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

2021

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 12/01/2021 and ending 11/30/2022

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.)
- [X] 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:
- [X] Form 5558
- [ ] automatic extension
- [ ] the DFVC program
- [ ] special extension (enter description)

E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ [ ]

Part II Basic Plan Information—enter all requested information

1a Name of plan
GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 12/01/1981

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)
GOETTLE HOLDING COMPANY, INC.

12071 HAMILTON AVE
CINCINNATI, OH 04231-1032

2b Employer Identification Number (EIN) 31-0589745

2c Plan Sponsor's telephone number 513-825-8100

2d Business code (see instructions) 238100

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.	09/14/2023	JEFF GINTER
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	09/14/2023	JEFF GINTER
	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 GOETTLE HOLDING COMPANY, INC.

c Plan Name RICHARD GOETTLE, INC. EMPLOYEE STOCK OWNERSHIP PLAN

4b EIN 31-0589745

4d PN 001

5 Total number of participants at the beginning of the plan year	**5**	167
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)**	161
a(2) Total number of active participants at the end of the plan year	**6a(2)**	152
b Retired or separated participants receiving benefits	**6b**	0
c Other retired or separated participants entitled to future benefits	**6c**	10
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	162
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f Total. Add lines **6d** and **6e**	**6f**	162
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	161
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	7
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:

2I 2P 2Q 3H 3I

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)** [ ] ___ **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 2021 Form M-1 annual report. If the plan was not required to file the 2021 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.**	**2021** **This Form is Open to Public Inspection.**

For calendar plan year 2021 or fiscal plan year beginning 12/01/2021 and ending 11/30/2022

A Name of plan
GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
GOETTLE HOLDING COMPANY, INC.

D Employer Identification Number (EIN)
31-0589745

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

PRINCIPAL LIFE INSURANCE COMPANY

42-0127290

(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)

UBS

13-2638166

(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?
28 71	INVESTMENT MANAGEMENT	7375	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
(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.	

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

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

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

2021

This Form is Open to Public Inspection

For calendar plan year 2021 or fiscal plan year beginning 12/01/2021 and ending 11/30/2022

A Name of plan
GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
GOETTLE HOLDING COMPANY, INC.

D Employer Identification Number (EIN)
31-0589745

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		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)		
(3) Other	1b(3)		24
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	38825	167402
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)	527271	516154
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)		
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	373039	371018
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)		

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	**1d(1)**	35413378	36497461
	(2) Employer real property	**1d(2)**		
e	Buildings and other property used in plan operation	**1e**		
f	Total assets (add all amounts in lines 1a through 1e)	**1f**	36352513	37552059
	Liabilities			
g	Benefit claims payable	**1g**		
h	Operating payables	**1h**		
i	Acquisition indebtedness	**1i**		
j	Other liabilities	**1j**	8382241	7568606
k	Total liabilities (add all amounts in lines 1g through1j)	**1k**	8382241	7568606
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	**1l**	27970272	29983453

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)**	2000000	
	(B) Participants	**2a(1)(B)**		
	(C) Others (including rollovers)	**2a(1)(C)**		
	(2) Noncash contributions	**2a(2)**		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	**2a(3)**		2000000
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	**2b(1)(A)**	24	
	(B) U.S. Government securities	**2b(1)(B)**		
	(C) Corporate debt instruments	**2b(1)(C)**		
	(D) Loans (other than to participants)	**2b(1)(D)**		
	(E) Participant loans	**2b(1)(E)**		
	(F) Other	**2b(1)(F)**		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	**2b(1)(G)**		24
	(2) Dividends: **(A)** Preferred stock	**2b(2)(A)**		
	(B) Common stock	**2b(2)(B)**	14102	
	(C) Registered investment company shares (e.g. mutual funds)	**2b(2)(C)**		
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	**2b(2)(D)**		14102
	(3) Rents	**2b(3)**		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	**2b(4)(A)**	910556	
	(B) Aggregate carrying amount (see instructions)	**2b(4)(B)**	933133	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	**2b(4)(C)**		-22577
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	**2b(5)(A)**		
	(B) Other	**2b(5)(B)**	978427	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	**2b(5)(C)**		978427

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		-15697
c Other income	2c		
d Total income. Add all **income** amounts in column (b) and enter total	2d		2954279
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	751471	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		751471
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		182252
i Administrative expenses: **(1)** Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)		
(3) Investment advisory and management fees	2i(3)	7375	
(4) Other	2i(4)		
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		7375
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		941098
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		2013181
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

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) [ ] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [X] 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: BARNES DENNIG & CO. LTD **(2)** EIN: 31-1119890

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**			

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

2021

This Form is Open to Public Inspection.

For calendar plan year 2021 or fiscal plan year beginning 12/01/2021 and ending 11/30/2022

A Name of plan
GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
GOETTLE HOLDING COMPANY, INC.

D Employer Identification Number (EIN)
31-0589745

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** 0

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): 42-0127290

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 _____

Goettle Employee Stock Ownership Plan

Financial Statements with Supplemental Information
Years Ended November 30, 2022 and 2021
With Independent Auditors' Report

BARNES DENNIG
Accounting · Tax · Business Insight

KENTUCKY OFFICE
2617 Legends Way
Crestview Hills, KY 41017
Main: 859.344.6400
Fax: 856.578.7522

Independent Auditors' Report

To the Plan Administrator of Goettle
Employee Stock Ownership Plan
Cincinnati, OH

Opinion on the 2022 Financial Statements

We have audited the accompanying financial statements of Goettle Employee Stock Ownership Plan, an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of November 30, 2022, and the related statement of changes in net assets available for benefits for the year ended November 30, 2022, and the related notes to the financial statements.

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets available for benefits of Goettle Employee Stock Ownership Plan as of November 30, 2022 and the changes in its net assets available for benefits for the year ended November 30, 2022, in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion on the 2022 Financial Statements

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 Auditors' Responsibilities for the Audit of the 2022 Financial Statements section of our report. We are required to be independent of Goettle Employee Stock Ownership Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Emphasis of a Matter

As discussed in Note 2 to the financial statements, the November 30, 2022 and 2021 financial statements include common stock of Goettle Holding Company, Inc., and Subsidiaries valued at $36,497,461 (122% of net assets) and $35,413,378 (127% of net assets), respectively, whose value has been estimated by the Trustees of the Goettle Employee Stock Ownership Plan, based on an independent appraisal, in the absence of a readily ascertainable market value. We have examined the procedures used by the Trustees in arriving at its estimate of the value of such securities and have inspected the underlying documentation, and in the circumstances, we believe that such procedures are reasonable and the documentation appropriate. However, because of inherent uncertainty of a valuation, those estimated values may differ significantly from the values that would have been used had a ready market for the securities existed, and the differences could be material. Our opinion is not modified with respect to the matter.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the 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.

Independent Auditors' Report
(Continued)

Responsibilities of Management for the Financial Statements (Continued)

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 Goettle Employee Stock Ownership 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.

Auditors' Responsibilities for the Audit of the 2022 Financial Statements

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 auditors' 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:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- 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.
- 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 Goettle Employee Stock Ownership Plan's internal control. Accordingly, no such opinion is expressed.
- 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.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about Goettle Employee Stock Ownership Plan's ability to continue as a going concern for a reasonable period of time.

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.

Independent Auditors' Report
(Continued)

Other Matters

Supplemental Schedule Required by ERISA

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedule of Schedule H, Line 4i – Schedule of Assets (Held at End of Year) at November 30, 2022 is presented for purposes of additional analysis and is not a required part of the financial statements but is 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 has been subjected to the 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.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, including its 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, the information in the accompanying schedule is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

Report on the Compiled 2021 Financial Statements

Plan management is responsible for the accompanying financial statement of Goettle Employee Stock Ownership Plan, which comprises the statement of net assets available for benefits as of November 30, 2021. We have performed a compilation engagement in accordance with Statements on Standards for Accounting and Review Services promulgated by the Accounting and Review Services Committee of the AICPA. We did not audit or review the financial statement nor were we required to perform any procedures to verify the accuracy or completeness of the information provided by plan management. Accordingly, we do not express an opinion, a conclusion, nor provide any form of assurance on the financial statement of Goettle Employee Stock Ownership Plan as of and for the year ended November 30, 2021.

Barnes Dennig Co., LTD.

September 13, 2023
Cincinnati, OH

GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

Statements of Net Assets Available for Benefits
November 30, 2022 (audited) and 2021 (compiled)

	2022		
	Allocated	Unallocated	Total
Assets			
Cash and cash equivalents	$ 167,402	$ -	$ 167,402
Marketable securities, at fair value	887,172	-	887,172
Interest receivable	24		24
Common stock of Goettle Holding Company, Inc., and Subsidiaries, at fair value	24,283,654	12,213,807	36,497,461
Total assets	25,338,252	12,213,807	37,552,059
Liabilities			
Notes payable	-	7,568,606	7,568,606
Total liabilities	-	7,568,606	7,568,606
Net assets available for benefits	$ 25,338,252	$ 4,645,201	$ 29,983,453

	2021		
	Allocated	Unallocated	Total
Assets			
Cash and cash equivalents	$ 38,825	$ -	$ 38,825
Marketable securities, at fair value	900,310	-	900,310
Common stock of Goettle Holding Company, Inc., and Subsidiaries, at fair value	22,116,615	13,296,763	35,413,378
Total assets	23,055,750	13,296,763	36,352,513
Liabilities			
Notes payable	-	8,382,241	8,382,241
Total liabilities	-	8,382,241	8,382,241
Net assets available for benefits	$ 23,055,750	$ 4,914,522	$ 27,970,272

The accompanying notes are an integral part of these financial statements

GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

Statement of Changes in Net Assets Available for Benefits
Year Ended November 30, 2022 (audited)

	2022		
	Allocated	Unallocated	Total
Additions			
Investment income			
Dividend and interest income	$ 14,126	$ -	$ 14,126
Net appreciation in fair value of investments	533,109	407,044	940,153
Total investment income	547,235	407,044	954,279
Employer contributions	1,004,113	995,887	2,000,000
Total contributions	1,004,113	995,887	2,000,000
Allocation of 14,752.4697 shares of Goettle Holding Company, Inc., and Subsidiaries common stock	1,490,000	(1,490,000)	-
Total additions	3,041,348	(87,069)	2,954,279
Deductions			
Benefit payments to participants	751,471	-	751,471
Interest expense	-	182,252	182,252
Administrative expenses	7,375	-	7,375
Total deductions	758,846	182,252	941,098
Net increase	2,282,502	(269,321)	2,013,181
Net assets available for benefits			
Beginning of year	23,055,750	4,914,522	27,970,272
End of year	$ 25,338,252	$ 4,645,201	$ 29,983,453

The accompanying notes are an integral part of these financial statements

GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

Notes to Financial Statements

NOTE 1 DESCRIPTION OF THE PLAN

The following description of Goettle Employee Stock Ownership Plan provides only general information. Participants should refer to their Goettle Employee Stock Ownership Plan document for a more complete description of the Plan's provisions.

General

Goettle Holding, Inc., and Subsidiaries (the "Company") established the Goettle Employee Stock Ownership Plan, formerly the Richard Goettle, Inc. Employee Stock Ownership Plan (the "Plan") effective as of December 1, 1981. The Plan has been set up to operate as a leveraged Employee Stock Ownership Plan (the "ESOP"). It is also designed to comply with Section 4975(e)(7) and the regulations thereunder of the Internal Revenue Code of 1986, as amended (the "Code") and will be funded through Company contributions. The Plan is subject to the applicable provisions of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). The Plan is administered by the Trustees of the Employee Stock Ownership Plan of the Company appointed by the Company's Board of Directors. The common shares of the Company are valued annually as of November 30 (the "valuation date") based on an appraisal by an independent third party.

Eligibility and Participation

Employees of the Company except (i) leased employees, (ii) students or interns, (iii) employees covered by a collective bargaining agreement under which the Company has engaged in good faith negotiations about retirement benefits unless such bargaining results in participation in this plan, (iv) nonresident aliens receiving no earned income from sources within the United States, (v) employees of the company related or affiliated with the Company, unless that company is a participating employer in the plan, are generally eligible to participate in the Plan provided they have attained age 21 and have been credited with at least one full year of service, defined as a year in which an employee has earned not less than 1,000 hours of service.

Contributions

Contributions to the Plan are at the discretion of the Company provided that such contributions, shall be sufficient to cover principal and interest on any outstanding loans. As the Plan makes each payment of principal and interest, an appropriate percentage of stock will be allocated to eligible employees' accounts in accordance with applicable regulations under the Internal Revenue Code.

Participant Accounts

The Plan is a defined contribution plan under which a separate individual account is established for each participant. Each participant's account is credited as the last day of each year with an allocation of company contributions released from the unallocated account and forfeitures of terminated participants' non-vested accounts. Only those participants who are eligible employees of the Company as of the last day of the plan year will receive an allocation. Allocations are based on a participant's eligible compensation, relative to total eligible compensation. At the end of each plan year after all allocations have been performed, the Trustee will rebalance the assets held in participant accounts. The assets held in participant accounts will be adjusted so that all accounts under the Plan hold the same percentage of Employer stock and other investments. The Plan does not allow for participant directed investments.

NOTE 1 DESCRIPTION OF THE PLAN (CONTINUED)

Payment of Benefits

Subject to the Participant's consent, the Trustee shall commence distribution to the Participant as soon as administratively feasible following the end of the Plan year that includes the date the Participant terminates employment for any reason, including death, or if later, after distribution is elected in connection with the Participant's termination of employment.

Distributions due to the Participant attaining normal retirement age (age 65) may request a distribution of all or any portion of the Participant's vested account balance. The distribution of the requested amount shall be made as soon as administratively feasible after the distribution is elected.

Distributions will be made in the form of a lump sum payment or annual installments over a period not to exceed ten years based on the distribution policy adopted by the Company from time to time.

Expenses

All usual and reasonable expenses of the Plan Administrator may be paid in whole or in part by the Company. Any expense not paid by the Company shall be paid out of the principal or income of the Plan.

Participant Accounts and Forfeitures

Employer contributions and plan forfeitures are allocated to each participant's account based on the relation of the participant's compensation to total compensation for the plan year. Plan earnings are allocated to each participant's account based upon the beginning balances in their cash account less any distribution from such amount since the preceding allocation date. Plan expenses are allocated to each participants account based upon their total beginning account balances less any distributions since the preceding allocation date.

Vesting

Participant account balances vest at a rate of 20% per year in years two through six of participation in the Plan, with full vesting upon the earlier of normal retirement, disability, death or six years of vesting service.

Diversification

Shares purchased by the ESOP after November 30, 1986, are subject to the diversification rules of Code Section 401(a)(28)(B). Qualified participants (have obtained age 55 and 10 years of participation) must be permitted to diversify up to 25% of the value of post-1986 shares allocated to their account. This election period runs for each of the first five years in which a participant qualifies. Under Code Section 401(a)(28)(B), qualified participants (have obtained age 60 and 10 years of participation) must be permitted to diversify up to 50% of the value of post-1986 shares allocated to their account. This election period runs for each of the first five years in which a participant qualifies. In addition, the Plan allows for diversification rights regardless of whether the participant is a qualified participant. Under this provision, participants with certain years of participation may direct liquidation of the applicable percentage (25% in year 20 and 50% in year 30) of the number of shares of employe stock allocated. If a participant is eligible and fails to make election, this additional diversification will be segregated from participants account balance and the participant will receive cash for the liquidated shares.

NOTE 1 DESCRIPTION OF THE PLAN (CONTINUED)

Put Option

Under Federal income tax regulations, the employer stock that is held by the Plan and its participants and is not readily tradable on an established market or is subject to trading limitations includes a put option. The put option is a right to demand that the Company buy any shares of its stock distributed to participants for which there is no market. The put price is representative of the fair market value of the stock. The Company can pay for the purchases with interest over a period of five years. The purpose of the put option is to ensure that the participant has the ability to ultimately obtain cash.

Investment Concentrations

The Plan holds a substantial portion of its investments as of November 30, 2022 and 2021 in shares of Company stock which are not readily tradable in an established market.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation

The accompanying financial statements of the Plan have been prepared on the accrual basis of accounting using accounting principles generally accepted in the United States of America ("GAAP").

Use of Estimates

The preparation of financial statements in conformity with GAAP requires management to make estimates and assumptions that affect the reported amounts and disclosures. Accordingly, actual results may differ from those estimates. The Plan intends to invest primarily in common stock of the Company. Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the financial statements.

Administration of the Plan Assets

Several employees of the Company provide administrative services to the Plan. These services include Plan oversite and day-to-day Plan administration. The Plan is not charged by the Company for the services of the employees to the Plan.

Certain expenses and costs of the Plan were paid by the Company and, accordingly, are not reflected in the Plan's financial statements.

NOTE 2 SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Investment Valuation and Income Recognition

The common stock of the Company (361,361 shares held at November 30, 2022 and 2021) is not actively traded. The estimated fair value of the common stock ($101 at November 30, 2022) is based upon appraisals from an independent appraisal company. Such appraisals represent a fair value for the stock in the opinion of the Plans' Trustees. The cost of common stock redeemed from participants is determined by the average cost method.

Purchases and sales of securities are recorded on a trade-date basis. Realized gains and losses from security transactions are reported on the average cost method. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Subsequent Events

The Company has evaluated subsequent events to the balance sheet date of November 30, 2022, through September 13, 2023, which is the date these financial statements were available to be issued.

NOTE 3 TAX STATUS

The Plan Sponsor has received a favorable determination letter from the Internal Revenue Service dated August 23, 2023. Accordingly, the Plan administrator and the Plan's tax counsel believe that the Plan is currently designed and being operated in compliance with the applicable requirements of the Internal Revenue Code. They believe that the Plan was qualified, and the related trust was tax-exempt as of the financial statement date. Therefore, no provision for income taxes has been included in the Plan's financial statements.

Accounting principles generally accepted in the United States require the evaluation of tax positions taken by the Plan and recognize a tax liability or asset if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Company has analyzed the tax positions taken by the Plan and has concluded that as of November 30, 2022, there are no uncertain tax positions taken or expected to be taken that would require recognition of a liability or asset or disclosure in the Plan's financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan's tax filings are subject to examination generally for three years after they are filed.

NOTE 4 PLAN TERMINATION

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

NOTE 5 FAIR VALUE MEASUREMENTS

GAAP provisions for Fair Value Measurements establishes 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 three levels of the fair value hierarchy under GAAP provisions for Fair Value Measurements are 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.

Level 2 – Inputs to the valuation methodology include:

- Quoted prices for similar assets or liabilities in active markets;
- Quoted prices for identical or similar assets or liabilities in inactive markets;
- Inputs other than quoted prices that are observable for the asset or liability;
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3 – Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

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.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in methodologies used at November 30, 2022 and 2021:

Common Stock of Goettle Holding, Inc., and Subsidiaries: Valued at fair value as determined by the Plan's Trustees as of the last day of the Plan year (Level 3 inputs), based on the recommendation of an independent appraiser selected by the Plan's Trustees. This appraisal is performed using a combination of the income approach, which applies the discounted cash flow methodology, and the market approach, which applies the valuation multiples methodologies of guideline public companies and guideline transactions. Under the discounted cash flow method, projections are based upon past performance as identified in audited financial statements of the Company and management's projections of future performance. The resulting cash flow projections are discounted using a market related discount rate (which incorporates the Company's estimated weighted average cost of capital). The guideline public companies which are used for the valuation multiples are deemed to be as comparable as possible to the Company. The guideline transactions used include those in which the buyer acquired at least a majority stake in a target company determined to be comparable to the Company. Under both approaches a discount is applied for the lack of marketability since the Company's stock is not readily tradable on an established market. The historical and projected financial information of the Company which is used by the appraiser is provided by the Company's financial management. The appraiser prepares a preliminary report which management and the Plan's Trustees, reviews in detail and approves the final value of the stock.

NOTE 5 FAIR VALUE MEASUREMENTS (CONTINUED)

Common Stock: Valued using publicly traded prices of the shares.

Mutual Funds: Valued using quoted net asset values of the shares as reported by the fund. The mutual funds held by the Plan are open-end mutual funds registered with the U.S. Securities and Exchange Commission. The funds must publish their daily net asset value and transact at that price. The mutual funds held by the Plan are considered to be actively traded.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Assets Measured at Fair Value on a Recurring Basis

The following table sets forth by level, within the fair value hierarchy, the Plan's assets at fair value as of November 30, 2022:

	Level 1	Level 2	Level 3	Total
Cash equivalents	$ 167,402	$ -	$ -	$ 167,402
Common stocks	516,154	-	-	516,154
Mutual funds	371,018	-	-	371,018
Common stock of Goettle Holding Company, Inc., and Subsidiaries	-	-	36,497,461	36,497,461
Total assets at fair value	$ 1,054,574	$ -	$ 36,497,461	$ 37,552,035

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

	Level 1	Level 2	Level 3	Total
Cash equivalents	$ 38,825	$ -	$ -	$ 38,825
Common stocks	527,271	-	-	527,271
Mutual funds	373,039	-	-	373,039
Common stock of Goettle Holding Company, Inc., and Subsidiaries	-	-	35,413,378	35,413,378
Total assets at fair value	$ 939,135	$ -	$ 35,413,378	$ 36,352,513

NOTE 5 FAIR VALUE MEASUREMENTS (CONTINUED)

The following is a summary of changes in the fair value of the Plan's Level 3 assets for year ended November 30, 2022:

	Common stock Goettle Holding Company, Inc., and Subsidiaries
Balance, beginning of year	$ 35,413,378
Unrealized gains relating to instruments still held at the reporting date	1,084,083
Balance, end of year	$ 36,497,461

NOTE 6 NOTES PAYABLE

The Plan has various term notes with the Company during 2012 through 2021. The notes are payable in annual installments ranging from $50,106 to $261,822 and mature on various dates through 2031. The notes bear interest at a fixed rate ranging from 1.12% to 3.28%. The notes are collateralized by the unallocated shares of Company common stock.

As of the end of each plan year, the number of the unallocated shares to be allocated shall be calculated by multiplying the number of unallocated shares immediately before the release by a fraction: the numerator of the fraction shall be the amount of principal and interest paid with respect to the note payable during the year; the denominator of the fraction shall be the sum of the numerator and the remaining payments of principal and interest thereon.

The lender has no rights against shares once they are allocated under the ESOP. Accordingly, the financial statements of the Plan present separately the assets and liabilities and changes therein pertaining to (a) the accounts of employees with rights in allocated stock and (b) stock not yet allocated to employees. During the year ending November 30, 2022, 14,752.47 shares of Company common stock with a fair value of $1,490,000 were released from the Plan's unallocated shares, as a result of repayments of the ESOP debt. As of November 30, 2022, 120,928.78 shares of Company common stock were held as collateral for the ESOP debt.

Long-term debt maturities during the next five years are tabulated as follows:

2023	$ 830,130
2024	847,543
2025	865,348
2026	788,620
2027	542,707
Thereafter	3,694,258
	$ 7,568,606

NOTE 7 PARTY-IN-INTEREST AND RELATED PARTY TRANSACTIONS

Certain Plan investments are considered party-interest investments. These include common stock of the Company. Principal Life Insurance Company, the Plan's trustee and recordkeeper, receive fees for their services to the Plan, which have been paid by the Company on behalf of the Plan.

Certain employees and/or officers of the Company provide trustee and other administrative services for the Plan. These employees and/or officers are also participants of the Plan. No such officer or employee receives compensation from the Plan.

At November 30, 2022 and 2021, the Plan owned 361,361 shares of Goettle Holding, Inc., and Subsidiaries, common stock with a cost of $56,185,393. Information about the Plan's investment in Goettle Holding, Inc., and Subsidiaries, common stock is as follows:

	November 30, 2022		November 30, 2021	
	Allocated	Unallocated	Allocated	Unallocated
Goettle Holding Company, Inc., and Subsidiaries common shares:				
Number of shares	240,432.2191	120,928.7809	225,679.7494	135,681.2506
Cost	$ 37,383,057	$ 18,802,336	$ 29,403,229	$ 17,677,558
Estimated fair value	$ 24,283,654	$ 12,213,807	$ 22,116,615	$ 13,296,763

GOETTLE EMPLOYEE STOCK OWNERSHIP PLAN

Schedule H, Line 4i – Schedule of Assets (Held at End of Year)
November 30, 2022

Schedule H (Form 5500)
EIN 31-0589745
Plan Number – 001

Column A	Column B	Column C	Column D	Column E
	Identity of issuer, borrower of similar entity	Description of Investment	Cost	Current Value
*	UBS Financial Services, Inc.	Cash equivalents	$ 167,402	$ 167,402
*	UBS Financial Services, Inc.	Common stocks	427,811	516,154
*	UBS Financial Services, Inc.	Mutual funds	353,233	371,018
*	Goettle Holding Company, Inc., and Subsidiaries	Common Stock of Goettle Holding Company, Inc., and Subsidiaries	56,185,393	36,497,461
			$ 56,966,437	$ 37,552,035

* Party-in-interest

Note: The common stock of Goettle Holding Company, Inc., and subsidiaries. is a party-in-interest to the Plan and is not actively traded. The market value of the common stock is based upon an appraisal from an independent appraisal company. Such appraisal represents a fair value for the stock in the opinion of the Plan's Trustees.

See independent auditors' report

UBS

Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Holding	Opening balance on Nov 1 ($)	Closing balance on Nov 30 ($)	Price per share on Nov 30 ($)	Average rate	Dividend/Interest period	Days in period
LIQUID ASSETS GOVT FUND	114,678.74	167,425.68	1.00	3.00%	Oct 1 to Oct 31	31

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
ABBVIE INC COM								
Symbol: ABBV Exchange: NYSE								
EAI: $237 Current yield: 3.68%	Jan 12, 22	30.000	136.225	4,086.76	161.180	4,835.40	748.64	ST
	Nov 21, 22	10.000	157.117	1,571.17	161.180	1,611.80	40.63	ST
Security total		40.000	141.448	5,657.93		6,447.20	789.27	
ACADEMY SPORTS & OUTDOORS INC								
Symbol: ASO Exchange: OTC								
EAI: $75 Current yield: 0.59%	Oct 27, 20	234.000	15.069	3,526.37	50.480	11,812.32	8,285.95	LT
	Oct 27, 20	6.000	15.050	90.30	50.480	302.88	212.58	LT
	Nov 14, 22	10.000	46.030	460.30	50.480	504.80	44.50	ST
Security total		250.000	16.308	4,076.97		12,620.00	8,543.03	
ALLSTATE CORP								
Symbol: ALL Exchange: NYSE								
EAI: $340 Current yield: 2.54%	Feb 7, 22	65.000	125.180	8,136.70	133.900	8,703.50	566.80	ST
	Jul 25, 22	5.000	117.250	586.25	133.900	669.50	83.25	ST
	Nov 2, 22	5.000	124.396	621.98	133.900	669.50	47.52	ST
	Nov 3, 22	5.000	124.660	623.30	133.900	669.50	46.20	ST
	Nov 14, 22	5.000	131.480	657.40	133.900	669.50	12.10	ST
	Nov 21, 22	15.000	134.520	2,017.80	133.900	2,008.50	-9.30	ST

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		100.000	126.434	12,643.43		13,390.00	746.57	
AMAZON COM INC								
Symbol: AMZN Exchange: OTC	Jun 8, 20	80.000	126.398	10,111.91	96.540	7,723.20	-2,388.71	LT
	Jun 23, 22	5.000	111.920	559.60	96.540	482.70	-76.90	ST
	Jul 19, 22	15.000	116.160	1,742.40	96.540	1,448.10	-294.30	ST
	Nov 14, 22	25.000	99.700	2,492.50	96.540	2,413.50	-79.00	ST
Security total		125.000	119.251	14,906.41		12,067.50	-2,838.91	
APPLE INC								
Symbol: AAPL Exchange: OTC								
EAI: $138 Current yield: 0.62%	Jun 8, 20	120.000	83.075	9,969.00	148.030	17,763.60	7,794.60	LT
	Jun 8, 20	20.000	83.280	1,665.60	148.030	2,960.60	1,295.00	LT
	Nov 14, 22	10.000	149.840	1,498.40	148.030	1,480.30	-18.10	ST
Security total		150.000	87.553	13,133.00		22,204.50	9,071.50	
BANK OF AMER CORP								
Symbol: BAC Exchange: NYSE								
EAI: $198 Current yield: 2.32%	Jul 26, 22	90.000	33.550	3,019.50	37.850	3,406.50	387.00	ST
	Jul 29, 22	35.000	33.695	1,179.33	37.850	1,324.75	145.42	ST
	Aug 15, 22	15.000	36.256	543.85	37.850	567.75	23.90	ST
	Oct 25, 22	10.000	35.480	354.80	37.850	378.50	23.70	ST
	Nov 2, 22	30.000	36.513	1,095.39	37.850	1,135.50	40.11	ST
	Nov 3, 22	20.000	36.095	721.90	37.850	757.00	35.10	ST
	Nov 14, 22	25.000	38.095	952.38	37.850	946.25	-6.13	ST
Security total		225.000	34.965	7,867.15		8,516.25	649.10	
BERKSHIRE HATHAWAY INC NEW								
CL B								
Symbol: BRK.B Exchange: NYSE	Feb 9, 22	6.000	322.840	1,937.04	318.600	1,911.60	-25.44	ST
	Mar 2, 22	6.000	321.191	1,927.15	318.600	1,911.60	-15.55	ST
	Mar 22, 22	3.000	352.326	1,056.98	318.600	955.80	-101.18	ST
	May 23, 22	5.000	312.158	1,560.79	318.600	1,593.00	32.21	ST
Security total		20.000	324.098	6,481.96		6,372.00	-109.96	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: $240 Current yield: 2.03%	Nov 3, 22	30.000	220.639	6,619.19	236.410	7,092.30	473.11	ST

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UBS

Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 4, 22	5.000	225.700	1,128.50	236.410	1,182.05	53.55	ST
	Nov 14, 22	15.000	238.991	3,584.87	236.410	3,546.15	-38.72	ST
Security total		50.000	226.651	11,332.56		11,820.50	487.94	
CHARLES RIVER LABORATORIES								
Symbol: CRL Exchange: NYSE	Nov 10, 22	22.000	238.465	5,246.23	228.570	5,028.54	-217.69	ST
	Nov 11, 22	5.000	241.250	1,206.25	228.570	1,142.85	-63.40	ST
	Nov 14, 22	8.000	246.820	1,974.56	228.570	1,828.56	-146.00	ST
Security total		35.000	240.773	8,427.04		7,999.95	-427.09	
CHEVRON CORP								
Symbol: CVX Exchange: NYSE								
EAI: $454 Current yield: 3.10%	Dec 7, 21	70.000	118.407	8,288.49	183.310	12,831.70	4,543.21	ST
	Nov 3, 22	5.000	181.770	908.85	183.310	916.55	7.70	ST
	Nov 14, 22	5.000	188.900	944.50	183.310	916.55	-27.95	ST
Security total		80.000	126.773	10,141.84		14,664.80	4,522.96	
CONAGRA BRANDS, INC.								
Symbol: CAG Exchange: NYSE								
EAI: $330 Current yield: 3.48%	Oct 10, 22	80.000	33.598	2,687.90	37.980	3,038.40	350.50	ST
	Oct 11, 22	60.000	33.743	2,024.62	37.980	2,278.80	254.18	ST
	Oct 25, 22	10.000	34.998	349.98	37.980	379.80	29.82	ST
	Nov 2, 22	30.000	36.149	1,084.48	37.980	1,139.40	54.92	ST
	Nov 3, 22	20.000	35.760	715.20	37.980	759.60	44.40	ST
	Nov 14, 22	25.000	34.400	860.00	37.980	949.50	89.50	ST
	Nov 21, 22	25.000	36.415	910.38	37.980	949.50	39.12	ST
Security total		250.000	34.530	8,632.56		9,495.00	862.44	
COSTCO WHOLESALE CORP								
Symbol: COST Exchange: OTC								
EAI: $162 Current yield: 0.67%	Jun 18, 20	10.000	299.659	2,996.59	539.250	5,392.50	2,395.91	LT
	Jun 30, 20	35.000	302.030	10,571.05	539.250	18,873.75	8,302.70	LT
Security total		45.000	301.503	13,567.64		24,266.25	10,698.61	
DANAHER CORP								
Symbol: DHR Exchange: NYSE								
EAI: $55 Current yield: 0.37%	Jun 8, 20	35.000	172.229	6,028.04	273.410	9,569.35	3,541.31	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 12, 20	15.000	170.310	2,554.65	273.410	4,101.15	1,546.50	LT
	Nov 14, 22	5.000	269.830	1,349.15	273.410	1,367.05	17.90	ST
Security total		55.000	180.579	9,931.84		15,037.55	5,105.71	
HOME DEPOT INC								
Symbol: HD Exchange: NYSE								
EAI: $737 Current yield: 2.35%	Jun 12, 20	25.000	245.940	6,148.50	323.990	8,099.75	1,951.25	LT
	Jun 15, 20	10.000	237.597	2,375.97	323.990	3,239.90	863.93	LT
	Jun 30, 20	9.000	249.120	2,242.08	323.990	2,915.91	673.83	LT
	Apr 13, 22	1.000	311.240	311.24	323.990	323.99	12.75	ST
	Nov 14, 22	52.000	310.407	16,141.21	323.990	16,847.48	706.27	ST
Security total		97.000	280.608	27,219.00		31,427.03	4,208.03	
INTL BUSINESS MACH								
Symbol: IBM Exchange: NYSE								
EAI: $495 Current yield: 4.43%	Oct 27, 22	50.000	135.315	6,765.76	148.900	7,445.00	679.24	ST
	Nov 2, 22	15.000	138.027	2,070.41	148.900	2,233.50	163.09	ST
	Nov 14, 22	10.000	145.373	1,453.73	148.900	1,489.00	35.27	ST
Security total		75.000	137.199	10,289.90		11,167.50	877.60	
JPMORGAN CHASE & CO								
Symbol: JPM Exchange: NYSE								
EAI: $900 Current yield: 2.89%	Oct 18, 22	50.000	118.700	5,935.00	138.180	6,909.00	974.00	ST
	Nov 2, 22	20.000	128.060	2,561.20	138.180	2,763.60	202.40	ST
	Nov 14, 22	130.000	135.030	17,553.90	138.180	17,963.40	409.50	ST
	Nov 14, 22	25.000	135.030	3,375.75	138.180	3,454.50	78.75	ST
Security total		225.000	130.782	29,425.85		31,090.50	1,664.65	
LILLY ELI & CO								
Symbol: LLY Exchange: NYSE								
EAI: $176 Current yield: 1.05%	Apr 14, 22	8.000	301.690	2,413.52	371.080	2,968.64	555.12	ST
	Apr 29, 22	4.000	293.015	1,172.06	371.080	1,484.32	312.26	ST
	May 23, 22	18.000	303.540	5,463.72	371.080	6,679.44	1,215.72	ST
	Jun 23, 22	2.000	311.750	623.50	371.080	742.16	118.66	ST
	Aug 15, 22	3.000	313.940	941.82	371.080	1,113.24	171.42	ST
	Sep 7, 22	3.000	310.870	932.61	371.080	1,113.24	180.63	ST
	Nov 3, 22	2.000	362.065	724.13	371.080	742.16	18.03	ST

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UBS Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 14, 22	5.000	358.430	1,792.15	371.080	1,855.40	63.25	ST
Security total		45.000	312.522	14,063.51		16,698.60	2,635.09	
LOCKHEED MARTIN CORP								
Symbol: LMT Exchange: NYSE								
EAI: $360 Current yield: 2.47%	Mar 11, 22	6.000	442.783	2,656.70	485.190	2,911.14	254.44	ST
	Mar 22, 22	9.000	440.565	3,965.09	485.190	4,366.71	401.62	ST
	Mar 23, 22	5.000	443.718	2,218.59	485.190	2,425.95	207.36	ST
	Apr 13, 22	5.000	468.990	2,344.95	485.190	2,425.95	81.00	ST
	Nov 14, 22	5.000	465.870	2,329.35	485.190	2,425.95	96.60	ST
Security total		30.000	450.489	13,514.68		14,555.70	1,041.02	
MARRIOTT INTL INC NEW CL A								
Symbol: MAR Exchange: OTC								
EAI: $120 Current yield: 0.97%	Jun 7, 22	35.000	176.968	6,193.89	165.350	5,787.25	-406.64	ST
	Jul 19, 22	20.000	150.569	3,011.39	165.350	3,307.00	295.61	ST
	Jul 25, 22	5.000	152.830	764.15	165.350	826.75	62.60	ST
	Nov 14, 22	15.000	161.710	2,425.65	165.350	2,480.25	54.60	ST
Security total		75.000	165.268	12,395.08		12,401.25	6.17	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: $304 Current yield: 2.23%	Jul 14, 22	16.000	252.250	4,036.00	272.790	4,364.64	328.64	ST
	Jul 26, 22	9.000	255.047	2,295.43	272.790	2,455.11	159.68	ST
	Jul 29, 22	15.000	264.190	3,962.85	272.790	4,091.85	129.00	ST
	Sep 7, 22	5.000	258.090	1,290.45	272.790	1,363.95	73.50	ST
	Nov 3, 22	5.000	273.786	1,368.93	272.790	1,363.95	-4.98	ST
Security total		50.000	259.073	12,953.66		13,639.50	685.84	
MCKESSON CORP								
Symbol: MCK Exchange: NYSE								
EAI: $82 Current yield: 0.57%	Mar 11, 22	9.000	283.660	2,552.94	381.680	3,435.12	882.18	ST
	Mar 14, 22	5.000	283.550	1,417.75	381.680	1,908.40	490.65	ST
	Mar 22, 22	6.000	300.273	1,801.64	381.680	2,290.08	488.44	ST
	Mar 25, 22	10.000	307.481	3,074.81	381.680	3,816.80	741.99	ST
	Apr 13, 22	8.000	325.600	2,604.80	381.680	3,053.44	448.64	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		38.000	301.367	11,451.94		14,503.84	3,051.90	
MICROSOFT CORP								
Symbol: MSFT Exchange: OTC								
EAI: $231 Current yield: 1.07%	Jun 8, 20	60.000	187.749	11,264.99	255.140	15,308.40	4,043.41	LT
	Jun 9, 20	10.000	189.210	1,892.10	255.140	2,551.40	659.30	LT
	Jun 12, 20	5.000	191.420	957.10	255.140	1,275.70	318.60	LT
	Nov 14, 22	10.000	243.690	2,436.90	255.140	2,551.40	114.50	ST
Security total		85.000	194.719	16,551.09		21,686.90	5,135.81	
NVIDIA CORP								
Symbol: NVDA Exchange: OTC								
EAI: $18 Current yield: 0.10%	Jun 8, 20	80.000	87.855	7,028.40	169.230	13,538.40	6,510.00	LT
	Oct 25, 22	5.000	131.750	658.75	169.230	846.15	187.40	ST
	Nov 14, 22	15.000	164.658	2,469.88	169.230	2,538.45	68.57	ST
	Nov 23, 22	10.000	164.690	1,646.90	169.230	1,692.30	45.40	ST
Security total		110.000	107.308	11,803.93		18,615.30	6,811.37	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: $73 Current yield: 0.75%	Jul 25, 22	90.000	63.650	5,728.50	69.490	6,254.10	525.60	ST
	Jul 29, 22	35.000	65.087	2,278.07	69.490	2,432.15	154.08	ST
	Sep 14, 22	10.000	67.080	670.80	69.490	694.90	24.10	ST
	Nov 14, 22	5.000	74.430	372.15	69.490	347.45	-24.70	ST
Security total		140.000	64.639	9,049.52		9,728.60	679.08	
ORACLE CORP								
Symbol: ORCL Exchange: NYSE								
EAI: $192 Current yield: 1.54%	Oct 27, 22	85.000	75.010	6,375.85	83.030	7,057.55	681.70	ST
	Nov 3, 22	15.000	75.260	1,128.90	83.030	1,245.45	116.55	ST
	Nov 14, 22	30.000	79.237	2,377.11	83.030	2,490.90	113.79	ST
	Nov 21, 22	20.000	79.880	1,597.60	83.030	1,660.60	63.00	ST
Security total		150.000	76.530	11,479.46		12,454.50	975.04	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: $237 Current yield: 2.44%	Jun 23, 22	45.000	141.356	6,361.04	149.160	6,712.20	351.16	ST
	Jul 29, 22	5.000	140.780	703.90	149.160	745.80	41.90	ST

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UBS Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 21, 22	15.000	144.430	2,166.45	149.160	2,237.40	70.95	ST
Security total		65.000	142.021	9,231.39		9,695.40	464.01	
RALPH LAUREN CORP CL A								
Symbol: RL Exchange: NYSE								
EAI: $300 Current yield: 2.65%	Nov 11, 22	10.000	105.119	1,051.19	113.120	1,131.20	80.01	ST
	Nov 14, 22	35.000	102.300	3,580.50	113.120	3,959.20	378.70	ST
	Nov 14, 22	30.000	103.210	3,096.30	113.120	3,393.60	297.30	ST
	Nov 21, 22	25.000	101.188	2,529.72	113.120	2,828.00	298.28	ST
Security total		100.000	102.577	10,257.71		11,312.00	1,054.29	
RAYMOND JAMES FINANCIAL CORP								
Symbol: RJF Exchange: NYSE								
EAI: $204 Current yield: 1.16%	Jan 6, 21	82.000	66.530	5,455.51	116.900	9,585.80	4,130.29	LT
	Jan 20, 21	50.000	69.086	3,454.31	116.900	5,845.00	2,390.69	LT
	Apr 13, 22	3.000	111.716	335.15	116.900	350.70	15.55	ST
	Jul 29, 22	5.000	97.720	488.60	116.900	584.50	95.90	ST
	Nov 14, 22	10.000	122.760	1,227.60	116.900	1,169.00	-58.60	ST
Security total		150.000	73.074	10,961.17		17,535.00	6,573.83	
RAYTHEON TECHNOLOGIES CORP								
Symbol: RTX Exchange: NYSE								
EAI: $231 Current yield: 2.23%	Jan 26, 21	100.000	68.280	6,828.00	98.720	9,872.00	3,044.00	LT
	Nov 3, 22	5.000	95.410	477.05	98.720	493.60	16.55	ST
Security total		105.000	69.572	7,305.05		10,365.60	3,060.55	
T-MOBILE US INC COM								
Symbol: TMUS Exchange: OTC	Aug 18, 22	41.000	146.958	6,025.29	151.460	6,209.86	184.57	ST
	Aug 29, 22	5.000	145.750	728.75	151.460	757.30	28.55	ST
	Sep 7, 22	20.000	143.900	2,878.00	151.460	3,029.20	151.20	ST
	Sep 9, 22	5.000	143.712	718.56	151.460	757.30	38.74	ST
	Nov 21, 22	9.000	150.380	1,353.42	151.460	1,363.14	9.72	ST
Security total		80.000	146.300	11,704.02		12,116.80	412.78	
TESLA INC								
Symbol: TSLA Exchange: OTC	Jul 8, 22	9.000	254.010	2,286.09	194.700	1,752.30	-533.79	ST
	Jul 13, 22	3.000	241.240	723.72	194.700	584.10	-139.62	ST

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Jul 25, 22	3.000	270.466	811.40	194.700	584.10	-227.30	ST
	Jul 29, 22	9.000	287.526	2,587.74	194.700	1,752.30	-835.44	ST
	Aug 8, 22	6.000	296.333	1,778.00	194.700	1,168.20	-609.80	ST
	Aug 15, 22	3.000	309.113	927.34	194.700	584.10	-343.24	ST
	Oct 25, 22	2.000	221.465	442.93	194.700	389.40	-53.53	ST
Security total		35.000	273.063	9,557.22		6,814.50	-2,742.72	
THERMO FISHER SCIENTIFIC INC								
Symbol: TMO Exchange: NYSE								
EAI: $30 Current yield: 0.21%	Jun 8, 20	4.000	348.970	1,395.88	560.220	2,240.88	845.00	LT
	Jun 12, 20	20.000	343.470	6,869.40	560.220	11,204.40	4,335.00	LT
	Mar 28, 22	1.000	580.520	580.52	560.220	560.22	-20.30	ST
Security total		25.000	353.832	8,845.80		14,005.50	5,159.70	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: $486 Current yield: 3.20%	Jun 8, 20	50.000	107.268	5,363.41	189.730	9,486.50	4,123.09	LT
	Jun 9, 20	15.000	107.105	1,606.58	189.730	2,845.95	1,239.37	LT
	Jun 12, 20	10.000	102.514	1,025.14	189.730	1,897.30	872.16	LT
	Mar 28, 22	5.000	218.908	1,094.54	189.730	948.65	-145.89	ST
Security total		80.000	113.621	9,089.67		15,178.40	6,088.73	
UNITEDHEALTH GROUP INC								
Symbol: UNH Exchange: NYSE								
EAI: $165 Current yield: 1.20%	Nov 2, 22	15.000	549.880	8,248.20	547.760	8,216.40	-31.80	ST
	Nov 3, 22	7.000	546.640	3,826.48	547.760	3,834.32	7.84	ST
	Nov 14, 22	3.000	519.970	1,559.91	547.760	1,643.28	83.37	ST
Security total		25.000	545.384	13,634.59		13,694.00	59.41	
UNTD RENTALS INC								
Symbol: URI Exchange: NYSE	Nov 3, 22	25.000	317.818	7,945.46	353.030	8,825.75	880.29	ST
	Nov 14, 22	15.000	361.730	5,425.95	353.030	5,295.45	-130.50	ST
Security total		40.000	334.285	13,371.41		14,121.20	749.79	
VISA INC CL A								
Symbol: V Exchange: NYSE								
EAI: $153 Current yield: 0.83%	Jun 12, 20	20.000	194.170	3,883.40	217.000	4,340.00	456.60	LT
	Jun 15, 20	10.000	190.048	1,900.48	217.000	2,170.00	269.52	LT

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UBS

Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 30, 20	30.000	192.440	5,773.20	217.000	6,510.00	736.80	LT
	Mar 28, 22	5.000	220.000	1,100.00	217.000	1,085.00	-15.00	ST
	May 23, 22	10.000	207.345	2,073.45	217.000	2,170.00	96.55	ST
	Aug 15, 22	5.000	216.330	1,081.65	217.000	1,085.00	3.35	ST
	Nov 14, 22	5.000	208.498	1,042.49	217.000	1,085.00	42.51	ST
Security total		85.000	198.290	16,854.67		18,445.00	1,590.33	
Total				**$427,810.65**		**$516,154.12**	**$88,343.47**	

Total estimated annual income: $7,723

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST TRUST MORNINGSTAR DIV									
LEADER INDEX FUND									
Symbol: FDL									
Trade date: Aug 29, 22	56.000	36.780	2,059.68	2,059.68	38.070	2,131.92	72.24		ST
Trade date: Sep 7, 22	34.000	35.575	1,209.55	1,209.55	38.070	1,294.38	84.83		ST
Trade date: Nov 2, 22	35.000	36.097	1,263.40	1,263.40	38.070	1,332.45	69.05		ST
Trade date: Nov 14, 22	25.000	37.589	939.73	939.73	38.070	951.75	12.02		ST
Trade date: Nov 21, 22	50.000	37.240	1,862.00	1,862.00	38.070	1,903.50	41.50		ST
EAI: $269 Current yield: 3.53%									
Security total	200.000	36.672	7,334.36	7,334.36		7,614.00	279.64	279.64	
FIRST TR MID CAP									
VALUE ALPHADEX ETF									
Symbol: FNK									
Trade date: Jul 25, 22	140.000	42.960	6,014.40	6,014.40	45.687	6,396.18	381.78		ST

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Your assets › Equities › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: Jul 29, 22	10.000	44.325	443.25	443.25	45.687	456.87	13.62		ST
Trade date: Aug 8, 22	101.000	44.860	4,530.86	4,530.86	45.687	4,614.38	83.52		ST
EAI: $170 Current yield: 1.48%									
Security total	251.000	43.779	10,988.51	10,988.51		11,467.43	478.92	478.92	
INVESCO QQQ TRUST ETF									
Symbol: QQQ									
Trade date: Jun 16, 20	45.000	243.270	10,947.15	10,947.15	293.360	13,201.20	2,254.05		LT
Trade date: Jun 17, 22	3.000	274.086	822.26	822.26	293.360	880.08	57.82		ST
Trade date: Jul 5, 22	12.000	281.742	3,380.91	3,380.91	293.360	3,520.32	139.41		ST
Trade date: Nov 14, 22	5.000	288.658	1,443.29	1,443.29	293.360	1,466.80	23.51		ST
EAI: $128 Current yield: 0.67%									
Security total	65.000	255.286	16,593.61	16,593.61		19,068.40	2,474.79	2,474.79	
INVESCO S&P 500 EQUAL WEIGHT ETF									
Symbol: RSP									
Trade date: Nov 2, 22	85.000	138.618	11,782.58	11,782.58	148.820	12,649.70	867.12		ST
Trade date: Nov 14, 22	15.000	146.260	2,193.90	2,193.90	148.820	2,232.30	38.40		ST
EAI: $244 Current yield: 1.64%									
Security total	100.000	139.765	13,976.48	13,976.48		14,882.00	905.52	905.52	
ISHARES CORE S&P 500 ETF									
Symbol: IVV									
Trade date: Jun 8, 20	55.000	322.914	17,760.30	17,760.30	409.320	22,512.60	4,752.30		LT
Trade date: Jun 12, 20	20.000	309.060	6,181.20	6,181.20	409.320	8,186.40	2,005.20		LT
Trade date: Jun 30, 20	5.000	309.470	1,547.35	1,547.35	409.320	2,046.60	499.25		LT
Trade date: Jun 23, 22	5.000	378.500	1,892.50	1,892.50	409.320	2,046.60	154.10		ST
Trade date: Jul 19, 22	5.000	391.280	1,956.40	1,956.40	409.320	2,046.60	90.20		ST
Trade date: Nov 14, 22	10.000	401.120	4,011.20	4,011.20	409.320	4,093.20	82.00		ST
EAI: $617 Current yield: 1.51%									
Security total	100.000	333.490	33,348.95	33,348.95		40,932.00	7,583.05	7,583.05	
ISHARES S&P 100 ETF									
Symbol: OEF									

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UBS

Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets ▸ **Equities** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: Jun 18, 21	30.000	190.603	5,718.11	5,718.11	182.620	5,478.60	-239.51		LT
Trade date: Jul 23, 21	20.000	203.130	4,062.60	4,062.60	182.620	3,652.40	-410.20		LT
Trade date: Jan 28, 22	10.000	204.465	2,044.65	2,044.65	182.620	1,826.20	-218.45		ST
Trade date: Jul 5, 22	9.000	172.990	1,556.91	1,556.91	182.620	1,643.58	86.67		ST
Trade date: Jul 25, 22	1.000	181.160	181.16	181.16	182.620	182.62	1.46		ST
Trade date: Jul 29, 22	5.000	187.540	937.70	937.70	182.620	913.10	-24.60		ST
EAI: $189 Current yield: 1.38%									
Security total	75.000	193.348	14,501.13	14,501.13		13,696.50	-804.63	-804.63	
ISHARES MSCI EAFE ETF									
Symbol: EFA									
Trade date: Nov 14, 22	250.000	65.100	16,275.00	16,275.00	67.120	16,780.00	505.00	505.00	ST
EAI: $753 Current yield: 4.49%									
SPDR DOW JONES INDL AVERAGE									
ETF SER 1									
Symbol: DIA									
Trade date: May 23, 22	45.000	319.569	14,380.61	14,380.61	346.150	15,576.75	1,196.14		ST
Trade date: Jun 23, 22	5.000	305.440	1,527.20	1,527.20	346.150	1,730.75	203.55		ST
Trade date: Jul 11, 22	10.000	312.510	3,125.10	3,125.10	346.150	3,461.50	336.40		ST
Trade date: Jul 19, 22	15.000	315.698	4,735.47	4,735.47	346.150	5,192.25	456.78		ST
Trade date: Jul 25, 22	5.000	319.700	1,598.50	1,598.50	346.150	1,730.75	132.25		ST
Trade date: Jul 29, 22	5.000	326.876	1,634.38	1,634.38	346.150	1,730.75	96.37		ST
Trade date: Aug 15, 22	15.000	339.320	5,089.80	5,089.80	346.150	5,192.25	102.45		ST
EAI: $625 Current yield: 1.81%									
Security total	100.000	320.911	32,091.06	32,091.06		34,615.00	2,523.94	2,523.94	
SPDR S&P 500 ETF TR									
Symbol: SPY									
Trade date: Jun 8, 20	10.000	320.370	3,203.70	3,203.70	407.680	4,076.80	873.10		LT
Trade date: Jun 12, 20	25.000	307.950	7,698.75	7,698.75	407.680	10,192.00	2,493.25		LT
Trade date: Jan 31, 22	5.000	447.190	2,235.95	2,235.95	407.680	2,038.40	-197.55		ST
Trade date: Oct 25, 22	5.000	382.660	1,913.30	1,913.30	407.680	2,038.40	125.10		ST
EAI: $278 Current yield: 1.52%									

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Your assets ▸ **Equities** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	45.000	334.482	15,051.70	15,051.70		18,345.60	3,293.90	3,293.90	
VANGUARD ENERGY ETF									
Symbol: VDE									
Trade date: Sep 27, 21	40.000	75.639	3,025.59	3,025.59	127.630	5,105.20	2,079.61		LT
Trade date: Sep 28, 21	25.000	76.298	1,907.45	1,907.45	127.630	3,190.75	1,283.30		LT
Trade date: Jan 31, 22	3.000	91.040	273.12	273.12	127.630	382.89	109.77		ST
Trade date: Oct 25, 22	12.000	121.870	1,462.44	1,462.44	127.630	1,531.56	69.12		ST
Trade date: Nov 3, 22	5.000	127.190	635.95	635.95	127.630	638.15	2.20		ST
Trade date: Nov 14, 22	15.000	131.885	1,978.28	1,978.28	127.630	1,914.45	-63.83		ST
EAI: $400 Current yield: 3.13%									
Security total	100.000	92.828	9,282.83	9,282.83		12,763.00	3,480.17	3,480.17	
VANGUARD HIGH DIVID YIELD ETF									
Symbol: VYM									
Trade date: May 12, 21	20.000	105.255	2,105.11	2,105.11	113.150	2,263.00	157.89		LT
Trade date: Jan 13, 22	10.000	115.165	1,151.65	1,151.65	113.150	1,131.50	-20.15		ST
Trade date: Jan 28, 22	45.000	110.468	4,971.10	4,971.10	113.150	5,091.75	120.65		ST
Trade date: Jan 31, 22	25.000	111.078	2,776.96	2,776.96	113.150	2,828.75	51.79		ST
Trade date: Jul 11, 22	25.000	102.106	2,552.66	2,552.66	113.150	2,828.75	276.09		ST
Trade date: Sep 7, 22	10.000	103.649	1,036.49	1,036.49	113.150	1,131.50	95.01		ST
Trade date: Nov 14, 22	15.000	110.848	1,662.73	1,662.73	113.150	1,697.25	34.52		ST
EAI: $482 Current yield: 2.84%									
Security total	150.000	108.378	16,256.70	16,256.70		16,972.50	715.80	715.80	
Total			**$185,700.33**	**$185,700.33**		**$207,136.43**	**$21,436.10**	**$21,436.10**	

Total estimated annual income: $4,155

UBS Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets (continued)

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST TRUST LOW DURATION									
MORTGAGE OPPORTUNITIES ETF									
Symbol: LMBS									
Trade date: Mar 22, 22	105.000	49.020	5,147.10	5,147.10	47.320	4,968.60	-178.50		ST
Trade date: Jul 11, 22	95.000	48.318	4,590.26	4,590.26	47.320	4,495.40	-94.86		ST
EAI: $200 Current yield: 2.11%									
Security total	200.000	48.687	9,737.36	9,737.36		9,464.00	-273.36	-273.36	
ISHARES iBOXX $ INVT GRADE									
CORPORATE BOND ETF									
Symbol: LQD									
Trade date: Nov 2, 22	113.000	101.859	11,510.15	11,510.15	107.760	12,176.88	666.73		ST
Trade date: Nov 2, 22	67.000	102.394	6,860.43	6,860.43	107.760	7,219.92	359.49		ST
EAI: $594 Current yield: 3.06%									
Security total	180.000	102.059	18,370.58	18,370.58		19,396.80	1,026.22	1,026.22	
ISHARES TRUST ISHARES 1-5 YEAR									
INVT GRADE CORPORATE BOND ETF									
Symbol: IGSB									
Trade date: Dec 31, 20	204.000	55.179	11,256.70	11,256.70	50.000	10,200.00	-1,056.70		LT
Trade date: Jan 20, 21	86.000	55.109	4,739.45	4,739.45	50.000	4,300.00	-439.45		LT
Trade date: Jan 25, 21	100.000	55.129	5,512.99	5,512.99	50.000	5,000.00	-512.99		LT
Trade date: Jan 29, 21	75.000	55.110	4,133.25	4,133.25	50.000	3,750.00	-383.25		LT
Trade date: Feb 3, 21	50.000	55.047	2,752.37	2,752.37	50.000	2,500.00	-252.37		LT
Trade date: Jul 23, 21	25.000	54.835	1,370.88	1,370.88	50.000	1,250.00	-120.88		LT

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Your assets ▸ **Fixed income** ▸ **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date: Mar 22, 22	50.000	51.660	2,583.00	2,583.00	50.000	2,500.00	-83.00		ST
Trade date: Jul 11, 22	50.000	50.590	2,529.50	2,529.50	50.000	2,500.00	-29.50		ST
Trade date: Nov 2, 22	85.000	48.965	4,162.03	4,162.03	50.000	4,250.00	87.97		ST
Trade date: Nov 14, 22	25.000	49.597	1,239.93	1,239.93	50.000	1,250.00	10.07		ST
EAI: $704 Current yield: 1.88%									
Security total	750.000	53.707	40,280.10	40,280.10		37,500.00	-2,780.10	-2,780.10	
JP MORGAN ULTRA-SHORT INCOME ETF									
Symbol: JPST									
Trade date: Sep 13, 22	376.000	50.160	18,860.16	18,860.16	50.250	18,894.00	33.84		ST
Trade date: Oct 25, 22	24.000	50.115	1,202.76	1,202.76	50.250	1,206.00	3.24		ST
Trade date: Nov 3, 22	125.000	50.015	6,251.88	6,251.88	50.250	6,281.25	29.37		ST
EAI: $231 Current yield: 0.88%									
Security total	525.000	50.123	26,314.80	26,314.80		26,381.25	66.45	66.45	
SPDR PORTFOLIO SHORT TERM CORPORATE BOND ETF									
Symbol: SPSB									
Trade date: Apr 11, 22	405.000	29.979	12,141.84	12,141.84	29.450	11,927.25	-214.59		ST
Trade date: Apr 11, 22	240.000	29.980	7,195.20	7,195.20	29.450	7,068.00	-127.20		ST
Trade date: Nov 21, 22	55.000	29.329	1,613.14	1,613.14	29.450	1,619.75	6.61		ST
EAI: $370 Current yield: 1.79%									
Security total	700.000	29.929	20,950.18	20,950.18		20,615.00	-335.18	-335.18	
Total			**$115,653.02**	**$115,653.02**		**$113,357.05**	**-$2,295.97**	**-$2,295.97**	

Total estimated annual income: $2,099

UBS

Portfolio Management Program
November 2022

Account name: RICHARD GOETTLE INC
Friendly account name: Goettle ESOP
Account type: Employee Stock Ownership Plan
Account number: DS 29431 MD

Your Financial Advisor:
DAY AND MULLIS WEALTH MANAGEME
678-441-1000/800-241-7258

Your assets › **Fixed income** (continued)

Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Nov 30 ($)	Value on Nov 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIDELITY ADVISOR									
FLOATING RATE HIGH INC									
FUND CLASS I									
Symbol: FFRIX									
Trade date: Jan 11, 22	2,959.881	9.489	28,089.27	28,089.27	9.020	26,698.12	-1,391.15		ST
Trade date: Oct 25, 22	425.660	8.929	3,801.14	3,801.14	9.020	3,839.45	38.31		ST
EAI: $1,310 Current yield: 4.29%									
Security total	3,385.541	9.420	31,890.41	31,890.41		30,537.57	-1,352.84	-1,352.84	

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been adjusted for accreted original issue discount (OID). Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method. If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization.

Holding	Trade date	Quantity	Purchase price ($)	Adjusted cost basis ($)	Price on Nov 30 ($)	Value on Nov 30 ($)	Unrealized gain or loss ($)	Holding period
FHLB BOND								
RATE 4.7500% MATURES 11/21/23								
INTEREST EARNED FROM 11/21/22								
1ST INTEREST PAYMENT 05/21/23								
ACCRUED INTEREST $23.75								
CUSIP 3130ATXM4								
EAI: $950 Current yield: 4.76%	Nov 29, 22	20,000.000	99.950	19,990.00	99.817	19,963.40	-26.60	ST

Your assets (continued)

Your total assets

		Value on Nov 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**167,425.68**	**15.88%**	**167,425.68**		
Equities	Common stock	516,154.12		427,810.65	7,723.00	88,343.47
	Closed end funds & Exchange traded products	207,136.43		185,700.33	4,155.00	21,436.10
	Total equities	**723,290.55**	**68.58%**	**613,510.98**	**11,878.00**	**109,779.57**
Fixed income	Closed end funds & Exchange traded products	113,357.05		115,653.02	2,099.00	-2,295.97
	Mutual funds	30,537.57		31,890.41	1,310.00	-1,352.84
	Government securities	19,963.40		19,990.00	950.00	-26.60
	Total accrued interest	23.75				
	Total fixed income	**163,881.77**	**15.54%**	**167,533.43**	**4,359.00**	**-3,675.41**
Total		**$1,054,598.00**	**100.00%**	**$948,470.09**	**$16,237.00**	**$106,104.16**

Account activity this month

	Date	Activity	Description	Amount ($)
Deposits and other funds credited	Nov 11	Transfer In Current Year	RETIREMENT PLAN TRANSFER	259,025.60
	Total deposits and other funds credited			**$259,025.60**

The activity descriptions for contribution transactions included in this section are provided by the plan administrator or plan trustee. UBS Financial Services Inc. does not independently verify or guarantee the accuracy or validity of this information.

	Date	Activity	Description	Amount ($)
Dividend and interest income				
Dividends	Nov 1	Dividend	FIRST TRUST LOW DURATION MORTGAGE OPPORTUNITIES ETF PAID ON 225 SYMBOL: LMBS	23.63
	Nov 1	Dividend	FIDELITY ADVISOR FLOATING RATE HIGH INC FUND CLASS I AS OF 10/31/22 SYMBOL: FFRIX	149.82
	Nov 1	Dividend	LIQUID ASSETS GOVT FUND AS OF 10/31/22	349.76
	Nov 7	Dividend	ISHARES 1-3 YR TREAS BOND ETF PAID ON 85 SYMBOL: SHY	11.96

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