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

|                                                                                                                                                                                                                                                                                                                                                                          |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Name of foundation<br>THE RM LIU FOUNDATION                                                                                                                                                                                                                                                                                                                              |  | <b>A Employer identification number</b><br>20-8643551                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |
| Number and street (or P O box number if mail is not delivered to street address)<br>500 W 190TH STREET 6TH FLOOR                                                                                                                                                                                                                                                         |  | Room/suite                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |
| City or town, state or province, country, and ZIP or foreign postal code<br>GARDENA, CA 90248                                                                                                                                                                                                                                                                            |  | <b>B</b> Telephone number (see instructions)<br>(310) 767-7990                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |
| <b>G</b> Check all that apply<br><div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div> |  | <b>C</b> If exemption application is pending, check here <input type="checkbox"/><br><b>D 1.</b> Foreign organizations, check here <input type="checkbox"/><br><b>2.</b> Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/><br><b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/><br><b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> |  |
| <b>H</b> Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation                                                                                                                  |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
| <b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) <b>\$</b> 1,889,123                                                                                                                                                                                                                                                             |  | <b>J</b> Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____<br>(Part I, column (d) must be on cash basis )                                                                                                                                                                                                                                                                                                                              |  |

| Part I                                | Analysis of Revenue and Expenses<br>(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<br>(a) | Net investment income<br>(b) | Adjusted net income<br>(c) | Disbursements for charitable purposes<br>(d) (cash basis only) |
|---------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|------------------------------|----------------------------|----------------------------------------------------------------|
| Revenue                               | <b>1</b> Contributions, gifts, grants, etc , received (attach schedule) . . . . .                                                                               | 10,000                                |                              |                            |                                                                |
|                                       | <b>2</b> Check <input type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B . . . . .                                                      |                                       |                              |                            |                                                                |
|                                       | <b>3</b> Interest on savings and temporary cash investments                                                                                                     |                                       |                              |                            |                                                                |
|                                       | <b>4</b> Dividends and interest from securities . . . . .                                                                                                       | 60,604                                | 60,604                       |                            |                                                                |
|                                       | <b>5a</b> Gross rents . . . . .                                                                                                                                 |                                       |                              |                            |                                                                |
|                                       | <b>b</b> Net rental income or (loss) _____                                                                                                                      |                                       |                              |                            |                                                                |
|                                       | <b>6a</b> Net gain or (loss) from sale of assets not on line 10                                                                                                 | 104,500                               |                              |                            |                                                                |
|                                       | <b>b</b> Gross sales price for all assets on line 6a<br>3,375,868                                                                                               |                                       |                              |                            |                                                                |
|                                       | <b>7</b> Capital gain net income (from Part IV, line 2) . . .                                                                                                   |                                       | 104,500                      |                            |                                                                |
|                                       | <b>8</b> Net short-term capital gain . . . . .                                                                                                                  |                                       |                              |                            |                                                                |
|                                       | <b>9</b> Income modifications . . . . .                                                                                                                         |                                       |                              |                            |                                                                |
|                                       | <b>10a</b> Gross sales less returns and allowances                                                                                                              |                                       |                              |                            |                                                                |
| Operating and Administrative Expenses | <b>b</b> Less Cost of goods sold . . . . .                                                                                                                      |                                       |                              |                            |                                                                |
|                                       | <b>c</b> Gross profit or (loss) (attach schedule) . . . . .                                                                                                     |                                       |                              |                            |                                                                |
|                                       | <b>11</b> Other income (attach schedule) . . . . .                                                                                                              |                                       |                              |                            |                                                                |
|                                       | <b>12 Total.</b> Add lines 1 through 11 . . . . .                                                                                                               | 175,104                               | 165,104                      |                            |                                                                |
|                                       | <b>13</b> Compensation of officers, directors, trustees, etc                                                                                                    | 0                                     | 0                            |                            | 0                                                              |
|                                       | <b>14</b> Other employee salaries and wages . . . . .                                                                                                           |                                       |                              |                            |                                                                |
|                                       | <b>15</b> Pension plans, employee benefits . . . . .                                                                                                            |                                       |                              |                            |                                                                |
|                                       | <b>16a</b> Legal fees (attach schedule). . . . .                                                                                                                |                                       |                              |                            |                                                                |
|                                       | <b>b</b> Accounting fees (attach schedule). . . . .                                                                                                             | 5,500                                 | 2,750                        |                            | 2,750                                                          |
|                                       | <b>c</b> Other professional fees (attach schedule) . . . . .                                                                                                    |                                       |                              |                            |                                                                |
|                                       | <b>17</b> Interest . . . . .                                                                                                                                    |                                       |                              |                            |                                                                |
|                                       | <b>18</b> Taxes (attach schedule) (see instructions) . . .                                                                                                      | 9,816                                 | 410                          |                            | 0                                                              |
|                                       | <b>19</b> Depreciation (attach schedule) and depletion . . .                                                                                                    |                                       |                              |                            |                                                                |
|                                       | <b>20</b> Occupancy . . . . .                                                                                                                                   |                                       |                              |                            |                                                                |
|                                       | <b>21</b> Travel, conferences, and meetings. . . . .                                                                                                            |                                       |                              |                            |                                                                |
|                                       | <b>22</b> Printing and publications . . . . .                                                                                                                   |                                       |                              |                            |                                                                |
|                                       | <b>23</b> Other expenses (attach schedule). . . . .                                                                                                             | 15,577                                | 15,424                       |                            | 0                                                              |
|                                       | <b>24 Total operating and administrative expenses.</b><br>Add lines 13 through 23 . . . . .                                                                     | 30,893                                | 18,584                       |                            | 2,750                                                          |
|                                       | <b>25</b> Contributions, gifts, grants paid . . . . .                                                                                                           | 1,877,831                             |                              |                            | 1,877,831                                                      |
|                                       | <b>26 Total expenses and disbursements.</b> Add lines 24 and 25                                                                                                 | 1,908,724                             | 18,584                       |                            | 1,880,581                                                      |
|                                       | <b>27</b> Subtract line 26 from line 12                                                                                                                         |                                       |                              |                            |                                                                |
|                                       | <b>a Excess of revenue over expenses and disbursements</b>                                                                                                      | -1,733,620                            |                              |                            |                                                                |
|                                       | <b>b Net investment income</b> (if negative, enter -0-)                                                                                                         |                                       | 146,520                      |                            |                                                                |
|                                       | <b>c Adjusted net income</b> (if negative, enter -0-)                                                                                                           |                                       |                              |                            |                                                                |

| 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                      | <b>1</b>                                                                                                                                       | Cash—non-interest-bearing . . . . .                                                                                              |           |                   |                |                       |
|                             | <b>2</b>                                                                                                                                       | Savings and temporary cash investments . . . . .                                                                                 |           | 178,423           | 30,524         | 30,524                |
|                             | <b>3</b>                                                                                                                                       | Accounts receivable ▶ _____<br>Less allowance for doubtful accounts ▶ _____                                                      |           |                   |                |                       |
|                             | <b>4</b>                                                                                                                                       | Pledges receivable ▶ _____<br>Less allowance for doubtful accounts ▶ _____                                                       |           |                   |                |                       |
|                             | <b>5</b>                                                                                                                                       | Grants receivable . . . . .                                                                                                      |           |                   |                |                       |
|                             | <b>6</b>                                                                                                                                       | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions). . . . . |           |                   |                |                       |
|                             | <b>7</b>                                                                                                                                       | Other notes and loans receivable (attach schedule) ▶ _____<br>Less allowance for doubtful accounts ▶ _____                       |           |                   |                |                       |
|                             | <b>8</b>                                                                                                                                       | Inventories for sale or use . . . . .                                                                                            |           |                   |                |                       |
|                             | <b>9</b>                                                                                                                                       | Prepaid expenses and deferred charges . . . . .                                                                                  |           |                   |                |                       |
|                             | <b>10a</b>                                                                                                                                     | Investments—U S and state government obligations (attach schedule)                                                               |           |                   |                |                       |
|                             | <b>b</b>                                                                                                                                       | Investments—corporate stock (attach schedule) . . . . .                                                                          |           |                   |                |                       |
|                             | <b>c</b>                                                                                                                                       | Investments—corporate bonds (attach schedule) . . . . .                                                                          |           |                   |                |                       |
|                             | <b>11</b>                                                                                                                                      | Investments—land, buildings, and equipment basis ▶ _____<br>Less accumulated depreciation (attach schedule) ▶ _____              |           |                   |                |                       |
|                             | <b>12</b>                                                                                                                                      | Investments—mortgage loans . . . . .                                                                                             |           |                   |                |                       |
|                             | <b>13</b>                                                                                                                                      | Investments—other (attach schedule) . . . . .                                                                                    |           | 3,502,655         | 1,919,651      | 1,858,599             |
|                             | <b>14</b>                                                                                                                                      | Land, buildings, and equipment basis ▶ _____<br>Less accumulated depreciation (attach schedule) ▶ _____                          |           |                   |                |                       |
| <b>15</b>                   | Other assets (describe ▶ _____)                                                                                                                |                                                                                                                                  |           |                   |                |                       |
| <b>16</b>                   | <b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)                                              |                                                                                                                                  | 3,681,078 | 1,950,175         | 1,889,123      |                       |
| Liabilities                 | <b>17</b>                                                                                                                                      | Accounts payable and accrued expenses . . . . .                                                                                  |           |                   |                |                       |
|                             | <b>18</b>                                                                                                                                      | Grants payable . . . . .                                                                                                         |           |                   |                |                       |
|                             | <b>19</b>                                                                                                                                      | Deferred revenue . . . . .                                                                                                       |           |                   |                |                       |
|                             | <b>20</b>                                                                                                                                      | Loans from officers, directors, trustees, and other disqualified persons                                                         |           |                   |                |                       |
|                             | <b>21</b>                                                                                                                                      | Mortgages and other notes payable (attach schedule). . . . .                                                                     |           |                   |                |                       |
|                             | <b>22</b>                                                                                                                                      | Other liabilities (describe ▶ _____)                                                                                             |           |                   |                |                       |
|                             | <b>23</b>                                                                                                                                      | <b>Total liabilities</b> (add lines 17 through 22) . . . . .                                                                     |           | 0                 | 0              |                       |
| Net Assets or Fund Balances | <b>Foundations that follow SFAS 117, check here</b> ▶ <input type="checkbox"/><br><b>and complete lines 24 through 26 and lines 30 and 31.</b> |                                                                                                                                  |           |                   |                |                       |
|                             | <b>24</b>                                                                                                                                      | Unrestricted . . . . .                                                                                                           |           |                   |                |                       |
|                             | <b>25</b>                                                                                                                                      | Temporarily restricted . . . . .                                                                                                 |           |                   |                |                       |
|                             | <b>26</b>                                                                                                                                      | Permanently restricted . . . . .                                                                                                 |           |                   |                |                       |
|                             | <b>Foundations that do not follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/><br><b>and complete lines 27 through 31.</b>   |                                                                                                                                  |           |                   |                |                       |
|                             | <b>27</b>                                                                                                                                      | Capital stock, trust principal, or current funds . . . . .                                                                       |           | 0                 | 0              |                       |
|                             | <b>28</b>                                                                                                                                      | Paid-in or capital surplus, or land, bldg, and equipment fund                                                                    |           | 0                 | 0              |                       |
|                             | <b>29</b>                                                                                                                                      | Retained earnings, accumulated income, endowment, or other funds                                                                 |           | 3,681,078         | 1,950,175      |                       |
|                             | <b>30</b>                                                                                                                                      | <b>Total net assets or fund balances</b> (see instructions) . . . . .                                                            |           | 3,681,078         | 1,950,175      |                       |
| <b>31</b>                   | <b>Total liabilities and net assets/fund balances</b> (see instructions) . . . . .                                                             |                                                                                                                                  | 3,681,078 | 1,950,175         |                |                       |

| Part III Analysis of Changes in Net Assets or Fund Balances |                                                                                                                                                                    |          |            |
|-------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------|
| <b>1</b>                                                    | 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) . . . . . | <b>1</b> | 3,681,078  |
| <b>2</b>                                                    | Enter amount from Part I, line 27a . . . . .                                                                                                                       | <b>2</b> | -1,733,620 |
| <b>3</b>                                                    | Other increases not included in line 2 (itemize) ▶ _____                                                                                                           | <b>3</b> | 2,717      |
| <b>4</b>                                                    | Add lines 1, 2, and 3 . . . . .                                                                                                                                    | <b>4</b> | 1,950,175  |
| <b>5</b>                                                    | Decreases not included in line 2 (itemize) ▶ _____                                                                                                                 | <b>5</b> | 0          |
| <b>6</b>                                                    | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .                                                      | <b>6</b> | 1,950,175  |

Part IV Capital Gains and Losses for Tax on Investment Income

|                                                                                                                                      |                          |                                              |                                      |                                  |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------|----------------------------------------------|--------------------------------------|----------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) |                          | How acquired<br>P—Purchase<br>(b) D—Donation | Date acquired<br>(c) (mo , day, yr ) | Date sold<br>(d) (mo , day, yr ) |
| 1 a                                                                                                                                  | U S TRUST - SEE ATTACHED | P                                            |                                      |                                  |
| b                                                                                                                                    | U S TRUST - SEE ATTACHED | P                                            |                                      |                                  |
| c                                                                                                                                    | Capital Gains Dividends  | P                                            |                                      |                                  |
| d                                                                                                                                    |                          |                                              |                                      |                                  |
| e                                                                                                                                    |                          |                                              |                                      |                                  |

|                       |                                            |                                                 |                                              |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
| a 1,429,289           |                                            | 1,504,769                                       | -75,480                                      |
| b 1,916,786           |                                            | 1,766,599                                       | 150,187                                      |
| c 29,793              |                                            |                                                 | 29,793                                       |
| d                     |                                            |                                                 |                                              |
| e                     |                                            |                                                 |                                              |

|                                                                                             |                                      |                                               |                                                                                              |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>(l) Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                              |
| a                                                                                           |                                      |                                               | -75,480                                                                                      |
| b                                                                                           |                                      |                                               | 150,187                                                                                      |
| c                                                                                           |                                      |                                               | 29,793                                                                                       |
| d                                                                                           |                                      |                                               |                                                                                              |
| e                                                                                           |                                      |                                               |                                                                                              |

|                                                                                                                                                                                                  |                                                                                 |   |         |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|---|---------|
| 2 Capital gain net income or (net capital loss)                                                                                                                                                  | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 104,500 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0-<br>in Part I, line 8 |                                                                                 | 3 |         |

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<br>year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio<br>(col (b) divided by col (c)) |
| 2014                                                              | 1,427,309                             | 3,345,658                                 | 0 426615                                               |
| 2013                                                              | 2,696,372                             | 2,744,533                                 | 0 982452                                               |
| 2012                                                              | 221,747                               | 2,160,304                                 | 0 102646                                               |
| 2011                                                              | 1,643,235                             | 1,873,998                                 | 0 876861                                               |
| 2010                                                              | 1,514,738                             | 1,603,084                                 | 0 944890                                               |

|                                                                                                                                                                                 |   |           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 2 Total of line 1, column (d).                                                                                                                                                  | 2 | 3 333464  |
| 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by<br>the number of years the foundation has been in existence if less than 5 years | 3 | 0 666693  |
| 4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.                                                                                                 | 4 | 3,322,591 |
| 5 Multiply line 4 by line 3.                                                                                                                                                    | 5 | 2,215,148 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b).                                                                                                                   | 6 | 1,465     |
| 7 Add lines 5 and 6.                                                                                                                                                            | 7 | 2,216,613 |
| 8 Enter qualifying distributions from Part XII, line 4.                                                                                                                         | 8 | 1,880,581 |

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 VII

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 ☐ and enter "N/A" on line 1  
Date of ruling or determination letter \_\_\_\_\_  
(attach copy of letter if necessary—see instructions)

b

Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ 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-)

3

Add lines 1 and 2. . . . .

4

Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5

**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- . . . . .

6

Credits/Payments

a

2015 estimated tax payments and 2014 overpayment credited to 2015

6a

6,985

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

6,985

8

Enter any **penalty** for underpayment of estimated tax. Check here ☐ 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

4,055

11

Enter the amount of line 10 to be **Credited to 2015 estimated tax** ☐ 4,055 **Refunded** ☐

11

0

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? . . . . .                                                                                                                                                                          | 1a | Yes | No |
| b  | Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? . . . . .<br><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 <b>Form 1120-POL</b> for this year? . . . . .                                                                                                                                                                                                                                                                                   | 1c |     | No |
| d  | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>(1) On the foundation <input type="checkbox"/> \$ _____ 0 (2) On foundation managers <input type="checkbox"/> \$ _____ 0                                                                                                                           |    |     |    |
| e  | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____ 0                                                                                                                                                                                |    |     |    |
| 2  | Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .<br><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 <b>Form 990-T</b> for this year? . . . . .                                                                                                                                                                                                                                                                       | 4b |     |    |
| 5  | Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .<br><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<br>• By language in the governing instrument, or<br>• 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)<br><input type="checkbox"/> CA _____                                                                                                                                                                                                                 |    |     |    |
| 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)?<br><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 |

Form 990-PF (2015)

**Part VII-A Statements Regarding Activities (continued)**

|           |                                                                                                                                                                                                                                                                                                                                                                                  |           |            |           |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|-----------|
| <b>11</b> | 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). . . . .                                                                                                                                                                                 | <b>11</b> |            | <b>No</b> |
| <b>12</b> | 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) . . . . .                                                                                                                                                                               | <b>12</b> |            | <b>No</b> |
| <b>13</b> | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ► <u>N/A</u>                                                                                                                                                                                                                              | <b>13</b> | <b>Yes</b> |           |
| <b>14</b> | The books are in care of ► <u>JUSTIN R LIU</u> Telephone no ► <u>(310) 767-7990</u><br>Located at ► <u>500 W 190TH STREET 6TH FLOOR GARDENA CA</u> ZIP+4 ► <u>90248</u>                                                                                                                                                                                                          |           |            |           |
| <b>15</b> | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . ► <input type="checkbox"/><br>and enter the amount of tax-exempt interest received or accrued during the year . . . . . ► <b>15</b>                                                                                                                          |           |            |           |
| <b>16</b> | 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?<br>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 ► | <b>16</b> | <b>Yes</b> | <b>No</b> |

**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. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |           | <b>Yes</b> | <b>No</b> |
|-----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|-----------|
| <b>1a</b>                                                                               | 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? ( <b>Exception.</b> 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>b</b>                                                                                | If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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)? . . . . . <b>1b</b>                                                                                                                                                                                                                                                                            |           |            |           |
|                                                                                         | Organizations relying on a current notice regarding disaster assistance check here. . . . . ► <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                     |           |            |           |
| <b>c</b>                                                                                | 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? . . . . . <b>1c</b>                                                                                                                                                                                                                                                                                                                |           |            | <b>No</b> |
| <b>2</b>                                                                                | 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))                                                                                                                                                                                                                                                                                                                                              |           |            |           |
| <b>a</b>                                                                                | 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<br>If "Yes," list the years ► 20____, 20____, 20____, 20____                                                                                                                                                                                                                               |           |            |           |
| <b>b</b>                                                                                | Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions ). . . . . <b>2b</b>                                                                                                                                                                                   |           |            |           |
| <b>c</b>                                                                                | If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here<br>► 20____, 20____, 20____, 20____                                                                                                                                                                                                                                                                                                                                                                 |           |            |           |
| <b>3a</b>                                                                               | 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>b</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? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015</i> ). . . . . <b>3b</b> |           |            |           |
| <b>4a</b>                                                                               | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                                            | <b>4a</b> |            | <b>No</b> |
| <b>b</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?                                                                                                                                                                                                                                                                                          | <b>4b</b> |            | <b>No</b> |

**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**

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**

**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<br>(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 |
|-------------------------------------------------------------------|--------------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| JUSTIN R LIU<br>500 W 190TH STREET 6TH FLOOR<br>GARDENA, CA 90248 | PRESIDENT<br>1 00                                            | 0                                         | 0                                                                     | 0                                     |
| EMILY F LIU<br>500 W 190TH STREET 6TH FLOOR<br>GARDENA, CA 90248  | SECRETARY<br>1 00                                            | 0                                         | 0                                                                     | 0                                     |
| MIMI W LIU<br>500 W 190TH STREET 6TH FLOOR<br>GARDENA, CA 90248   | CFO<br>1 00                                                  | 0                                         | 0                                                                     | 0                                     |
| ROBERT W LIU<br>500 W 190TH STREET 6TH FLOOR<br>GARDENA, CA 90248 | VICE-PRESIDENT<br>1 00                                       | 0                                         | 0                                                                     | 0                                     |

**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<br>(b) devoted to position | (c) Compensation | Contributions to employee benefit plans and deferred compensation<br>(d) | Expense account, (e) other allowances |
|---------------------------------------------------------------|--------------------------------------------------------------|------------------|--------------------------------------------------------------------------|---------------------------------------|
| NONE                                                          |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |
|                                                               |                                                              |                  |                                                                          |                                       |

**Total** number of other employees paid over \$50,000. ☐ **0**

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                                                        |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
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|                                                             |                     |                  |
|                                                             |                     |                  |

Total number of others receiving over \$50,000 for professional services. 0

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                                                                                     | 0      |

**Part X Minimum Investment Return**

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

|          |                                                                                                                    |           |           |
|----------|--------------------------------------------------------------------------------------------------------------------|-----------|-----------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes         |           |           |
| <b>a</b> | Average monthly fair market value of securities. . . . .                                                           | <b>1a</b> | 3,269,590 |
| <b>b</b> | Average of monthly cash balances. . . . .                                                                          | <b>1b</b> | 103,599   |
| <b>c</b> | Fair market value of all other assets (see instructions). . . . .                                                  | <b>1c</b> | 0         |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c). . . . .                                                                     | <b>1d</b> | 3,373,189 |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . . | <b>1e</b> | 0         |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets. . . . .                                                      | <b>2</b>  | 0         |
| <b>3</b> | Subtract line 2 from line 1d. . . . .                                                                              | <b>3</b>  | 3,373,189 |
| <b>4</b> | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .  | <b>4</b>  | 50,598    |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3 Enter here and on Part V, line 4         | <b>5</b>  | 3,322,591 |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5. . . . .                                                      | <b>6</b>  | 166,130   |

**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.)

|           |                                                                                                                  |           |         |
|-----------|------------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b>  | Minimum investment return from Part X, line 6. . . . .                                                           | <b>1</b>  | 166,130 |
| <b>2a</b> | Tax on investment income for 2015 from Part VI, line 5. . . . .                                                  | <b>2a</b> | 2,930   |
| <b>b</b>  | Income tax for 2015 (This does not include the tax from Part VI ). . . . .                                       | <b>2b</b> |         |
| <b>c</b>  | Add lines 2a and 2b. . . . .                                                                                     | <b>2c</b> | 2,930   |
| <b>3</b>  | Distributable amount before adjustments Subtract line 2c from line 1. . . . .                                    | <b>3</b>  | 163,200 |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions. . . . .                                               | <b>4</b>  | 0       |
| <b>5</b>  | Add lines 3 and 4. . . . .                                                                                       | <b>5</b>  | 163,200 |
| <b>6</b>  | Deduction from distributable amount (see instructions). . . . .                                                  | <b>6</b>  | 0       |
| <b>7</b>  | <b>Distributable amount</b> as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. . . . . | <b>7</b>  | 163,200 |

**Part XII Qualifying Distributions** (see instructions)

|          |                                                                                                                                                              |           |           |
|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes                                                                    |           |           |
| <b>a</b> | Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. . . . .                                                                         | <b>1a</b> | 1,880,581 |
| <b>b</b> | Program-related investments—total from Part IX-B. . . . .                                                                                                    | <b>1b</b> | 0         |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .                                           | <b>2</b>  |           |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the                                                                                          |           |           |
| <b>a</b> | Suitability test (prior IRS approval required). . . . .                                                                                                      | <b>3a</b> |           |
| <b>b</b> | Cash distribution test (attach the required schedule). . . . .                                                                                               | <b>3b</b> |           |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4                                             | <b>4</b>  | 1,880,581 |
| <b>5</b> | 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). . . . . | <b>5</b>  | 0         |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .                                                                               | <b>6</b>  | 1,880,581 |

**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)<br>Corpus | (b)<br>Years prior to 2014 | (c)<br>2014 | (d)<br>2015 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2015 from Part XI, line 7                                                                                                                                |               |                            |             | 163,200     |
| <b>2</b> Undistributed income, if any, as of the end of 2015                                                                                                                               |               |                            |             |             |
| <b>a</b> Enter amount for 2014 only. . . . .                                                                                                                                               |               |                            | 0           |             |
| <b>b</b> Total for prior years 20____, 20____, 20____                                                                                                                                      |               | 0                          |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2015                                                                                                                                   |               |                            |             |             |
| <b>a</b> From 2010. . . . .                                                                                                                                                                | 1,436,320     |                            |             |             |
| <b>b</b> From 2011. . . . .                                                                                                                                                                | 1,552,179     |                            |             |             |
| <b>c</b> From 2012. . . . .                                                                                                                                                                | 115,281       |                            |             |             |
| <b>d</b> From 2013. . . . .                                                                                                                                                                | 2,562,045     |                            |             |             |
| <b>e</b> From 2014. . . . .                                                                                                                                                                | 1,266,750     |                            |             |             |
| <b>f</b> <b>Total</b> of lines 3a through e. . . . .                                                                                                                                       | 6,932,575     |                            |             |             |
| <b>4</b> Qualifying distributions for 2015 from Part XII, line 4 ► \$ <u>1,880,581</u>                                                                                                     |               |                            |             |             |
| <b>a</b> Applied to 2014, but not more than line 2a                                                                                                                                        |               |                            | 0           |             |
| <b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .                                                                                      |               | 0                          |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .                                                                                              | 0             |                            |             |             |
| <b>d</b> Applied to 2015 distributable amount. . . . .                                                                                                                                     |               |                            |             | 163,200     |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                                        | 1,717,381     |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2015<br>(If an amount appears in column (d), the same amount must be shown in column (a) )                                              | 0             |                            |             | 0           |
| <b>6</b> <b>Enter the net total of each column as indicated below:</b>                                                                                                                     |               |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                                   | 8,649,956     |                            |             |             |
| <b>b</b> Prior years' undistributed income Subtract line 4b from line 2b. . . . .                                                                                                          |               | 0                          |             |             |
| <b>c</b> 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. . . . . |               | 0                          |             |             |
| <b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .                                                                                                           |               | 0                          |             |             |
| <b>e</b> Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .                                                                             |               |                            | 0           |             |
| <b>f</b> Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015 . . . . .                                                               |               |                            |             | 0           |
| <b>7</b> 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). . . . .       | 0             |                            |             |             |
| <b>8</b> Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions). . .                                                                                  | 1,436,320     |                            |             |             |
| <b>9</b> <b>Excess distributions carryover to 2016.</b><br>Subtract lines 7 and 8 from line 6a . . . . .                                                                                   | 7,213,636     |                            |             |             |
| <b>10</b> Analysis of line 9                                                                                                                                                               |               |                            |             |             |
| <b>a</b> Excess from 2011. . . .                                                                                                                                                           | 1,552,179     |                            |             |             |
| <b>b</b> Excess from 2012. . . .                                                                                                                                                           | 115,281       |                            |             |             |
| <b>c</b> Excess from 2013. . . .                                                                                                                                                           | 2,562,045     |                            |             |             |
| <b>d</b> Excess from 2014. . . .                                                                                                                                                           | 1,266,750     |                            |             |             |
| <b>e</b> Excess from 2015. . . .                                                                                                                                                           | 1,717,381     |                            |             |             |

## Part XIV

\_\_\_\_\_

**b** Check box to indicate whether the organization is a:

| Tax year | Prior 3 years |          |          | (e) Total |
|----------|---------------|----------|----------|-----------|
| (a) 2015 | (b) 2014      | (c) 2013 | (d) 2012 |           |
|          |               |          |          |           |

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## Part XV

**1 Information Regarding Foundation Managers:**

**a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2) )

**b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

**a** The name, address, and telephone number or email address of the person to whom applications should be addressed

**b** The form in which applications should be submitted and information and materials they should include

**c** Any submission deadlines

**d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

Part XV

Supplementary Information(continued)

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

| Recipient                                           | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount    |
|-----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|-----------|
| Name and address (home or business)                 |                                                                                                                    |                                      |                                     |           |
| a Paid during the year<br>See Additional Data Table |                                                                                                                    |                                      |                                     |           |
| Total . . . . .                                     |                                                                                                                    |                                      | ▶ 3a                                | 1,877,831 |
| b Approved for future payment                       |                                                                                                                    |                                      |                                     |           |
| Total . . . . .                                     |                                                                                                                    |                                      | ▶ 3b                                | 0         |

Enter gross amounts unless otherwise indicated

## Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Form **990-PF** (2015)

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?

|                                                                                                    |              |  |           |
|----------------------------------------------------------------------------------------------------|--------------|--|-----------|
| <b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of         |              |  |           |
| <b>(1)</b> Cash. . . . .                                                                           | <b>1a(1)</b> |  | <b>No</b> |
| <b>(2)</b> Other assets. . . . .                                                                   | <b>1a(2)</b> |  | <b>No</b> |
| <b>b</b> Other transactions                                                                        |              |  |           |
| <b>(1)</b> Sales of assets to a noncharitable exempt organization. . . . .                         | <b>1b(1)</b> |  | <b>No</b> |
| <b>(2)</b> Purchases of assets from a noncharitable exempt organization. . . . .                   | <b>1b(2)</b> |  | <b>No</b> |
| <b>(3)</b> Rental of facilities, equipment, or other assets. . . . .                               | <b>1b(3)</b> |  | <b>No</b> |
| <b>(4)</b> Reimbursement arrangements. . . . .                                                     | <b>1b(4)</b> |  | <b>No</b> |
| <b>(5)</b> Loans or loan guarantees. . . . .                                                       | <b>1b(5)</b> |  | <b>No</b> |
| <b>(6)</b> Performance of services or membership or fundraising solicitations. . . . .             | <b>1b(6)</b> |  | <b>No</b> |
| <b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . . | <b>1c</b>    |  | <b>No</b> |

**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

**b** If "Yes," complete the following schedule

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

|                      |                                                                                                                                                                                                                                                                                                                        |                             |       |
|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|-------|
| <b>Sign<br/>Here</b> | 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 or trustee                                                                                                                                                                                                                                                                                        | 2016-11-10<br>_____<br>Date | Title |

May the IRS discuss this return with the preparer shown below  
 (see instr.)? ☒ **Yes** ☐ **No**

|                               |                                                                                             |                      |      |                                                   |                   |
|-------------------------------|---------------------------------------------------------------------------------------------|----------------------|------|---------------------------------------------------|-------------------|
| <b>Paid Preparer Use Only</b> | Print/Type preparer's name<br>LISA M CUMMINGS<br>CPA                                        | Preparer's Signature | Date | Check if self-employed <input type="checkbox"/>   | PTIN<br>P00043433 |
|                               | Firm's name <input type="checkbox"/><br>COHNREZNICK LLP                                     |                      |      | Firm's EIN <input type="checkbox"/> 22-1478099    |                   |
|                               | Firm's address <input type="checkbox"/><br>400 CAPITOL MALL SUITE 1200 Sacramento, CA 95814 |                      |      | Phone no. <input type="checkbox"/> (916) 442-9100 |                   |

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)                                                                |                                                                                                           |                                |                                  |           |
| <b>a</b> <i>Paid during the year</i>                                                               |                                                                                                           |                                |                                  |           |
| FU JEN UNIVERSITY FOUNDATION<br>20651 GOLDEN SPRINGS DRIVE<br>162<br>WALNUT,CA 91789               | NONE                                                                                                      | PC                             | CHARITY                          | 119,946   |
| UNIVERSITY OF NOTRE DAME<br>400 MAIN BUILDING<br>NOTRE DAME,IN 46556                               | NONE                                                                                                      | PC                             | CHARITY                          | 1,400,400 |
| Mary's Shelter PO Box 10433<br>Santa Ana,CA 92711                                                  | NONE                                                                                                      | PC                             | CHARITY                          | 1,000     |
| GINLING INTERNATIONAL FOUNDATION<br>325 E VALLEY BLVD<br>ALHAMBRA,CA 91801                         | NONE                                                                                                      | PC                             | CHARITY                          | 1,000     |
| PACIFIC COUNCIL<br>725 S FIGUEROA STREET STE 450<br>LOS ANGELES,CA 90017                           | NONE                                                                                                      | PC                             | CHARITY                          | 155,985   |
| Torrance Memorial Hospital<br>3330 Lomita Blvd<br>Torrance,CA 90505                                | NONE                                                                                                      | PC                             | CHARITY                          | 150,000   |
| PALOS VERDES PERFORMING ARTS<br>27570 NORRIS CENTER DRIVE<br>ROLLING HILLS ESTATES,CA<br>902743570 | NONE                                                                                                      | PC                             | CHARITY                          | 4,000     |
| MEDIC ONE FOUNDATION<br>325 NINTH AVENUE MS 359747<br>SEATTLE,WA 981042420                         | NONE                                                                                                      | PC                             | CHARITY                          | 500       |
| 1937 CHINA MUSEUM PO BOX 667<br>BURLINGAME,CA 94011                                                | NONE                                                                                                      | PC                             | CHARITY                          | 10,000    |
| CLIPPERS CHARITABLE FOUNDATION<br>6951 S CENTINELA AVENUE<br>PLAYA VISTA,CA 90094                  | NONE                                                                                                      | PC                             | CHARITY                          | 25,000    |
| THE BOYS AND GIRLS CLUBS OF ELKHART COUNTY<br>102 W LINCOLN AVENUE 240<br>GOSHEN,IN 46527          | NONE                                                                                                      | pc                             | CHARITY                          | 5,000     |
| HOPE PRESBYTERIAN CHURCH<br>8500 WALNUT GROVE ROAD<br>CORDOVA,TN 38018                             | NONE                                                                                                      | PC                             | CHARITY                          | 5,000     |
| <b>Total . . . . . ▶ 3a</b>                                                                        |                                                                                                           |                                |                                  | 1,877,831 |

**TY 2015 Accounting Fees Schedule****Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

| <b>Category</b> | <b>Amount</b> | <b>Net Investment<br/>Income</b> | <b>Adjusted Net<br/>Income</b> | <b>Disbursements for<br/>Charitable<br/>Purposes</b> |
|-----------------|---------------|----------------------------------|--------------------------------|------------------------------------------------------|
| ACCOUNTING FEES | 5,500         | 2,750                            |                                | 2,750                                                |

## TY 2015 Investments - Other Schedule

**Name:** THE RM LIU FOUNDATION

**EIN:** 20-8643551

| Category/ Item | Listed at Cost or<br>FMV | Book Value | End of Year Fair<br>Market Value |
|----------------|--------------------------|------------|----------------------------------|
| U.S. TRUST     | AT COST                  | 1,919,651  | 1,858,599                        |

**TY 2015 Other Expenses Schedule****Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

| Description     | Revenue and Expenses<br>per Books | Net Investment<br>Income | Adjusted Net Income | Disbursements for<br>Charitable Purposes |
|-----------------|-----------------------------------|--------------------------|---------------------|------------------------------------------|
| INVESTMENT FEES | 15,424                            | 15,424                   |                     | 0                                        |
| OFFICE EXPENSE  | 153                               | 0                        |                     | 0                                        |

**TY 2015 Other Increases Schedule****Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

| Description                               | Amount |
|-------------------------------------------|--------|
| PRIOR PERIOD Book vs Tax ADJUSTMENT       | 1,736  |
| NONDIVIDEND DISTRIBUTIONS FROM U.S. TRUST | 981    |

**TY 2015 Taxes Schedule****Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

| <b>Category</b>               | <b>Amount</b> | <b>Net Investment<br/>Income</b> | <b>Adjusted Net<br/>Income</b> | <b>Disbursements for<br/>Charitable<br/>Purposes</b> |
|-------------------------------|---------------|----------------------------------|--------------------------------|------------------------------------------------------|
| FOREIGN TAX PAID              | 410           | 410                              |                                | 0                                                    |
| CITY OF CARSON                | 176           | 0                                |                                | 0                                                    |
| ATTORNEY GENERAL REGISTRY FEE | 150           | 0                                |                                | 0                                                    |
| FTB PAYMENT                   | 9,010         | 0                                |                                | 0                                                    |
| FTB FILING                    | 70            | 0                                |                                | 0                                                    |

|                                                                                                                                   |                                                                                                                                                                                                                                                        |                                             |
|-----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|
| <div>Schedule B</div> <div>(Form 990, 990-EZ, or 990-PF)</div> <div>Department of the Treasury<br/>Internal Revenue Service</div> | <div>Schedule of Contributors</div> <div>▶ Attach to Form 990, 990-EZ, or 990-PF</div> <div>▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <a href="http://www.irs.gov/form990">www.irs.gov/form990</a></div> | <div>OMB No 1545-0047</div> <div>2015</div> |
|-----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|

|                                                                      |                                                                 |
|----------------------------------------------------------------------|-----------------------------------------------------------------|
| <div>Name of the organization</div> <div>THE RM LIU FOUNDATION</div> | <div>Employer identification number</div> <div>20-8643551</div> |
|----------------------------------------------------------------------|-----------------------------------------------------------------|

Organization type (check one)

|                    |                                                                                                                                                                                                                                                                       |
|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Filers of:         | Section:                                                                                                                                                                                                                                                              |
| Form 990 or 990-EZ | <div><input type="checkbox"/> 501(c)( ) (enter number) organization</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust <b>not</b> treated as a private foundation</div> <div><input type="checkbox"/> 527 political organization</div>         |
| Form 990-PF        | <div><input checked="" type="checkbox"/> 501(c)(3) exempt private foundation</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation</div> <div><input type="checkbox"/> 501(c)(3) taxable private foundation</div> |

Check if your organization is covered by the **General Rule** or a **Special Rule**.  
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33<sup>1</sup>/<sub>3</sub>% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. . . . . ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

|                                               |                                              |
|-----------------------------------------------|----------------------------------------------|
| Name of organization<br>THE RM LIU FOUNDATION | Employer identification number<br>20-8643551 |
|-----------------------------------------------|----------------------------------------------|

| Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed |                                                     |                            |                                                                                   |
|-----------------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------|-----------------------------------------------------------------------------------|
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
| 1                                                                                                   |                                                     | \$ 10,000                  | Person <input checked="" type="checkbox"/>                                        |
|                                                                                                     | ROBERT AND MIMI LIU<br>500 W 190TH STREET 6TH FLOOR |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     | GARDENA, CA 90248                                   |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No.                                                                                          | (b)<br>Name, address, and ZIP + 4                   | (c)<br>Total contributions | (d)<br>Type of contribution                                                       |
|                                                                                                     |                                                     | \$                         | Person <input type="checkbox"/>                                                   |
|                                                                                                     |                                                     |                            | Payroll <input type="checkbox"/>                                                  |
|                                                                                                     |                                                     |                            | Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions ) |

|                                                      |                                                         |
|------------------------------------------------------|---------------------------------------------------------|
| <b>Name of organization</b><br>THE RM LIU FOUNDATION | <b>Employer identification number</b><br><br>20-8643551 |
|------------------------------------------------------|---------------------------------------------------------|

|                                                                                                                            |                                                            |                                                              |                                    |
|----------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|--------------------------------------------------------------|------------------------------------|
| <b>Part II</b> <b>Noncash Property</b><br>(see instructions) Use duplicate copies of Part II if additional space is needed |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
| <b>(a)</b><br><b>No. from Part I</b>                                                                                       | <b>(b)</b><br><b>Description of noncash property given</b> | <b>(c)</b><br><b>FMV (or estimate)</b><br>(see instructions) | <b>(d)</b><br><b>Date received</b> |
|                                                                                                                            |                                                            | \$                                                           |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |
|                                                                                                                            |                                                            |                                                              |                                    |

|                                                      |                                                     |
|------------------------------------------------------|-----------------------------------------------------|
| <b>Name of organization</b><br>THE RM LIU FOUNDATION | <b>Employer identification number</b><br>20-8643551 |
|------------------------------------------------------|-----------------------------------------------------|

**Part III** Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ► \$ \_\_\_\_\_

Use duplicate copies of Part III if additional space is needed

| (a)<br>No.from Part I                 | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
|---------------------------------------|---------------------|------------------------------------------|-------------------------------------|
| -                                     | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
| (e) Transfer of gift                  |                     |                                          |                                     |
| Transferee's name, address, and ZIP 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                 |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| --                                    |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| (a)<br>No.from Part I                 | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
| -                                     | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
| (e) Transfer of gift                  |                     |                                          |                                     |
| Transferee's name, address, and ZIP 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                 |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| --                                    |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| (a)<br>No.from Part I                 | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
| -                                     | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
| (e) Transfer of gift                  |                     |                                          |                                     |
| Transferee's name, address, and ZIP 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                 |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| --                                    |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| (a)<br>No.from Part I                 | (b) Purpose of gift | (c) Use of gift                          | (d) Description of how gift is held |
| -                                     | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
|                                       | _____               | _____                                    | _____                               |
| (e) Transfer of gift                  |                     |                                          |                                     |
| Transferee's name, address, and ZIP 4 |                     | Relationship of transferor to transferee |                                     |
| _____                                 |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |
| --                                    |                     | _____                                    |                                     |
| _____                                 |                     | _____                                    |                                     |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

## Income for 2015

This section reports your sales transactions during the year. A schedule of your net gains and losses is shown below. Please note that if you have sold an asset for which the cost basis information is unknown it is shown separately in the section entitled Transactions with Unknown Cost Basis. Please review these carefully when preparing your return. An asterisk symbol (\*) next to the tax cost indicates that the tax cost has been adjusted for current year's return of capital.

The following items are provided to you to assist in the preparation of your tax returns. We have included the following Codes and Adjustment amounts: "W" for wash sales, "C" for collectibles, and "D" for Market Discount. Typically, collectibles are taxed at 28% rates. For your convenience, if applicable, we have included the portion subject to Section 988 translation gains and losses and Market Discount in the column titled "Portion Subject to 988 and Market Discount". We have also included gains on collectibles taxed at 28% rates in the last column. If we have included a dagger symbol (†) next to the sale transaction with a net loss, this indicates that you can not take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure.

## Short Term Transactions

| DESCRIPTION      | Date sold<br>or disposed | Date acquired | Units | CUSIP     | SYMBOL | Proceeds | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|------------------|--------------------------|---------------|-------|-----------|--------|----------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| AMC NETWORKS INC |                          |               |       | 00164V103 | AMCX   |          |                        |                  |      |             |                                                                           |                                                             |
|                  | 10/23/15                 | 09/18/15      | 3     |           |        | \$210.53 | \$226.93               | \$-16.40         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                  | 10/23/15                 | 11/07/14      | 8     |           |        | \$561.43 | \$495.95               | \$65.48          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                  | 10/23/15                 | 11/07/14      | 3     |           |        | \$210.54 | \$185.99               | \$24.55          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ABBVIE INC       |                          |               |       | 00287Y109 | ABBY   |          |                        |                  |      |             |                                                                           |                                                             |
|                  | 10/23/15                 | 06/08/15      | 12    |           |        | \$601.58 | \$815.50               | \$-213.92        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                  | 10/23/15                 | 06/26/15      | 10    |           |        | \$501.31 | \$704.22               | \$-202.91        | W    | \$202.91    | \$0.00                                                                    | \$0.00                                                      |
|                  | 10/23/15                 | 06/26/15      | 5     |           |        | \$250.66 | \$352.11               | \$-101.45        | W    | \$101.45    | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

## 2015 Tax Information Letter

Account Number 022001527217

Page 7

### Short Term Transactions

| DESCRIPTION             | CUSIP     | SYMBOL | Units | Proceeds   | Cost or other basis | Net Gain/Loss | Code | Adjustments | Portion Subject to 988 and Market Discount (included in Net G/L) | Portion Subject to 28% Rates (included in Net G/L) |
|-------------------------|-----------|--------|-------|------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| ABBVIE INC              | 00287Y109 | ABBV   |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                | 3         |        |       | \$150.39   | \$205.37            | \$-54.98      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                | 1         |        |       | \$50.13    | \$68.46             | \$-18.33      | W    | \$18.33     | \$0.00                                                           | \$0.00                                             |
| 10/23/15                | 4         |        |       | \$200.53   | \$271.83            | \$-71.30      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| AKAMAI TECHNOLOGIES INC | 00971T101 | AKAM   |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                | 8         |        |       | \$591.61   | \$610.97            | \$-19.36      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ALPHABET INC            | 02079K107 | GOOG   |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                | 1         |        |       | \$707.14   | \$643.89            | \$63.25       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| AMAZON COM INC          | 023135106 | AMZN   |       |            |                     |               |      |             |                                                                  |                                                    |
| 08/07/15                | 2         |        |       | \$1,045.65 | \$785.06            | \$260.59      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                | 6         |        |       | \$3,573.46 | \$2,355.20          | \$1,218.26    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| AMERICAN TOWER CORP     | 03027X100 | AMT    |       |            |                     |               |      |             |                                                                  |                                                    |
| 05/06/15                | 7         |        |       | \$651.86   | \$707.97            | \$-56.11      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 05/29/15                | 8         |        |       | \$743.85   | \$784.26            | \$-40.41      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 05/29/15                | 19        |        |       | \$1,766.65 | \$1,921.64          | \$-154.99     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 06/01/15                | 2         |        |       | \$185.93   | \$196.06            | \$-10.13      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| AMERIPRISE FINL INC     | 03076C106 | AMP    |       |            |                     |               |      |             |                                                                  |                                                    |
| 04/10/15                | 5         |        |       | \$608.04   | \$589.75            | \$18.29       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

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Short Term Transactions

| DESCRIPTION                                   | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS    | CUSIP | SYMBOL | PROCEEDS     | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|-----------------------------------------------|-----------------------|---------------|----------|-------|--------|--------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| <b>APPLE COMPUTER INC AAPL</b>                |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 08/04/15              | 12/11/14      | 7        |       |        | \$802.84     | \$790.61            | \$12.23       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 08/04/15              | 09/03/14      | 5        |       |        | \$573.46     | \$500.79            | \$72.67       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>ARCHER DANIELS MIDLAND ADM</b>             |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 10/23/15              | 05/12/15      | 6        |       |        | \$281.45     | \$311.17            | \$-29.72      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 10/23/15              | 04/12/15      | 6        |       |        | \$281.46     | \$311.17            | \$-29.71      | W    | \$29.71     | \$0.00                                                           | \$0.00                                             |
|                                               | 10/23/15              | 05/12/15      | 8        |       |        | \$375.37     | \$414.89            | \$-39.62      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 10/23/15              | 05/13/15      | 6        |       |        | \$281.45     | \$314.70            | \$-33.25      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>ARTISAN INTERNATIONAL FUND #661 ARTI X</b> |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 09/23/15              | 03/12/15      | 1619.7   |       |        | \$44,039.51  | \$50,000.00         | \$-5,960.49   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>BIOGEN IDEC INC BIIB</b>                   |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 03/23/15              | 02/11/15      | 1        |       |        | \$465.13     | \$390.52            | \$74.61       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 10/22/15              | 06/30/15      | 1        |       |        | \$277.44     | \$402.84            | \$-125.40     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 10/22/15              | 06/30/15      | 1        |       |        | \$277.44     | \$402.85            | \$-125.41     | W    | \$125.41    | \$0.00                                                           | \$0.00                                             |
|                                               | 10/22/15              | 07/07/15      | 2        |       |        | \$554.89     | \$814.83            | \$-259.94     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                               | 10/23/15              | 02/11/15      | 1        |       |        | \$276.52     | \$390.51            | \$-113.99     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>BLACKROCK EMERGING MKT BLSI X</b>          |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 04/24/15              | 10/21/14      | 14312.98 |       |        | \$149,570.61 | \$150,000.00        | \$-429.39     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>BLACKROCK INC CL A BLK</b>                 |                       |               |          |       |        |              |                     |               |      |             |                                                                  |                                                    |
|                                               | 10/23/15              | 10/22/15      | 2        |       |        | \$680.41     | \$669.52            | \$10.89       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

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**Short Term Transactions**

| DESCRIPTION                                    | DATE SOLD<br>OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|------------------------------------------------|--------------------------|---------------|---------|-----------|--------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| <b>BLACKSTONE ALTERNATIVE MULT-<br/>BXMI X</b> |                          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                                | 11/13/15                 | 08/24/15      | 2394.64 | 09257V201 |        | \$25,000.00 | \$24,856.32            | \$143.68         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 11/19/15                 | 08/24/15      | 7239.28 |           |        | \$75,722.82 | \$75,143.68            | \$579.14         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>BOSTON SCIENTIFIC CORP COM<br/>BSX</b>      |                          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                                | 10/23/15                 | 03/20/15      | 19      | 101137107 |        | \$317.91    | \$342.01               | \$-24.10         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 03/19/15      | 28      |           |        | \$468.50    | \$496.48               | \$-27.98         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 03/19/15      | 19      |           |        | \$317.91    | \$336.90               | \$-18.99         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>BRISTOL MYERS SQUIBB COMPANY<br/>BMY</b>    |                          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                                | 10/23/15                 | 03/02/15      | 8       | 110122108 |        | \$521.91    | \$496.70               | \$25.21          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 03/02/15      | 5       |           |        | \$326.19    | \$310.43               | \$15.76          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 06/30/15      | 3       |           |        | \$195.72    | \$199.41               | \$-3.69          | W    | \$3.69      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 10/08/15      | 3       |           |        | \$195.72    | \$181.94               | \$13.78          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 06/30/15      | 2       |           |        | \$130.48    | \$132.94               | \$-2.46          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 06/30/15      | 6       |           |        | \$391.43    | \$398.83               | \$-7.40          | W    | \$7.40      | \$0.00                                                                    | \$0.00                                                      |
| <b>CBS CORP NEW CL B<br/>CBS</b>               |                          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                                | 10/23/15                 | 01/26/15      | 1       | 124857202 |        | \$44.27     | \$56.66                | \$-12.39         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 03/25/15      | 11      |           |        | \$486.96    | \$677.64               | \$-190.68        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                                | 10/23/15                 | 01/26/15      | 11      |           |        | \$486.96    | \$623.23               | \$-136.27        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>CF INDS HLDGS INC<br/>CF</b>                |                          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                                | 10/23/15                 | 10/08/15      | 2       | 125269100 |        | \$108.40    | \$105.09               | \$3.31           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION         | DATE     | CUSIP     | SYMBOL     | UNITS | PROCEEDS   | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|---------------------|----------|-----------|------------|-------|------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| CF INDS HLDGS INC   |          | 125269100 | CF         |       |            |                        |                  |      |             |                                                                           |                                                             |
| 10/23/15            | 10/22/15 | 2         | \$108.40   |       | \$107.03   | \$1.37                 |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 10/23/15            | 10/22/15 | 8         | \$433.61   |       | \$428.11   | \$5.50                 |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 10/23/15            | 10/15/15 | 8         | \$433.62   |       | \$426.63   | \$6.99                 |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CVS CORPORATION DEL |          | 126650100 | CVS        |       |            |                        |                  |      |             |                                                                           |                                                             |
| 10/13/15            | 07/30/15 | 9         | \$921.73   |       | \$1,017.37 | \$-95.64               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 10/23/15            | 07/02/15 | 5         | \$520.24   |       | \$529.44   | \$-9.20                |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CARDINAL HEALTH INC |          | 14149Y108 | CAH        |       |            |                        |                  |      |             |                                                                           |                                                             |
| 10/23/15            | 08/25/15 | 17        | \$1,360.14 |       | \$1,376.41 | \$-16.27               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CELGENE CORP COM    |          | 151020104 | CELG       |       |            |                        |                  |      |             |                                                                           |                                                             |
| 03/23/15            | 09/24/14 | 4         | \$494.84   |       | \$384.55   | \$110.29               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 04/01/15            | 09/24/14 | 6         | \$682.18   |       | \$576.83   | \$105.35               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 06/04/15            | 09/24/14 | 2         | \$221.79   |       | \$192.27   | \$29.52                |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 06/05/15            | 07/11/14 | 3         | \$331.03   |       | \$267.58   | \$63.45                |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 06/08/15            | 07/01/14 | 17        | \$1,890.24 |       | \$1,501.77 | \$388.47               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 06/08/15            | 07/11/14 | 2         | \$222.38   |       | \$178.38   | \$44.00                |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CERNER CORP         |          | 156782104 | CERN       |       |            |                        |                  |      |             |                                                                           |                                                             |
| 10/23/15            | 08/05/15 | 4         | \$258.76   |       | \$266.78   | \$-8.02                | W                |      | \$8.02      | \$0.00                                                                    | \$0.00                                                      |
| 10/23/15            | 08/05/15 | 16        | \$1,035.06 |       | \$1,067.12 | \$-32.06               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 12/18/15            | 07/26/15 | 4         | \$237.17   |       | \$270.45   | \$-33.28               |                  |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

## 2015 Tax Information Letter

Account Number 022001527217

Page 11

IM RM LIU FOUNDATION

### Short Term Transactions

| DESCRIPTION                      | Date sold<br>or disposed | Date acquired | Units   | CUSIP     | SYMBOL | Proceeds    | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|----------------------------------|--------------------------|---------------|---------|-----------|--------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| CERNER CORP                      |                          |               |         | 156782104 | CERN   |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 12/18/15                 | 08/05/15      | 2       |           |        | \$118.59    | \$133.39               | \$-14.80         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CISCO SYSTEM INC                 |                          |               |         | 17275R102 | CSCO   |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/23/15                 | 05/15/15      | 11      |           |        | \$322.19    | \$324.94               | \$-2.75          | W    | \$2.75      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 05/29/15      | 11      |           |        | \$322.19    | \$323.33               | \$-1.14          | W    | \$1.14      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 05/29/15      | 4       |           |        | \$117.16    | \$117.57               | \$-0.41          | W    | \$0.41      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 05/29/15      | 18      |           |        | \$527.21    | \$529.09               | \$-1.88          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 05/06/15      | 11      |           |        | \$322.18    | \$317.71               | \$4.47           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 05/15/15      | 13      |           |        | \$380.76    | \$384.02               | \$-3.26          | W    | \$3.26      | \$0.00                                                                    | \$0.00                                                      |
| CITRIX SYS INC                   |                          |               |         | 177376100 | CTXS   |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/23/15                 | 08/05/15      | 15      |           |        | \$1,214.37  | \$1,158.76             | \$55.61          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| COCA-COLA ENTERPRISES INC        |                          |               |         | 19122T109 | CCE    |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 09/16/15                 | 09/29/14      | 1       |           |        | \$49.57     | \$45.05                | \$4.52           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 09/17/15                 | 01/26/15      | 6       |           |        | \$294.75    | \$259.65               | \$35.10          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 09/17/15                 | 09/29/14      | 10      |           |        | \$491.24    | \$450.50               | \$40.74          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| COHEN & STEERS PFD SECS & INCOME |                          |               |         | 19248X307 | CPXI X |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 11/13/15                 | 04/24/15      | 1790.83 |           |        | \$24,391.12 | \$24,931.52 *          | \$-540.40        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| COLGATE PALMOLIVE                |                          |               |         | 194162103 | CL     |             |                        |                  |      |             |                                                                           |                                                             |
|                                  | 01/26/15                 | 06/27/14      | 11      |           |        | \$729.72    | \$749.68               | \$-19.96         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 01/26/15                 | 06/09/14      | 49      |           |        | \$3,250.57  | \$3,356.99             | \$-106.42        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |

Short Term Transactions

| DESCRIPTION                               | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|-------------------------------------------|-----------------------|---------------|---------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| <b>COLUMBIA INCOME OPPORTUNITIES</b>      |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 19763T889 | CIOZ X |             |                     |               |      |             |                                                                  |                                                    |
| 12/22/15                                  | 11/19/15              |               | 2166.85 |           |        | \$20,000.00 | \$20,736.72         | \$-736.72     | W    | \$746.72    | \$0.00                                                           | \$0.00                                             |
| <b>COLUMBIA FDS SER TR I PACIFIC/ASIA</b> |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 19765Y720 | USPA X |             |                     |               |      |             |                                                                  |                                                    |
| 09/24/15                                  | 08/03/15              |               | 4022.99 |           |        | \$35,000.00 | \$39,264.37         | \$-4,264.37   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 11/13/15                                  | 08/03/15              |               | 5952.38 |           |        | \$55,000.00 | \$58,095.24         | \$-3,095.24   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>COLUMBIA FDS SER TR I EMERGING</b>     |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 19765Y852 | UNEM X |             |                     |               |      |             |                                                                  |                                                    |
| 08/03/15                                  | 04/01/15              |               | 9578.54 |           |        | \$93,007.66 | \$100,000.00        | \$-6,992.34   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>COMCAST CORP NEW CL A</b>              |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 20030N101 | CMCS A |             |                     |               |      |             |                                                                  |                                                    |
| 06/05/15                                  | 06/09/14              |               | 17      |           |        | \$996.72    | \$902.31            | \$94.41       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                                  | 07/01/15              |               | 9       |           |        | \$557.38    | \$559.08            | \$-1.70       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                                  | 10/07/15              |               | 5       |           |        | \$309.65    | \$299.16            | \$10.49       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>CONAGRA INC</b>                        |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 205887102 | CAG    |             |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                                  | 10/08/15              |               | 8       |           |        | \$330.15    | \$333.56            | \$-3.41       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                                  | 01/26/15              |               | 21      |           |        | \$866.66    | \$773.98            | \$92.68       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                                  | 01/26/15              |               | 8       |           |        | \$330.15    | \$294.85            | \$35.30       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| <b>COSTCO WHSL CORP NEW</b>               |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                           |                       |               |         | 22160K105 | COST   |             |                     |               |      |             |                                                                  |                                                    |
| 03/16/15                                  | 06/09/14              |               | 15      |           |        | \$2,248.90  | \$1,766.09          | \$482.81      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 03/17/15                                  | 06/09/14              |               | 8       |           |        | \$1,192.30  | \$941.91            | \$250.39      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                 | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL      | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|-----------------------------|-----------------------|---------------|---------|-----------|-------------|----------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| DANAHER CORP                |                       |               |         | 235851102 | DHR         |          |                     |               |      |             |                                                                  |                                                    |
|                             | 10/23/15              | 09/10/15      | 4       |           | \$371.44    |          | \$345.94            | \$25.50       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/23/15              | 09/10/15      | 1       |           | \$92.86     |          | \$86.48             | \$6.38        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/23/15              | 10/05/15      | 3       |           | \$278.58    |          | \$262.87            | \$15.71       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/23/15              | 09/09/15      | 4       |           | \$371.44    |          | \$350.98            | \$20.46       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DELAWARE EMERGING MKTS FUND |                       |               |         | 245914817 | DEMIX       |          |                     |               |      |             |                                                                  |                                                    |
|                             | 04/01/15              | 09/26/14      | 873.62  |           | \$12,318.00 |          | \$15,000.00         | \$-2,682.00   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 04/01/15              | 11/13/14      | 3405.57 |           | \$48,018.58 |          | \$55,000.00         | \$-6,981.42   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DISCOVER FINL SVCS          |                       |               |         | 254709108 | DFS         |          |                     |               |      |             |                                                                  |                                                    |
|                             | 03/23/15              | 06/09/14      | 10      |           | \$591.50    |          | \$619.60            | \$-28.10      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 03/24/15              | 06/09/14      | 23      |           | \$1,336.54  |          | \$1,425.08          | \$-88.54      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DOLLAR GEN CORP             |                       |               |         | 256677105 | DG          |          |                     |               |      |             |                                                                  |                                                    |
|                             | 05/19/15              | 06/09/14      | 12      |           | \$887.44    |          | \$760.08            | \$127.36      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 05/20/15              | 06/09/14      | 17      |           | \$1,242.83  |          | \$1,076.78          | \$166.05      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DOLLAR TREE INC             |                       |               |         | 256746108 | DLTR        |          |                     |               |      |             |                                                                  |                                                    |
|                             | 10/07/15              | 03/17/15      | 8       |           | \$503.21    |          | \$667.23            | \$-164.02     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/08/15              | 08/27/15      | 2       |           | \$124.93    |          | \$152.33            | \$-27.40      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/08/15              | 03/16/15      | 1       |           | \$62.47     |          | \$83.24             | \$-20.77      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/08/15              | 03/16/15      | 5       |           | \$310.37    |          | \$416.19            | \$-105.82     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                             | 10/08/15              | 03/17/15      | 7       |           | \$433.36    |          | \$583.83            | \$-150.47     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

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|-------------------------|-----------------------|---------------|-------|-----------|------------|------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| DOLLAR TREE INC         |                       |               |       | 256746108 | DLTR       |            |                     |               |      |             |                                                                  |                                                    |
|                         | 10/08/15              | 04/09/15      | 1     |           | \$61.91    | \$83.36    | \$-21.45            | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/08/15              | 04/08/15      | 5     |           | \$309.54   | \$416.69   | \$-107.15           | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/08/15              | 03/16/15      | 12    |           | \$742.90   | \$998.86   | \$-255.96           | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/09/15              | 08/27/15      | 6     |           | \$374.01   | \$456.98   | \$-82.97            | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| EMC CORPORATION         |                       |               |       | 268648102 | EMC        |            |                     |               |      |             |                                                                  |                                                    |
|                         | 01/26/15              | 06/09/14      | 39    |           | \$1,105.25 | \$1,039.96 | \$65.29             | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 03/11/15              | 06/09/14      | 74    |           | \$1,924.04 | \$1,973.25 | \$-49.21            | \$0.00        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| EXPRESS SCRIPTS HLDG CO |                       |               |       | 30219G108 | ESRX       |            |                     |               |      |             |                                                                  |                                                    |
|                         | 10/23/15              | 10/16/15      | 3     |           | \$255.51   | \$258.43   | \$-2.92             | W             |      | \$2.92      | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 10/19/15      | 3     |           | \$255.50   | \$260.16   | \$-4.66             | W             |      | \$4.66      | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 10/19/15      | 9     |           | \$766.51   | \$780.21   | \$-13.70            | W             |      | \$13.70     | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 10/19/15      | 5     |           | \$425.84   | \$433.61   | \$-7.77             | W             |      | \$7.77      | \$0.00                                                           | \$0.00                                             |
| FACEBOOK INC            |                       |               |       | 30303M102 | FB         |            |                     |               |      |             |                                                                  |                                                    |
|                         | 10/23/15              | 12/11/14      | 4     |           | \$409.27   | \$312.30   | \$96.97             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 12/11/14      | 7     |           | \$716.22   | \$546.53   | \$169.69            |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 11/14/14      | 2     |           | \$204.64   | \$149.07   | \$55.57             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                         | 10/23/15              | 11/14/14      | 5     |           | \$511.59   | \$372.68   | \$138.91            |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FEDEX CORPORATION       |                       |               |       | 31428X106 | FDX        |            |                     |               |      |             |                                                                  |                                                    |
|                         | 10/23/15              | 10/08/15      | 2     |           | \$319.13   | \$311.31   | \$7.82              |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

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|-----------------------------------|-----------------------|---------------|-------|-------|--------|------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| FEDEX CORPORATION 31428X106 FDX   |                       |               |       |       |        |            |                     |               |      |             |                                                                  |                                                    |
|                                   | 10/23/15              | 10/08/15      | 1     | 1     |        | \$159.57   | \$155.66            | \$3.91        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 09/08/15      | 1     | 1     |        | \$159.57   | \$153.25            | \$6.32        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 08/27/15      | 2     | 2     |        | \$319.13   | \$304.30            | \$14.83       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 08/27/15      | 1     | 1     |        | \$159.57   | \$152.15            | \$7.42        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 09/08/15      | 3     | 3     |        | \$478.70   | \$459.73            | \$18.97       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FLUOR CORP (NEW)-WI 343412102 FLR |                       |               |       |       |        |            |                     |               |      |             |                                                                  |                                                    |
|                                   | 01/12/15              | 06/09/14      | 34    | 34    |        | \$1,916.18 | \$2,688.04          | \$-771.86     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 01/12/15              | 11/21/14      | 8     | 8     |        | \$450.86   | \$552.25            | \$-101.39     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FORTINET INC 34959E109 FTNT       |                       |               |       |       |        |            |                     |               |      |             |                                                                  |                                                    |
|                                   | 06/11/15              | 11/14/14      | 7     | 7     |        | \$286.65   | \$190.16            | \$96.49       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 06/12/15              | 11/14/14      | 4     | 4     |        | \$164.29   | \$108.66            | \$55.63       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 06/15/15              | 11/14/14      | 7     | 7     |        | \$286.60   | \$190.16            | \$96.44       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 07/23/15              | 10/29/14      | 11    | 11    |        | \$520.28   | \$282.66            | \$237.62      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 10/29/14      | 10    | 10    |        | \$342.19   | \$256.97            | \$85.22       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| HANESBRANDS INC 410345102 HBI     |                       |               |       |       |        |            |                     |               |      |             |                                                                  |                                                    |
|                                   | 10/23/15              | 03/17/15      | 6     | 6     |        | \$162.78   | \$203.18 *          | \$-40.40      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 03/17/15      | 15    | 15    |        | \$406.94   | \$506.61 *          | \$-99.67      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 03/18/15      | 6     | 6     |        | \$162.78   | \$202.94 *          | \$-40.16      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 03/18/15      | 13    | 13    |        | \$352.68   | \$438.55 *          | \$-85.87      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

**Short Term Transactions**

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|---------------------------------|----------|---------------|---------|-----------|--------|--------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| HANESBRANDS INC                 |          |               |         | 410345102 | HBI    |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 03/16/15      | 6       |           |        | \$162.77     | \$201.31 *             | \$-38.54         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| OAKMARK SELECT FUND             | #808     |               |         | 413838608 | OAKLX  |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 08/03/15 | 11/20/14      | 3241.84 |           |        | \$131,748.42 | \$150,000.00           | \$-18,251.58     |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| HOME DEPOT INC                  |          |               |         | 437076102 | HD     |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 05/19/15 | 06/09/14      | 9       |           |        | \$1,020.64   | \$726.39               | \$294.25         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 06/05/15 | 06/09/14      | 10      |           |        | \$1,109.76   | \$807.10               | \$302.66         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 10/07/15      | 5       |           |        | \$622.69     | \$596.75               | \$25.94          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| HONEYWELL INTL INC              |          |               |         | 438516106 | HON    |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 10/05/15      | 2       |           |        | \$206.24     | \$196.61               | \$9.63           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 09/10/15      | 4       |           |        | \$412.49     | \$399.60               | \$12.89          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 09/09/15      | 4       |           |        | \$412.49     | \$401.82               | \$10.67          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| INTERCONTINENTAL EXCHANGE GROUP |          |               |         | 45866F104 | ICE    |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 11/14/14      | 3       |           |        | \$746.21     | \$666.52               | \$79.69          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| INTERPUBLIC                     |          |               |         | 460690100 | IPG    |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 08/05/15      | 23      |           |        | \$515.02     | \$486.14               | \$28.88          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 08/06/15      | 9       |           |        | \$201.53     | \$187.03               | \$14.50          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| INTUIT                          |          |               |         | 461202103 | INTU   |              |                        |                  |      |             |                                                                           |                                                             |
|                                 | 05/14/15 | 06/09/14      | 5       |           |        | \$518.77     | \$398.80               | \$119.97         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



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|-------------------------------|-----------------------|---------------|---------|-----------|-------------|----------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| INTUIT                        |                       |               |         | 461202103 | INTU        |          |                     |               |      |             |                                                                  |                                                    |
|                               | 05/15/15              | 06/09/14      | 9       |           | \$924.11    |          | \$717.84            | \$206.27      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES TR S&P GLOBAL         |                       |               |         | 464287275 | IXP         |          |                     |               |      |             |                                                                  |                                                    |
|                               | 01/23/15              | 07/17/14      | 390     |           | \$24,178.72 |          | \$25,176.45         | \$-997.73     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES DOW JONES EPAC SELECT |                       |               |         | 464288448 | IDV         |          |                     |               |      |             |                                                                  |                                                    |
|                               | 03/12/15              | 06/30/14      | 1755    |           | \$59,736.64 |          | \$70,023.28         | \$-10,286.64  |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| KINDER MORGAN INC DEL         |                       |               |         | 49456B101 | KMI         |          |                     |               |      |             |                                                                  |                                                    |
|                               | 06/26/15              | 12/02/14      | 63      |           | \$2,440.10  |          | \$2,625.00          | \$-184.90     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| LULULEMON ATHLETICA INC       |                       |               |         | 550021109 | LULU        |          |                     |               |      |             |                                                                  |                                                    |
|                               | 10/23/15              | 06/05/15      | 11      |           | \$531.21    |          | \$698.04            | \$-166.83     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                               | 12/09/15              | 06/08/15      | 1       |           | \$45.52     |          | \$61.23             | \$-15.71      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                               | 12/09/15              | 06/08/15      | 11      |           | \$500.74    |          | \$691.71            | \$-190.97     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                               | 12/10/15              | 06/08/15      | 10      |           | \$459.57    |          | \$612.34            | \$-152.77     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| MFS VALUE FUND                |                       |               |         | 552983694 | MEH X       |          |                     |               |      |             |                                                                  |                                                    |
|                               | 11/04/15              | 08/03/15      | 1268.32 |           | \$45,000.00 |          | \$45,380.49         | \$-380.49     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| MARTIN MARIETTA MATLS INC     |                       |               |         | 573284106 | MLM         |          |                     |               |      |             |                                                                  |                                                    |
|                               | 10/01/15              | 08/05/15      | 1       |           | \$156.58    |          | \$169.44            | \$-12.86      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                               | 10/01/15              | 08/05/15      | 1       |           | \$154.66    |          | \$169.44            | \$-14.78      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                               | 10/01/15              | 08/05/15      | 4       |           | \$619.83    |          | \$677.77            | \$-57.94      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                  | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|------------------------------|-----------------------|---------------|---------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| MCDONALDS CORP               |                       |               |         | 580135101 | MCD    |             |                     |               |      |             |                                                                  |                                                    |
|                              | 10/23/15              | 05/19/15      | 8       |           |        | \$899.34    | \$800.21            | \$99.13       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 10/07/15      | 8       |           |        | \$899.34    | \$812.86            | \$86.48       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 05/19/15      | 7       |           |        | \$786.93    | \$700.19            | \$86.74       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| MICROSOFT CORP               |                       |               |         | 594918104 | MSFT   |             |                     |               |      |             |                                                                  |                                                    |
|                              | 02/11/15              | 06/09/14      | 160     |           |        | \$6,770.85  | \$6,588.40          | \$182.45      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| MOLSON COORS BREWING CO CL B |                       |               |         | 60871R209 | TAP    |             |                     |               |      |             |                                                                  |                                                    |
|                              | 10/23/15              | 10/22/15      | 3       |           |        | \$265.41    | \$264.36            | \$1.05        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 10/13/15      | 3       |           |        | \$265.41    | \$261.21            | \$4.20        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 10/13/15      | 4       |           |        | \$353.88    | \$348.28            | \$5.60        |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 09/15/15      | 3       |           |        | \$265.41    | \$216.69            | \$48.72       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 09/15/15      | 3       |           |        | \$265.42    | \$216.68            | \$48.74       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| OPPENHEIMER INTL GROWTH FUND |                       |               |         | 68380L407 | OIGY X |             |                     |               |      |             |                                                                  |                                                    |
|                              | 11/13/15              | 09/23/15      | 2434.28 |           |        | \$87,415.05 | \$83,641.92         | \$3,773.13    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 11/13/15              | 10/20/15      | 815.88  |           |        | \$29,298.36 | \$29,583.91         | \$-285.55     | W    | \$285.55    | \$0.00                                                           | \$0.00                                             |
|                              | 11/13/15              | 10/20/15      | 370     |           |        | \$13,286.59 | \$13,416.09         | \$-129.50     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 12/22/15              | 11/01/15      | 224.15  |           |        | \$8,000.00  | \$8,320.51          | \$-320.51     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ORACLE CORPORATION           |                       |               |         | 68389X105 | ORCL   |             |                     |               |      |             |                                                                  |                                                    |
|                              | 06/11/15              | 12/18/14      | 17      |           |        | \$750.68    | \$763.93            | \$-13.25      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 12/18/14      | 53      |           |        | \$2,017.68  | \$2,381.68          | \$-364.00     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                  | DATE     | DATE ACQUIRED | UNITS     | CUSIP | SYMBOL | PROCEEDS    | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|------------------------------|----------|---------------|-----------|-------|--------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| PIMCO HIGH YIELD FUND        | #108     |               | 693390841 |       | PHIY X |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 11/13/15 | 04/24/15      | 2682.4    |       |        | \$23,363.73 | \$25,000.00            | \$-1,636.27      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PVH CORP                     |          |               | 693656100 |       | PVH    |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 03/16/15 | 06/09/14      | 14        |       |        | \$1,332.67  | \$1,701.56             | \$-368.89        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                              | 03/17/15 | 06/09/14      | 11        |       |        | \$1,054.89  | \$1,336.94             | \$-282.05        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PEPSICO INC                  |          |               | 713448108 |       | PEP    |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 10/23/15 | 01/26/15      | 2         |       |        | \$205.06    | \$197.34               | \$7.72           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PRAXAIR INC                  |          |               | 74005P104 |       | PX     |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 05/11/15 | 06/09/14      | 8         |       |        | \$954.31    | \$1,070.56             | \$-116.25        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                              | 05/12/15 | 06/09/14      | 13        |       |        | \$1,533.78  | \$1,739.66             | \$-205.88        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                              | 05/13/15 | 06/09/14      | 1         |       |        | \$117.83    | \$133.82               | \$-15.99         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PRECISION CASTPARTS CORP     |          |               | 740189105 |       | PCP    |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 01/12/15 | 04/07/14      | 2         |       |        | \$450.62    | \$500.06               | \$-49.44         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                              | 09/09/15 | 03/25/15      | 1         |       |        | \$229.43    | \$209.49               | \$19.94          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                              | 09/10/15 | 03/25/15      | 2         |       |        | \$458.65    | \$418.99               | \$39.66          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PRICELINE.COM INC            |          |               | 741503403 |       | PCLN   |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 10/23/15 | 11/14/14      | 1         |       |        | \$1,364.08  | \$1,167.53             | \$196.55         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ROBECO BOSTON PARTNERS LONG/ |          |               | 74925K581 |       | BPIR X |             |                        |                  |      |             |                                                                           |                                                             |
|                              | 11/13/15 | 04/24/15      | 5483.87   |       |        | \$84,835.49 | \$85,000.00            | \$-164.51        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

**Short Term Transactions**

| DESCRIPTION                       | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|-----------------------------------|-----------------------|---------------|-------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| RAYTHEON CO NEW                   |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 10/23/15              | 08/27/15      | 3     | 755111507 | RTN    | \$353.72    | \$314.87            | \$38.85       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 07/27/15      | 4     |           |        | \$471.63    | \$417.62            | \$54.01       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 07/27/15      | 3     |           |        | \$353.72    | \$313.21            | \$40.51       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 08/27/15      | 3     |           |        | \$353.72    | \$314.86            | \$38.86       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| REGENERON PHARMACEUTICALS INC     |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 09/28/15              | 04/23/15      | 1     | 75886F107 | REGN   | \$460.01    | \$480.83            | \$-20.82      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| SANDISK CORP                      |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 01/16/15              | 06/09/14      | 22    | 80004C101 | SNDK   | \$1,739.53  | \$2,172.72          | \$-433.19     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 01/16/15              | 07/03/14      | 12    |           |        | \$948.83    | \$1,280.74          | \$-331.91     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| SECTOR SPDR TR SHS BEN INT-ENERGY |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 08/03/15              | 01/27/15      | 325   | 81369Y506 | XLE    | \$22,122.93 | \$25,337.91         | \$-3,214.98   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 08/03/15              | 01/23/15      | 330   |           |        | \$22,463.28 | \$25,423.93         | \$-2,960.65   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| SECTOR SPDR TR SHS BEN            |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 10/22/15              | 08/03/15      | 920   | 81369Y605 | XLF    | \$21,996.33 | \$23,069.00         | \$-1,072.67   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| SPLUNK INC                        |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                   | 10/23/15              | 05/15/15      | 5     | 848637104 | SPLK   | \$281.35    | \$351.61            | \$-70.26      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                   | 10/23/15              | 05/14/15      | 6     |           |        | \$337.61    | \$422.23            | \$-84.62      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                      | Date sold<br>or disposed | Date acquired | Units     | CUSIP | SYMBOL | Proceeds | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|----------------------------------|--------------------------|---------------|-----------|-------|--------|----------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| TESLA MTRS INC                   |                          |               |           |       |        |          |                        |                  |      |             |                                                                           |                                                             |
|                                  |                          |               | 88160R101 |       | TSLA   |          |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/07/15                 | 02/11/15      | 4         |       |        | \$924.32 | \$840.12               | \$84.20          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 02/11/15      | 3         |       |        | \$624.38 | \$630.09               | \$-5.71          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ULTA SALON COSMETICS & FRAGRANCE |                          |               |           |       |        |          |                        |                  |      |             |                                                                           |                                                             |
|                                  |                          |               | 90384S303 |       | ULTA   |          |                        |                  |      |             |                                                                           |                                                             |
|                                  | 12/10/15                 | 11/20/15      | 2         |       |        | \$367.34 | \$338.24               | \$29.10          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| UNITED TECHNOLOGIES CORP         |                          |               |           |       |        |          |                        |                  |      |             |                                                                           |                                                             |
|                                  |                          |               | 913017109 |       | UTX    |          |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/23/15                 | 01/12/15      | 6         |       |        | \$603.53 | \$685.88               | \$-82.35         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 01/12/15      | 2         |       |        | \$201.17 | \$228.63               | \$-27.46         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 02/11/15      | 6         |       |        | \$603.53 | \$710.35               | \$-106.82        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| UNITEDHEALTH GROUP INC           |                          |               |           |       |        |          |                        |                  |      |             |                                                                           |                                                             |
|                                  |                          |               | 91324P102 |       | UNH    |          |                        |                  |      |             |                                                                           |                                                             |
|                                  | 04/20/15                 | 06/09/14      | 7         |       |        | \$833.13 | \$558.67               | \$274.46         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 09/18/15      | 3         |       |        | \$347.57 | \$368.61               | \$-21.04         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 09/08/15      | 1         |       |        | \$115.85 | \$114.91               | \$0.94           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 09/18/15      | 1         |       |        | \$115.86 | \$122.87               | \$-7.01          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 07/16/15      | 3         |       |        | \$347.57 | \$370.69               | \$-23.12         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 07/16/15      | 2         |       |        | \$231.72 | \$247.13               | \$-15.41         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 10/13/15      | 4         |       |        | \$463.43 | \$501.12               | \$-37.69         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 07/15/15      | 5         |       |        | \$579.29 | \$626.56               | \$-47.27         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/23/15                 | 07/16/15      | 1         |       |        | \$115.86 | \$123.57               | \$-7.71          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 12/18/15                 | 09/08/15      | 4         |       |        | \$466.77 | \$459.65               | \$7.12           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                     | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---------------------------------|-----------------------|---------------|-------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| VERIZON COMMUNICATIONS          |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                 |                       |               |       | 92343V104 | VZ     |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 05/15/15              | 02/12/15      | 15    |           |        | \$746.64    | \$747.67            | \$-1.03       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/23/15              | 02/12/15      | 11    |           |        | \$508.23    | \$548.29            | \$-40.06      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/23/15              | 02/11/15      | 28    |           |        | \$1,293.68  | \$1,389.36          | \$-95.68      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/23/15              | 02/11/15      | 11    |           |        | \$508.23    | \$545.82            | \$-37.59      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/20/15              | 02/11/15      | 34    |           |        | \$1,545.69  | \$1,687.08          | \$-141.39     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/23/15              | 02/11/15      | 2     |           |        | \$90.35     | \$99.24             | \$-8.89       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 12/30/15              | 02/11/15      | 5     |           |        | \$233.63    | \$248.10            | \$-14.47      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 12/30/15              | 04/10/15      | 14    |           |        | \$654.18    | \$688.94            | \$-34.76      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 12/31/15              | 03/13/15      | 9     |           |        | \$416.93    | \$437.77            | \$-20.84      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 12/31/15              | 04/01/15      | 8     |           |        | \$370.60    | \$392.42            | \$-21.82      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| VERTEX PHARMACEUTICALS INC      |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                 |                       |               |       | 92532F100 | VRTX   |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 03/23/15              | 06/25/14      | 4     |           |        | \$502.36    | \$361.12            | \$141.24      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| VIACOM INC NEW CL B             |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                 |                       |               |       | 92553P201 | VIAB   |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 01/26/15              | 06/09/14      | 37    |           |        | \$2,494.20  | \$3,254.15          | \$-759.95     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| WISDOMTREE JAPAN TOTAL DIVIDEND |                       |               |       |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                                 |                       |               |       | 97717W851 | DXJ    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/22/15              | 12/05/14      | 425   |           |        | \$22,851.82 | \$24,500.23         | \$-1,648.41   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/13/15              | 03/12/15      | 510   |           |        | \$27,836.41 | \$28,134.35         | \$-297.94     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/13/15              | 12/05/14      | 465   |           |        | \$25,380.25 | \$26,806.13         | \$-1,425.88   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

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Short Term Transactions

| DESCRIPTION                     | DATE SOLD<br>OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL      | PROCEEDS    | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|---------------------------------|--------------------------|---------------|-------|-----------|-------------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| WISDOMTREE EUROPE HEDGED EQUITY |                          |               |       | 97717X701 | HEDJ        |             |                        |                  |      |             |                                                                           |                                                             |
| 10/07/15                        | 01/27/15                 |               | 415   |           | \$23,864.47 | \$25,157.63 | \$-1,293.16            | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 10/07/15                        | 01/22/15                 |               | 430   |           | \$24,727.04 | \$25,420.44 | \$-693.40              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 10/07/15                        | 03/12/15                 |               | 325   |           | \$18,689.04 | \$21,452.87 | \$-2,763.83            | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| DELPHI AUTOMOTIVE PLC           |                          |               |       | G27823106 | DLPH        |             |                        |                  |      |             |                                                                           |                                                             |
| 10/23/15                        | 10/07/15                 |               | 3     |           | \$255.23    | \$238.74    | \$16.49                | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| MALLINCKRODT PLC                |                          |               |       | G5785G107 | MNK         |             |                        |                  |      |             |                                                                           |                                                             |
| 08/20/15                        | 04/08/15                 |               | 7     |           | \$640.83    | \$894.08    | \$-253.25              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 08/25/15                        | 04/08/15                 |               | 3     |           | \$249.60    | \$383.18    | \$-133.58              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 08/26/15                        | 04/08/15                 |               | 6     |           | \$492.43    | \$766.35    | \$-273.92              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 08/31/15                        | 04/08/15                 |               | 3     |           | \$262.56    | \$383.18    | \$-120.62              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 09/02/15                        | 04/08/15                 |               | 3     |           | \$248.63    | \$383.17    | \$-134.54              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| MICHAEL KORS HLDGS LTD          |                          |               |       | G60754101 | KORS        |             |                        |                  |      |             |                                                                           |                                                             |
| 04/21/15                        | 12/11/14                 |               | 14    |           | \$873.22    | \$1,076.24  | \$-203.02              | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 04/22/15                        | 12/11/14                 |               | 4     |           | \$248.01    | \$307.50    | \$-59.49               | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| TYCO INTERNATIONAL PLC          |                          |               |       | G91442106 | TYC         |             |                        |                  |      |             |                                                                           |                                                             |
| 07/29/15                        | 03/25/15                 |               | 12    |           | \$438.19    | \$519.66    | \$-81.47               | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PERRIGO CO                      |                          |               |       | G97822103 | PRGO        |             |                        |                  |      |             |                                                                           |                                                             |
| 04/08/15                        | 11/21/14                 |               | 4     |           | \$780.32    | \$618.06    | \$162.26               | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| 04/08/15                        | 06/09/14                 |               | 7     |           | \$1,365.56  | \$981.39    | \$384.17               | \$0.00           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Short Term Transactions

| DESCRIPTION                | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS       | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) |
|----------------------------|-----------------------|---------------|-------|-----------|--------|----------------|---------------------|---------------|------|-------------|----------------------------------------------------|------------------------------------------------------------------|
| PERRIGO CO                 |                       |               |       | G97822103 | PRGO   |                |                     |               |      |             |                                                    |                                                                  |
|                            | 04/20/15              | 06/09/14      | 4     |           |        | \$788.43       | \$560.80            | \$227.63      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
|                            | 04/21/15              | 06/09/14      | 3     |           |        | \$579.39       | \$420.60            | \$158.79      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
| AVAGO TECHNOLOGIES LTD     |                       |               |       | Y0486S104 | AVGO   |                |                     |               |      |             |                                                    |                                                                  |
|                            | 10/23/15              | 05/29/15      | 3     |           |        | \$387.89       | \$444.19            | \$-56.30      | W    | \$56.30     | \$0.00                                             | \$0.00                                                           |
|                            | 10/23/15              | 03/23/15      | 1     |           |        | \$129.30       | \$134.50            | \$-5.20       | W    | \$5.20      | \$0.00                                             | \$0.00                                                           |
|                            | 10/23/15              | 03/23/15      | 2     |           |        | \$258.59       | \$268.99            | \$-10.40      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
|                            | 10/23/15              | 05/29/15      | 5     |           |        | \$646.49       | \$740.32            | \$-93.83      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
| Total Short Term Gain/Loss |                       |               |       |           |        | \$1,429,288.91 | \$1,506,386.46      | \$-77,097.55  |      | \$1,617.40  | \$0.00                                             | \$0.00                                                           |

Long Term Transactions

| DESCRIPTION             | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS   | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) |
|-------------------------|-----------------------|---------------|-------|-----------|--------|------------|---------------------|---------------|------|-------------|----------------------------------------------------|------------------------------------------------------------------|
| ADOBE SYSTEM INC        |                       |               |       | 00724F101 | ADBE   |            |                     |               |      |             |                                                    |                                                                  |
|                         | 10/23/15              | 01/13/14      | 16    |           |        | \$1,403.05 | \$945.34            | \$457.71      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
| AKAMAI TECHNOLOGIES INC |                       |               |       | 00971T101 | AKAM   |            |                     |               |      |             |                                                    |                                                                  |
|                         | 10/23/15              | 07/02/14      | 2     |           |        | \$147.90   | \$123.53            | \$24.37       |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
|                         | 10/23/15              | 07/02/14      | 8     |           |        | \$591.61   | \$494.13            | \$97.48       |      | \$0.00      | \$0.00                                             | \$0.00                                                           |
|                         | 12/14/15              | 07/02/14      | 5     |           |        | \$256.09   | \$308.83            | \$-52.74      |      | \$0.00      | \$0.00                                             | \$0.00                                                           |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION             | DATE SOLD<br>OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET<br>G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|-------------------------|--------------------------|---------------|-------|-----------|--------|----------|------------------------|------------------|-------------|------------------------------------------------------------------------------|-------------------------------------------------------------|
| AKAMAI TECHNOLOGIES INC |                          |               |       |           |        |          |                        |                  |             |                                                                              |                                                             |
|                         |                          |               |       | 00971T101 | AKAM   |          |                        |                  |             |                                                                              |                                                             |
|                         | 12/14/15                 | 07/02/14      | 4     |           |        | \$204.01 | \$247.07               | \$-43.06         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 12/15/15                 | 10/30/14      | 6     |           |        | \$313.32 | \$356.51               | \$-43.19         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 12/15/15                 | 07/02/14      | 1     |           |        | \$52.22  | \$61.76                | \$-9.54          | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 12/15/15                 | 07/02/14      | 1     |           |        | \$51.79  | \$61.77                | \$-9.98          | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 12/16/15                 | 10/30/14      | 8     |           |        | \$420.80 | \$475.35               | \$-54.55         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
| ALPHABET INC            |                          |               |       |           |        |          |                        |                  |             |                                                                              |                                                             |
|                         |                          |               |       | 02079K107 | GOOG   |          |                        |                  |             |                                                                              |                                                             |
|                         | 10/23/15                 | 06/27/13      | 0.02  |           |        | \$15.56  | \$9.66                 | \$5.90           | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 04/08/14      | 0.98  |           |        | \$691.58 | \$540.64               | \$150.94         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 06/27/13      | 0.98  |           |        | \$693.70 | \$430.66               | \$263.04         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 04/03/13      | 0.02  |           |        | \$13.44  | \$7.64                 | \$5.80           | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 04/03/13      | 0.98  |           |        | \$695.81 | \$395.72               | \$300.09         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 04/26/13      | 0.02  |           |        | \$11.31  | \$6.37                 | \$4.94           | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
| ALPHABET INC            |                          |               |       |           |        |          |                        |                  |             |                                                                              |                                                             |
|                         |                          |               |       | 02079K305 | GOOG L |          |                        |                  |             |                                                                              |                                                             |
|                         | 10/23/15                 | 04/03/13      | 1     |           |        | \$724.38 | \$404.65               | \$319.73         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 06/27/13      | 1     |           |        | \$724.38 | \$441.74               | \$282.64         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 04/26/13      | 1     |           |        | \$724.36 | \$400.28               | \$324.08         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
|                         | 10/23/15                 | 03/31/14      | 1     |           |        | \$724.38 | \$564.34               | \$160.04         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |
| AMERIPRISE FINL INC     |                          |               |       |           |        |          |                        |                  |             |                                                                              |                                                             |
|                         |                          |               |       | 03076C106 | AMP    |          |                        |                  |             |                                                                              |                                                             |
|                         | 10/23/15                 | 06/09/14      | 8     |           |        | \$928.30 | \$943.60               | \$-15.30         | \$0.00      | \$0.00                                                                       | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION                     | DATE     | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|---------------------------------|----------|---------------|---------|-----------|--------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| APPLE COMPUTER INC              |          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 06/09/14      | 25      | 037833100 | AAPL   | \$2,974.69  | \$2,343.64             | \$631.05         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 06/09/14      | 3       |           |        | \$356.96    | \$281.24               | \$75.72          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 03/31/14      | 3       |           |        | \$356.97    | \$230.53               | \$126.44         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 06/09/14      | 14      |           |        | \$1,665.83  | \$1,312.44             | \$353.39         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 08/13/14      | 6       |           |        | \$713.93    | \$582.46               | \$131.47         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 07/29/14      | 11      |           |        | \$1,308.87  | \$1,084.87             | \$224.00         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 07/29/14      | 3       |           |        | \$356.96    | \$295.87               | \$61.09          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ARTISAN INTERNATIONAL FUND #661 |          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                 | 09/23/15 | 01/09/14      | 2505.85 | 04314H204 | ARTI X | \$68,133.98 | \$75,000.00            | \$-6,866.02      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 09/23/15 | 06/30/14      | 2378.69 |           |        | \$64,676.50 | \$75,000.00            | \$-10,323.50     |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| BAIRD MIDCAP FUND               |          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                 | 11/04/15 | 04/24/14      | 3188.78 | 057071813 | BMDI X | \$50,000.00 | \$48,214.29            | \$1,785.71       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 11/19/15 | 04/24/14      | 1622.32 |           |        | \$25,000.00 | \$24,529.52            | \$470.48         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| BIOGEN IDEC INC                 |          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                 | 10/23/15 | 08/29/11      | 3       | 09062X103 | BHB    | \$829.54    | \$280.81               | \$548.73         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 10/23/15 | 08/29/11      | 1       |           |        | \$276.51    | \$93.60                | \$182.91         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| BLACKROCK GLOBAL LONG/SHORT CR  |          |               |         |           |        |             |                        |                  |      |             |                                                                           |                                                             |
|                                 | 06/03/15 | 08/06/13      | 4699.25 | 091936732 | BGCI X | \$49,812.03 | \$50,000.00            | \$-187.97        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                 | 06/03/15 | 07/11/13      | 7055.5  |           |        | \$74,788.33 | \$75,000.00            | \$-211.67        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION                    | Date sold<br>or disposed | Date acquired | Units   | CUSIP     | SYMBOL | Proceeds    | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|--------------------------------|--------------------------|---------------|---------|-----------|--------|-------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| BLACKROCK GLOBAL LONG/SHORT CR |                          |               |         | 091936732 | BGCI X |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 06/03/15                 | 01/02/14      | 2312.67 |           |        | \$24,514.33 | \$25,000.00            | \$-485.67        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| BLACKROCK INC CLA              |                          |               |         | 09247X101 | BLK    |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 10/23/15                 | 06/09/14      | 2       |           |        | \$680.40    | \$627.98               | \$52.42          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| BRISTOL MYERS SQUIBB COMPANY   |                          |               |         | 110122108 | BNY    |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 10/23/15                 | 06/09/14      | 3       |           |        | \$195.71    | \$139.94               | \$55.77          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CVS CORPORATION DEL            |                          |               |         | 126650100 | CVS    |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 10/23/15                 | 06/09/14      | 5       |           |        | \$520.24    | \$393.60               | \$126.64         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 10/23/15                 | 06/09/14      | 6       |           |        | \$624.29    | \$472.32               | \$151.97         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 11/20/15                 | 06/09/14      | 25      |           |        | \$2,309.47  | \$1,968.00             | \$341.47         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| CELGENE CORP COM               |                          |               |         | 151020104 | CELG   |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 06/04/15                 | 03/27/14      | 4       |           |        | \$443.57    | \$359.58               | \$83.99          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 06/05/15                 | 03/27/14      | 5       |           |        | \$551.73    | \$449.48               | \$102.25         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| COCA-COLA ENTERPRISES INC      |                          |               |         | 19122T109 | CCE    |             |                        |                  |      |             |                                                                           |                                                             |
|                                | 09/11/15                 | 06/27/14      | 2       |           |        | \$97.98     | \$96.02                | \$1.96           |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 09/11/15                 | 06/09/14      | 8       |           |        | \$391.93    | \$364.88               | \$27.05          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 09/11/15                 | 06/09/14      | 8       |           |        | \$391.75    | \$364.88               | \$26.87          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 09/14/15                 | 06/09/14      | 11      |           |        | \$539.66    | \$501.71               | \$37.95          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 09/15/15                 | 06/09/14      | 10      |           |        | \$488.56    | \$456.10               | \$32.46          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                | 09/15/15                 | 06/09/14      | 11      |           |        | \$537.42    | \$501.71               | \$35.71          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION                       | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS    | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|-----------------------------------|-----------------------|---------------|----------|-----------|--------|-------------|---------------------|---------------|------|-------------|----------------------------------------------------|----------------------------------------------------|
| COCA-COLA ENTERPRISES INC         |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 09/16/15              | 06/09/14      | 13       | 19122T109 | CCE    | \$644.40    | \$592.92            | \$51.48       |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COGNIZANT TECHNOLOGY SOLUTIONS    |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 10/23/15              | 06/09/14      | 21       | 192446102 | CTSH   | \$1,444.77  | \$1,050.42          | \$394.35      |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COHEN & STEERS PFD SECS & INCOME  |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 11/13/15              | 10/21/14      | 1880.24  | 19248X307 | CPXI X | \$25,608.88 | \$25,506.17 *       | \$102.71      |      | \$0.00      | \$0.00                                             | \$0.00                                             |
|                                   | 11/13/15              | 10/07/14      | 3671.07  |           |        | \$50,000.00 | \$49,799.47 *       | \$200.53      |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COLUMBIA FDS SER TR MID CAP INDEX |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 11/16/15              | 08/11/09      | 2631.42  | 19765J608 | NMPA X | \$39,655.50 | \$21,603.96         | \$18,051.54   |      | \$0.00      | \$0.00                                             | \$0.00                                             |
|                                   | 11/16/15              | 05/08/03      | 22.86    |           |        | \$344.50    | \$172.82            | \$171.68      |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COLUMBIA FDS SER TR I STRATEGIC   |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 04/01/15              | 01/04/12      | 7118.11  | 19765L694 | LSIZ X | \$41,783.30 | \$42,566.29         | \$-782.99     |      | \$0.00      | \$0.00                                             | \$0.00                                             |
|                                   | 04/01/15              | 01/02/14      | 10135.14 |           |        | \$59,493.24 | \$60,000.00         | \$-506.76     |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COLUMBIA FDS SER TR I TECHNOLOGY  |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 11/16/15              | 05/06/10      | 1574.03  | 19765P489 | CMTF X | \$32,000.00 | \$14,119.04         | \$17,880.96   |      | \$0.00      | \$0.00                                             | \$0.00                                             |
|                                   | 11/25/15              | 05/06/10      | 1203.4   |           |        | \$25,090.85 | \$10,794.48         | \$14,296.37   |      | \$0.00      | \$0.00                                             | \$0.00                                             |
| COMCAST CORP NEW CLA              |                       |               |          |           |        |             |                     |               |      |             |                                                    |                                                    |
|                                   | 10/23/15              | 06/09/14      | 9        | 20030N101 | CMCS A | \$557.38    | \$477.69            | \$79.69       |      | \$0.00      | \$0.00                                             | \$0.00                                             |
|                                   | 10/23/15              | 06/09/14      | 9        |           |        | \$557.38    | \$477.69            | \$79.69       |      | \$0.00      | \$0.00                                             | \$0.00                                             |



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Long Term Transactions

| DESCRIPTION                     | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---------------------------------|-----------------------|---------------|---------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| COMCAST CORP NEW CLA            |                       |               |         | 20030N101 | CMCS A |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/23/15              | 06/09/14      | 5       |           |        | \$309.66    | \$265.38            | \$44.28       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| CUMMINS ENGINE INC              |                       |               |         | 231021106 | CMI    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 04/09/15              | 02/27/13      | 7       |           |        | \$941.55    | \$805.65            | \$135.90      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 04/09/15              | 02/05/13      | 9       |           |        | \$1,210.57  | \$1,057.43          | \$153.14      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 04/10/15              | 04/03/13      | 7       |           |        | \$953.44    | \$785.86            | \$167.58      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DANAHER CORP                    |                       |               |         | 235851102 | DHR    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/23/15              | 06/09/14      | 5       |           |        | \$464.30    | \$403.05            | \$61.25       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/23/15              | 06/09/14      | 3       |           |        | \$278.59    | \$241.83            | \$36.76       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DELAWARE EMERGING MKTS FUND     |                       |               |         | 245914817 | DEMI X |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 04/01/15              | 01/02/14      | 3126.95 |           |        | \$44,090.05 | \$50,000.00         | \$-5,909.95   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 04/01/15              | 02/07/14      | 1953.13 |           |        | \$27,539.06 | \$30,000.00         | \$-2,460.94   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DOUBLELINE TOTAL RETURN BD FUND |                       |               |         | 258620103 | DBLT X |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 11/13/15              | 07/17/14      | 4604.05 |           |        | \$49,953.97 | \$50,690.62         | \$-736.65     | W    | \$736.65    | \$0.00                                                           | \$0.00                                             |
|                                 | 11/13/15              | 07/17/14      | 8839.31 |           |        | \$95,906.53 | \$97,320.82         | \$-1,414.29   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/13/15              | 10/21/14      | 4528.99 |           |        | \$49,139.50 | \$50,000.00         | \$-860.50     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| DOW CHEMICAL                    |                       |               |         | 260543103 | DOW    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/23/15              | 08/04/14      | 24      |           |        | \$1,209.87  | \$1,240.77          | \$-30.90      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION         | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS   | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---------------------|-----------------------|---------------|-------|-----------|--------|------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| EOG RES INC         |                       |               |       | 26875P101 | EOG    |            |                     |               |      |             |                                                                  |                                                    |
|                     | 07/01/15              | 06/09/14      | 9     |           |        | \$768.72   | \$986.76            | \$-218.04     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 07/29/15              | 06/09/14      | 28    |           |        | \$2,179.43 | \$3,069.92          | \$-890.49     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 07/30/15              | 06/09/14      | 4     |           |        | \$309.77   | \$438.56            | \$-128.79     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FACEBOOK INC        |                       |               |       | 30303M102 | FB     |            |                     |               |      |             |                                                                  |                                                    |
|                     | 10/23/15              | 06/27/14      | 4     |           |        | \$409.27   | \$270.38            | \$138.89      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 10/23/15              | 06/27/14      | 5     |           |        | \$511.59   | \$337.97            | \$173.62      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 10/23/15              | 06/25/14      | 2     |           |        | \$204.64   | \$134.49            | \$70.15       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 10/23/15              | 06/25/14      | 7     |           |        | \$716.23   | \$470.73            | \$245.50      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 10/23/15              | 08/20/13      | 4     |           |        | \$409.27   | \$153.00            | \$256.27      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FEDEX CORPORATION   |                       |               |       | 31428X106 | FDX    |            |                     |               |      |             |                                                                  |                                                    |
|                     | 10/23/15              | 06/09/14      | 1     |           |        | \$159.56   | \$143.61            | \$15.95       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| FORTINET INC        |                       |               |       | 34959E109 | FTNT   |            |                     |               |      |             |                                                                  |                                                    |
|                     | 12/30/15              | 10/29/14      | 7     |           |        | \$221.56   | \$179.88            | \$41.68       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 12/31/15              | 10/29/14      | 9     |           |        | \$282.24   | \$231.27            | \$50.97       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| GILEAD SCIENCES INC |                       |               |       | 375558103 | GILD   |            |                     |               |      |             |                                                                  |                                                    |
|                     | 02/06/15              | 05/15/13      | 5     |           |        | \$499.59   | \$383.02            | \$216.57      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 02/06/15              | 05/15/13      | 35    |           |        | \$3,453.63 | \$1,981.11          | \$1,472.52    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                     | 02/06/15              | 06/04/13      | 18    |           |        | \$1,776.16 | \$958.95            | \$817.21      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



IM RM LIU FOUNDATION

**Account Number 022001527217**

Page 31

| DESCRIPTION                    | CUSIP     | SYMBOL   | Date sold or disposed | Units | Proceeds   | Cost or other basis | Net Gain/Loss | Code | Adjustments | Portion Subject to 988 and Market Discount (included in Net G/L) | Portion Subject to 28% Rates (included in Net G/L) |
|--------------------------------|-----------|----------|-----------------------|-------|------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| GOOGLE INC                     | 38259P706 | GOOG     |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 05/19/15                       | 0.03      | \$13.45  | 04/08/14              |       | \$13.82    | \$-0.37             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| HOME DEPOT INC                 | 437076102 | HD       |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                       | 5         | \$622.69 | 06/09/14              |       | \$403.55   | \$219.14            |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 2         | \$249.07 | 06/09/14              |       | \$161.42   | \$87.65             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| HONEYWELL INTL INC             | 438516106 | HON      |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                       | 6         | \$618.73 | 06/09/14              |       | \$575.22   | \$43.51             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 4         | \$412.49 | 06/09/14              |       | \$383.48   | \$29.01             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 4         | \$412.49 | 06/09/14              |       | \$383.48   | \$29.01             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 2         | \$206.24 | 06/09/14              |       | \$191.74   | \$14.50             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ILLUMINA INC                   | 452327109 | ILMN     |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                       | 6         | \$883.49 | 06/09/14              |       | \$1,028.40 | \$-144.91           |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| INTERCONTINENTALEXCHANGE GROUP | 45866F104 | ICE      |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                       | 1         | \$248.74 | 06/09/14              |       | \$189.31   | \$59.43             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 3         | \$746.21 | 06/09/14              |       | \$567.93   | \$178.28            |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| INTERPUBLIC                    | 460690100 | IPG      |                       |       |            |                     |               |      |             |                                                                  |                                                    |
| 10/23/15                       | 23        | \$515.02 | 08/04/14              |       | \$455.05   | \$59.97             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| 10/23/15                       | 9         | \$201.52 | 08/04/14              |       | \$178.06   | \$23.46             |               |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION                     | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---------------------------------|-----------------------|---------------|-------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| INTUIT                          |                       |               |       | 461202103 | INTU   |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/23/15              | 06/09/14      | 13    |           |        | \$1,270.46  | \$1,036.88          | \$233.58      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES TR S&P GLOBAL INFO      |                       |               |       | 464287291 | IXN    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 11/22/15              | 08/05/11      | 45    |           |        | \$4,410.14  | \$2,598.78          | \$1,811.36    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/22/15              | 10/17/13      | 70    |           |        | \$6,860.22  | \$5,321.13          | \$1,539.09    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES TR NASDAQ BIOTECHNOLOGY |                       |               |       | 464287556 | IBB    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/27/15              | 02/07/14      | 25    |           |        | \$8,029.97  | \$5,975.34          | \$2,054.63    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES TR RUSSELL 1000 VALUE   |                       |               |       | 464287598 | IWD    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 08/03/15              | 05/15/14      | 125   |           |        | \$12,769.13 | \$12,109.01         | \$660.12      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 08/04/15              | 04/24/14      | 155   |           |        | \$15,897.54 | \$15,006.33         | \$891.21      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 08/04/15              | 05/15/14      | 85    |           |        | \$8,718.01  | \$8,234.13          | \$483.88      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/27/15              | 01/02/14      | 75    |           |        | \$7,460.70  | \$6,997.92          | \$462.78      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/27/15              | 04/24/14      | 625   |           |        | \$62,172.54 | \$60,509.37         | \$1,663.17    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/16/15              | 01/02/14      | 250   |           |        | \$24,693.54 | \$23,326.41         | \$1,367.13    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| ISHARES TR RUSSELL 1000 GROWTH  |                       |               |       | 464287614 | IWF    |             |                     |               |      |             |                                                                  |                                                    |
|                                 | 10/27/15              | 10/17/13      | 315   |           |        | \$31,635.75 | \$25,088.17         | \$6,547.58    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/27/15              | 08/05/13      | 290   |           |        | \$29,124.97 | \$22,524.82         | \$6,600.15    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 10/27/15              | 10/30/13      | 620   |           |        | \$62,267.19 | \$50,780.17         | \$11,487.02   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                                 | 11/16/15              | 08/05/13      | 250   |           |        | \$24,641.29 | \$19,417.95         | \$5,223.34    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION                      | Date sold<br>or disposed | Date acquired | Units   | CUSIP     | SYMBOL | Proceeds     | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|----------------------------------|--------------------------|---------------|---------|-----------|--------|--------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| ISHARES TR RUSSELL 2000 INDEX FD |                          |               |         | 464287655 | IWM    |              |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/22/15                 | 08/14/13      | 100     |           |        | \$11,505.71  | \$10,421.17            | \$1,084.54       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/22/15                 | 06/20/13      | 50      |           |        | \$5,752.85   | \$4,781.75             | \$971.10         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/22/15                 | 06/11/13      | 230     |           |        | \$26,463.13  | \$22,414.95            | \$4,048.18       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ISHARES DOW JONES EPAC SELECT    |                          |               |         | 464288448 | IDV    |              |                        |                  |      |             |                                                                           |                                                             |
|                                  | 03/12/15                 | 11/07/13      | 660     |           |        | \$22,465.06  | \$24,912.10            | \$-2,447.04      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 03/12/15                 | 01/27/14      | 665     |           |        | \$22,635.25  | \$24,354.30            | \$-1,719.05      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 03/12/15                 | 10/17/13      | 670     |           |        | \$22,805.44  | \$25,315.88            | \$-2,510.44      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| JPMORGAN TR I US LARGE CAP CORE  |                          |               |         | 4812A2389 | JLPS X |              |                        |                  |      |             |                                                                           |                                                             |
|                                  | 11/04/15                 | 12/03/12      | 1303.22 |           |        | \$38,992.19  | \$30,000.00            | \$8,992.19       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 11/04/15                 | 04/17/13      | 813.42  |           |        | \$24,337.56  | \$19,684.78            | \$4,652.78       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 11/04/15                 | 01/21/10      | 682.24  |           |        | \$20,412.68  | \$12,471.38            | \$7,941.30       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 11/04/15                 | 05/19/10      | 42.03   |           |        | \$1,257.57   | \$761.18               | \$496.39         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 11/19/15                 | 05/19/10      | 3516.41 |           |        | \$105,000.00 | \$63,682.19            | \$41,317.81      |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| LAUDER ESTEE COS INC CLA         |                          |               |         | 518439104 | EL     |              |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/23/15                 | 09/29/14      | 20      |           |        | \$1,683.76   | \$1,489.45             | \$194.31         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| LINKEDIN CORP                    |                          |               |         | 53578A108 | LNKD   |              |                        |                  |      |             |                                                                           |                                                             |
|                                  | 10/09/15                 | 09/03/14      | 9       |           |        | \$1,764.57   | \$2,024.61             | \$-260.04        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                  | 10/12/15                 | 09/03/14      | 3       |           |        | \$576.85     | \$674.87               | \$-98.02         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

Long Term Transactions

| DESCRIPTION               |          | CUSIP     | SYMBOL | Units | Date acquired | Date sold<br>or disposed | PTX.CCDS   | Cost or<br>other basis | Net<br>Gain/Loss | Code | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|---------------------------|----------|-----------|--------|-------|---------------|--------------------------|------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
|                           |          |           |        |       |               |                          |            |                        |                  |      |             |                                                                           |                                                             |
| MARSH & MCLENNAN INC      |          | 571748102 | MMC    |       |               |                          |            |                        |                  |      |             |                                                                           |                                                             |
|                           | 10/23/15 |           |        | 25    | 10/16/14      |                          | \$1,381.78 | \$1,239.88             | \$141.90         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/26/15 |           |        | 4     | 10/16/14      |                          | \$219.86   | \$198.38               | \$21.48          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/27/15 |           |        | 9     | 10/16/14      |                          | \$494.06   | \$446.36               | \$47.70          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/29/15 |           |        | 3     | 10/16/14      |                          | \$168.75   | \$148.79               | \$19.96          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/29/15 |           |        | 5     | 10/16/14      |                          | \$980.19   | \$247.98               | \$32.21          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 11/02/15 |           |        | 7     | 10/16/14      |                          | \$392.67   | \$347.17               | \$45.50          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 11/04/15 |           |        | 7     | 10/16/14      |                          | \$394.78   | \$347.16               | \$47.62          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| MARTIN MARIETTA MATLS INC |          | 573284106 | MLM    |       |               |                          |            |                        |                  |      |             |                                                                           |                                                             |
|                           | 10/01/15 |           |        | 2     | 06/09/14      |                          | \$309.31   | \$255.58               | \$53.73          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/02/15 |           |        | 2     | 06/09/14      |                          | \$319.49   | \$255.58               | \$63.91          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/07/15 |           |        | 3     | 06/09/14      |                          | \$480.73   | \$383.37               | \$97.36          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/08/15 |           |        | 2     | 06/09/14      |                          | \$321.63   | \$255.58               | \$66.05          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/13/15 |           |        | 3     | 06/09/14      |                          | \$471.23   | \$383.37               | \$87.86          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 10/15/15 |           |        | 5     | 06/09/14      |                          | \$742.67   | \$638.95               | \$103.72         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| MCKESSON HBOC INC         |          | 58155Q103 | MCK    |       |               |                          |            |                        |                  |      |             |                                                                           |                                                             |
|                           | 07/30/15 |           |        | 3     | 06/09/14      |                          | \$651.27   | \$562.56               | \$88.71          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 08/25/15 |           |        | 17    | 06/09/14      |                          | \$3,279.94 | \$3,187.84             | \$92.10          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| MONDELEZ INTL INC         |          | 609207105 | MDLZ   |       |               |                          |            |                        |                  |      |             |                                                                           |                                                             |
|                           | 10/23/15 |           |        | 42    | 06/09/14      |                          | \$1,952.12 | \$1,596.84             | \$355.28         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

# 2015 Tax Information Letter

Account Number 022001527217

Page 35

IM RM LIU FOUNDATION

## Long Term Transactions

| DESCRIPTION                  | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS   | CUSIP     | SYMBOL | PROCEEDS    | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|------------------------------|-----------------------|---------------|---------|-----------|--------|-------------|---------------------|---------------|------|-------------|------------------------------------------------------------------|----------------------------------------------------|
| NIKE INC CLASS B             |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                              | 10/23/15              | 06/09/14      | 15      | 654106103 | NIKE   | \$1,958.21  | \$1,148.85          | \$809.36      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 12/10/15              | 06/09/14      | 2       |           |        | \$257.53    | \$153.18            | \$104.35      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| NUVEEN REAL ESTATE SECS FUND |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                              | 08/03/15              | 02/14/13      | 2246.18 | 670678507 | FARC X | \$53,144.63 | \$49,691.73         | \$3,452.90    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 08/03/15              | 01/28/13      | 289.75  |           |        | \$6,855.37  | \$6,401.27          | \$454.10      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 08/24/15              | 01/28/13      | 1959.47 |           |        | \$43,539.38 | \$43,290.05         | \$249.33      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 08/24/15              | 01/14/13      | 2304.15 |           |        | \$51,198.15 | \$49,683.78         | \$1,514.37    |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| PIMCO HIGH YIELD FUND #108   |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                              | 10/07/15              | 08/02/12      | 1706.49 | 693390841 | PHIV X | \$15,080.00 | \$16,040.96         | \$-1,040.96   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 11/13/15              | 08/02/12      | 421.18  |           |        | \$3,668.43  | \$3,959.04          | \$-290.61     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 11/13/15              | 01/04/12      | 3211    |           |        | \$27,967.84 | \$29,027.47         | \$-1,059.63   |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 11/19/15              | 01/04/12      | 1213.78 |           |        | \$10,547.71 | \$10,972.53         | \$-424.82     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 11/19/15              | 10/21/11      | 4489.34 |           |        | \$39,012.35 | \$40,000.00         | \$-987.65     |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
| PEPSICO INC                  |                       |               |         |           |        |             |                     |               |      |             |                                                                  |                                                    |
|                              | 10/23/15              | 09/29/14      | 2       | 713448108 | PEP    | \$205.06    | \$186.01            | \$19.05       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 06/09/14      | 23      |           |        | \$2,358.14  | \$2,024.63          | \$333.51      |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 06/09/14      | 2       |           |        | \$205.06    | \$176.06            | \$29.00       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |
|                              | 10/23/15              | 06/09/14      | 2       |           |        | \$205.05    | \$176.06            | \$28.99       |      | \$0.00      | \$0.00                                                           | \$0.00                                             |



Bank of America Private Wealth Management

IM RM LIU FOUNDATION

## 2015 Tax Information Letter

Account Number 022001527217

Page 36

### Long Term Transactions

| DESCRIPTION                   | DATE SOLD<br>OR DISPOSED | DATE ACQUIRED | UNITS  | CUSIP | SYMBOL    | PROCEEDS | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE       | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|-------------------------------|--------------------------|---------------|--------|-------|-----------|----------|------------------------|------------------|------------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| PRECISION CASTPARTS CORP      |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 07/08/15                 | 04/07/14      | 2      |       | 740189105 | PCP      | \$388.36               | \$500.06         | \$-111.70  | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 08/27/15                 | 04/07/14      | 5      |       |           |          | \$1,144.84             | \$1,250.14       | \$-105.30  | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 09/08/15                 | 04/07/14      | 3      |       |           |          | \$688.29               | \$750.08         | \$-61.79   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 09/09/15                 | 04/07/14      | 4      |       |           |          | \$917.74               | \$1,000.11       | \$-82.37   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| PRICELINE.COM INC             |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 10/23/15                 | 09/18/14      | 1      |       | 741503403 | PCLN     | \$1,364.08             | \$1,190.49       | \$173.59   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ROBECO BOSTON PARTNERS LONG/  |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 11/13/15                 | 01/02/14      | 980.25 |       | 74925K581 | BPIR X   | \$15,164.51            | \$14,086.24      | \$1,078.27 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 12/22/15                 | 01/02/14      | 411.54 |       |           |          | \$6,115.41             | \$5,913.76       | \$201.65   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 12/22/15                 | 08/06/13      | 799.77 |       |           |          | \$11,884.59            | \$10,796.91      | \$1,087.68 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| RAYTHEON CO NEW               |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 10/23/15                 | 09/17/14      | 1      |       | 755111507 | RTN      | \$353.73               | \$306.98         | \$46.75    | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| REGENERON PHARMACEUTICALS INC |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 10/22/15                 | 06/09/14      | 1      |       | 75886F107 | REGN     | \$519.01               | \$315.68         | \$203.33   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 10/23/15                 | 06/09/14      | 2      |       |           |          | \$1,070.28             | \$631.36         | \$438.92   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| SALESFORCE.COM INC            |                          |               |        |       |           |          |                        |                  |            |             |                                                                           |                                                             |
|                               | 07/23/15                 | 07/01/14      | 4      |       | 79466L302 | CRM      | \$650.99               | \$533.65         | \$117.34   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 10/23/15                 | 06/09/14      | 1      |       |           |          | \$78.53                | \$51.69          | \$26.84    | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                               | 10/23/15                 | 06/09/14      | 21     |       |           |          | \$1,649.15             | \$1,085.40       | \$563.75   | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



Bank of America Private Wealth Management

## 2015 Tax Information Letter

Account Number 022001527217

Page 37

IM RM LIU FOUNDATION

### Long Term Transactions

| DESCRIPTION                                 | Date sold<br>or disposed | Date acquired | Units   | CUSIP     | SYMBOL | Proceeds    | Cost or<br>other basis | Net<br>Gain/Loss | Code   | Adjustments | Portion Subject<br>to 988 and<br>Market Discount<br>(included in Net G/L) | Portion Subject<br>to 28% Rates<br>(included in Net<br>G/L) |
|---------------------------------------------|--------------------------|---------------|---------|-----------|--------|-------------|------------------------|------------------|--------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| <b>SALESFORCE COM INC</b>                   |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 10/23/15                 | 07/01/14      | 1       | 79466L302 | CRM    | \$78.53     | \$59.29                | \$19.24          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>SCHLUMBERGER LTD</b>                     |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 07/01/15                 | 06/09/14      | 10      | 806857108 | SLB    | \$843.52    | \$1,064.01             | \$-220.49        | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 07/01/15                 | 06/09/14      | 13      |           |        | \$1,097.22  | \$1,383.22             | \$-286.00        | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/23/15                 | 06/09/14      | 15      |           |        | \$1,176.27  | \$1,596.02             | \$-419.75        | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>TOUCHSTONE SMALL CAP GROWTH FUN</b>      |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 11/25/15                 | 04/24/14      | 4854.37 | 89154Q737 | MXAI X | \$30,000.00 | \$27,621.36            | \$2,378.64       | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>ULTA SALON COSMETICS &amp; FRAGRANCE</b> |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 10/23/15                 | 07/01/14      | 9       | 90384S303 | ULTA   | \$1,493.52  | \$840.72               | \$652.80         | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 12/10/15                 | 07/01/14      | 1       |           |        | \$183.67    | \$93.41                | \$90.26          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>UNDER ARMOUR INC CLA</b>                 |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 10/22/15                 | 06/09/14      | 8       | 904311107 | UA     | \$741.87    | \$447.04               | \$294.83         | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/22/15                 | 06/09/14      | 4       |           |        | \$371.63    | \$223.52               | \$148.11         | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/23/15                 | 06/09/14      | 9       |           |        | \$820.44    | \$502.92               | \$317.52         | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| <b>VERTEX PHARMACEUTICALS INC</b>           |                          |               |         |           |        |             |                        |                  |        |             |                                                                           |                                                             |
|                                             | 10/06/15                 | 06/25/14      | 2       | 92532F100 | VRTX   | \$216.38    | \$180.56               | \$35.82          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/08/15                 | 06/25/14      | 4       |           |        | \$416.99    | \$361.12               | \$55.87          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/23/15                 | 06/09/14      | 1       |           |        | \$113.70    | \$74.70                | \$39.00          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                                             | 10/23/15                 | 06/25/14      | 4       |           |        | \$454.79    | \$361.11               | \$93.68          | \$0.00 | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



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Long Term Transactions

| DESCRIPTION                | DATE SOLD<br>OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP     | SYMBOL | PROCEEDS   | COST OR<br>OTHER BASIS | NET<br>GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT<br>TO 988 AND<br>MARKET DISCOUNT<br>(INCLUDED IN NET G/L) | PORTION SUBJECT<br>TO 28% RATES<br>(INCLUDED IN NET<br>G/L) |
|----------------------------|--------------------------|---------------|-------|-----------|--------|------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| VERTEX PHARMACEUTICALS INC |                          |               |       |           |        |            |                        |                  |      |             |                                                                           |                                                             |
|                            | 10/23/15                 | 06/09/14      | 4     | 92532F100 | VRTX   | \$454.79   | \$298.78               | \$156.01         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| VISA INC CLA               |                          |               |       |           |        |            |                        |                  |      |             |                                                                           |                                                             |
|                            |                          |               |       | 92826C839 | V      |            |                        |                  |      |             |                                                                           |                                                             |
|                            | 10/23/15                 | 12/12/11      | 12    |           |        | \$925.06   | \$290.47               | \$634.59         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 04/22/14      | 12    |           |        | \$925.07   | \$653.66               | \$271.41         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 12/12/11      | 20    |           |        | \$1,541.77 | \$484.12               | \$1,057.65       |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ALLERGAN PLC               |                          |               |       |           |        |            |                        |                  |      |             |                                                                           |                                                             |
|                            |                          |               |       | G0177J108 | AGN    |            |                        |                  |      |             |                                                                           |                                                             |
|                            | 09/28/15                 | 07/01/14      | 2     |           |        | \$526.30   | \$449.41               | \$76.89          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/05/15                 | 07/01/14      | 1     |           |        | \$280.11   | \$224.70               | \$55.41          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/22/15                 | 07/01/14      | 2     |           |        | \$501.76   | \$449.41               | \$52.35          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 06/09/14      | 2     |           |        | \$532.89   | \$446.10               | \$86.79          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 06/09/14      | 0.98  |           |        | \$261.38   | \$218.81               | \$42.57          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 07/01/14      | 2.02  |           |        | \$517.95   | \$453.68               | \$84.27          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| ACCENTURE PLC              |                          |               |       |           |        |            |                        |                  |      |             |                                                                           |                                                             |
|                            |                          |               |       | G1151C101 | ACN    |            |                        |                  |      |             |                                                                           |                                                             |
|                            | 06/25/15                 | 06/09/14      | 10    |           |        | \$995.36   | \$844.20               | \$151.16         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 06/26/15                 | 06/09/14      | 17    |           |        | \$1,700.79 | \$1,435.14             | \$265.65         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| DELPHI AUTOMOTIVE PLC      |                          |               |       |           |        |            |                        |                  |      |             |                                                                           |                                                             |
|                            |                          |               |       | G27823106 | DLPH   |            |                        |                  |      |             |                                                                           |                                                             |
|                            | 10/23/15                 | 06/09/14      | 8     |           |        | \$680.63   | \$563.68               | \$116.95         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                            | 10/23/15                 | 06/09/14      | 3     |           |        | \$255.24   | \$211.38               | \$43.86          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |



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Long Term Transactions

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|---------------------------|--------------------------|---------------|-------|-----------|--------|----------------|------------------------|------------------|------|-------------|---------------------------------------------------------------------------|-------------------------------------------------------------|
| MICHAEL KORS HLDGS LTD    |                          |               |       |           |        |                |                        |                  |      |             |                                                                           |                                                             |
|                           | 04/22/15                 | 03/13/13      | 11    | G60754101 | KORS   | \$682.04       | \$644.17               | \$37.87          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 04/23/15                 | 03/13/13      | 12    |           |        | \$759.05       | \$702.73               | \$56.32          |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| TYCO INTERNATIONAL PLC    |                          |               |       |           |        |                |                        |                  |      |             |                                                                           |                                                             |
|                           | 07/28/15                 | 06/09/14      | 60    | G91442106 | TYC    | \$2,176.20     | \$2,689.54             | \$ 513.34        |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
|                           | 07/29/15                 | 06/09/14      | 9     |           |        | \$328.64       | \$403.43               | \$-74.79         |      | \$0.00      | \$0.00                                                                    | \$0.00                                                      |
| Total Long Term Gain/Loss |                          |               |       |           |        |                |                        |                  |      |             |                                                                           |                                                             |
|                           |                          |               |       |           |        | \$1,916,785.75 | \$1,767,335.52         | \$149,450.23     |      | \$716.65    | \$0.00                                                                    | \$0.00                                                      |