



Caldwell US Dividend Advantage Fund

Meeting Date	Name of Issuer	Stock Symbol	Matters Voted On	Party Proposed	Management Vote	Caldwell Vote
25-Jan-21	VISA	V	Appoint directors (12)	MGMT	For	For
			Approval, on an advisory basis, of compensation paid to our named executive officers.	MGMT	For	For
			Ratification of the appointment of KPMG LLP as our independent registered public accounting firm for the 2021 fiscal year.	MGMT	For	For
			Approval of the Visa Inc. 2007 Equity Incentive Compensation Plan	MGMT	For	For
			Approval of an amendment to our Certificate of Incorporation	MGMT	For	For
29-Jan-21	Amdocs	DOX	To vote on a stockholder proposal requesting stockholders' right to act by written consent	Stockholder	Against	Against
			To vote on a stockholder proposal to amend our principles of executive compensation program	Stockholder	Against	Against
			Election of Director (10 appointees)	MGMT	MGMT	MGMT
			Approve an increase in the dividend rate under our quarterly cash dividend program	MGMT	MGMT	MGMT
			Approve our Consolidated Financial Statements for the fiscal year ended September 30, 2020	MGMT	MGMT	MGMT
22-Apr-21	L3Harris Tech Inc	LHX	Ratify and approve the appointment of Ernst & Young LLP as our independent registered public accounting firm	MGMT	MGMT	MGMT
			Election of Directors (12)	MGMT	For	For
			Approval, in an Advisory Vote, of the Compensation of Named Executive Officers as Disclosed in the Proxy Statement	MGMT	For	For
			Ratification of the appointment of the Company's Independent Registered Public Accounting Firm for 2021.	MGMT	For	For
			13-May-21	Intercontinental Exchange Inc.	ICE.US	Election of Directors (12)
To approve, by non-binding vote, the advisory resolution on executive compensation for named executive officers.	MGMT	For				For
To ratify the appointment of Ernst & Young LLP as our independent registered public accounting firm for the fiscal year	MGMT	For				For
A stockholder proposal for adoption of a simple majority voting standard, if properly presented at the Annual Meeting.	Stockholder	Against				Against
20-May-21	CDW Corp	CDW				Election of Directors (10)
			To approve, on an advisory basis, named executive officer compensation.	MGMT	For	For
			Ratification of the appointment of the Company's Independent Registered Public Accounting Firm for 2021.	MGMT	For	For
			Approve the amendment to the Company's Certificate of Incorporation to eliminate the supermajority voting requirement in Article Eleven and to make certain non-substantive changes	MGMT	For	For
			To approve the amendment to the Company's Certificate of Incorporation to eliminate the obsolete competition and corporate opportunity provision.	MGMT	For	For
			To approve the CDW Corporation 2021 Long-Term Incentive Plan.	MGMT	For	For
			To approve the amendment to the CDW Corporation Coworker Stock Purchase Plan.	MGMT	For	For
18-May-21	Motorola Solutions	MSI	Election of Director (7 appointees)	MGMT	For	For
			Ratification of the appointment of the Company's Independent Registered Public Accounting Firm for 2021.	MGMT	For	For
			Advisory approval of the Company's executive compensation.	MGMT	For	For
			21-May-21	Quest Diagnostics Inc	DGX	Election of Directors (9)
Advisory resolution for the executive officer compensation disclosed in the 2021 proxy statement	MGMT	For				For
Ratification of the appointment of our independent registered public accounting firm	MGMT	For				For
Stockholder proposal regarding the right to act by written consent, if properly presented at the meeting	Stockholder	Against				Against
20-May-21	Home Depot	HD	Election of Directors (12)	MGMT	For	For
			Ratification of the Appointment of KPMG LLP.	MGMT	For	For
			Advisory Vote to Approve Executive Compensation ("Say-on-Pay")	MGMT	For	For
			Shareholder Proposal Regarding Amendment of Shareholder Written Consent Right	Stockholder	Against	Against
			Shareholder Proposal Regarding Political Contributions Congruency Analysis.	Stockholder	Against	Against
26-May-21	Dollar General	DG	Shareholder Proposal Regarding Report on Prison Labor in the Supply Chain.	Stockholder	Against	Against
			Election of Directors (8)	MGMT	For	For
			Resolution regarding the compensation of Dollar General Corporation's named executive officers as disclosed in the proxy statement	MGMT	For	For
			Ratify the selection of Ernst & Young LLP as Berry's independent registered public accountants	MGMT	For	For
			To approve the Dollar General Corporation 2021 Stock Incentive Plan.	MGMT	For	For
26-May-21	Dollar General	DG	To approve an amendment to the amended and restated charter of Dollar General Corporation to allow shareholders holding 25% or more of our common stock to request special meetings of shareholders	MGMT	For	For
			To vote on a shareholder proposal regarding shareholders' ability to call special meetings of shareholders.	Stockholder	Against	Against

22-Apr-21	Johnson and Johnson	JNJ	Election of Directors (14)	MGMT	For	N/A
			Advisory Vote to Approve Named Executive Officer Compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Report on Government Financial Support and Access to COVID-19 Vaccines and Therapeutics.	Stockholder	Against	N/A
			Independent Board Chair.	Stockholder	Against	N/A
			Civil Rights Audit.	Stockholder	Against	N/A
Executive Compensation Bonus Deferral.	Stockholder	Against	N/A			
5-May-21	S&P Global Inc.	SPGI UN	Election of Directors (12)	MGMT	For	For
			The executive compensation program for the Company's named executive officers	MGMT	For	For
			Ratify the selection of Ernst & Young LLP as our independent auditor for 2021.	MGMT	For	For
			The Company's Greenhouse Gas (GHG) Emissions Reduction Plan	MGMT	For	For
			Shareholder proposal to transition to a Public Benefit Corporation.	Stockholder	Against	Against
22-Apr-21	Texas Instruments	TXN	Election of Directors (11)	MGMT	For	N/A
			Board proposal regarding advisory approval of the Company's executive compensation.	MGMT	For	N/A
			Ratify the selection of Ernst & Young LLP as our independent auditor for 2021.	MGMT	For	N/A
			Stockholder proposal to permit shareholder action by written consent.	Stockholder	Against	N/A
24-Apr-21	Fastenal	FAST	Election of Directors (9)	MGMT	For	For
			Ratify appointment of accounting firm	MGMT	For	For
			Approval, by non-binding vote, of executive compensation.	MGMT	For	For
29-Apr-21	Church & Dwight	CHD	Election of Directors (10)	MGMT	For	For
			An advisory vote to approve compensation of our named executive officers.	MGMT	For	For
			Amend the Company's Amendedremove the requirement for holders of two- thirds of our outstanding stock to fill vacancies on the Board of Directorsremove the requirement for holders of two- thirds of our outstanding stock to fill vacancies on the Board of Directors and Restated Certificate of Incorporation	MGMT	For	For
			Remove the requirement to have holders of two-thirds of our outstanding stock approve certain mergers, consolidations or dispositions of substantial assets	MGMT	For	For
			Remove certain procedural provisions that will no longer be required once the Board is fully declassified	MGMT	For	For
			Ratification of the appointment of Deloitte & Touche LLP as our independent registered public accounting firm for 2021.	MGMT	For	For
04-May-21	Aptar Group	ATR	Election of Directors (4)	MGMT	For	For
			Advisory vote to approve executive compensation.	MGMT	For	For
			Ratify appointment of accounting firm	MGMT	For	For
19-May-21	Amphenol	APH	Election of Directors (9)	MGMT	For	For
			Ratify the Selection of Deloitte & Touche LLP as Independent Public Accountants.	MGMT	For	For
			Advisory Vote to Approve Compensation of Named Executive Officers.	MGMT	For	For
			Amended and Restated 2017 Stock Purchase Option Plan for Key Employees of Amphenol and Subsidiaries	MGMT	For	For
			Approve an Amendment to the Company's Certificate of Incorporation to Increase the Number of Authorized Shares.	MGMT	For	For
			Stockholder Proposal: Improve Our Catch-22 Proxy Access.	Stockholder	Against	Against
07-Jun-21	United Health Group	UNH	Election of Directors (9)	MGMT	For	For
			Ratify independent registered public accounting firm	MGMT	For	For
			Approval of an amendment to the UnitedHealth Group 1993 Employee Stock Purchase Plan.	MGMT	For	For
			Shareholder proposal set forth in the proxy statement	Stockholder	Against	Against
05-Apr-21	Broadcom	AVGO	Election of Directors (9)	MGMT	For	N/A
			Ratify independent registered public accounting firm	MGMT	For	N/A
			Approval of an amendment and restatement of Broadcom's 2012 Stock Incentive Plan.	MGMT	For	N/A
			Advisory vote to approve compensation of Broadcom's named executive officers.	MGMT	For	N/A
09-Mar-21	Qualcom	QCOM	Election of Directors (14)	MGMT	For	N/A
			Ratify independent registered public accounting firm	MGMT	For	N/A
			Advisory vote to approve compensation of named executive officers.	MGMT	For	N/A
12-Apr-21	A O Smith	AOS	Election of Directors (4)	MGMT	For	N/A
			Ratify independent registered public accounting firm	MGMT	For	N/A
			Proposal to approve, by nonbinding advisory vote, the compensation of our named executive officers.	MGMT	For	N/A
11-Mar-21	S&P Global Inc.	SPGI UN	Approval of the S&P Global Share Issuance	MGMT	For	N/A
			Election of Directors (14)	MGMT	For	For
			Advisory approval of Mastercard's executive compensation.	MGMT	For	For

22-Jun-21	Mastercard	MA	Ratify appointment of accounting firm	MGMT	For	For
			Approval of the amendment and restatement of the Mastercard Incorporated 2006 Long Term Incentive Plan.	MGMT	For	For
			Approval of the amendment and restatement of the Mastercard Incorporated 2006 Non-Employee Director Equity Compensation Plan.	MGMT	For	For
			Approval of amendments to Mastercard's Certificate of Incorporation to remove supermajority voting requirements.	MGMT	For	For
07-Jun-21	Watsco	WSO	Election of Directors (1)	MGMT	For	For
			To approve the Watsco, Inc. 2021 Incentive Compensation Plan.	MGMT	For	For
			To approve the advisory resolution regarding the compensation of our named executive officers. appointment of KPMG LLP as our independent registered public accounting firm	MGMT	For	For
17-Jun-21	Evercore	EVR	Election of Directors (13)	MGMT	For	For
			Ratify independent registered public accounting firmTo approve, on an advisory basis, the executive compensation of our Named Executive Officers.	MGMT	For	For
			Ratify the selection of Deloitte & Touche LLP as our independent registered public accounting firm	MGMT	For	For
30-Apr-21	Advanced Energy Industries	AEIS	Election of Directors (10)	MGMT	For	N/A
			Ratify appointment of independent registered public accounting firm	MGMT	For	N/A
			To approve the advisory resolution regarding the compensation of our named executive officers.	MGMT	For	N/A
			Approval of an increase in the total number of shares of common stock authorized for issuance under the Employee Stock Purchase Plan	MGMT	For	N/A
28-Jan-21	Air Products and Chemicals	APD	Election of Directors (8)	MGMT	For	N/A
			Advisory vote approving the compensation of the Company's named executive officers	MGMT	For	N/A
			Approval of the Air Products and Chemicals, Inc. 2021 Long- Term Incentive Plan	MGMT	For	N/A
			Ratify the appointment of Deloitte & Touche LLP as the Company's independent registered public accounting firm	MGMT	For	N/A
23-Feb-21	Apple	AAPL	Appoint the auditor	MGMT	For	N/A
			Elect Directors (8 members)	MGMT	For	N/A
			Advisory voting approval to executive compensation	MGMT	For	N/A
			Shareholder proposal No.1 shareholder proxy access amendments	Shareholder	Against	N/A
			Shareholder proposal No.2 Executive Compensation	Shareholder	Against	N/A
11-Nov-20	Automatic Data Processing	ADP	Elect Directors (11 members)	MGMT	For	N/A
			Voting on executive compensation	MGMT	For	N/A
			Ratification of the Appointment of Auditor	MGMT	For	N/A
			Report on Employee Representation on the Board of Directors	Shareholder	Against	N/A
10-Dec-20	Cisco Systems	CSCO	Election of Directors (10)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Approval of reincorporation from California to Delaware	MGMT	For	N/A
			Approval of amendment and restatement of 2005 stock incentive plan	MGMT	For	N/A
			Adopt policy of independent board chairman	Shareholder	Against	N/A
17-Mar-21	Cooper Companies	COO	Election of Directors (8)	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
13-May-21	CVS Health Corp	CVS	Elect Directors (13)	MGMT	For	N/A
			Advisory approval of Mastercard's executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Stockholder Proposal for Reducing the Threshold for Our Stockholder Right to Act By Written Consent	Shareholder	Against	N/A
			Statement of the Board of Directors Recommending a Vote AGAINST the John Chevedden Proposal	Shareholder	Against	N/A
22-Jun-21	JP Morgan Chase	JPM	Election of Directors (10)	MGMT	For	N/A
			Advisory approval of Mastercard's executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Approval of Amended and Restated Long-Term Incentive Plan effective May 18, 2021	MGMT	For	N/A
			Shareholder Proposal - Improve shareholder written consent	Shareholder	Against	N/A
			Shareholder Proposal - Racial equity audit and report	Shareholder	Against	N/A
			Shareholder Proposal - Indep Board Chairman	Shareholder	Against	N/A
			Shareholder Proposal - Political and electioneering expenditure congruency report	Shareholder	Against	N/A
Election of Directors (14)	MGMT	For	N/A			

04-Nov-20	Oracle Corp	ORCL	Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Approve Oracle Equity Incentive Plan 2020	MGMT	For	N/A
			Pay Equity Report	Shareholder	Against	N/A
			Independent Board Chair.	Shareholder	Against	N/A
11-Feb-21	Tyson Foods	TSN	Election of Directors (15)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Amendment and restatement of stock incentive plan	MGMT	For	N/A
			Human Rights Due Diligence	Shareholder	Against	N/A
			Share Voting	Shareholder	Against	N/A
Corporate Lobbying	Shareholder	Against	N/A			
26-Jan-21	Visa	V	Election of Directors (12)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Visa Inc. 2007 Equity Incentive Compensation Plan	MGMT	For	N/A
			Approval of an amendment to our Certificate of Incorporation	MGMT	For	N/A
			To vote on a stockholder proposal requesting stockholders' right to act by written consent	Shareholder	Against	N/A
To vote on a stockholder proposal to amend our principles of executive compensation program	Shareholder	Against	N/A			
20-May-21	Marsh & McLennan	MMC	Election of Directors (13)	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
20-May-21	McDonald's Corp	MCD	Election of Directors (12)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Report on sugar and public health	Shareholder	Against	N/A
			Report on antibiotics and public health costs	Shareholder	Against	N/A
			Ability for shareholders to act by written consent	Shareholder	Against	N/A
04-May-21	Pool Corp	POOL	Election of Directors (8)	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
12-May-21	Xylem	WYL	Election of Directors (11)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Amend proxy access by-law	Shareholder	Against	N/A
13-May-21	Martin Marietta Materials	MLM	Election of Directors (11)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
04-Nov-20	KLA Corporation	KLAC	Election of Directors (11)	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Stockholder proposal regarding proxy access	Shareholder	Against	N/A
11-Dec-20	Medtronic PLC	MDT	Election of Directors (12)	MGMT	For	N/A
			Ratify appointment of accounting firm, non-binding	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			To renew the Board's authority to issue shares	MGMT	For	N/A
			To renew the Board's authority to opt out of pre-emption rights	MGMT	For	N/A
			Authorizing the Company and any subsidiary of the Company to make overseas market purchases of Medtronic ordinary shares	MGMT	For	N/A
02-Dec-20	Microsoft	MSFT	Election of Directors (12)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Shareholder proposal - Report on Employee Representation on Board of Directors	Shareholder	Against	N/A
			Election of Directors (10)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A

09-Mar-21	Walt Disney	DIS	Ratify appointment of accounting firm	MGMT	For	N/A
			Shareholder proposal requesting an annual report disclosing information regarding lobbying policies and activities	Shareholder	Against	N/A
			Shareholder proposal requesting inclusion of nonmanagement employees on director nominee candidate lists	Shareholder	Against	N/A
19-Nov-20	Broadridge Financial Solutions ADR	BR	Election of Directors (10)	MGMT	For	N/A
			Advisory approval of executive compensation.	MGMT	For	N/A
			Ratify appointment of accounting firm	MGMT	For	N/A
			Stockholder proposal on Political Considerations	Shareholder	Against	N/A