

Form 990-T

Exempt Organization Business Income Tax Return (and proxy tax under section 6033(e))

OMB No 1545-0687

2018

For calendar year 2018 or other tax year beginning JUL 1, 2018, and ending JUN 30, 2019

Department of the Treasury Internal Revenue Service

Go to www.irs.gov/Form990T for instructions and the latest information.

Do not enter SSN numbers on this form as it may be made public if your organization is a 501(c)(3).

Open to Public Inspection for 501(c)(3) Organizations Only

Form sections A through G: A Check box if address changed; B Exempt under section 501(c)(3); C Book value of all assets; D Employer identification number; E Unrelated business activity code; F Group exemption number; G Check organization type.

Section H: Enter the number of the organization's unrelated trades or businesses. 1 UNRELATED DEBT-FINANCED INCOME.

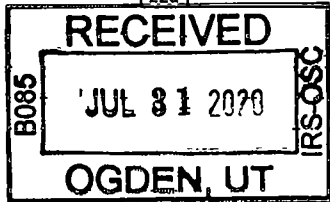
Section I: During the tax year, was the corporation a subsidiary in an affiliated group or a parent-subsidiary controlled group? No.

Section J: The books are in care of BETSY CASSIDY. Telephone number (919) 668-8910.

Table with 4 columns: (A) Income, (B) Expenses, (C) Net. Rows 1-13 detailing Unrelated Trade or Business Income.

Part II Deductions Not Taken Elsewhere (See instructions for limitations on deductions)

Table with 4 columns: (A) Income, (B) Expenses, (C) Net. Rows 14-32 detailing Deductions Not Taken Elsewhere.



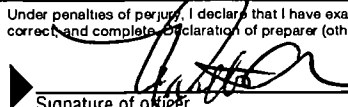
SCANNED AUG 03 2021

Part III Total Unrelated Business Taxable Income	
33 Total of unrelated business taxable income computed from all unrelated trades or businesses (see instructions)	33 -212,525.
34 Amounts paid for disallowed fringes	34
35 Deduction for net operating loss arising in tax years beginning before January 1, 2018 (see instructions) STMT 5	35 0.
36 Total of unrelated business taxable income before specific deduction. Subtract line 35 from the sum of lines 33 and 34	36 -212,525.
37 Specific deduction (Generally \$1,000, but see line 37 instructions for exceptions)	37
38 Unrelated business taxable income. Subtract line 37 from line 36. If line 37 is greater than line 36, enter the smaller of zero or line 36	38 -212,525.

Part IV Tax Computation	
39 Organizations Taxable as Corporations. Multiply line 38 by 21% (0.21)	39 0.
40 Trusts Taxable at Trust Rates. See instructions for tax computation. Income tax on the amount on line 38 from: Tax rate schedule or Schedule D (Form 1041)	40
41 Proxy tax. See instructions	41
42 Alternative minimum tax (trusts only)	42
43 Tax on Noncompliant Facility Income. See instructions	43
44 Total. Add lines 41, 42, and 43 to line 39 or 40, whichever applies	44 0.

Part V Tax and Payments	
45 a Foreign tax credit (corporations attach Form 1118; trusts attach Form 1116)	45a
b Other credits (see instructions)	45b
c General business credit. Attach Form 3800	45c
d Credit for prior year minimum tax (attach Form 8801 or 8827)	45d
e Total credits. Add lines 45a through 45d	45e
46 Subtract line 45e from line 44	46 0.
47 Other taxes. Check if from <input type="checkbox"/> Form 4255 <input type="checkbox"/> Form 8611 <input type="checkbox"/> Form 8697 <input type="checkbox"/> Form 8866 <input type="checkbox"/> Other (attach schedule)	47
48 Total tax. Add lines 46 and 47 (see instructions)	48 0.
49 2018 net 965 tax liability paid from Form 965-A or Form 965-B, Part II, column (k), line 2	49 0.
50 a Payments: A 2017 overpayment credited to 2018	50a
b 2018 estimated tax payments	50b
c Tax deposited with Form 8868	50c
d Foreign organizations: Tax paid or withheld at source (see instructions)	50d
e Backup withholding (see instructions)	50e
f Credit for small employer health insurance premiums (attach Form 8941)	50f
g Other credits, adjustments, and payments: Form 2439 _____ Form 4136 _____ Other _____ Total	50g
51 Total payments. Add lines 50a through 50g	51
52 Estimated tax penalty (see instructions). Check if Form 2220 is attached	52
53 Tax due. If line 51 is less than the total of lines 48, 49, and 52, enter amount owed	53
54 Overpayment. If line 51 is larger than the total of lines 48, 49, and 52, enter amount overpaid	54
55 Enter the amount of line 54 you want: Credited to 2019 estimated tax Refunded	55

Part VI Statements Regarding Certain Activities and Other Information (see instructions)		Yes	No
56 At any time during the 2018 calendar year, did the organization have an interest in or a signature or other authority over a financial account (bank, securities, or other) in a foreign country? If "Yes," the organization may have to file FinCEN Form 114, Report of Foreign Bank and Financial Accounts. If "Yes," enter the name of the foreign country here SEE STATEMENT 4		X	
57 During the tax year, did the organization receive a distribution from, or was it the grantor of, or transferor to, a foreign trust? If "Yes," see instructions for other forms the organization may have to file.			X
58 Enter the amount of tax-exempt interest received or accrued during the tax year \$			

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				
	Signature of officer 	Date 1/16/2020 Title SVP, CFO, TREASURER			
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check if self-employed	PTIN
	Firm's name	Firm's EIN			
	Firm's address	Phone no.			

Schedule A - Cost of Goods Sold. Enter method of inventory valuation ▶ N/A

1 Inventory at beginning of year	1		6 Inventory at end of year	6	
2 Purchases	2		7 Cost of goods sold. Subtract line 6 from line 5. Enter here and in Part I, line 2	7	
3 Cost of labor	3				
4a Additional section 263A costs (attach schedule)	4a				
b Other costs (attach schedule)	4b		8 Do the rules of section 263A (with respect to property produced or acquired for resale) apply to the organization?	Yes	No
5 Total. Add lines 1 through 4b	5				

Schedule C - Rent Income (From Real Property and Personal Property Leased With Real Property) (see instructions) N/A

1. Description of property

(1)
(2)
(3)
(4)

2. Rent received or accrued		3(a) Deductions directly connected with the income in columns 2(a) and 2(b) (attach schedule)
(a) From personal property (if the percentage of rent for personal property is more than 10% but not more than 50%)	(b) From real and personal property (if the percentage of rent for personal property exceeds 50% or if the rent is based on profit or income)	
(1)		
(2)		
(3)		
(4)		
Total	0.	Total 0.

(c) **Total income.** Add totals of columns 2(a) and 2(b). Enter here and on page 1, Part I, line 6, column (A) ▶ 0.

(b) **Total deductions.** Enter here and on page 1, Part I, line 6, column (B) ▶ 0.

Schedule E - Unrelated Debt-Financed Income (see instructions)

1. Description of debt-financed property		2. Gross income from or allocable to debt-financed property	3. Deductions directly connected with or allocable to debt-financed property	
			(a) Straight line depreciation (attach schedule)	(b) Other deductions (attach schedule)
(1) BOND INVESTMENT INTEREST INCOME		1,923,576.		49,390.
(2)				
(3)				
(4)				
4. Amount of average acquisition debt on or allocable to debt-financed property (attach schedule)	5. Average adjusted basis of or allocable to debt-financed property (attach schedule)	6. Column 4 divided by column 5	7. Gross income reportable (column 2 x column 6)	8. Allocable deductions (column 5 x total of columns 3(a) and 3(b))
(1) 595,234,055.	102,294,360.	100.00 %	1,923,576.	49,390.
(2)		%		
(3)		%		
(4)		%		
STATEMENT 6	STATEMENT 7		Enter here and on page 1, Part I, line 7, column (A)	Enter here and on page 1, Part I, line 7, column (B)
Totals			1,923,576.	49,390.
Total dividends-received deductions included in column 8 ▶				0.

Schedule F - Interest, Annuities, Royalties, and Rents From Controlled Organizations (see instructions) N/A

1. Name of controlled organization	2. Employer identification number	Exempt Controlled Organizations			
		3. Net unrelated income (loss) (see instructions)	4. Total of specified payments made	5. Part of column 4 that is included in the controlling organization's gross income	6. Deductions directly connected with income in column 5
(1)					
(2)					
(3)					
(4)					

Nonexempt Controlled Organizations

7. Taxable income	8. Net unrelated income (loss) (see instructions)	9. Total of specified payments made	10. Part of column 9 that is included in the controlling organization's gross income	11. Deductions directly connected with income in column 10
(1)				
(2)				
(3)				
(4)				
Totals			Add columns 5 and 10 Enter here and on page 1, Part I, line 8, column (A)	Add columns 6 and 11 Enter here and on page 1, Part I, line 8, column (B)

0. 0.

Schedule G - Investment Income of a Section 501(c)(7), (9), or (17) Organization (see instructions) N/A

1. Description of income	2. Amount of income	3. Deductions directly connected (attach schedule)	4. Set-asides (attach schedule)	5. Total deductions and set-asides (col 3 plus col 4)
(1)				
(2)				
(3)				
(4)				
Totals		Enter here and on page 1, Part I, line 9, column (A)		Enter here and on page 1, Part I, line 9, column (B)

0. 0.

Schedule I - Exploited Exempt Activity Income, Other Than Advertising Income (see instructions) N/A

1. Description of exploited activity	2. Gross unrelated business income from trade or business	3. Expenses directly connected with production of unrelated business income	4. Net income (loss) from unrelated trade or business (column 2 minus column 3) If a gain, compute cols 5 through 7	5. Gross income from activity that is not unrelated business income	6. Expenses attributable to column 5	7. Excess exempt expenses (column 6 minus column 5, but not more than column 4)
(1)						
(2)						
(3)						
(4)						
Totals		Enter here and on page 1, Part I, line 10, col (A)	Enter here and on page 1, Part I, line 10, col (B)			Enter here and on page 1, Part II, line 26

0. 0. 0.

Schedule J - Advertising Income (see instructions) N/A

Part I Income From Periodicals Reported on a Consolidated Basis

1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col 2 minus col 3) If a gain, compute cols 5 through 7	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)						
(2)						
(3)						
(4)						
Totals (carry to Part II, line (5))		0.	0.			0.

Part II **Income From Periodicals Reported on a Separate Basis** (For each periodical listed in Part II, fill in columns 2 through 7 on a line-by-line basis.) N/A

1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col 2 minus col 3) If a gain, compute cols 5 through 7	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)						
(2)						
(3)						
(4)						
Totals from Part I	0.	0.				0.
Totals, Part II (lines 1-5)	0.	0.				0.

Schedule K - Compensation of Officers, Directors, and Trustees (see instructions)

1. Name	2. Title	3. Percent of time devoted to business	4. Compensation attributable to unrelated business
(1)		%	
(2)		%	
(3)		%	
(4)		%	
Total. Enter here and on page 1, Part II, line 14			0.

Form 990-T (2018)

FORM 990-T

INTEREST PAID

STATEMENT 1

DESCRIPTION

AMOUNT

INTEREST EXPENSE

2,086,711.

TOTAL TO FORM 990-T, PAGE 1, LINE 18

2,086,711.

FORM 990-T

CONTRIBUTIONS

STATEMENT 2

DESCRIPTION/KIND OF PROPERTY

METHOD USED TO DETERMINE FMV

AMOUNT

VARIOUS ORGANIZATIONS

N/A

734,661.

TOTAL TO FORM 990-T, PAGE 1, LINE 20

734,661.

FORM 990-T

SCHEDULE E - UNRELATED DEBT-FINANCED INCOME
AVERAGE ACQUISITION DEBT

STATEMENT 6

DESCRIPTION OF DEBT-FINANCED PROPERTY	ACTIVITY NUMBER	AMOUNT OF OUTSTANDING DEBT
BOND INVESTMENT INTEREST INCOME	1	
BEGINNING FIRST MONTH		595,234,055.
BEGINNING SECOND MONTH		595,234,055.
BEGINNING THIRD MONTH		595,234,055.
BEGINNING FOURTH MONTH		595,234,055.
BEGINNING FIFTH MONTH		595,234,055.
BEGINNING SIXTH MONTH		595,234,055.
BEGINNING SEVENTH MONTH		595,234,055.
BEGINNING EIGHTH MONTH		595,234,055.
BEGINNING NINTH MONTH		595,234,055.
BEGINNING TENTH MONTH		595,234,055.
BEGINNING ELEVENTH MONTH		595,234,055.
BEGINNING TWELFTH MONTH		595,234,055.
TOTAL OF ALL MONTHS		7,142,808,660.
NUMBER OF MONTHS IN YEAR		12
AVERAGE AQUISITION DEBT		595,234,055.

TOTALS TO FORM 990-T, SCHEDULE E, COLUMN 4

FORM 990-T

SCHEDULE E - UNRELATED DEBT-FINANCED INCOME
AVERAGE ADJUSTED BASIS

STATEMENT 7

DESCRIPTION OF DEBT-FINANCED PROPERTY	ACTIVITY NUMBER	AMOUNT
BOND INVESTMENT INTEREST INCOME	1	204,588,719.
AVERAGE ADJUSTED BASIS OF PROPERTY FIRST DAY OF YEAR		0.
AVERAGE ADJUSTED BASIS OF PROPERTY LAST DAY OF YEAR		
AVERAGE ADJUSTED BASIS OF PROPERTY FOR THE YEAR		102,294,360.
TOTAL TO FORM 990-T, SCHEDULE E, COLUMN 5		

FORM 990-T

SCHEDULE E - OTHER DEDUCTIONS

STATEMENT 8

DESCRIPTION	ACTIVITY NUMBER	AMOUNT	TOTAL
INVESTMENT MANAGEMENT & COMMISSION		49,390.	
	- SUBTOTAL -	1	49,390.
TOTAL OF FORM 990-T, SCHEDULE E, COLUMN 3(B)			49,390.

Capital Gains and Losses
 Attach to Form 1120, 1120-C, 1120-F, 1120-FSC, 1120-H, 1120-IC-DISC, 1120-L,
 1120-ND, 1120-PC, 1120-POL, 1120-REIT, 1120-RIC, 1120-SF, or certain Forms 990-T.
 Go to www.irs.gov/Form1120 for instructions and the latest information.

OMB No 1545-0123

2018

Name: **DUKE UNIVERSITY HEALTH SYSTEM, INC.** Employer identification number: **56-2070036**

Part I Short-Term Capital Gains and Losses (See instructions)

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars.	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
1a Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
1b Totals for all transactions reported on Form(s) 8949 with Box A checked				
2 Totals for all transactions reported on Form(s) 8949 with Box B checked	117,292,590.	118,742,235.		-1,449,645.
3 Totals for all transactions reported on Form(s) 8949 with Box C checked				
4 Short-term capital gain from installment sales from Form 6252, line 26 or 37				4
5 Short-term capital gain or (loss) from like-kind exchanges from Form 8824				5
6 Unused capital loss carryover (attach computation)			SEE STATEMENT 9	6 (325,530.)
7 Net short-term capital gain or (loss) Combine lines 1a through 6 in column h				7 -1,775,175.

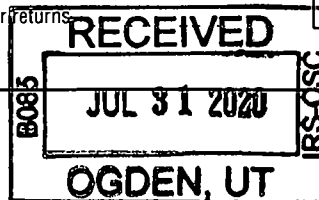
Part II Long-Term Capital Gains and Losses (See instructions.)

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars.	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
8a Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
8b Totals for all transactions reported on Form(s) 8949 with Box D checked				
9 Totals for all transactions reported on Form(s) 8949 with Box E checked	53,800,080.	54,720,039.		-919,959.
10 Totals for all transactions reported on Form(s) 8949 with Box F checked				
11 Enter gain from Form 4797, line 7 or 9				11
12 Long-term capital gain from installment sales from Form 6252, line 26 or 37				12
13 Long-term capital gain or (loss) from like-kind exchanges from Form 8824				13
14 Capital gain distributions				14
15 Net long-term capital gain or (loss). Combine lines 8a through 14 in column h				15 -919,959.

Part III Summary of Parts I and II

16 Enter excess of net short-term capital gain (line 7) over net long-term capital loss (line 15)	16
17 Net capital gain. Enter excess of net long-term capital gain (line 15) over net short-term capital loss (line 7)	17
18 Add lines 16 and 17. Enter here and on Form 1120, page 1, line 8, or the proper line on other returns. Note: If losses exceed gains, see Capital losses in the instructions.	18 0.

JWA For Paperwork Reduction Act Notice, see the Instructions for Form 1120.



Schedule D (Form 1120) 2018

SCHEDULE D

CAPITAL LOSS CARRYOVER

STATEMENT 9

LOSS YEAR	ORIGINAL LOSS SUSTAINED	LOSS PREVIOUSLY APPLIED	LOSS REMAINING
2013			
2014			
2015			
2016	3,889		3,889
2017	321,641		321,641
CAPITAL LOSS CARRYOVER TO CURRENT TAXABLE YEAR			325,530

Form **8949**

Sales and Other Dispositions of Capital Assets

OMB No 1545-0074

Department of the Treasury
Internal Revenue Service

▶ Go to www.irs.gov/Form8949 for instructions and the latest information.
▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

2018

Attachment
Sequence No **12A**

Name(s) shown on return

DUKE UNIVERSITY HEALTH SYSTEM, INC.

Social security number or
taxpayer identification no.

56-2070036

Before you check Box A, B, or C below, see whether you received any Form(s) 1099-B or substitute statement(s) from your broker. A substitute statement will have the same information as Form 1099-B. Either will show whether your basis (usually your cost) was reported to the IRS by your broker and may even tell you which box to check.

Part I Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions). For long-term transactions, see page 2.

Note: You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions).

You must check Box A, B, or C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box if you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

(A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see Note above)

(B) Short-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS

(C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo., day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	90DAY EURO\$ FUTURE (CME)	VARIOUS	02/13/19	<34,870.>	0.			<34,870.>
	ALIMENTATION COUCHE-TARD	VARIOUS	03/13/19	885,657.	889,960.			<4,303.>
	ALLY AUTO RECEIVABLES TRU	VARIOUS	03/15/19	532,422.	532,444.			<22.>
	AMUNDI PIONEER ASSET	VARIOUS	02/26/19	45.	0.			45.
	ANZ NEW ZEALAND INT'L LTD	VARIOUS	03/13/19	634,112.	639,591.			<5,479.>
	AUSTRALIA & NEW ZEALAND	VARIOUS	01/15/19	1,920,380.	1,927,525.			<7,145.>
	BA CREDIT CARD TRUST A1 A	VARIOUS	12/13/18	1,241,776.	1,242,796.			<1,020.>
	BANK OF MONTREAL	VARIOUS	03/13/19	1,617,671.	1,627,036.			<9,365.>
	BANK OF NOVA SCOTIA/THE	VARIOUS	02/12/19	3,267,812.	3,273,972.			<6,161.>
	BMW VEHICLE LEASE TR 2 2 A3	VARIOUS	03/13/19	1,662,537.	1,661,507.			1,030.
	BNP PARIBAS DISC	06/07/18	08/16/18	1,997,458.	1,988,551.			8,907.
	CAPITAL ONE FINANCIAL CORP	VARIOUS	03/13/19	950,146.	950,000.			146.
	CARDINAL HEALTH INC.	VARIOUS	02/12/19	1,644,704.	1,650,238.			<5,534.>
	CARMAX AUTO OWNER TR 2 2	VARIOUS	02/28/19	1,797,140.	1,801,962.			<4,822.>
	CITIBANK CREDIT CARD ISS A2	VARIOUS	12/13/18	3,271,418.	3,281,035.			<9,617.>
	CITIBANK CREDIT CARD ISS A9	VARIOUS	01/24/19	2,672,347.	2,689,863.			<17,516.>
	CITIGROUP INC	VARIOUS	01/15/19	3,458,237.	3,470,366.			<12,130.>
	COMM 2014-CCRE15 MORTG	VARIOUS	11/01/18	0.	0.			0.
	COMM 2014-UBS2 MORT UBS	VARIOUS	11/01/18	0.	0.			0.
	COMMIT TO PUR FNMA SF MTG	07/20/18	09/07/18	4,986,750.	4,982,625.			4,125.
	COMMONWEALTH BANK OF A	09/13/17	07/19/18	1,026,773.	1,025,000.			1,773.
	DEUTSCHE TELEKOM INTERNAT	VARIOUS	02/12/19	1,613,073.	1,627,676.			<14,603.>
	DRIVE AUTO RECEIV. BA C							
	144A	VARIOUS	11/01/18	574,783.	575,257.			<474.>
	DRIVE AUTO RECEIV. CA D							
	144A	VARIOUS	11/01/18	502,802.	510,391.			<7,589.>
	DRIVE AUTO RECEIV. TR 2 A3	07/25/17	07/15/18	61,857.	61,854.			2.
	FHLMC POOL #78-1542	VARIOUS	02/28/19	1,007,359.	1,014,827.			<7,468.>
	FHLMC POOL #84-8021	VARIOUS	02/28/19	377,262.	382,532.			<5,270.>
	FHLMC POOL #A9-2197	VARIOUS	02/01/19	279,007.	288,040.			<9,033.>
	FHLMC POOL #A9-2630	VARIOUS	12/20/18	927,102.	971,990.			<44,889.>
	FHLMC POOL #G0-6492	VARIOUS	02/28/19	358,142.	371,122.			<12,980.>

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked) ▶

117,292,590. 118,742,235. <1,449,645.>

Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.

Sales and Other Dispositions of Capital Assets

▶ Go to www.irs.gov/Form8949 for instructions and the latest information.
▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

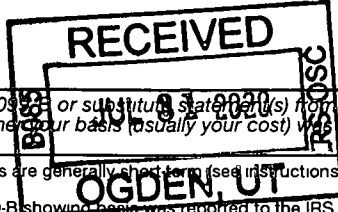
Name(s) shown on return

DUKE UNIVERSITY HEALTH SYSTEM, INC.

Social security number or
taxpayer identification no.

56-2070036

Before you check Box A, B, or C below, see whether you received any Form(s) 1099-B or substitute statement(s) from your broker. A substitute statement will have the same information as Form 1099-B. Either will show whether your basis (usually your cost) was reported to the IRS by your broker and may even tell you which box to check.



Part I Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions). For long-term transactions, see page 2.

Note: You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions).

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- (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see Note above)
- (B) Short-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS
- (C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr.)	(c) Date sold or disposed of (Mo, day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	FHLMC POOL #G1-2548	VARIOUS	12/20/18	133,960.	136,169.			<2,209.>
	FHLMC POOL #G1-2684	VARIOUS	11/01/18	467,257.	477,819.			<10,561.>
	FHLMC POOL #G1-2952	VARIOUS	12/20/18	794,943.	814,972.			<20,029.>
	FHLMC POOL #G1-4490	VARIOUS	03/01/19	232,986.	232,886.			100.
	FHLMC POOL #G1-5535	VARIOUS	01/21/19	198,283.	203,108.			<4,825.>
	FHLMC POOL #G6-0216	VARIOUS	12/20/18	1,493,528.	1,544,221.			<50,694.>
	FHLMC POOL #J1-2189	VARIOUS	01/21/19	220,709.	225,508.			<4,800.>
	FHLMC POOL #J2-3792	VARIOUS	03/01/19	55,624.	55,676.			<52.>
	FHLMC POOL #Q5-0139	VARIOUS	02/28/19	506,199.	525,321.			<19,122.>
	FHLMC POOL #Q5-7437	VARIOUS	02/28/19	216,518.	217,683.			<1,165.>
	FHLMC MCLASS CTF 3745 MP	VARIOUS	12/20/18	53,570.	53,730.			<160.>
	FHLMC MCLASS CTF 4305 KN	07/10/18	09/17/18	424,176.	424,807.			<631.>
	FHLMC MCLASS MTG 2595 HT	08/24/17	08/01/18	91,107.	92,873.			<1,767.>
	FHLMC MCLASS MTG 3501 FC	VARIOUS	02/15/19	370,191.	377,221.			<7,030.>
	FHLMC MCLASS MTG 3605 PA	VARIOUS	12/20/18	42,285.	43,456.			<1,171.>
	FHLMC MCLASS MTG 3636 BA	VARIOUS	12/20/18	44,447.	44,561.			<114.>
	FHLMC MCLASS MTG 3649 HA	09/12/17	09/01/18	64,574.	64,618.			<44.>
	FHLMC MCLASS MTG 3740 MC	VARIOUS	12/20/18	348,493.	352,552.			<4,059.>
	FHLMC MCLASS MTG 3741 PA	07/06/17	07/01/18	148,565.	149,052.			<487.>
	FHLMC MCLASS MTG 3768 DE	VARIOUS	12/20/18	674,367.	676,776.			<2,410.>
	FHLMC MCLASS MTG 3821 LA	VARIOUS	08/01/18	1,133,748.	1,143,792.			<10,044.>
	FHLMC MCLASS MTG 3884 DL	VARIOUS	03/19/19	137,183.	138,907.			<1,725.>
	FHLMC MCLASS MTG 3927 AI	VARIOUS	03/01/19	8,367.	14,612.			<6,245.>
	FHLMC MCLASS MTG 3941 BE	07/12/17	07/01/18	21,557.	21,587.			<30.>
	FHLMC MCLASS MTG 3945 BJ	VARIOUS	09/17/18	558,656.	559,448.			<792.>
	FHLMC MCLASS MTG 3946 KB	VARIOUS	12/20/18	35,683.	37,295.			<1,612.>
	FHLMC MCLASS MTG 4011 KM	VARIOUS	03/19/19	102,179.	103,256.			<1,077.>
	FHLMC MCLASS MTG 4097 CI	VARIOUS	03/01/19	13,203.	19,425.			<6,222.>
	FHLMC MCLASS MTG 4123 DI	VARIOUS	02/01/19	41,349.	52,263.			<10,914.>
	FHLMC MCLASS MTG 4244 AI	VARIOUS	03/01/19	6,107.	12,261.			<6,154.>
	FNMA POOL #0555696	VARIOUS	02/28/19	651,559.	660,429.			<8,870.>
	FNMA POOL #0735484	VARIOUS	12/20/18	1,046,109.	1,081,944.			<35,835.>

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked) ▶

Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.

Sales and Other Dispositions of Capital Assets

OMB No 1545-0074

2018

Attachment
 Sequence No **12A**

▶ Go to www.irs.gov/Form8949 for instructions and the latest information.
 ▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

Name(s) shown on return

DUKE UNIVERSITY HEALTH SYSTEM, INC.

Social security number or
 taxpayer identification no.

56-2070036

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(Part I) Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions). For long-term transactions, see page 2

Note: You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions)

You must check Box A, B, or C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

- (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- (B) Short-term transactions reported on Form(s) 1099-B showing basis **wasn't** reported to the IRS
- (C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo., day, yr)	(c) Date sold or disposed of (Mo., day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	FNMA POOL #0735676	VARIOUS	01/16/19	451,597.	465,637.			<14,041.>
	FNMA POOL #0888535	VARIOUS	12/20/18	196,566.	200,305.			<3,739.>
	FNMA POOL #0888926	VARIOUS	11/01/18	354,839.	361,221.			<6,382.>
	FNMA POOL #0889390	VARIOUS	12/20/18	195,669.	200,995.			<5,326.>
	FNMA POOL #0890192	VARIOUS	12/20/18	32,323.	33,736.			<1,414.>
	FNMA POOL #0890805	VARIOUS	12/20/18	727,660.	747,632.			<19,972.>
	FNMA POOL #0931121	VARIOUS	11/02/18	136,800.	144,582.			<7,782.>
	FNMA POOL #0931412	VARIOUS	12/20/18	34,310.	36,049.			<1,738.>
	FNMA POOL #0931813	07/17/17	07/01/18	3,484.	3,772.			<288.>
	FNMA POOL #0932463	VARIOUS	03/19/19	194,953.	199,744.			<4,791.>
	FNMA POOL #0932724	VARIOUS	12/20/18	0.	0.			0.
	FNMA POOL #0933488	VARIOUS	12/20/18	0.	0.			0.
	FNMA POOL #0968647	VARIOUS	11/01/18	282,199.	288,484.			<6,285.>
	FNMA POOL #0984254	VARIOUS	03/19/19	662,611.	676,357.			<13,746.>
	FNMA POOL #0995017	VARIOUS	12/20/18	860,919.	867,769.			<6,850.>
	FNMA POOL #0995265	01/12/18	09/17/18	879,230.	895,286.			<16,056.>
	FNMA POOL #0995766	07/25/17	07/01/18	27,027.	28,394.			<1,366.>
	FNMA POOL #0AB3272	09/01/17	08/01/18	4,354.	4,723.			<369.>
	FNMA POOL #0AB8566	VARIOUS	03/01/19	60,648.	60,816.			<169.>
	FNMA POOL #0AD0121	VARIOUS	01/21/19	248,602.	255,411.			<6,809.>
	FNMA POOL #0AD1021	VARIOUS	12/20/18	18,886.	19,929.			<1,043.>
	FNMA POOL #0AD1613	07/31/17	07/01/18	3,388.	3,569.			<181.>
	FNMA POOL #0AD1972	VARIOUS	12/20/18	270,896.	275,511.			<4,614.>
	FNMA POOL #0AD3140	VARIOUS	12/20/18	0.	0.			0.
	FNMA POOL #0AD5535	VARIOUS	01/21/19	394,882.	404,391.			<9,509.>
	FNMA POOL #0AD8536	VARIOUS	12/20/18	337,640.	343,212.			<5,572.>
	FNMA POOL #0AE0040	VARIOUS	12/18/18	546,000.	564,406.			<18,406.>
	FNMA POOL #0AE0379	08/14/17	08/01/18	15,393.	16,270.			<877.>
	FNMA POOL #0AH2702	01/03/18	09/17/18	481,053.	498,527.			<17,474.>
	FNMA POOL #0AH2899	07/17/17	07/01/18	8,521.	9,223.			<702.>
	FNMA POOL #0AH7030	09/01/17	08/01/18	7,027.	7,631.			<604.>
	FNMA POOL #0AI1935	VARIOUS	12/20/18	354,230.	359,257.			<5,027.>

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Sales and Other Dispositions of Capital Assets

Department of the Treasury
Internal Revenue Service

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2018
Attachment
Sequence No **12A**

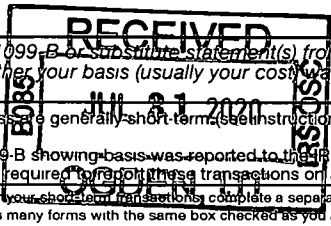
Name(s) shown on return

Social security number or
taxpayer identification no.

DUKE UNIVERSITY HEALTH SYSTEM, INC.

56-2070036

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1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo, day, yr.)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	FNMA POOL #0AI2440	VARIOUS	02/28/19	346,848.	351,104.			<4,256.>
	FNMA POOL #0AL2058	12/05/17	09/17/18	1,139,481.	1,164,851.			<25,371.>
	FNMA POOL #0AL2441	VARIOUS	12/20/18	1,161,593.	1,220,390.			<58,797.>
	FNMA POOL #0AL7387	VARIOUS	12/20/18	138,723.	142,408.			<3,685.>
	FNMA POOL #0AL7521	VARIOUS	01/16/19	801,482.	827,815.			<26,333.>
	FNMA POOL #0AL7568	11/15/17	09/17/18	410,646.	421,136.			<10,491.>
	FNMA POOL #0AL8476	VARIOUS	02/28/19	608,969.	616,680.			<7,711.>
	FNMA POOL #0AL8710	VARIOUS	12/20/18	258,140.	265,003.			<6,863.>
	FNMA POOL #0AL9727	VARIOUS	12/20/18	1,200,126.	1,263,127.			<63,002.>
	FNMA POOL #0AW7396	11/15/17	09/17/18	203,507.	208,633.			<5,126.>
	FNMA POOL #0BF0185	12/01/17	09/17/18	728,468.	756,823.			<28,355.>
	FNMA POOL #0BK0919	VARIOUS	02/28/19	505,094.	508,607.			<3,513.>
	FNMA POOL #0BM1397	09/01/17	08/01/18	30,174.	32,782.			<2,608.>
	FNMA POOL #0BM3382	VARIOUS	12/20/18	1,132,411.	1,157,005.			<24,595.>
	FNMA POOL #0MA1370	VARIOUS	03/19/19	346,194.	349,136.			<2,943.>
	FNMA GTD REMIC P/T 09-85	08/14/17	08/01/18	45,944.	46,573.			<629.>
	FNMA GTD REMIC P/T 09-85	VARIOUS	01/21/19	188,988.	192,011.			<3,023.>
	FNMA GTD REMIC P/T 10-153	09/12/17	09/01/18	28,021.	28,028.			<7.>
	FNMA GTD REMIC P/T 10-42	VARIOUS	02/01/19	129,723.	131,168.			<1,445.>
	FNMA GTD REMIC P/T 10-45	VARIOUS	03/19/19	271,289.	272,298.			<1,009.>
	FNMA GTD REMIC P/T 10-8	VARIOUS	02/28/19	400,269.	405,120.			<4,851.>
	FNMA GTD REMIC P/T 11-101	06/15/18	09/17/18	541,477.	545,297.			<3,820.>
	FNMA GTD REMIC P/T 11-13	VARIOUS	12/01/18	36,331.	36,341.			<10.>
	FNMA GTD REMIC P/T 11-132	VARIOUS	12/17/18	453,878.	461,622.			<7,744.>
	FNMA GTD REMIC P/T 11-133	VARIOUS	12/20/18	37,597.	37,933.			<336.>
	FNMA GTD REMIC P/T 11-22	VARIOUS	12/20/18	859,258.	888,598.			<29,340.>
	FNMA GTD REMIC P/T 11-38	VARIOUS	03/19/19	37,766.	37,861.			<96.>
	FNMA GTD REMIC P/T 11-44	VARIOUS	11/01/18	106,200.	106,934.			<734.>
	FNMA GTD REMIC P/T 11-63	VARIOUS	02/01/19	23,372.	31,867.			<8,494.>
	FNMA GTD REMIC P/T 11-67	VARIOUS	01/21/19	251,443.	252,773.			<1,330.>
	FNMA GTD REMIC P/T 12-130	VARIOUS	02/01/19	20,053.	26,057.			<6,004.>
	FNMA GTD REMIC P/T 12-14	VARIOUS	02/01/19	2,289.	2,861.			<572.>

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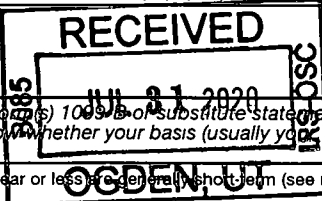
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Name(s) shown on return

DUKE UNIVERSITY HEALTH SYSTEM, INC.



Social security number or taxpayer identification no.

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1	(a) Description of property (Example 100 sh. XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo, day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	FNMA GTD REMIC P/T 12-150	VARIOUS	03/01/19	16,717.	23,144.			<6,427.>
	FNMA GTD REMIC P/T 12-17	01/08/18	09/13/18	339,468.	345,346.			<5,878.>
	FNMA GTD REMIC P/T 12-20	03/26/18	09/17/18	473,051.	474,290.			<1,239.>
	FNMA GTD REMIC P/T 12-31	VARIOUS	12/17/18	807,955.	820,729.			<12,773.>
	FNMA GTD REMIC P/T 12-94	VARIOUS	12/20/18	144,147.	145,569.			<1,422.>
	FNMA GTD REMIC P/T 13-5	VARIOUS	03/01/19	18,053.	26,270.			<8,216.>
	FNMA GTD REMIC P/T 13-9	VARIOUS	03/19/19	781,022.	797,253.			<16,231.>
	FNMA GTD REMIC P/T 15-72	VARIOUS	09/17/18	541,938.	554,105.			<12,168.>
	FNMA GTD REMIC P/T 2010-15	VARIOUS	02/01/19	75,772.	76,062.			<290.>
	FNMA GTD REMIC P/T 2011-80	VARIOUS	09/17/18	582,740.	597,711.			<14,971.>
	FNMA GTD REMIC P/T 2014-52	07/06/17	07/01/18	44,160.	44,301.			<140.>
	GM FINANCIAL AUTOMOBILE L	VARIOUS	02/20/19	596,941.	595,896.			1,045.
	GNMA GTD REMIC P/T 09-110	VARIOUS	01/21/19	304,157.	324,585.			<20,428.>
	GNMA GTD REMIC P/T 10-128	VARIOUS	01/21/19	391,977.	394,327.			<2,351.>
	GNMA GTD REMIC P/T 11-75 YT	VARIOUS	02/01/19	3,548.	7,330.			<3,782.>
	GNMA GTD REMIC P/T 13-84 SC	VARIOUS	02/01/19	13,627.	20,158.			<6,531.>
	GNMA GTD REMIC P/T 16-118	VARIOUS	12/12/18	62,448.	101,671.			<39,223.>
	GNMA GTD REMIC P/T 16-17 JS	VARIOUS	12/20/18	52,487.	80,137.			<27,650.>
	GNMA GTD REMIC P/T 16-20 SE	VARIOUS	02/01/19	58,752.	91,855.			<33,104.>
	GNMA GTD REMIC P/T 16-5 CS	VARIOUS	02/01/19	53,683.	87,421.			<33,738.>
	GNMA GTD REMIC P/T 16-88	VARIOUS	01/24/19	55,727.	85,745.			<30,018.>
	GOLDMAN SACHS GROUP INC	VARIOUS	03/13/19	747,668.	749,984.			<2,317.>
	GS MORTGAGE SECURITIES GC	VARIOUS	02/01/19	16,231.	16,261.			<30.>
	HOME PARTNERS OF AMER 1 A	VARIOUS	09/13/18	1,282,188.	1,281,208.			980.
	HONDA AUTO RECEIVABLES 20	VARIOUS	03/19/19	656,471.	656,546.			<75.>
	HSEC USA INC	VARIOUS	11/26/18	1,604,103.	1,629,618.			<25,515.>
	HYUNDAI AUTO RECEIV B A2A	VARIOUS	12/31/18	455,568.	457,530.			<1,962.>
	ING (US) FUNDING DISC	06/05/18	09/13/18	996,732.	990,055.			6,677.
	J P MORGAN SECS DISC	06/11/18	08/16/18	1,794,195.	1,786,080.			8,115.
	MERCEDES-BENZ AUTO LEASE	VARIOUS	01/24/19	3,292,601.	3,302,353.			<9,752.>
	METROPOLITAN LIFE GLOBAL	VARIOUS	01/15/19	2,997,592.	3,039,958.			<42,366.>
	MIZUHO BANK LTD DISC	09/25/18	10/18/18	1,398,015.	1,396,150.			1,865.

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked) ▶

Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment

Sales and Other Dispositions of Capital Assets

▶ Go to www.irs.gov/Form8949 for instructions and the latest information.
 ▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

Name(s) shown on return

Social security number or
 taxpayer identification no.

DUKE UNIVERSITY HEALTH SYSTEM, INC.

56-2070036

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Part I Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions). For long-term transactions, see page 2.

Note: You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions).

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(A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

(B) Short-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS

(C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo., day, yr)	(c) Date sold or disposed of (Mo., day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see <i>Column (e)</i> in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	MORGAN STANLEY BANK OF	VARIOUS	01/21/19	145,012.	147,228.			<2,215.>
	MORGAN STANLEY LIQ TREAS	VARIOUS	04/23/19	<114.>	0.			<114.>
	MUFG BANK LTD NY DISC	08/02/18	08/16/18	1,998,156.	1,995,631.			2,525.
	NEW YORK LIFE GLOBAL FUND	VARIOUS	02/12/19	1,074,751.	1,089,501.			<14,750.>
	NISSAN AUTO LEASE TRUST A	VARIOUS	03/26/19	55.	0.			55.
	NISSAN AUTO RECEIVABLES B	VARIOUS	03/15/19	609,182.	609,482.			<300.>
	NISSAN MASTER OWNER TRUST	VARIOUS	03/13/19	419,934.	420,000.			<66.>
	NISSAN MOTOR ACCEPTANCE C	VARIOUS	01/23/19	1,965,298.	2,009,316.			<44,018.>
	NORTHROP GRUMMAN CORP	VARIOUS	03/13/19	899,217.	909,927.			<10,711.>
	OSCAR US FUNDING T 2A A2B	VARIOUS	03/13/19	116,886.	116,831.			55.
	PRINCIPAL LIFE GLOBAL FUN	VARIOUS	01/15/19	2,975,820.	3,005,056.			<29,236.>
	SANTANDER DRIVE AUTO REC	VARIOUS	07/16/18	938,894.	944,508.			<5,614.>
	SCHLUMBERGER FINANCE CA	VARIOUS	03/13/19	583,463.	589,595.			<6,132.>
	STANDARD CHART DISC	09/21/18	10/18/18	2,693,253.	2,685,553.			7,700.
	SUMITOMO MITSUI TRUST BAN	VARIOUS	03/13/19	447,917.	449,921.			<2,003.>
	SUNCORP-METWAY LTD 144A	VARIOUS	03/13/19	968,779.	979,606.			<10,826.>
	TORONTO-DOMINION BANK	VARIOUS	12/13/18	977,010.	999,340.			<22,330.>
	TOYOTA AUTO RECEIVABLES 2	VARIOUS	12/17/18	1,466,857.	1,470,024.			<3,166.>
	TRICON AMERICAN HO SFR1 A	VARIOUS	11/01/18	711,067.	714,355.			<3,287.>
	U S TREASURY BILL	VARIOUS	11/20/18	129,471.	128,634.			837.
	US 10 YR TREAS NTS FUT							
	(CBT)	VARIOUS	02/25/19	249.	0.			249.
	US 10 YR TREAS NTS FUTURE	VARIOUS	03/13/19	<938.>	0.			<938.>
	US 10YR NOTE FUTURE (CBT)	08/28/18	09/13/18	<4,376.>	0.			<4,376.>
	US 5YR NOTE FUTURE (CBT)	08/28/18	09/13/18	12,148.	0.			12,148.
	US 5YR TREAS NTS FUTURE	VARIOUS	08/14/18	<4,156.>	0.			<4,156.>
	USD IRS 10YR PRIM FUTURE	12/07/18	02/13/19	<23,961.>	0.			<23,961.>
	USD IRS 5YR PRIM FUTURE							
	(CBT)	12/07/18	02/14/19	17,082.	0.			17,082.
	VERIZON OWNER TRUS 3A A1B	VARIOUS	03/13/19	590,184.	590,000.			184.
	WELLS FARGO & CO	VARIOUS	12/13/18	3,297,591.	3,300,790.			<3,199.>
	WESTPAC BANKING CORP	VARIOUS	01/15/19	3,312,465.	3,322,358.			<9,883.>

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Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

Sales and Other Dispositions of Capital Assets

2018

Attachment
 Sequence No **12A**

- Go to www.irs.gov/Form8949 for instructions and the latest information.
- File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

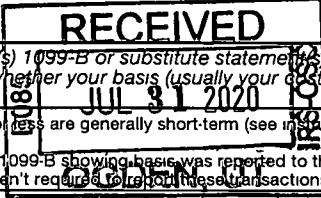
Name(s) shown on return

Social security number or
 taxpayer identification no.

DUKE UNIVERSITY HEALTH SYSTEM, INC.

56-2070036

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Part I Short-Term. Transactions involving capital assets you held 1 year or less are generally short-term (see instructions) For long term transactions, see page 2

Note You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 1a, you aren't required to report these transactions on Form 8949 (see instructions)

You must check Box A, B, or C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

- (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- (B) Short-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS
- (C) Short-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh. XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo, day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see <i>Column (e)</i> in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	WORLD OMNI AUTO RECEIV	VARIOUS	03/15/19	506,815.	506,862.			<47.>

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts) Enter each total here and include on your Schedule D, line 1b (if Box A above is checked), line 2 (if Box B above is checked), or line 3 (if Box C above is checked) ►

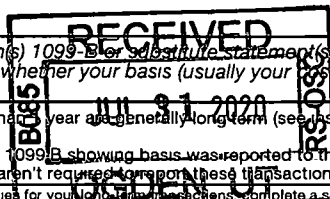
Note: If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

Name(s) shown on return Name and SSN or taxpayer identification no not required if shown on page 1

Social security number or taxpayer identification no.

56-2070036

DUKE UNIVERSITY HEALTH SYSTEM, INC.



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Part II Long-Term.

Transactions involving capital assets you held more than one year and generally long-term (see instructions) For short-term transactions, see page 1

Note: You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 8a, you aren't required to report these transactions on Form 8949 (see instructions)

You must check Box D, E, or F below. Check only one box. If more than one box applies for your long-term transactions, complete a separate Form 8949, page 2, for each applicable box. If you have more long-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need

- Boxes D, E, and F for reporting long-term transactions based on whether basis was reported to the IRS.

Table with 8 main columns: (a) Description of property, (b) Date acquired, (c) Date sold or disposed of, (d) Proceeds, (e) Cost or other basis, (f) Adjustment code, (g) Amount of adjustment, (h) Gain or loss. Lists various assets like ALLY AUTO RECEIVABLES TRU, AMERICAN EXPRESS CREDIT, etc.

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked)

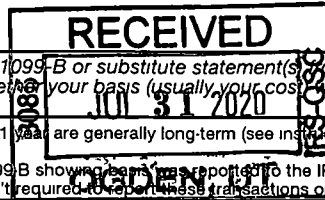
Note: If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment

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DUKE UNIVERSITY HEALTH SYSTEM, INC.

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Part II Long-Term. Transactions involving capital assets you held more than 1 year are generally long-term (see instructions). For short-term transactions, see page 1.

Note: You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the totals directly on Schedule D, line 8a, you aren't required to report these transactions on Form 8949 (see instructions).

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- (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see Note above)
- (E) Long-term transactions reported on Form(s) 1099-B showing basis wasn't reported to the IRS
- (F) Long-term transactions not reported to you on Form 1099-B

1	(a) Description of property (Example 100 sh XYZ Co.)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo, day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions.	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g).
						(f) Code(s)	(g) Amount of adjustment	
	FHLMC MCLASS MTG 4011 KM	08/14/17	10/01/18	1,924,493.	1,953,572.			<29,079.>
	FNMA POOL #0735484	07/12/17	10/01/18	42,853.	47,002.			<4,150.>
	FNMA POOL #0888535	07/01/17	10/01/18	27,189.	28,645.			<1,455.>
	FNMA POOL #0889390	07/25/17	10/01/18	23,926.	25,332.			<1,406.>
	FNMA POOL #0890192	09/08/17	10/16/18	320,213.	328,218.			<8,005.>
	FNMA POOL #0931412	09/01/17	10/16/18	461,501.	472,860.			<11,359.>
	FNMA POOL #0931813	07/17/17	09/17/18	1,322,771.	1,373,675.			<50,904.>
	FNMA POOL #0932463	07/01/17	10/01/18	13,200.	13,972.			<772.>
	FNMA POOL #0932724	06/28/17	10/16/18	502,213.	515,765.			<13,552.>
	FNMA POOL #0933488	07/01/17	10/16/18	259,455.	265,889.			<6,434.>
	FNMA POOL #0968647	07/01/17	10/01/18	19,994.	21,281.			<1,286.>
	FNMA POOL #0984078	07/01/17	09/17/18	641,861.	656,651.			<14,789.>
	FNMA POOL #0984254	06/13/17	10/01/18	89,126.	93,604.			<4,478.>
	FNMA POOL #0995262	07/01/17	09/17/18	1,037,309.	1,063,288.			<25,979.>
	FNMA POOL #0995766	07/25/17	09/17/18	692,822.	703,063.			<10,241.>
	FNMA POOL #0AB3272	09/01/17	09/17/18	178,028.	185,115.			<7,087.>
	FNMA POOL #0AD1021	08/14/17	10/16/18	525,168.	540,698.			<15,531.>
	FNMA POOL #0AD1613	07/31/17	10/16/18	201,815.	207,336.			<5,521.>
	FNMA POOL #0AD3140	06/28/17	10/16/18	1,003,286.	1,031,497.			<28,210.>
	FNMA POOL #0AD5535	08/14/17	10/01/18	22,855.	24,116.			<1,262.>
	FNMA POOL #0AE0040	09/05/17	10/01/18	17,850.	19,026.			<1,176.>
	FNMA POOL #0AE0379	08/14/17	09/17/18	216,637.	220,867.			<4,230.>
	FNMA POOL #0AH2899	07/17/17	09/17/18	701,871.	728,075.			<26,204.>
	FNMA POOL #0AH7030	09/01/17	09/17/18	312,385.	325,007.			<12,622.>
	FNMA POOL #0AL2441	07/01/17	10/01/18	40,155.	42,737.			<2,582.>
	FNMA POOL #0AL7521	07/25/17	10/01/18	35,254.	38,739.			<3,485.>
	FNMA POOL #0AL9727	07/01/17	10/01/18	35,613.	37,970.			<2,357.>
	FNMA POOL #0AR6887	07/01/17	09/17/18	1,195,517.	1,238,465.			<42,949.>
	FNMA POOL #0AT2065	07/01/17	09/17/18	1,132,302.	1,172,865.			<40,564.>
	FNMA POOL #0AT5008	07/01/17	09/01/18	1,194,994.	1,237,919.			<42,925.>
	FNMA POOL #0BM1397	09/01/17	09/17/18	1,183,656.	1,232,167.			<48,510.>
	FNMA GTD REMIC P/T 09-85	08/14/17	09/17/18	298,166.	303,784.			<5,618.>

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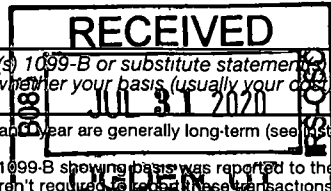
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1	(a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed of (Mo, day, yr)	(d) Proceeds (sales price)	(e) Cost or other basis. See the Note below and see Column (e) in the instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f). See instructions.		(h) Gain or (loss). Subtract column (e) from column (d) & combine the result with column (g)
						(f) Code(s)	(g) Amount of adjustment	
	FNMA GTD REMIC P/T 09-85	08/11/17	10/01/18	27,336.	27,812.			<476.>
	FNMA GTD REMIC P/T 10-42	08/14/17	10/01/18	56,737.	57,375.			<641.>
	FNMA GTD REMIC P/T 10-45	09/12/17	10/01/18	27,045.	27,107.			<63.>
	FNMA GTD REMIC P/T 11-13	09/12/17	10/01/18	2,094.	2,094.			0.
	FNMA GTD REMIC P/T 11-132	06/16/17	10/01/18	93,556.	93,930.			<374.>
	FNMA GTD REMIC P/T 11-133	10/03/17	10/16/18	104,180.	105,379.			<1,198.>
	FNMA GTD REMIC P/T 11-44	09/01/17	10/01/18	85,508.	86,083.			<576.>
	FNMA GTD REMIC P/T 11-63	07/17/17	10/25/18	<1,925.>	0.			<1,925.>
	FNMA GTD REMIC P/T 11-67	08/22/17	10/01/18	40,867.	40,942.			<74.>
	FNMA GTD REMIC P/T 12-14	06/12/17	10/25/18	<560.>	0.			<560.>
	FNMA GTD REMIC P/T 12-31	06/22/17	10/01/18	149,204.	149,279.			<74.>
	FNMA GTD REMIC P/T 2014	07/06/17	08/21/18	750,756.	759,692.			<8,936.>
	FORD MOTOR CREDIT CO LLC	06/07/17	09/05/18	1,955,660.	2,000,000.			<44,340.>
	GNMA GTD REMIC P/T 09-110	08/04/17	10/01/18	27,732.	29,793.			<2,061.>
	GNMA GTD REMIC P/T 11-75	09/08/17	10/20/18	<178.>	0.			<178.>
	GNMA GTD REMIC P/T 16-118	08/17/17	10/20/18	<3,689.>	0.			<3,689.>
	GNMA GTD REMIC P/T 16-17	07/25/17	10/20/18	<4,226.>	0.			<4,226.>
	GNMA GTD REMIC P/T 16-20	09/15/17	10/20/18	<2,991.>	0.			<2,991.>
	GNMA GTD REMIC P/T 16-5	09/20/17	10/20/18	<2,598.>	0.			<2,598.>
	GNMA GTD REMIC P/T 16-88	07/25/17	10/20/18	<1,952.>	0.			<1,952.>
	GS MORTGAGE SECURITIES	07/18/17	10/01/18	84.	85.			0.
	HONDA AUTO RECEIVABLES	09/25/17	10/18/18	71,961.	71,957.			4.
	JPMORGAN CHASE & CO	06/06/17	07/19/18	3,282,741.	3,300,472.			<17,731.>
	MORGAN STANLEY BANK OF	06/22/17	10/01/18	33,745.	34,263.			<518.>
	NISSAN AUTO RECEIVABLES	08/16/17	10/15/18	135,370.	135,367.			3.
	ROYAL BANK OF CANADA	06/06/17	07/19/18	3,282,374.	3,311,942.			<29,568.>
	SANTANDER DRIVE AUTO	06/07/17	09/17/18	109,000.	109,434.			<434.>
	TOYOTA AUTO RECEIVABLES	09/06/17	10/15/18	328,125.	327,857.			268.
	US BANK NA/CINCINNATI OH	06/06/17	07/19/18	3,294,743.	3,319,350.			<24,607.>
	USD IRS 5YR PRIM FUTURE	09/10/18	11/16/18	2,690.	0.			2,690.
	WORLD OMNI AUTO RECEIV.	07/31/17	10/15/18	232,290.	232,253.			37.

2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 8b (if Box D above is checked), line 9 (if Box E above is checked), or line 10 (if Box F above is checked)

Note: If you checked Box D above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See Column (g) in the separate instructions for how to figure the amount of the adjustment.