACH REP 1 ORD SHS	60.000	$39.13	$2,347.80	$2,567.40
62955J103	NOV INC COM	1,500.000	$11.92	$17,880.00	$18,645.00
639057108	NATWEST GROUP PLC SPON ADS EACH REPR 2	262.586	$5.63	$1,478.36	$986.57
64110L106	NETFLIX COM INC COM	20.000	$641.90	$12,838.00	$8,972.29
649445103	NEW YORK COMMUNITY BANCORP	1,294.120	$11.98	$15,503.56	$15,996.57
656568508	NORTEL NETWORKS CORP NEW COM	52.000	$0.00	$0.00	$0.00
66737P600	NORTHWEST BIOTHERAPEUTICS	91,000.000	$0.85	$77,450.10	$19,924.11
670002401	NOVAVAX INC COM NEW	3,868.960	$208.63	$807,181.12	$913,924.82
67066G104	NVIDIA CORP NFS LLC IS A MARKET	1,169.140	$326.76	$382,028.19	$66,134.52
674599105	OCCIDENTAL PETROLEUM CORP	119.000	$29.65	$3,528.35	$10,054.13
68404C102	OPUS MAGNUM AMERIS INC COM	5.000	$0.00	$0.00	$0.00
69608A108	PALANTIR TECHNOLOGIES INC CL	2,023.000	$20.65	$41,774.95	$53,910.53
70450Y103	PAYPAL HLDGS INC COM	650.000	$184.89	$120,178.50	$36,229.08
747525103	QUALCOMM INC NFS LLC IS A MARKET	285.658	$180.56	$51,578.41	$5,655.35
74758R208	QUALSTAR CORP COM NEW	20.000	$2.35	$47.00	$52.13
75776W103	REDWIRE CORPORATION COM	3,468.000	$8.87	$30,761.16	$34,645.32
77543R102	ROKU INC COM CL A	20.000	$227.61	$4,552.20	$2,477.00
79466L302	SALESFORCE COM INC	193.000	$284.96	$54,997.28	$44,636.35
EXTERNAL FUND					
06828M876	BARON EMERGING MARKETS FUND INSTL	3,967.750	$17.44	$69,197.56	$78,125.00
105262752	BRANDES EMERGING MARKETS EQ CL I	8,886.608	$8.38	$74,469.78	$78,413.24
34984T394	DF DENT SMALL CAP GROWTH FD INVESTOR	2,170.092	$26.01	$56,444.09	$51,750.00
40168W525	GUGGENHEIM TOTAL RETURN BOND FD INSTL	6,090.131	$28.91	$176,065.69	$175,751.98
53700T108	LITMAN GREGORY MASTERS EQUITY	4,369.301	$21.21	$92,672.87	$86,250.00
53700T801	LITMAN GREGORY MSTRS ALT STRATEGIES INSTL	7,158.849	$12.11	$86,693.66	$87,912.42
53700T843	PARTNERSELECT OLDFIELD INTL VAL I	7,044.635	$11.27	$79,393.04	$78,125.00
53700T850	LITMAN GREGORY PRTSL SBH FOCUS SM VAL I	4,335.984	$14.51	$62,915.13	$61,750.00
53700T876	LITMAN GREGORY MSTRS HIGH INC ALT INSTL	4,792.069	$10.31	$49,406.23	$49,412.71
63872T729	ASG MANAGED FUTURES STRATEGY FUND CL Y	3,854.264	$10.37	$39,968.72	$41,125.00
921926101	VANGUARD EXPLORER	1,723.125	$146.46	$252,368.89	$97,528.89
FIDELITY FUND					
315911693	FID TOTAL MKT INDEX INSTL PREMIUM CLASS	399.042	$130.24	$51,971.23	$50,000.00
315911743	FID EXTENDED MARKET INDEX INSTL PREMIUM	485.488	$87.89	$42,669.54	$44,629.45
31638R717	FIDELITY MULTI-ASSET INCOME FUND	3,592.274	$14.71	$52,842.35	$51,041.45
316345107	FIDELITY PURITAN	1,995.456	$27.01	$53,897.27	$55,490.12
316345206	FIDELITY BALANCED	1,790.103	$29.83	$53,398.77	$54,144.11
315911750	FIDELITY 500 INDEX INSTITUTIONAL PREM	100.228	$158.80	$15,916.21	$13,143.02
OPTION					
4913769TN	PUT (TSLA) TESLA INC COM	15.000	$1.00	$15.00	$0.00
RIGHTS/WARRANTS					
674599162	OCCIDENTAL PETE CORP WTS EXP 08/03/2027	14.000	$12.50	$175.00	$0.00
42806J148	HERTZ GLOBAL HLDGS INC	97.000	$15.02	$1,456.94	$0.00
UNIT					
78462F103	S & P 500 DEPOSITORY RECEIPT	671.835	$455.56	$306,061.15	$34,525.07
78463V107	SPDR GOLD TR GOLD SHS	390.000	$165.50	$64,545.00	$65,989.91
78463X509	SPDR INDEX SHS FDS S&P EMERGING MKTS	563.000	$41.66	$23,454.58	$24,976.48
78463X756	SPDR INDEX SHS FDS S&P EMERGING MKTS SM	348.098	$58.67	$20,422.91	$15,756.53
78464A698	SPDR SER TR KBW REGL BKG ETF	257.000	$69.81	$17,941.17	$10,025.85
78464A755	SPDR SER TR S&P METALS & MNG ETF	266.000	$41.18	$10,953.88	$9,994.66
78468R408	SPDR SER TR CAP SHORT TERM HIGH	1,267.759	$26.94	$34,153.43	$35,297.46
808524748	SCHWAB STRATEGIC TR SCHWAB FUNDAMENTAL	181.129	$36.56	$6,622.08	$5,264.79
808524888	SCHWAB STRATEGIC TR INTL SMALL CAP	153.056	$40.40	$6,183.46	$4,627.53
81369Y506	SECTOR SPDR TR SHS BEN INT ENERGY	573.310	$54.59	$31,296.99	$22,018.71

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
81369Y605	SECTOR SPDR TR SHS BEN INT FINANCIAL	206.000	$37.96	$7,819.76	$4,998.39
81369Y886	SECTOR SPDR TR SHS BEN INT UTILITIES	57.000	$65.77	$3,748.89	$3,000.10
85207H104	SPROTT PHYSICAL GOLD TR UNITS	150.000	$13.96	$2,094.00	$1,854.00
862121100	STORE CAP CORP COM ISIN #US8621211007	82.879	$32.94	$2,730.03	$1,777.29
92189F106	VANECK VECTORS ETF TR GOLD MINERS ETF	1,099.715	$31.80	$34,970.94	$36,259.68
92189F429	VANECK VECTORS ETF TR PFD SECS EX FINL	783.068	$21.16	$16,569.72	$16,062.70
92189F775	VANECK VECTORS ETF TR EGYPT INDX ETF	170.155	$26.10	$4,441.05	$5,649.46
92189F791	VANECK VECTORS ETF TR JR GOLD MINERS E	462.381	$42.69	$19,739.04	$18,200.34
92189F825	VANECK VECTORS ETF TR BRAZIL SMALL CP	1,511.756	$15.97	$24,150.15	$23,691.50
921908844	VANGUARD SPECIALIZED PORTFOLIOS DIV	150.335	$161.99	$24,352.77	$9,144.13
921932828	VANGUARD ADMIRAL FDS INC S&P SMALLCAP 600	214.524	$203.53	$43,662.07	$23,416.51
921943858	VANGUARD TAX MANAGED FD EUROPE PACIFIC	2,101.488	$49.70	$104,443.95	$101,397.07
921946406	VANGUARD WHITEHALL FDS HIGH DIVIDEND	183.699	$105.93	$19,459.24	$10,374.28
92204A306	VANGUARD SECTOR INDEX FDS VANGUARD	51.752	$76.55	$3,961.62	$5,335.26
92204A405	VANGUARD SECTOR INDEX FDS VANGUARD	303.865	$94.32	$28,660.55	$21,955.38
92204A876	VANGUARD SECTOR INDEX FDS VANGUARD	26.000	$143.93	$3,742.18	$3,017.43
922042676	VANGUARD INTL EQUITY INDEX FDS GLOBAL	214.840	$55.19	$11,857.02	$11,730.36
922042858	VANGUARD INTL EQUITY INDEX FD INC	4,996.520	$49.19	$245,778.82	$258,209.90
922908363	VANGUARD INDEX FDS FORMERLY VANGUARD	167.272	$419.06	$70,097.00	$70,730.61
922908538	VANGUARD INDEX FDS MID-CAP GROWTH INDEX	104.683	$250.30	$26,202.15	$8,124.55
922908553	VANGUARD INDEX FDS FORMERLY VANGUARD	481.174	$106.74	$51,360.51	$38,729.89
922908595	VANGUARD INDEX FDS VANGUARD SMALL CAP	202.552	$277.55	$56,218.31	$27,143.51
922908611	VANGUARD INDEX FDS VANGUARD SMALL CAP	246.197	$171.62	$42,252.33	$27,766.31
922908629	VANGUARD INDEX FDS VANGUARD MID CAP	221.555	$246.06	$54,515.82	$29,376.35
922908744	VANGUARD INDEX FDS VANGUARD VALUE	93.546	$138.40	$12,946.77	$6,838.94
97717W315	WISDOMTREE TR EMERGING MKTS HIGH	274.990	$41.96	$11,538.58	$12,483.38
001228501	AG MTG INVT TR INC COM NEW	1,040.324	$10.31	$10,725.74	$10,713.73
00214Q104	ARK ETF TR INNOVATION ETF	510.674	$105.69	$53,973.14	$59,053.49
00214Q500	ARK ETF TR 3D PRINTING ETF	1,018.000	$34.27	$34,886.86	$36,166.76
00214Q203	ARK ETF TR INDL INNOVATION ETF	353.006	$82.16	$29,002.97	$20,344.31
00214Q302	ARK ETF TR GENOMIC REVOLUTION MULTI	1,137.085	$63.37	$72,057.08	$83,720.49
00214Q401	ARK ETF TR WEB X.0 ETF	227.907	$139.33	$31,754.28	$25,065.02
00214Q708	ARK ETF TR FINTECH INNOVA	752.232	$46.45	$34,941.18	$32,663.69
003264108	ABERDEEN STD SILVER ETF TR PHYSCL SILVR	1,611.350	$21.96	$35,385.25	$41,915.58
06746P555	BARCLAYS BK PLC IPATH B COPPER	3,600.000	$21.57	$77,652.00	$81,150.50
09249W101	BLACKROCK LTD DURATION INCOME TR	23,831.110	$17.08	$407,035.36	$276,864.89
19248A109	COHEN & STEERS SELECT UTIL FD INC	215.000	$27.86	$5,989.90	$5,010.15
253868103	DIGITAL RLTY TR INC COM	71.672	$167.74	$12,022.26	$10,276.54
25459W540	DIREXION SHS ETF TR DAILY 30 YR TREASURY	990.717	$30.22	$29,939.47	$27,464.35
26922A842	ETF SER SOLUTIONS US GLB JETS	151.000	$20.29	$3,063.79	$4,993.99
27828G107	EATON VANCE TAX ADVANTAGE DIVID	16,787.202	$27.85	$467,523.58	$238,158.77
27828H105	EATON VANCE LTD DURATION INCOME FD	35,013.741	$13.07	$457,629.59	$393,363.70
302635206	FS KKR CAPITAL CORP COM	911.875	$20.92	$19,076.43	$14,783.35
315912808	FIDELITY NASDAQ COMPOSITE INDEX	1,380.000	$60.59	$83,614.20	$49,815.50
33733E203	FIRST TR EXCHANGE TRADED FD AMEX	50.081	$156.71	$7,848.19	$4,319.69
33734X135	FIRST TR EXCHANGE TRADED FD II FINL	232.000	$45.06	$10,453.92	$10,000.50
35473P686	FRANKLIN TEMPLETON ETF TR FTSE TAIWAN	801.288	$45.09	$36,132.48	$27,516.19
37950E218	GLOBAL X FUNDS GLOBAL X NEXT	460.972	$20.15	$9,290.57	$10,817.20
37954Y228	GLOBAL X FDS CLEANTECH ETF	525.347	$20.33	$10,680.30	$9,982.49
37954Y236	GLOBAL X FDS DATA CTR REITS	656.506	$17.83	$11,705.50	$10,101.59
37954Y327	GLOBAL X FDS GLBX MSCI COLUM	307.957	$28.28	$8,709.02	$395.88
37954Y384	GLOBAL X FDS CYBRSCURTY ETF	356.312	$31.84	$11,344.97	$8,239.17
37954Y434	GLOBAL X FDS GENOMIC BIOTECH	628.845	$20.62	$12,966.78	$14,577.61
37954Y467	GLOBAL X FDS E COMMERCE ETF	307.514	$29.13	$8,957.88	$9,810.76
37954Y624	GLOBAL X FUNDS AUTONOMOUS AND	425.200	$30.49	$12,964.35	$9,783.55
37954Y632	GLOBAL X FUNDS FUTURE ANALYTICS	370.174	$31.62	$11,704.90	$9,875.17
37954Y665	GLOBAL X FDS GBL X MSCI NIGER	1,092.545	$10.14	$11,078.41	$16,523.22
37954Y707	GLOBAL X FDS X YIELDCO IX ETF	504.658	$15.80	$7,973.60	$8,316.83
37954Y715	GLOBAL X FDS RBTCS ARTFL IN	300.511	$36.20	$10,878.50	$9,723.74

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
37954Y723	GLOBAL X FDS EDUCATION ETF	600.462	$9.51	$5,710.39	$10,836.57
37954Y798	GLOBAL X FDS HEALTH &WELLNESS THEMATIC	784.005	$28.13	$22,052.57	$19,787.96
37954Y855	GLOBAL X FDS GLOBAL X LITHIUM	238.117	$92.99	$22,142.50	$15,018.95
46090E103	INVESCO QQQ TR UNIT SER 1	232.388	$393.82	$91,519.04	$7,684.08
46137V357	INVESCO EXCHANGE TRADED FD TR S&P500	1,803.310	$153.59	$276,970.38	$143,456.96
46137V407	INVESCO EXCHANGE TRADED FD TR	183.828	$69.99	$12,866.12	$13,604.41
46137V605	INVESCO EXCHANGE TRADED FD TR DJ INDL	3.041	$42.70	$129.85	$136.20
46138E610	INVESCO EXCHANGE TRADED FD TR II KBW	502.000	$20.07	$10,075.14	$10,014.40
46138G631	INVESCO EXCHANGE TRADED FD TR II	638.000	$33.93	$21,647.34	$20,014.06
46138G649	INVESCO EXCHANGE TRADED FD TR II	158.000	$161.89	$25,578.62	$19,915.84
46428Q109	ISHARES SILVER TR ISHARES	1,094.824	$21.06	$23,056.99	$24,700.98
464286475	ISHARES INC MSCI EMERGING MARKETS	201.916	$59.82	$12,078.62	$8,048.53
464286715	ISHARES INC MSCI TURKEY INDEX FD	655.096	$17.96	$11,765.52	$17,534.72
464286822	ISHARES INC MSCI MEXICO FREE INDEX FD	423.794	$45.31	$19,202.11	$17,134.34
464287150	ISHARES TR S&P 1500 INDEX FD	2,387.218	$103.43	$246,909.96	$146,788.51
464287168	ISHARES TR DOW JONES SELECT DIVID INDEX	380.000	$115.10	$43,738.00	$29,187.38
464287200	ISHARES TR S&P 500 INDEX FD	1,404.580	$457.63	$642,777.95	$514,262.65
464287770	ISHARES TR DOW JONES U S FINL SVCS	79.000	$188.02	$14,853.58	$10,070.80
464288885	ISHARES TR MSCI EAFE GROWTH INDEX FD	805.769	$107.36	$86,507.36	$75,138.68
464289180	ISHARES TRUST MSCI EUROPE FINL SECTOR	480.662	$19.27	$9,262.36	$7,545.30
46429B416	ISHARES TRUST MSCI UNITED KINGDOM SMALL	330.492	$44.66	$14,759.77	$10,515.39
46429B606	ISHARES TR MSCI POLAND INVESTABLE	126.354	$20.44	$2,582.68	$2,264.69
46431W689	ISHARES US ETF TR HEALTHCARE	516.080	$41.82	$21,580.66	$20,131.98
46431W853	ISHARES US ETF TRUST COMMODITIES SELECT	1,800.000	$34.11	$61,398.00	$57,735.36
46434G103	ISHARES INC CORE MSCI EMERGING MKTS	85.000	$60.12	$5,110.20	$4,953.80
55272X102	MFA MTG INVTS INC	5,511.564	$4.29	$23,644.61	$11,588.35
61744H105	MORGAN STANLEY EMERGING MKTS DEB FD	4,453.424	$8.98	$39,991.75	$39,436.92
70806A106	PENNANTPARK FLOATING RATE CAP LTD COM	1,786.472	$13.02	$23,259.87	$12,993.00
74347X864	PROSHARES TR PROSHARES ULTRAPRO	275.689	$134.85	$37,176.66	$32,681.44
780910105	ROYCE VALUE TR INC	1,042.709	$18.40	$19,185.85	$13,015.13
780915104	ROYCE MICRO-CAP TRUST INC	1,572.598	$11.23	$17,660.28	$12,227.58

NET ASSETS : $18,308,444.64

Less Cash: (1,995,508)

$16,312,937