

**INITIAL AND ANNUAL PORTFOLIO HOLDINGS REPORT
PMB CAPITAL MANAGEMENT, LLC. DBA: BROOKSTONE FINANCIAL**

Employee Name: _____

I am reporting below all personal portfolio holdings information required to be reported pursuant to ABC's Personal Trading Policy. Securities reported must be current within 45 days of the date of this report.

Required Portfolio Holdings to Report

I am required to report holdings of all securities held in accounts in which I have a direct or indirect beneficial ownership interest as described in ABC – Personal Trading Policy.

Transactions not Required to be Reported

I am not required to report holdings in the following securities: registered open-end investment companies, securities issued by the United States Government, bankers' acceptances, bank certificates of deposit, commercial paper, money market mutual funds and other money market instruments.

PORTFOLIO HOLDINGS INFORMATION

Check one or more applicable boxes:

- I have no reportable personal securities holdings.
- I have reportable personal securities holdings, as disclosed below.
- I have reportable securities holdings, as disclosed on the attached brokerage statements.
- ABC is in receipt of brokerage statements reflecting my personal securities holdings.

Account Number	Security Name and Ticker/CUSIP	Number of Shares/Par	Principal Amount	Broker or Bank Name

Employee Signature: _____ Date: _____

Reviewed by: _____ Title: _____ Date: _____

Attach additional sheets as necessary.