



Caldwell US Dividend Advantage Fund

Meeting Date	Name of Issuer	Stock Symbol	Ballot Items	Party Proposed	Management Vote	Caldwell Vote
28-Jan-20	Visa	V	Election of Directors (11 nominees)	Management	For	For
			Advisory vote to approve executive compensation	Management	For	For
			Ratification of the appointment of KPMG LLP as our independent registered	Management	For	For
6-Feb-20	Tyson Foods	TSN	Election of Directors (12 nominees)	Management	For	For
			Ratify the selection of PricewaterhouseCoopers LLP as independent registered public accounting firm for fiscal year ending Oct 03, 2020	Management	For	For
			Approve on a non-binding advisory basis, the compensation of the Company's named executive officers	Management	For	For
			Shareholder proposal to request a report regarding the Company's efforts to eliminate deforestation from its supply chains	Shareholder	Against	Against
			Shareholder proposal to request a report disclosing the policy and procedures, expenditures, and other activities related to lobbying and grassroots lobbying communications	Shareholder	Against	Against
10-Mar-20	Disney	DIS	Shareholder proposal to require the preparation of a report on the Company's due diligence process assessing and mitigating human rights impacts	Shareholder	Against	Against
			Shareholder proposal to request the adoption of a policy requiring senior executive officers to retain a percentage of shares received through equity compensation programs	Shareholder	Against	Against
			Election of Directors (11 nominees)	Management	For	For
			Ratify the selection of PricewaterhouseCoopers LLP as independent registered public accounting firm for fiscal year 2020	Management	For	For
10-Mar-20	Disney	DIS	Approve the advisory resolution on executive compensation	Management	For	For
			Approve an amendment to Company's Amended and Restated 2011 Stock Incentive Plan	Management	For	For
			Shareholder proposal requesting an annual report disclosing information regarding the Company's lobbying policies and activities	Shareholder	Against	Against
			Election of Directors (13 nominees)	Management	For	For
20-Apr-20	US Bancorp	USB	Appointment of Ernst & Young LLP, as Auditors of the Corporation	Management	For	For
			Advisory Vote to approve executive compensation	Management	For	For
			Election of Directors (10 nominees)	Management	For	For
19-May-20	Quest Diagnostics	DGX	An advisory resolution to approve the executive officer compensation disclosed in the Company's 2020 proxy statement	Management	For	For
			Ratification of the appointment of our independent registered public accounting firm for 2020	Management	For	For
13-May-20	S&P Global	SPGI	Election of Directors (12 nominees)	Management	For	For
			Approve, on an advisory basis, the executive compensation program for the Company's named executive officers.	Management	For	For
			Approve an amendment to the Company's Certificate of Incorporation to permit removal of a Director with or without cause.	Management	For	For
			Ratify the selection of Ernst & Young LLP as our independent auditor for 2020.	Management	For	For
13-May-20	Xylem	XYL	Election of directors (10 nominees)	Management	For	For
			Ratification of the appointment of Deloitte & Touche LLP as our Independent Registered Public Accounting Firm for 2020	Management	For	For
			Advisory vote to approve the compensation of our named executive officers.	Management	For	For
			Shareholder proposal to lower threshold for shareholders to call special meetings from 25% to 15% of Company stock, if properly presented at the meeting.	Shareholders	Against	Against
19-May-20	JP Morgan Chase	JPM	Election of Directors (10 nominees)	Management	For	For
			Advisory resolution to approve executive compensation	Management	For	For
			Ratification of independent registered public accounting firm	Management	For	For
			Independent board chairman	Shareholders	Against	Against
			Oil and gas company and project financing related to the Arctic and the Canadian oil sands	Shareholders	Against	Against



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	& Co		Climate change risk reporting	Shareholders	Against	Against
			Amend shareholder written consent provisions	Shareholders	Against	Against
			Charitable contributions disclosure	Shareholders	Against	Against
			Gender/Racial pay equity	Shareholders	Against	Against
21-May-20	Marsh and McLennan	MMC	Election of Directors (13 nominees)	Management	For	For
			Advisory (Nonbinding) Vote to Approve Named Executive Officer Compensation	Management	For	For
			Ratification of Selection of Independent Registered Public Accounting Firm	Management	For	For
			Approval of the Marsh & McLennan Companies, Inc. 2020 Incentive and Stock Award Plan	Management	For	For
21-May-20	Macdonald Corp	MCD	Election of Directors (12 nominees)	Management	For	For
			Advisory vote to approve executive compensation.	Management	For	For
			Advisory vote to approve the appointment of Ernst & Young LLP as independent auditor for 2020.	Management	For	For
			Vote to approve the Company's Amended and Restated 2012 Omnibus Stock Ownership Plan.	Management	For	For
			Advisory vote on a shareholder proposal requesting to change the thresholds to call special shareholder meetings, if properly presented.	Shareholders	Against	Against
			Advisory vote on a shareholder proposal requesting the Board issue a report on sugar and public health, if properly presented.	Shareholders	Against	Against
14-May-20	CVS Health Corp	CVS	Election of Directors (13 nominees)	Management	For	For
			Ratification of the appointment of our independent registered public accounting firm for 2020.	Management	For	For
			Say on Pay, a proposal to approve, on an advisory basis, the Company's executive compensation.	Management	For	For
			Proposal to amend the Company's 2017 Incentive Compensation Plan to increase the number of shares authorized to be issued under the Plan.	Management	For	For
			Proposal to amend the Company's 2007 Employee Stock Purchase Plan to increase the number of shares available for sale under the Plan.	Management	For	For
			Stockholder proposal for reducing the ownership threshold to request a stockholder action by written consent.	Shareholders	Against	Against
			Stockholder proposal regarding our independent Board Chair.	Shareholders	Against	Against
22-Apr-20	Johnson and Johnson	JNJ	Election of Directors (13 nominees)	Management	For	No Vote
			Advisory Vote to Approve Named Executive Officer Compensation.	Management	For	No Vote
			Ratification of Appointment of PricewaterhouseCoopers LLP as the Amendment to the Restated Certificate of Incorporation to Permit Removal	Management	For	No Vote
			Independent Board Chair	Shareholders	Against	No Vote
			Report on Governance of Opioids-Related Risks	Shareholders	Against	No Vote
16-Jun-20	Mastercard	M	Election of Directors (14 nominees)	Management	For	For
			Advisory approval of Mastercard's executive compensation	Management	For	For
			Ratification of the appointment of PricewaterhouseCoopers LLP as the independent registered public accounting firm for Mastercard for 2020	Management	For	For
12-Jun-20	Brookfield Asset MGMT	BAM	Election of Directors (8 nominees)	Management	For	For
			Appoint external Auditor, Deloitte LLP	Management	For	For
			The Say on Pay Resolution set out in Apr 27th Circular	Management	For	For
			Shareholder Proposal One set out in Circular	Shareholders	Against	No Vote
			Shareholder Proposal Two set out in Circular	Shareholders	Against	No Vote