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For calendar year 2015, or tax year beginning 01-01-2015 , and ending 12-31-2015

Name of foundation The Richard Foundation		A Employer identification number 13-6083721	
Number and street (or P O box number if mail is not delivered to street address) 1822 Fair Street		B Telephone number (see instructions) (803) 713-1060	
City or town, state or province, country, and ZIP or foreign postal code Camden, SC 29020		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation			
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 4,918,661		J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		Revenue and expenses per books (a)	Net investment income (b)	Adjusted net income (c)	Disbursements for charitable purposes (d) (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	218,663	218,663	218,663	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10 _____	78,729			
	b Gross sales price for all assets on line 6a 1,352,993				
	7 Capital gain net income (from Part IV, line 2)		78,729		
	8 Net short-term capital gain			3,193	
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	4,539			
	12 Total. Add lines 1 through 11	301,931	297,392	221,856	
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).				
	b Accounting fees (attach schedule).	4,650			4,650
	c Other professional fees (attach schedule)	65,673	65,673		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	13,197	8,658		
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule).	1,090			1,090
	24 Total operating and administrative expenses. Add lines 13 through 23	84,610	74,331		5,740
	25 Contributions, gifts, grants paid	304,327			304,327
	26 Total expenses and disbursements. Add lines 24 and 25	388,937	74,331		310,067
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-87,006			
	b Net investment income (if negative, enter -0-)		223,061		
	c Adjusted net income (if negative, enter -0-)			221,856	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	57,898	63,489	63,489
	2	Savings and temporary cash investments	78,999	219,448	219,448
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions).			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	4,545,542	4,313,132	4,634,095
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
Liabilities	15	Other assets (describe ▶ _____)	2,265	1,629	1,629
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	4,684,704	4,597,698	4,918,661
	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	3,948,888	3,948,888	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	735,816	648,810	
	30	Total net assets or fund balances (see instructions)	4,684,704	4,597,698	
	31	Total liabilities and net assets/fund balances (see instructions)	4,684,704	4,597,698	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	4,684,704
2	Enter amount from Part I, line 27a	2	-87,006
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	4,597,698
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	4,597,698

Part IV Capital Gains and Losses for Tax on Investment Income

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)		How acquired P—Purchase D—Donation (b)	Date acquired (c) (mo , day, yr)	Date sold (d) (mo , day, yr)
1 a	Janney # 53986952 - See Schedule	P	2015-01-01	2015-12-31
b	Janney # 53986952 - See Schedule	P	2014-01-01	2015-12-31
c	Janney # 69621760 - See Schedule	P	2015-01-01	2015-12-31
d	Janney # 69621760 - See Schedule	P	2014-01-01	2015-12-31
e	Janney # 69621760-Capital Gain Distrib	P		

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
a	17,447	18,519	-1,072
b	354,713	396,190	-41,477
c	52,754	53,327	-573
d	923,241	806,228	117,013
e	4,838		4,838

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) (l)
(i) F M V as of 12/31/69	Adjusted basis (j) as of 12/31/69	Excess of col (i) (k) over col (j), if any	
a			-1,072
b			-41,477
c			-573
d			117,013
e			4,838

2	Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	78,729
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	3,193

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)
If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2014	233,819	5,604,165	0 04172
2013	276,899	5,344,557	0 05181
2012	202,273	4,900,990	0 04127
2011	212,085	4,800,875	0 04418
2010	217,890	4,500,935	0 04841

2	Total of line 1, column (d).	2	0 227390
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 045478
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	
5	Multiply line 4 by line 3.	5	
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	2,231
7	Add lines 5 and 6.	7	2,231
8	Enter qualifying distributions from Part XII, line 4.	8	310,067

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See
the Part VI instructions

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)	1	2,231
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2.	3	2,231
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	2,231
6	Credits/Payments		
a	2015 estimated tax payments and 2014 overpayment credited to 2015	6a	9,084
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868).	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	9,084
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . ▶	10	6,853
11	Enter the amount of line 10 to be Credited to 2015 estimated tax ▶ 6,853 Refunded ▶	11	

Part VII-A Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		Yes	No
1a				No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities</i>	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ (2) On foundation managers ▶ \$ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY _____			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation</i>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10		No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions).	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	Yes	
14	The books are in care of ► <u>Virginia Richard</u> Telephone no ► <u>(207) 363-6735</u> Located at ► <u>1822 Fair Street Camden SC</u> ZIP+4 ► <u>29020</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year	15		
16	At any time during calendar year 2015, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). If "Yes," enter the name of the foreign country ►	16	Yes	No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly)		
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Organizations relying on a current notice regarding disaster assistance check here. ► <input type="checkbox"/>	1b	No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	1c	No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20____, 20____, 20____, 20____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2b	No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2015 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	3b	No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4b	No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (Continued)

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No **5b** **No**

Organizations relying on a current notice regarding disaster assistance check here. ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☒ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No **6b** **No**

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No **7b** **No**

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
See Additional Data Table				

2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	Title, and average hours per week (b) devoted to position	(c) Compensation	Contributions to employee benefit plans and deferred compensation (d)	Expense account, (e) other allowances
NONE				

Total number of other employees paid over \$50,000. ☐

Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		

Total number of others receiving over \$50,000 for professional services. ▶

Part IX-A

Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See instructions.	
3	

Total. Add lines 1 through 3 ▶

Part X Minimum Investment Return

(All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	0
b	Average of monthly cash balances.	1b	0
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	0
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	0
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	0
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	0
6	Minimum investment return. Enter 5% of line 5.	6	0

Part XI Distributable Amount
 (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6.	1	
2a	Tax on investment income for 2015 from Part VI, line 5.	2a	2,231
b	Income tax for 2015 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,231
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	2,231
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	2,231
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	0

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	310,067
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	310,067
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	2,231
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	307,836

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII **Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				0
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only.			31,811	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2015				
a From 2010.				
b From 2011.				
c From 2012.				
d From 2013.				
e From 2014.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2015 from Part XII, line 4 ► \$ <u>310,067</u>				
a Applied to 2014, but not more than line 2a			31,811	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2015 distributable amount.				
e Remaining amount distributed out of corpus	278,256			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	278,256			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions). . .				
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a.	278,256			
10 Analysis of line 9				
a Excess from 2011. . . .				
b Excess from 2012. . . .				
c Excess from 2013. . . .				
d Excess from 2014. . . .				
e Excess from 2015. . . .	278,256			

Part XV **Supplementary Information**(continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient		If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)					
a <i>Paid during the year</i> See Additional Data Table					
Total		▶ 3a			304,327
b <i>Approved for future payment</i>					
Total		▶ 3b			

Enter gross amounts unless otherwise indicated

[illegible]

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- | | | | |
|--|--------------|------------|-----------|
| 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes | No |
| | | | |
| a Transfers from the reporting foundation to a noncharitable exempt organization of | | | |
| (1) Cash. | 1a(1) | | No |
| (2) Other assets. | 1a(2) | | No |
| b Other transactions | | | |
| (1) Sales of assets to a noncharitable exempt organization. | 1b(1) | | No |
| (2) Purchases of assets from a noncharitable exempt organization. | 1b(2) | | No |
| (3) Rental of facilities, equipment, or other assets. | 1b(3) | | No |
| (4) Reimbursement arrangements. | 1b(4) | | No |
| (5) Loans or loan guarantees. | 1b(5) | | No |
| (6) Performance of services or membership or fundraising solicitations. | 1b(6) | | No |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees. | 1c | | No |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received | | | |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes
☒ No

- (a) Name of organization

(a) Name of organization	(b) Type of organization	(c) Description of relationship

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.

**Sign
Here**

* * * * *

2016-11-01

* * * * *

Signature of officer or trustee

Date _____

Title

May the IRS discuss this return with the preparer shown below

(see instr ??) ☒ Yes ☐ No

(see instr)? ☒ Yes ☐ No

**Paid
Preparer
Use
Only**

Print/Type preparer's name Meryl M Glovin	Preparer's Signature	Date	Check if self-employed <input checked="" type="checkbox"/>	PTIN P00546080
Firm's name <input type="checkbox"/> Meryl M Glovin CPA			Firm's EIN <input type="checkbox"/>	
Firm's address <input type="checkbox"/> 20 Vesey Street Suite 410 New York, NY 10007				
			Phone no	(212) 513-0719

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation(If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
Jeremy Wood	President 0 00	0		
1822 Fair Street Camden,SC 29020				
Virginia Richard	Treasurer 2 00	0		
1822 Fair Street Camden,SC 29020				
HVB Richard-Dec'd 82815	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
Phyllis Fntts	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
James A Fntts	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
Cecily Richard	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
Zachary Richard	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
Roy Stephens	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				
Elizabeth HW Frey	Secretary 0 00	0		
1822 Fair Street Camden,SC 29090				
Virginia Susi	Vice President 0 00	0		
1822 Fair Street Camden,SC 29090				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
University of Virginia PO Box 400807 Charlottesville, VA 22904	None	PC	Assist donee organization to achieve its charitable purpose	26,500
Save the Children 501 Kings Hwy East Fairfield, CT 06880	None	PC	Assist donee organization to achieve its charitable purpose	1,000
Rise for Baby and Family 147 Washington Street Keene, NH 03431	None	PC	Assist donee organization to achieve its charitable purpose	2,500
The Preservation Society of Newport 424 Bellevue Avenue Newport, RI 02840	None	PC	Assist donee organization to achieve its charitable purpose	7,830
Saving Sweet Briar Inc 134 Chapel Road Sweet Briar, VA 24595	None	PC	Assist donee organization to achieve its charitable purpose	5,000
VNA Hospice Foundation 1110 35th Lane Vero Beach, FL 32960	None	PC	To assist donee organization to achieve its charitable purpose	500
Springside Chestnut Hill Academy 13633 SE 26 Street Bellevue, WA 98115	None	PC	To assist donee organization to achieve its charitable purpose	500
Indian River Hospital Foundation 1000 36 Street Vero Beach, FL 32960	None	PC	To assist donee organization to achieve its charitable purpose	6,750
Redwood Library Athenaeum 50 Bellevue Avenue Newport, RI 02840	None	PC	Assist donee organization to achieve its charitable purpose	350
Sonoran Sounds Women's Club 22021 North Parada Drive Sun City West, AZ 85375	None	PC	Assist donee organization to achieve its charitable purpose	5,000
Museums of Old York P O Box 312 3 Lindsay Rd York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	2,000
4 Paws for Ability 253 Dayton Avenue Xenia, OH 45385	None	PC	Assist donee organization to achieve its charitable purpose	250
NPR KLP KPLU 12180 Park Avenue South Tacoma, WA 98447	None	PC	Assist donee organization to achieve its charitable purpose	500
Wild Animal Sanctuary 1946 County Rd 53 Kennesburg, CO 80643	None	PC	Assist donee organization to achieve its charitable purpose	500
Senior Services c/o The Richard Found 181 Oleander Vero Beach, FL 32963	None	PC	Assist donee organization to achieve its charitable purpose	500
Total ► 3a				304,327

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Maryland Conservatory of Music 1200 East Churchville Rd Bel Air, MD 21014	None	PC	Assist donee organization to achieve its charitable purpose	1,500
Nat'l Steeplechase Museum P O Box 2424 Camden, SC 29020	None	PC	Assist donee organization to achieve its charitable purpose	150
St Mark's School 25 Marlboro Road Southborough, MA 01772	None	PC	Assist donee organization to achieve its charitable purpose	1,000
San Francisco Art Institute 800 Chestnut Street San Francisco, CA 94133	None	PC	Assist donee organization to achieve its charitable purpose	1,000
Berwick Academy 31 Academy Street South Berwick, ME 03908	None	PC	Assist donee organization to achieve its charitable purpose	7,000
York Public Library 15 Long Sands Road York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	1,000
East Side House Settlement 337 Alexander Avenue Bronx, NY 10454	None	PC	Assist donee organization to achieve its charitable purpose	2,000
Halcyon Foundation 555 Fifth Avenue New York, NY 10017	None	PC	Assist donee organization to achieve its charitable purpose	40,700
Naval War College Foundation 686 Cushing Road Newport, RI 02841	None	PC	Assist donee organization to achieve its charitable purpose	1,000
Rollins College P O Box 864168 Orlando, FL 32886	None	PC	Assist donee organization to achieve its charitable purpose	9,500
Suffield Academy 185 North Main Street Suffield, CT 06078	None	PC	Assist donee organization to achieve its charitable purpose	5,000
Naples Botanical Gardens 4820 Bayshore Drive Naples, FL 34112	None	PC	Assist donee organization to achieve its charitable purpose	1,500
Trinity Church York Harbor ME 546 York Street York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	12,000
Virginia Athletics Foundation P O Box 400833 Charlottesville, VA 22904	None	PC	Assist donee organization to achieve its charitable purpose	500
Vero Beach Museum of Art 3001 Riverside Drive Vero Beach, FL 32963	None	PC	Assist donee organization to achieve its charitable purpose	2,500
Total ► 3a				304,327

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
York Land Trust 484 US 1 2 York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	4,500
MTSU Scholarships 1301 East Main Street Murfreesboro, TN 37132	None	PC	Assist donee organization to achieve its charitable purpose	5,000
Wickenburg Community Chorus P O Box 21442 Wickenburg, AZ 85358	None	PC	Assist donee organization to achieve its charitable purpose	2,500
Epiphany School 154 Centre Street Dorchester, MA 02124	None	PC	Assist donee organization to achieve its charitable purpose	10,000
Groton School 282 Farmers Row PO Box 991 Groton, MA 01450	None	PC	Assist donee organization to achieve its charitable purpose	5,000
Hundred Nights Inc P O Box 833 Keene, NH 03431	None	PC	Assist donee organization to achieve its charitable purpose	2,000
Memorial Sloan Kettering Cancer Cen 1275 York Avenue New York, NY 10065	None	PC	Assist donee organization to achieve its charitable purpose	1,000
The Smith Fund 33 Elm Street Northampton, MA 01063	None	PC	Assist donee organization to achieve its charitable purpose	1,000
Joslin Diabetes Center 1 Joslin Place Boston, MA 02215	None	PC	Assist donee organization to achieve its charitable purpose	30,000
Dana Farber Cancer Center 450 Brookline Avenue Boston, MA 02115	None	PC	To assist donee organization to achieve its charitable purpose	27,000
St John's Church P O Box 266 Cold Spring Harbor, NY 11724	None	PC	Assist donee organization to achieve its charitable purpose	500
564 Park Avenue Preservation Founda 564 Park Avenue New York, NY 10065	None	PC	Assist donee organization to achieve its charitable purpose	1,000
York Maine Fire Department 1 Firehouse Drive York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	500
Damon Runyan Cancer Research Fund 1 Exchange Plaza 55 Bwy 302 New York, NY 10006	None	PC	Assist donee organization to achieve its charitable purpose	676
Brixham Montessori Friends School 18 Brickyard Court York, ME 03909	None	PC	Assist donee organization to achieve its charitable purpose	1,000
Total			3a	304,327

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Community Medical Clinic of Kershaw 110C East DeKalb Street Camden,SC 29020	None	PC	Assist donee organization to achieve its charitable purpose	15,000
Habitat for Humanity 121 Habitat Street Americus,GA 31709	None	PC	Assist donee organization to achieve its charitable purpose	270
Opportunity Inc 1713 Quail Drive Palm Beach,FL 33409	None	PC	Support donee's charitable purpose	1,000
Carolina Cup Racing Assoc 200 Knights Hill Rd Camden,SC 29020	None	PC	Assist donee to perform charitable function	750
Kershaw County Library 1304 Broad Street Camden,SC 29020	None	PC	Assist donee to perform its charitable purpose	1,500
Agamenticus Yacht Club PO Box 534 York Harbor,ME 03911	None	PC	Assist donee to perform its charitable purpose	2,500
Loomis Chafee School 4 Batchelder Rd Windsor,CT 06095	None	PC	To assist donee to perform its charitable function	1,000
Da Coda Inc 510 King St Littleton,MA 01460	None	PC	Assist donee to perform its charitable purpose	601
New Horizons Caregivers 3129 S Hacienda Blvd Hacienda Heights,CA 90745	None	PC	Assist donee to perform its charitable purpose	10,000
York Ambulance Assn 15 Salisbury Ave York,ME 03909	None	PC	Assist donee to perform its charitable function	500
York Hospital 15 Hospital Dr York,ME 03909	None	PC	Assist donee to perform its charitable function	5,000
Laudholm Trust 342 Laudholm Rd Wells,ME 04090	None	PC	Assist donee to perform its charitable function	1,000
UDT-Seal Assoc PO Box 5965 Virginia Beach,VA 23471	None	PC	Assist donee to perform its charitable function	1,000
Chapel Haven 1040 Whalley Ave New Haven,CT 06515	None	PC	Assist donee to perform its charitable function	1,000
Camp Dudley 126 Camp Dudley Road Westport, NY 12993	None	PC	Assist donee to perform its charitable function	1,000
Total ▶ 3a				304,327

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
The Ethel Walker School 230 Bushy Hill Rd Simsbury, CT 06070	None	PC	Assist donee to perform its charitable function	6,000
Baltimore Symphony Orchestra 1212 Cathedral Street Baltimore, MD 21201	None	PC	Assist donee to perform its charitable function	3,000
Lawton Elementary School c/o Richard Found 1822 Fair Street Camden, SC 29020	None	PC	Assist donee to perform its charitable function	500
O'dea Elementary School 312 Princeton Rd Fort Collins, CO 80525	None	PC	Assist donee to perform its charitable functiom	500
Headwaters of Rappahannock Cty 12018 Lee Hwy Sperryville, VA 22740	None	PC	Assist donee to perform its charitable function	1,000
Fauquier Free Clinic 35 Rock Pointe Lane Warrenton, VA 20186	None	PC	Assist doneeto perform its charitable function	1,000
Sundance Institute 1825 Three Kings Dr Park City, UT 84060	None	PC	Assist donee to perform its charitable purpose	2,000
San Francisco Film Society 39 Mesa St San Francisco, CA 94129	None	PC	Assist donee to perform its charitable function	1,000
New Hampshire Film Festival 55 Fleet St Portsmouth, NH 03801	None	PC	Assist donee to perform its charitable function	1,000
Tribeca Film Institute 32 6th Avenue 27th Floor New York, NY 10013	None	PC	Assist donee to perform its charitable function	1,000
Multiple Myeloma Foundation MerritView 383 Main Ave Norwalk, CT 06851	None	PC	Assist donee to perform its charitable function	5,000
White Pines Programs 330 Mountain Rd Cape Neddick, ME 03902	None	PC	Assist donee to perform its charitable function	500
Bluegrass Trust 253 Market Street Lexington, KY 40507	None		Assist donee to perform its charitable function	1,000
Ashland Henry Clay Estate 120 Sycamore Rd Lexington, KY 40502	None	PC	Assist donee to perform its charitable function	1,000
Total ▶ 3a				304,327

TY 2015 Accounting Fees Schedule

Name: The Richard Foundation

EIN: 13-6083721

Software ID: 15000324

Software Version: 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Grant Thornton	4,650	0	0	4,650

TY 2015 Other Assets Schedule**Name:** The Richard Foundation**EIN:** 13-6083721**Software ID:** 15000324**Software Version:** 2015v2.0

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Dividends Receivable	2,265	1,629	1,629

TY 2015 Other Expenses Schedule**Name:** The Richard Foundation**EIN:** 13-6083721**Software ID:** 15000324**Software Version:** 2015v2.0

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
NYS Filing Fee - CHAR500	500			500
Office Expenses	590			590

TY 2015 Other Income Schedule**Name:** The Richard Foundation**EIN:** 13-6083721**Software ID:** 15000324**Software Version:** 2015v2.0

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Federal Tax Overpayment	4,539		

TY 2015 Other Professional Fees Schedule**Name:** The Richard Foundation**EIN:** 13-6083721**Software ID:** 15000324**Software Version:** 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Investment Advisory Fees-JMS #1760	46,787	46,787	0	0
Investment Advisory Fees-JMS #6952	18,886	18,886	0	0

TY 2015 Taxes Schedule**Name:** The Richard Foundation**EIN:** 13-6083721**Software ID:** 15000324**Software Version:** 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
2014 Federal Tax Overpymt Applied	4,539			
Janney Montgomery Scott #1760	7,921	7,921		
Janney Montgomery Scott #6952	737	737		

JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS

2015

02/16/2016

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

SHORT TERM TRANSACTIONS

Report on Form 8949, Part with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)gross (N)net	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
CISCO SYSTEMS INC / CUSIP 17275R102 / Symbol CSCO							
12/04/15	90 000	2 198 36	07/23/15	2 247 36	0 00	-49 00	Sale
GEF SUJZ / CUSIP 36180B105 / Symbol							
03/02/15	92 000	2 001 97	03/20/14	2 470 25	0 00	-477 28	Sale
GENERAL ELECTRIC COMPANY / CUSIP 369604103 / Symbol GE							
03/02/15	59 000	1 536 93	12/19/14	1 509 23	0 00	27 70	Sale
03/04/15	156 000	5 051 26	12/19/14	4 246 30	0 00	804 96	Sale
Security total		6 595 19		5 755 53	0 00	839 66	
GENERAL MOTORS COMPANY / CUSIP 37045V100 / Symbol GM							
12/04/15	106 000	3 912 77	03/20/15	4 157 42	0 00	-244 65	Sale
HSBC HLDGS PLC SPONS ADR / CUSIP 404280406 / Symbol HSBC							
03/04/15	45 000	1 790 96	08/11/15	2 028 55	0 00	-237 59	Sale
INDL & CMVRCL BK CHINA / CUSIP 455807107 / Symbol IDCEY							
03/02/15	196 000	2,873 69	08/12/14	2,472 06	0 00	401 63	Sale
JPMORGAN CHASE & COMPANY / CUSIP 46625H100 / Symbol JPM							
12/04/15	31 000	2,100 21	07/31/15	2,129 87	0 00	-29 66	Sale
MCDONALDS CORP / CUSIP 580135101 / Symbol MCD							
03/02/15	5 000	498 74	12/19/14	467 95	0 00	30 79	Sale
12/04/15	44 000	5 109 18	12/19/14	4 117 69	0 00	991 29	Sale
Security total		5 607 92		4,585 84	0 00	1 022 08	

** D = adjustment amount is market discount; W = adjustment amount is a non-deductible wash sale loss; C = proceeds amount is from collection assets

JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS
(continued)

2015

02/16/2016

SHORT TERM TRANSACTIONS

Report on Form 9949, Part I, with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
OUTFRONT MEDIA INC / CUSIP 69007J106 / Symbol OUT 03/02/15	433.000	12,985.52	06/06/14	4,061.30	0.00	-1,075.38	Sale
PFIZER INC / CUSIP 717081103 / Symbol PFE 12/04/15	52.000	1,704.01	08/11/15	1,825.79	0.00	-122.78	Sale
POTASH CORP SASK INC / CUSIP 73755L107 / Symbol POT 12/04/15	48.000	907.66	07/23/15	1,341.84	0.00	-433.98	Sale
QUALCOMM INC / CUSIP 747525103 / Symbol QCOM 12/04/15	34.000	1,778.84	07/23/15	2,093.93	0.00	315.09	Sale
SOUTHERN COMPANY / CUSIP 842587107 / Symbol SO 12/04/15	50.000	2,239.96	07/23/15	2,146.82	0.00	93.14	Sale
WAL-MART STORES INC / CUSIP 931142103 / Symbol WMT 12/04/15	27.000	1,612.41	09/03/15	1,751.37	0.00	-138.96	Sale
EATON CORP PLC / CUSIP G29183103 / Symbol ETN 03/02/15	40.000	2,837.94	03/23/14	2,583.92	0.00	254.02	Sale Note AC Original basis \$2,603.52
SEAGATE TECHNOLOGY PLC / CUSIP G7945M107 / Symbol STX 03/02/15	26.000	1,603.13	11/14/14	1,634.39	0.00	31.26	Sale
Totals		52,753.54		53,326.64	0.00	-573.10	

** D = adjustment amount, is market discount; W = adjustment amount is a non-deductible wash sale loss; C = proceeds amount is from collectible assets.

2015

(continued)

02/16/2016

Report on Form 8949 Part II with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (Gross) (Net)	Date acquired	Cost or other basis	Adjustments & Code(s) if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
AT&T INC / CUSIP 00206R102 / Symbol T							
03/02/15	49 000	1 664 88	08/20/09	1 266 16	0 00	426 72	Sale
12/04/15	107 000	3 645 43	08/20/09	2 764 88	0 00	880 55	Sale
	Security total	5 340 31		4 031 04	0 00	1 306 27	
ASTRAZENECA PLC ADR / CUSIP 046363108 / Symbol AZN							
03/02/15	44 000	3 026 71	06/05/11	1 936 60	0 00	1,090 11	Sale
12/04/15	141 000	4 772 77	08/05/11	3 102 96	0 00	1 669 81	Sale
	Security total	7 799 48		5 039 56	0 00	2 759 92	
BPCS STORE ADR / CUSIP 05578W103 / Symbol BPOSY							
03/02/15	113 000	3,221 01	01/24/11	2,226 31	0 00	995 00	Sale
03/11/15	787 000	19 613 40	01/24/14	15 503 27	0 00	4 110 13	Sale
12/04/15	87 000	2 193 22	01/24/14	1,710 64	0 00	479 36	Sale
	Security total	25 027 63		19 443 12	0 00	5 584 51	
CA INC / CUSIP 12673P105 / Symbol CA							
03/02/15	85 000	2,783 71	06/15/12	2 228 40	0 00	555 31	Sale
	2 transactions for 07/23/15						
	2 322 000	69 564 90	06/15/12	60 874 45	0 00	8 690 45	Sale
	902 000	27 023 07	10/12/12	22 514 64	0 00	4 508 43	Sale
07/23/15	3 224 000	96 587 97	Various	83 389 09	0 00	13 198 88	Total of 2 transactions
	Security total	99 371 68		85 617 49	0 00	13 754 19	
CHEVRON CORP / CUSIP 166764100 / Symbol CVX							
03/02/15	19 000	2 056 36	08/05/11	1 843 60	0 00	182 76	Sale
12/04/15	31 000	2 775 37	08/05/11	3 007 97	0 00	-232 60	Sale
	Security total	4 781 73		4 851 57	0 00	-69 84	

* C = adjustment amount is market discount W = adjustment amount is a non-deductible wash sale loss C = proceeds amount is from collectible assets

$$I^{\alpha} \psi_1(t) = I^{\alpha} \left(\frac{1}{\Gamma(\alpha)} \int_0^t (t-s)^{\alpha-1} \psi_1(s) ds \right) = \frac{1}{\Gamma(\alpha)} \int_0^t (t-s)^{\alpha-1} \psi_1(s) ds.$$

JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS (continued)

2015

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (Gross) (Net)	Date acquired	Cost or other basis	Adjustments & Code(s) if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
CONOCOPHILLIPS / CUSIP 20825C104 / Symbol COP							
03/02/15	37.000	2,374.24	08/05/11	1,919.16	0.00	455.08	Sale
12/04/15	60.000	3,068.95	05/05/11	3,112.15	0.00	-43.20	Sale
	Security total	5,443.19		5,031.31	0.00	411.88	
DUKE ENERGY CORP NEW / CUSIP 26441C204 / Symbol DUK							
03/02/15	31.000	2,390.05	08/05/11	1,680.54	0.00	709.41	Sale
12/04/15	50.000	3,350.94	08/05/11	2,710.71	0.00	640.23	Sale
	Security total	5,740.99		4,391.25	0.00	1,349.74	
ENGIE SPON ADR / CUSIP 29286D105 / Symbol ENGIY							
12/04/15	197.000	3,263.27	03/20/14	5,039.34	0.00	-1,776.07	Sale
GLAXOSMITHKLINE PLC ADR / CUSIP 37733W105 / Symbol GSK							
03/02/15	40.000	1,912.37	08/05/11	1,651.59	0.00	260.78	Sale
12/04/15	88.000	3,580.41	08/05/11	3,937.04	0.00	-356.63	Sale
	Security total	5,492.78		5,588.63	0.00	-95.85	
GOVERNMENT PPTYS INC TR / CUSIP 39376A103 / Symbol GOV							
03/02/15	88.000	2,017.82	08/05/11	1,778.92	0.00	238.90	Sale Note AC Original basis \$1,902.70
	3 transactions for 07/31/15						
	1,504.000	32,912.31	08/05/11	37,661.53	0.00	-4,749.22	Sale Note AC Original basis \$41,168.05
	1,048.000	18,115.61	09/04/12	22,428.46	0.00	-4,312.85	Sale Note AC Original basis \$23,948.60

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JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS

2015

(continued)

02.16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s) if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
GOVERNMENT PPTYS INC TR / CUSIP 38376A103 / Symbol GOV (cont'd)							
	411 000	7 104 50	09/09/13	9 350 87	0 00	-2,246 37	Sale Note AC Original basis \$2 851 09
07/31/15	3 363 000	56 152 42	Various	69,660 88	0 00	11 523 46	Total of 3 transactions
	Security total	60,150 24		71,439 80	0 00	-11 289 56	
HEALTH CARE REIT INC / CUSIP 42217K106 / Symbol							
03/02/15	43 000	3 328 99	08/05/11	1 805 99	0 00	1 523 00	Sale Note AC Original basis \$1 975 45
HICL & CHIMROCK CHINA / CUSIP 4558C7107 / Symbol HICBY							
12/04/15	285 000	3,425 92	06/12/14	3 594 57	0 00	-168 65	Sale
NTEL CORP / CUSIP 458140100 / Symbol NTC							
03/02/15	108 000	3 663 31	08/05/11	2 233 57	0 00	1 429 74	Sale
	2 transactions for 07/23/15						
	3 296 000	94 201 56	08/05/11	66 165 22	0 00	28 036 34	Sale
	804 000	22 378 79	04/30/13	19 070 88	0 00	3 907 91	Sale
07/23/15	4 100 000	117 180 35	Various	87 235 10	0 00	29 944 25	Total of 2 transactions
	Security total	120 843 56		89,469 67	0 00	31 373 90	
JOHNSON & JOHNSON / CUSIP 478160104 / Symbol JNJ							
03/02/15	31 000	3 198 22	06/10/10	1,844 58	0 00	1 353 64	Sale
12/04/15	50 000	5,142 90	06/10/10	2 975 12	0 00	2 167 78	Sale
	Security total	8 341 12		4 819 70	0 00	3 521 42	

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JANNEY MONTGOMERY SCOTT LLC	Account 69621760
2015	02/16/2016

Proceeds Not Reported to the IRS
(continued)

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
KIMBERLY CLARK CORP / CUSIP 494368103 / Symbol KMB							
03/02/15	18 000	1 984 82	08/05/11	1 100 29	0 00	884 53	Sale
12/04/15	27 000	3 272 60	08/05/11	1 650 43	0 00	1 622 17	Sale
	Security total	5,257 42		2 750 72	0 00	2 506 70	
LEGOLET & PLATT INC / CUSIP 524660107 / Symbol LEG							
03/02/15	91 000	4,150 45	08/05/11	1 747 68	0 00	2,402 77	Sale
03/02/15	1 293 000	59,490 61	08/05/11	24 832 32	0 00	34 658 29	Sale
09/03/15	759 000	33 360 24	03/05/11	14 576 74	0 00	18 783 50	Sale
	2 transactions for 09/04/15						
	629 000	27 037 19	08/05/11	12,080 06	0 00	14 957 13	Sale
	748 000	32 152 34	09/04/12	17 969 58	0 00	14,182 76	Sale
09/04/15	1,377 000	59 189 53	Various	30 049 64	0 00	29,139 89	Total of 2 transactions
	Security total	156 190 83		71 206 38	0 00	84,984 45	
MICROSOFT CORP / CUSIP 594918104 / Symbol MSFT							
03/02/15	60 000	2,624 36	08/05/11	1,526 40	0 00	1 097 96	Sale
12/04/15	94 000	5 248 87	08/05/11	2 391 36	0 00	2 857 51	Sale
	Security total	7,873 23		3,917 76	0 00	3,955 47	
KUNICH RE GROUP ADR / CUSIP 026188106 / Symbol MURGY							
03/02/15	113 000	2 341 65	01/14/14	2 369 23	0 00	-27 58	Sale
12/04/15	179 000	3 648 43	01/14/14	3,753 03	0 00	-104 54	Sale
	Security total	5 990 14		6 122 26	0 00	-132 12	
NEW YORK CMNTY BANCORP / CUSIP 649445103 / Symbol NYCB							
03/02/15	159 000	2 642 56	02/02/12	2 051 84	0 00	590 72	Sale
08/10/15	1,117 000	20,586 27	02/02/12	14,414 44	0 00	6 171 83	Sale

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JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS (continued)

2015

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
NEW YORK COUNTY BANCORP / CUSIP 649415103 / Symbol NYCB (cont'd)							
11/02/15	4,909,000	80,113.85	02/02/12	63,348.65	0.00	16,765.24	Sale
	Security total	100,342.72		79,914.90	0.00	20,527.79	
ORANGE SPON ADR / CUSIP 684060106 / Symbol ORAN							
03/02/15	111,000	2,020.18	08/05/11	2,150.17	0.00	-129.99	Sale
12/04/15	247,000	4,134.72	08/05/11	4,784.62	0.00	649.90	Sale
	Security total	6,154.90		5,934.79	0.00	779.89	
ORKLY 4.45% SPON ADP / CUSIP 686331109 / Symbol ORKLY							
03/02/15	286,000	2,225.60	02/10/14	2,184.04	0.00	41.55	Sale
2/04/15	456,000	3,726.82	02/10/14	3,492.25	0.00	244.57	Sale
	Security total	5,952.42		5,666.29	0.00	286.13	
OUTERCONT MEDIA INC / CUSIP 69007J106 / Symbol OJTM							
12/04/15	118,000	2,678.55	06/05/14	3,825.23	0.00	-1,146.68	Sale Note AC Original basis \$3,825.23
PAYCHEX INC / CUSIP 704326107 / Symbol PAYX							
03/02/15	70,000	3,518.84	08/05/11	1,892.10	0.00	1,626.74	Sale
12/04/15	110,000	5,902.50	08/05/11	2,973.30	0.00	2,929.20	Sale
	Security total	9,421.34		4,865.40	0.00	4,555.94	
PENNIMAV MTG NV TRUST / CUSIP 70931T103 / Symbol PMT							
03/02/15	95,000	2,301.63	12/31/12	2,372.73	0.00	371.10	Sale Note AC Original basis \$2,392.29
	2 transactions for 12/04/15						
	147,000	2,326.96	12/31/12	3,587.57	0.00	-1,260.55	Sale Note AC Original basis \$2,707.73

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JANNEY MONTGOMERY SCOTT LLC

JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS (continued)

2015

02/16/2015

LONG TERM TRANSACTIONS

Report on Form 8949, Part I, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
PENNYMAY MTG INV TRUST / CUSIP 70931T103 / Symbol PMT (cont'd)							
	4 000	63 32	01/02/13	191 30	0 00	-127 96	Sale
12/04/15	151 000	2 390 28	Various	3 688 81	0 00	-1 298 53	Note AC Original basis \$*04 44 Total of 2 transactions
Security total		4 391 91		6 061 54	0 00	-1 669 63	
PEPS CO INC / CUSIP 713448108 / Symbol PEP							
03/02/15	22 000	2 182 13	08/05/11	1,414 38	0 00	767 75	Sale
12/04/15	36 000	3 638 81	08/05/11	2 314 44	0 00	1,324 37	Sale
Security total		5 820 94		3 728 82	0 00	2 092 12	
PHILIP MORRIS INTL INC / CUSIP 718172109 / Symbol PM							
03/02/15	19 000	1 575 07	06/09/03	441 44	0 00	1 133 63	Sale
12/04/15	31 000	2 777 85	06/09/03	720 24	0 00	2 057 61	Sale
Security total		4 352 92		1 161 68	0 00	3 191 24	
PROCTER & GAMBLE COMPANY / CUSIP 742718109 / Symbol PG							
03/02/15	24 000	2 044 28	08/05/11	1,453 04	0 00	591 24	Sale
12/04/15	38 000	2 958 62	08/05/11	2 300 65	0 00	657 97	Sale
Security total		5 002 90		3,753 69	0 00	1 249 21	
ROYAL DUTCH SHELL ADR B / CUSIP 780269107 / Symbol RDS/B							
03/02/15	34 000	2 259 93	08/05/11	2,186 43	0 00	73 50	Sale
12/04/15	53 000	2,589 01	08/05/11	3,405 25	0 00	-819 24	Sale
Security total		4 848 94		5 594 68	0 00	-745 74	

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JANNEY MONTGOMERY SCOTT LLC

Account: 69621760

Proceeds Not Reported to the IRS (continued)

2015

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
SANTOF SPON ADR / CUSIP 80105N 05 / Symbol SNF							
03/02/15	46 000	2 224 98	08/05/11	1 636 02	0 00	588 96	Sale
12/04/15	73 000	3 165 85	08/05/11	2 596 29	0 00	569 66	Sale
	Security total	5 390 93		4 232 31	0 00	1,158 62	
SMITHS GROUP PLC ADR / CUSIP 83238P203 / Symbol SMGZY							
03/02/15	97 000	1,751 68	04/29/13	1 689 67	0 00	62 99	Sale
	2 transactions for 03/30/15						
	3 066 000	51 160 17	04/29/13	59 729 03	0 00	-8 568 86	Sale
	610 000	10 178 64	04/30/13	11 951 30	0 00	-1 772 66	Sale
03/30/15	3 676 000	61 336 81	Various	71 880 33	0 00	-10 341 32	Total of 2 transactions
	Security total	63 090 49		73 570 00	0 00	-10 479 51	
TAL INTERNATIONAL GROUP / CUSIP 87408J106 / Symbol TAL							
03/02/15	60 000	2,518 15	10/10/13	2 576 77	0 00	-58 62	Sale Note AC Original basis 52 814 77
	6 transactions for 07/15/15						
	240 000	5,051 42	10/10/13	10 134 24	0 00	-5 082 82	Sale Note AC Original basis 31 339 04
	210 000	4 419 99	10/11/13	9 021 50	0 00	-4 601 51	Sale Note AC Original basis 31 075 10
	299 000	6 293 23	10/14/13	13 068 90	0 00	-6 775 67	Sale Note AC Original basis 314 569 88
	396 000	8 334 85	10/15/13	17 293 20	0 00	-8 958 35	Sale Note AC Original basis 319 277 12

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JANNEY MONTGOMERY SCOTT LLC

Account 69621760

Proceeds Not Reported to the IRS (continued)

2015

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
TAL INTERNATIONAL GROUP / CUSIP 874083106 / Symbol TAL (cont'd)							
	805,000	16,943.34	10/16/13	35,845.52	0.00	-18,902.18	Sale Note AC Original basis \$30,886.52
	306,000	6,440.58	03/13/14	11,752.11	0.00	-5,311.50	Sale Note AC Original basis \$12,853.71
01/21/15	2,256,000	47,483.41	Various	97,111.47	0.00	-49,628.06	Total of 6 transactions
	Security total	50,001.56		99,088.24	0.00	-48,686.68	
TOTAL S & SPONS ADR / CUSIP 89151E109 / Symbol TOT							
03/02/15	46,000	2,429.23	08/05/11	2,252.21	0.00	177.02	Sale
12/04/15	72,000	3,424.96	08/05/11	3,525.20	0.00	100.22	Sale
	Security total	5,854.21		5,777.41	0.00	76.80	
VODAFONE GROUP PLC NEW ADR / CUSIP 92857W308 / Symbol VOD							
05/02/15	54,000	1,861.89	08/05/11	2,392.09	0.00	-530.20	Sale
12/04/15	121,000	3,972.36	08/05/11	6,032.27	0.00	-2,059.91	Sale
	Security total	5,834.25		8,724.36	0.00	-2,890.11	
WELLTOWER INC / CUSIP 95040G104 / Symbol HCN							
12/04/15	69,000	4,368.31	08/05/11	2,895.33	0.00	432.96	Sale Note AC Original basis \$3,111.48
WESTPAC BANKING CORP ADR / CUSIP 961214301 / Symbol WBK							
05/02/15	91,000	2,704.56	02/03/12	2,035.04	0.00	669.52	Sale
06/11/15	3,453,000	81,349.45	02/03/12	77,219.42	0.00	4,130.03	Sale
	Security total	84,054.01		79,254.46	0.00	4,799.55	

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Description of property							
Date sold or disposed	Quantity	Proceeds Shown (G)Gross (N)Net	Date acquired	Cost or other basis	Adjustments & Code(s) if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
ZURICH INSURANCE GROUP LTD / CUSIP 369625104 / Symbol ZURVY 03/02/15	84 000	2 671 49	10/12/12	1 354 21	0 00	917 28	Sale Note AC Original basis \$2 105 50
12/04/15	134 000	3,472 14	10/12/12	2,957 90	0 00	514 24	Sale Note AC Original basis \$3 454 40
Security total		6 143 63		4,812 11	0 00	1 331 52	
ACCENTURE PLC IRELAND CL A / CUSIP G1151C101 / Symbol ACN 03/02/15	26 000	2 368 81	08/05/11	1 478 93	0 00	889 88	Sale
12/04/15	44 000	4 799 87	08/05/11	2 502 80	0 00	2 297 07	Sale
Security total		7 168 68		3,981 73	0 00	3 186 95	
EATON CORP PLC / CUSIP G29183103 / Symbol ETN 12/04/15	61 000	3 415 32	09/23/14	3 806 28	0 00	-390 96	Sale Note AC Original basis \$3 970 37
SEAGATE TECHNOLOGY PLC / CUSIP G7945M107 / Symbol STX 12/04/15	66 000	2 269 04	11/14/14	4 148 82	0 00	-1 879 78	Sale
Totals		923,240 58		806,228 36	0 00	117,012 22	

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JANNEY MONTGOMERY SCOTT LLC

Account 53986952

Proceeds Not Reported to the IRS

2015

02/16/2016

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Using of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, "Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium)". When these conditions exist, the qualifier is shown to the right of the amount.

SHORT TERM TRANSACTIONS

Report on Form 8949, Part I, with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (Gross (Net)	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
GLOBAL X SUPERDIVERSIFIED JS ETF / CUSIP 37950E291 / Symbol DIV							
05/04/15	89.000	2,534.80	12/11/14	2,553.72	0.00	18.92	Sale Note: AC
12/04/15	172.000	4,122.87	12/11/14	4,372.50	0.00	-749.79	Original basis Sale Note: AC
	Security total	6,657.67		7,426.32	0.00	-768.71	Original basis \$2,579.22 \$4,384.55
ISHS JPMI USD EMB BD ETF / CUSIP 464288281 / Symbol EMB							
05/04/15	8.000	901.98	03/12/15	884.24	0.00	17.74	Sale
12/04/15	39.000	4,184.23	03/12/15	4,310.67	0.00	-126.44	Sale
	Security total	5,086.21		5,194.91	0.00	-108.70	
ISHS MITG RL EST CPD ETF / CUSIP 464283539 / Symbol REM							
12/04/15	167.000	1,636.58	09/25/15	1,753.22	0.00	-116.64	Sale
SPDR DOLLAR T/R TACT ETF / CUSIP 78467V848 / Symbol TOTL							
05/04/15	13.000	648.03	03/12/15	549.09	0.00	99.94	Sale
12/04/15	70.000	3,418.73	03/12/15	3,495.10	0.00	-76.37	Sale
	Security total	4,066.76		4,144.19	0.00	-77.43	
	Totals	17,447.16		18,513.64	0.00	-1,071.48	

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JANNEY MONTGOMERY SCOTT LLC

Account 53986952

Proceeds Not Reported to the IRS

2015

(continued)

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949 Part II with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
FT MSTAR DIV LDRS ETF / CUSIP 336917109 / Symbol FDL							
05/04/15	106 000	2,558.84	06/05/11	1,632.08	0 00	696.76	Sale
12/04/15	205 000	4,889.16	08/05/11	3,214.40	0 00	1,674.76	Sale
	Security total:	7,448.00		4,876.48	0 00	2,571.52	
GLBL X SUPERINCM PFD ETF / CUSIP 37950E333 / Symbol SPFF							
05/04/15	190 000	2,753.14	08/01/13	2,772.33	0 00	-19.89	Sale
12/04/15	368 000	4,864.97	08/01/13	5,368.36	0 00	-504.07	Sale
	Security total:	7,618.05		8,141.01	0 00	-522.96	
GLBL X SLPER DIV ETF / CUSIP 37950E549 / Symbol SDIV							
05/04/15	160 000	3,832.08	08/01/13	3,591.92	0 00	240.16	Sale
12/04/15	311 000	6,244.76	08/01/13	5,981.80	0 00	-737.04	Sale
	Security total:	10,076.84		10,573.72	0 00	-496.88	
SHS INTL NFL LKD ETF / CUSIP 464293770 / Symbol ITIP							
03/12/15	1,904 000	78,976.46	09/27/12	92,643.99	0 00	-13,667.43	Sale Note AC Original basis \$92,831.01
MKT VECT INTL HI YLD ETF / CUSIP 57061R205 / Symbol IHY							
05/04/15	128 000	3,187.15	11/08/13	3,402.99	0 00	215.84	Sale Note AC Original basis \$3,440.61
12/04/15	248 000	5,766.11	11/08/13	6,593.27	0 00	-827.16	Sale Note AC Original basis \$6,685.17
	Security total:	8,953.26		9,996.26	0 00	-1,043.00	
PIMCO TTL RET ACTIVE ETF / CUSIP 72201R775 / Symbol BOND							
03/12/15	334 000	36,496.54	09/27/12	36,412.84	0 00	83.70	Sale
05/04/15	9 000	975.67	09/27/12	987.19	0 00	-5.52	Sale

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JANNEY MONTGOMERY SCOTT LLC

Account 53986952

Proceeds Not Reported to the IRS

2015

(continued)

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

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PIMCO TTL REIT ACTIVE ETF / CUSIP 72201R775 / Symbol BOND (cont'd)							
12/04/15	49,000	5,160.58	09/27/12	5,342.00	0.00	-181.42	Sale
	Security total	42,632.79		42,736.03	0.00	-103.24	
PIMCO HIGH YIELD DIVIDEND AND INCOME FUND / CUSIP 73335X195 / Symbol PSP							
05/04/13	322,000	3,870.52	08/05/11	2,917.32	0.00	953.20	Sale
12/04/13	625,000	6,806.31	08/05/11	5,662.50	0.00	1,143.81	Sale
	Security total	10,676.83		8,579.82	0.00	2,097.01	
PIMCO SHORT-DURATION BOND FUND / CUSIP 73936Q769 / Symbol BKLN							
05/04/15	131,000	3,175.45	03/14/13	3,290.79	0.00	-115.34	Sale Note AC Original basis \$3,294.15
	2 transactions for 12/04/15						
	119,000	4,985.75	03/14/13	5,502.67	0.00	-516.92	Sale Note AC Original basis \$5,501.85
	35,000	797.29	03/15/13	876.34	0.00	-79.05	Sale Note AC Original basis \$877.10
12/04/15	254,000	5,786.04	Various	6,379.01	0.00	-592.97	Total of 2 transactions
	2 transactions for 12/10/15						
	1,602,000	35,996.27	03/15/13	40,110.97	0.00	-4,114.70	Sale Note AC Original basis \$40,145.96
	411,000	9,235.00	03/18/13	10,298.75	0.00	-1,063.75	Sale Note AC Original basis \$10,307.96
12/10/15	2,013,000	45,231.27	Various	50,409.72	0.00	-5,178.45	Total of 2 transactions
	Security total	54,192.76		60,080.52	0.00	5,887.76	

* C = adjustment amount is market discount; W = adjustment amount is a non-deductible wash sale loss; C = proceeds amount is from collectible assets

JANNEY MONTGOMERY SCOTT LLC

Account 53986952

Proceeds Not Reported to the IRS

2015

(continued)

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8549 Part II with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Coders, if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
PWRSR KBW HLDV FIDV / CUSIP 73936Q793 / Symbol KBWD							
05/04/15	98 000	2,482.39	02/14/14	2,507.65	0.00	-19.26	Sale Note AC Original basis \$2,504.87
12/04/15	188 000	4,273.22	02/14/14	4,790.87	0.00	-517.65	Sale Note AC Original basis \$4,805.27
Security total		6,755.61		7,292.52	0.00	-536.91	
PWRSR CEF INCM CMPST ETF / CUSIP 73936Q843 / Symbol PCEF							
05/04/15	142 000	3,416.75	08/05/11	3,288.31	0.00	128.44	Sale Note AC Original basis \$3,419.34
12/04/15	273 000	5,850.39	08/05/11	6,246.44	0.00	-396.05	Sale Note AC Original basis \$6,573.79
Security total		9,267.14		9,534.75	0.00	-267.61	
SPDR BRCLY S/T HYLD ETF / CUSIP 73468R406 / Symbol SJNK							
05/04/15	108 000	3,157.91	04/11/12	3,216.78	0.00	-58.87	Sale
12/04/15	269 000	5,517.51	04/11/12	6,225.07	0.00	-707.56	Sale
2 transactions for 12/10/15							
	1,305 000	33,994.88	04/11/12	38,869.40	0.00	-4,874.52	Sale
	296 000	7,710.72	09/27/12	9,017.59	0.00	-1,306.87	Sale
12/10/15	1,601 000	41,705.60	Various	47,885.99	0.00	-6,180.39	Total of 2 transactions
Security total		50,381.02		57,328.84	0.00	-6,947.82	
WSDMTR E/M FIDV ETF / CUSIP 97717W315 / Symbol DEM							
05/04/15	42 000	2,007.98	08/05/11	2,306.64	0.00	-298.66	Sale
12/04/15	80 000	2,691.16	08/05/11	4,397.41	0.00	-1,706.25	Sale
Security total		4,699.14		6,706.05	0.00	-2,006.91	

** D = adjustment amount is market discount, W = adjustment amount is a non-deductible wash sale loss, C = proceeds amount is from collectible assets

JANNEY MONTGOMERY SCOTT LLC

Account 53986952

Proceeds Not Reported to the IRS
(continued)

2015

02/16/2016

LONG TERM TRANSACTIONS

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s) if any**	Gain or loss(-) & Loss not allowed(X)	Additional information
WISDOMTP G.L.B. REST. ETF / CUSIP 97717W231 / Symbol DRW							
05/04/15	130,000	4,105.58	08/01/13	3,627.71	0.00	477.87	Sale Note AC Original basis \$3,638.70
12/04/15	251,000	6,817.03	08/01/13	7,004.27	0.00	-187.24	Sale Note AC Original basis \$7,025.49
	Security total	10,922.61		10,631.98	0.00	290.63	
WISDOMTP AUSTRALIA DIV. ETF / CUSIP 97717W610 / Symbol AUSE							
05/04/15	36,000	2,013.08	04/11/12	1,956.60	0.00	56.48	Sale
09/24/15	1,198,000	50,099.67	04/11/12	65,111.04	0.00	-15,011.37	Sale
	Security total	52,112.75		67,067.64	0.00	-14,954.89	
	Totals	354,713.26		396,189.51	0.00	-41,476.25	

** D = adjustment amount is market discount; W = adjustment amount is a non-deductible wash sale loss; C = proceeds amount is from collectible assets

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100