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**Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation**

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▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2015**Open to Public Inspection****For calendar year 2015, or tax year beginning , 2015, and ending**

Name of foundation Rice Family Foundation		A Employer identification number 33-0592384
Number and street (or P.O. box number if mail is not delivered to street address) 4471 Jutland Drive		B Telephone number (see instructions) (858) 273-3165
City or town, state or province, country, and ZIP or foreign postal code San Diego CA 92117		C If exemption application is pending, check here. ☐
G Check all that apply:		D 1 Foreign organizations, check here. ☐
☐ Initial return	☐ Initial return of a former public charity	2 Foreign organizations meeting the 85% test, check here and attach computation. ☐
☐ Final return	☒ Amended return	E If private foundation status was terminated under section 507(b)(1)(A), check here. ☐
☐ Address change	☐ Name change	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here. ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation		
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		
I Fair market value of all assets at end of year (from Part II, column (c), line 16) ▶ \$ 6,637,000.		
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
REVENUE	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Ck ☒ If the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	207,278.	207,278.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-108,124.	L-6a Stmt		
	b Gross sales price for all assets on line 6a	5,193,969.			
	7 Capital gain net income (from Part IV, line 2)		0.		
	8 Net short-term capital gain			0.	
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
	See Line 11 Stmt	236,392.	236,392.		
12 Total. Add lines 1 through 11.		335,546.	443,670.	0.	
ADMINISTRATIVE AND OPERATING EXPENSES	13 Compensation of officers, directors, trustees, etc.	57,000.	30,000.		27,000.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach sch) . . L-16b Stmt.	4,000.			4,000.
	c Other prof fees (attach sch) . . L-16c Stmt.	45,082.	45,082.		
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	6,198.	6,198.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	3,600.	1,800.		1,800.
	21 Travel, conferences, and meetings	3,237.	1,601.		1,637.
	22 Printing and publications	25.			25.
23 Other expenses (attach schedule)					
	See Line 23 Stmt	4,161.	611.		3,550.
24 Total operating and administrative expenses. Add lines 13 through 23		123,303.	85,292.		38,012.
25 Contributions, gifts, grants paid	329,488.				329,488.
26 Total expenses and disbursements. Add lines 24 and 25		452,791.	85,292.		367,500.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-117,245.				
b Net investment income (if negative, enter -0-)		358,378.			
c Adjusted net income (if negative, enter -0-)			0.		

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Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
ASSETS	1 Cash — non-interest-bearing			
	2 Savings and temporary cash investments	319,428.	546,909.	546,909.
	3 Accounts receivable			
	Less: allowance for doubtful accounts			
	4 Pledges receivable			
	Less: allowance for doubtful accounts			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach sch)			
	Less: allowance for doubtful accounts			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments — U.S. and state government obligations (attach schedule)			
	b Investments — corporate stock (attach schedule) L-10b. Stmt	4,096,653.	4,052,078.	4,016,915.
	c Investments — corporate bonds (attach schedule) L-10c. Stmt	1,511,078.	1,224,157.	1,223,576.
	11 Investments — land, buildings, and equipment: basis	849,600.		
Less: accumulated depreciation (attach schedule) L-11. Stmt	0.	849,600.	849,600.	
12 Investments — mortgage loans				
13 Investments — other (attach schedule)				
14 Land, buildings, and equipment: basis				
Less: accumulated depreciation (attach schedule)				
15 Other assets (describe)				
16 Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	6,776,759.	6,672,744.	6,637,000.	
LIABILITIES	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, & other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe)			
	23 Total liabilities (add lines 17 through 22)			
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ☒			
	27 Capital stock, trust principal, or current funds	6,776,759.	6,672,744.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	6,776,759.	6,672,744.	
	31 Total liabilities and net assets/fund balances (see instructions)	6,776,759.	6,672,744.	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	6,776,759.
2 Enter amount from Part I, line 27a	2	-117,245.
3 Other Increases not included in line 2 (itemize) <u>Adjustment to book values — Investments</u>	3	13,230.
4 Add lines 1, 2, and 3	4	6,672,744.
5 Decreases not included in line 2 (itemize)	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	6,672,744.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)

(b) How acquired
P — Purchase
D — Donation(c) Date acquired
(mo., day, yr.)(d) Date sold
(mo., day, yr.)

1a RBC Acct 231: Securities: Various Sch B-1	P	various	various
b RBC Acct 234: Equities: Various Sch B-2	P	various	various
c RBC Acct 740: PVG Asset Mgt Sch B-3	P	various	various
d 3270 Shares Powershares DB US Dollar Index (UUP) Sch B-4	P	05/28/15	06/10/15
e See Columns (a) thru (d)			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 683,651.		714,326.	-30,675.
b 3,492,852.		3,542,864.	-50,012.
c 936,371.		978,110.	-41,739.
d 81,095.		82,103.	-1,008.
e See Columns (e) thru (h)		0.	15,365.

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			-30,675.
b			-50,012.
c			-41,739.
d			-1,008.
e See Columns (i) thru (l)	0.	0.	15,365.

2 Capital gain net income or (net capital loss).	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	-108,069.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8		3	-108,069.

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 the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2014	358,696.	7,096,175.	0.050548
2013	327,612.	7,199,778.	0.045503
2012	362,857.	6,837,731.	0.053067
2011	321,582.	6,656,709.	0.048309
2010	371,973.	6,441,937.	0.057742

2 Total of line 1, column (d)	2	0.255169
3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.051034
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	6,775,190.
5 Multiply line 4 by line 3	5	345,765.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,584.
7 Add lines 5 and 6.	7	349,349.
8 Enter qualifying distributions from Part XII, line 4	8	367,500.

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1 a 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 instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	3,584.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2.		3	3,584.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	3,584.
6 Credits/Payments:			
a 2015 estimated tax pmts and 2014 overpayment credited to 2015	6 a	8,035.	
b Exempt foreign organizations - tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	8,035.	
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	4,451.	
11 Enter the amount of line 10 to be credited to 2016 estimated tax	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?		X
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.		
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation \$ _____ (2) On foundation managers \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If 'Yes,' attach a detailed description of the activities.		X
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? If 'Yes,' attach a conformed copy of the changes		X
4 a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If 'Yes,' has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If 'Yes,' attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If 'Yes,' complete Part II, col (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) CA - California		
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? If 'No,' attach explanation	X	
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)? If 'Yes,' complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address N/A				
14	The books are in care of <u>Lisa Wilson</u> Telephone no. <u>(858) 273-3165</u>			
	Located at <u>4471 Jutland Drive</u> <u>San Diego</u> <u>CA</u> ZIP + 4 <u>92117</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here			☐
	and enter the amount of tax-exempt interest received or accrued during the year	15		
16	At any time during calendar year 2015, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If 'Yes,' enter the name of the foreign country			X

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

File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.

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

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

5 a 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)?

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

5 b

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).

6 a 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?

If 'Yes' to 6b, file Form 8870.

6 b

X

7 a 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?

7 b

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	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Shar Salter 4471 Jutland Drive San Diego CA 92117	Director/VP 2.00	3,000.	0.	0.
Lisa Wilson 4471 Jutland Drive San Diego CA 92117	Dir/Treas/CFO 27.00	48,000.	0.	0.
Michelle Brookman 4471 Jutland Drive San Diego CA 92117	Dir/Secty 3.00	6,000.	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	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
N/A				

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

None

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
None		
Total number of others receiving over \$50,000 for professional services		None

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 N/A	0.
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 N/A	0.
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	None

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a Average monthly fair market value of securities	1 a	5,931,582.
b Average of monthly cash balances	1 b	97,183.
c Fair market value of all other assets (see instructions)	1 c	849,600.
d Total (add lines 1a, b, and c)	1 d	6,878,365.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	
2 Acquisition indebtedness applicable to line 1 assets	2	
3 Subtract line 2 from line 1d	3	6,878,365.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	103,175.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	6,775,190.
6 Minimum investment return. Enter 5% of line 5	6	338,760.

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

1 Minimum investment return from Part X, line 6	1	338,760.
2 a Tax on investment income for 2015 from Part VI, line 5	2 a	3,584.
b Income tax for 2015. (This does not include the tax from Part VI.)	2 b	
c Add lines 2a and 2b	2 c	3,584.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	335,176.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	335,176.
6 Deduction from distributable amount (see instructions)	6	
7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	335,176.

Part XII Qualifying Distributions (see instructions)

1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	1 a	367,500.
b Program-related investments — total from Part IX-B	1 b	0.
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	367,500.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	3,584.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	363,916.

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.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				335,176.
2 Undistributed income, if any, as of the end of 2015:				
a Enter amount for 2014 only			23,187.	
b Total for prior years 20__ , 20__ , 20__				
3 Excess distributions carryover, if any, to 2015:				
a From 2010	0.			
b From 2011	0.			
c From 2012	0.			
d From 2013	0.			
e From 2014	0.			
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2015 from Part XII, line 4: ▶ \$ 367,500.				
a Applied to 2014, but not more than line 2a			23,187.	
b Applied to undistributed income of prior years (Election required — see instructions)		0.		
c Treated as distributions out of corpus (Election required — see instructions)				
d Applied to 2015 distributable amount				335,176.
e Remaining amount distributed out of corpus	9,137.			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	9,137.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b. Taxable amount — see instructions		0.		
e Undistributed income for 2014 Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required — see instructions)				
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	9,137.			
10 Analysis of line 9:				
a Excess from 2011	0.			
b Excess from 2012	0.			
c Excess from 2013	0.			
d Excess from 2014	0.			
e Excess from 2015	9,137.			

Part XIV	Private Operating Foundations (see instructions and Part VII-A, question 9)
-----------------	--

N/A

- | | | | | | |
|--|----------|---------------|----------|----------|-----------|
| 1 If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling ▶ | | | | | |
| b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5) | | | | | |
| 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | Tax year | Prior 3 years | | | (e) Total |
| | (a) 2015 | (b) 2014 | (c) 2013 | (d) 2012 | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon: | | | | | |
| a 'Assets' alternative test — enter: | | | | | |
| (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b 'Endowment' alternative test — enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c 'Support' alternative test — enter: | | | | | |
| (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties). | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

Part XV **Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year – see instructions.)**

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).)

N/A

- 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.

N/A

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 e-mail 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 Name and address (home or business)	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
a Paid during the year				
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	School Outreach Program	12,500.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	Zoo Express Program	5,000.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	Safari Express Program	12,500.
Words Alive 5111 Santa Fe Street, Ste 219 San Diego CA 92109		501(c)(3)	Rolling Readers Program	5,000.
ArtsBusXpress 2665 Ariane Drive, 202A San Diego CA 92117		501(c)(3)	Student Transportation To the Arts	5,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c)(3)	Ms. Smarty-Plants Educational Program	10,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c)(3)	Capital Campaign	5,000.
The New Children's Museum 200 West Island Avenue San Diego CA 92101		501(c)(3)	Educational Program Support	15,000.
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c)(3)	Coast to Cactus Exhibition Project Support	45,000.
See Line 3a statement				214,488.
Total			3 a	329,488.
b Approved for future payment				
Total			3 b	

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

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

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]

2 a 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

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

**Sign
Here**

Gisa Wilson
Signature of officer or trustee

5-26-16
Date

Title CFO

May the IRS discuss this return with the preparer shown below (see instructions)?

**Paid
Preparer
Use Only**

Print/Type preparer's name _____

Preparer's signature

Date _____

Check ☐	
self-employed ☐	

PTIN

Firm's name

Firm's address

Self-Prepared

Firm's EIN ▶

Phone no.

Name Rice Family Foundation Employer Identification Number 33-0592384

Asset Information:

Description of Property: RBC Account #231
Date Acquired: . Various How Acquired: . . . Purchased
Date Sold: . . . various Name of Buyer: . . .
Sales Price: . . . 683,651. Cost or other basis (do not reduce by depreciation) . . . 714,326.
Sales Expense: . . . Valuation Method: . . . Cost
Total Gain (Loss): . . . -30,675. Accumulation Depreciation: . . .
Description of Property: RBC Account # 234
Date Acquired: . various How Acquired: . . . Purchased
Date Sold: . . . various Name of Buyer: . . .
Sales Price: . . . 3,492,852. Cost or other basis (do not reduce by depreciation) . . . 3,542,864.
Sales Expense: . . . Valuation Method: . . . Cost
Total Gain (Loss): . . . -50,012. Accumulation Depreciation: . . .
Description of Property: RBC Account #740
Date Acquired: . various How Acquired: . . . Purchased
Date Sold: . . . various Name of Buyer: . . .
Sales Price: . . . 936,371. Cost or other basis (do not reduce by depreciation) . . . 978,110.
Sales Expense: . . . Valuation Method: . . . Cost
Total Gain (Loss): . . . -41,739. Accumulation Depreciation: . . .
Description of Property: 3270 Shares Powershares DB US Dollar Index Bullish Fund
Date Acquired: . 05/28/15 How Acquired: . . . Purchased
Date Sold: . . . 06/10/15 Name of Buyer: . . .
Sales Price: . . . 81,095. Cost or other basis (do not reduce by depreciation) . . . 82,103.
Sales Expense: . . . 55. Valuation Method: . . . Cost
Total Gain (Loss): . . . -1,063. Accumulation Depreciation: . . .
Description of Property: Capital Gain Distributions: Various RBC Accounts
Date Acquired: . various How Acquired: . . .
Date Sold: . . . Name of Buyer: . . .
Sales Price: . . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense: . . . Valuation Method: . . .
Total Gain (Loss): . . . 15,365. Accumulation Depreciation: . . .
Description of Property:
Date Acquired: . . . How Acquired: . . .
Date Sold: . . . Name of Buyer: . . .
Sales Price: . . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense: . . . Valuation Method: . . .
Total Gain (Loss): . . . Accumulation Depreciation: . . .
Description of Property:
Date Acquired: . . . How Acquired: . . .
Date Sold: . . . Name of Buyer: . . .
Sales Price: . . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense: . . . Valuation Method: . . .
Total Gain (Loss): . . . Accumulation Depreciation: . . .
Description of Property:
Date Acquired: . . . How Acquired: . . .
Date Sold: . . . Name of Buyer: . . .
Sales Price: . . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense: . . . Valuation Method: . . .
Total Gain (Loss): . . . Accumulation Depreciation: . . .

Form 990-PF, Page 1, Part I, Line 11

Line 11 Stmt

Other income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
Lease income	232,006.	232,006.	
Royalty Acct Heber	506.	506.	
Property Tax Refund	3,819.	3,819.	
Misc Income-PVG Acct	61.	61.	
Total	236,392.	236,392.	

Form 990-PF, Page 1, Part I, Line 18

Line 18 Stmt

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Property Taxes	4,286.	4,286.		
Foreign Taxes Paid	1,306.	1,306.		
Tax withheld-Investments	606.	606.		
Total	6,198.	6,198.		

Form 990-PF, Page 1, Part I, Line 23

Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
CA Form 199 Filing Fee	10.			10.
Insurance	1,781.			1,781.
Investment Exp.:1099	172.	172.		
Misc. Expenses:Equity Acct	40.	40.		
Postage	168.			168.
Property Repairs	170.	170.		
RRF-1: Tax Filing Fee	75.			75.
San Diego Grantmakers dues	750.			750.
Supplies	746.			746.
RBC Bank Sweep Prog. Reinvest Interest	186.	186.		
Misc Exp	43.	43.		
CA Secretarty of State: Info Stmt	20.			20.
Total	4,161.	611.		3,550.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income

Columns (a) thru (d)

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)	(b) How acquired P – Purchase D – Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
RBC Acct # 231 Capital Gain Distribution Sch B-5	P	various	various
RBC Acct #234 Capital Gain Distribution Sch B-6	P	various	various
RBC Acct # 740 Capital Gain Distribution Sch B-7	P	various	various

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (e) thru (h)

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
0.		0.	6,439.
0.		0.	7,697.
0.		0.	1,229.
Total		0.	15,365.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (i) thru (l)

Complete only for assets showing gain in column (h) and owned
by the foundation on 12/31/69

(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	(l) Gains (column (h) gain minus column (k), but not less than -0-) or losses (from column (h))
0.	0.	0.	6,439.
0.	0.	0.	7,697.
0.	0.	0.	1,229.
Total	0.	0.	15,365.

Form 990-PF, Page 11, Part XV, line 3a
Line 3a statement

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Founda- tion status of re- cipient	Purpose of grant or contribution	Person or Business Checkbox
Name and address (home or business)				Amount
a Paid during the year				
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c)(3)	Special Projects-Education Programs	Person or Business ☒ 5,000.
Reuben H. Fleet Science Center 1875 El Prado San Diego CA 92101		501(c)(3)	School Scholarships- Educational Programs	Person or Business ☒ 30,000.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Student Scholarships	Person or Business ☒ 2,500.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Morgan Rice Internship Program	Person or Business ☒ 50,500.

Form 990-PF, Page 11, Part XV, line 3a

Continued

Line 3a statement

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	Person or Business Checkbox	Amount
Name and address (home or business)					
a Paid during the year					
Burbank Elementary 2146 Julian Ave. San Diego CA 92113		501(c)(3)	Turnaround Arts Program	Person or Business ☒	30,000.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept Traveling Play Support Fall 2015	Person or Business ☒	4,500.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept Traveling Play Support Spring 2016	Person or Business ☒	1,500.
SAY San Diego 8755 Aero Drive, #100 San Diego CA 92123		501(c)(3)	General Support School Programs	Person or Business ☒	5,000.
Heritage Of the Americas Museum 12100 Cuyamaca College Dr. West El Cajon CA 92019		501(c)(3)	Education Programs	Person or Business ☒	5,000.
East County Youth Symphony 339 Hart Drive El Cajon CA 92021		501(c)(3)	General Support Music Programs	Person or Business ☒	5,000.
Maritime Museum of SD 1492 N. Harbor Drive San Diego CA 92101		501(c)(3)	Educational Programs	Person or Business ☒	15,000.
Leukemia & Lymphoma Society 9150 Chesapeake Drive San Diego CA 92123		501(c)(3)	General Support	Person or Business ☒	500.
Monarch School 1625 Newton Ave. San Diego CA 92113		501(c)(3)	Core Program Support	Person or Business ☒	10,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Living Lab Capital Campaign	Person or Business ☒	5,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Ocean Science Explorers Program	Person or Business ☒	5,000.
Campanile Foundation 5500 Campanile Drive San Diego CA 92182		501(c)(3)	Scholarships Guardian Scholars Program	Person or Business ☒	5,000.
Barrio Logan College Institute 1625 Newton Ave. San Diego CA 92113		501(c)(3)	College Scholarships	Person or Business ☒	10,000.
SD River Park Foundation 4891 Pacific Hwy, 114 San Diego CA 92110		501(c)(3)	Cool River Educational Program	Person or Business ☒	2,500.
Shoal Creek Elementary 11775 Shoal Creek Dr San Diego CA 92128		501(c)(3)	Technology grant	Person or Business ☒	10,245.

Form 990-PF, Page 11, Part XV, line 3a

Continued

Line 3a statement

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	Person or Business Checkbox	Amount
Name and address (home or business)					
a Paid during the year					
Centurion Foundation of UCHS 6949 Genesee Ave. San Diego CA 92122		501(c)(3)	General Support	Person or Business ☒	100.
Simon Youth Foundation 225 West Washington St. Indianapolis IN 46204		501(c)(3)	General Support	Person or Business ☒	520.
Alzheimer's Asso. 1060 La Avenida Street Mountain View CA 94043		501(c)(3)	General Support	Person or Business ☒	500.
University City High School 3268 Governor Drive San Diego CA 92122		501(c)(3)	General Support Education	Person or Business ☒	350.
MD Anderson Cancer Center PO Box 4486 Houston TX 77210		501(c)(3)	General Support	Person or Business ☒	750.
Promises 2 Kids 9440 Ruffin Court, Ste 2 San Diego CA 92123		501(c)(3)	General Support	Person or Business ☒	100.
Guitars in the Classroom 2770 Historic Secatur Rd, #203 San Diego CA 92106		501(c)(3)	General Support	Person or Business ☒	2,000.
Power Surge Athletics 5300 Hickman Fields Drive San Diego CA 92117		501(c)(3)	General Support	Person or Business ☒	300.
Boys and Girls Club of Carlsbad 7805 Centella St. Carlsbad CA 92009		501(c)(3)	General Support	Person or Business ☒	123.
ASPCA 424 East 92nd Street New York NY 10128		501(c)(3)	General Support	Person or Business ☒	500.
ArtReach 2210 Columbia Street San Diego CA 92102		501(c)(3)	General Support	Person or Business ☒	2,000.
Euclid Elementary 4166 Euclid Ave San Diego CA 92105		501(c)(3)	Educational After School Program	Person or Business ☒	5,000.

Total

214,488.

Form 990-PF, Page 1, Part I

Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
L. Wilson	Prep 990PF	4,000.			4,000.
Total		<u>4,000.</u>			<u>4,000.</u>

Form 990-PF, Page 1, Part I

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
RBC Dain Rauscher	Investment Svcs	44,082.	44,082.		
Summit Realty Interests, LLC	Real Estate Consulting	1,000.	1,000.		
Total		<u>45,082.</u>	<u>45,082.</u>		

Form 990-PF, Page 2, Part II, Line 10b

L-10b Stmt

Line 10b - Investments - Corporate Stock:	End of Year	
	Book Value	Fair Market Value
Various Securities RBC Wealth Mgt Acct 234, Sch A-2	3,635,387.	3,629,602.
Various Securities RBC Wealth Mgt Acct 740, Sch A-3	416,691.	387,313.
Total	<u>4,052,078.</u>	<u>4,016,915.</u>

Form 990-PF, Page 2, Part II, Line 10c

L-10c Stmt

Line 10c - Investments - Corporate Bonds:	End of Year	
	Book Value	Fair Market Value
Misc Fixed Income:RBC Wealth Mgt Acct 231, Sch A-1	1,224,157.	1,223,576.
Total	<u>1,224,157.</u>	<u>1,223,576.</u>

Form 990-PF, Page 2, Part II, Line 11

L-11 Stmt

Line 11b - Description of Investments Land, Buildings and Equipment	(a) Cost/Other Basis	(b) Accumulated Depreciation	(c) Book Value
Parcel 585-090-45-00	40,000.	0.	40,000.

Form 990-PF, Page 2, Part II, Line 11
L-11 Stmt

Continued

Line 11b - Description of Investments Land, Buildings and Equipment	(a) Cost/Other Basis	(b) Accumulated Depreciation	(c) Book Value
Parcel 585-090-44-00	41,600.	0.	41,600.
Value of leased-fee estate, 585-090-45-00	768,000.	0.	768,000.
Total	<u>849,600.</u>	<u>0.</u>	<u>849,600.</u>

Supporting Statement of:

Form 990-PF, p8/Part X, Line 1c

Description	Amount
Parcel 585-090-45-0	40,000.
Parcel 585-090-44-00	41,600.
Value of LEased Fee Estate 585-090-45-00	768,000.
Total	<u>849,600.</u>

Supporting Statement of:

Form 990-PF, p12/Line 4 Column (d)

Description	Amount
Dividends: Investments	184,440.
Interest: Investments	22,077.
Interest on US Treasury	2,497.
Accrued Interest Bonds	-1,922.
RBC Bank Sweep Program: Interest	186.
Total	<u>207,278.</u>

THE RICE FAMILY FOUNDATION
ATTN: LISA WILSON

INVESTMENT ACCESS
ACCOUNT STATEMENT
WITH PORTFOLIO FOCUS
2015 ANNUAL STATEMENT

Account number:
231
Page 4 of 26

ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statement" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated

RBC BRANCH SWEEP PROGRAM

Deposits in the RBC Branch Sweep Program are not insured by the Federal Deposit Insurance Corporation (FDIC). Securities Investor Protection Corporation (SIPC) or any governmental agency of the United States, Canada or any other jurisdiction. The Deposits in the RBC Branch Sweep Program are obligations of the Royal Bank of Canada Three World Financial Center Branch located in New York (Branch) and the Royal Bank of Canada (RBC), and are not obligations of RBC Capital Markets LLC or any other RBC affiliates. The payment of principal and interest on Deposit Accounts at the Branch is subject to the creditworthiness of RBC. In the event of the failure of the Branch, you will be a general unsecured creditor of RBC. Deposit information is included on this statement solely as a service to our clients. Please refer to the RBC Branch Sweep Program Disclosure Statement and our website www.rbc.com-usa for more information regarding the merits and risks involved with electing the RBC Branch Sweep Program as your cash sweep option. For questions concerning Program balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BRANCH SWEEP PROGRAM NOT SIPC OR FDIC COVERED RBSIP UNINSURED DEPOSIT		\$363,415.49	\$0.00	\$237.26

DEPOSITS ARE HELD AT:

RBC WFC Branch New York, NY

TOTAL RBC BRANCH SWEEP PROGRAM \$363,415.49 \$237.26

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ACCURED INTEREST	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$1,838.35	
TOTAL CASH AND MONEY MARKET				\$1,838.35	

TAXABLE FIXED INCOME

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ACCURED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ALLERGAN PLC 5.500% MANDATORY CONVERTIBLE PREFERRED SHARES SERIES A MOODY N/R S&P N/R	AGNPR	40.000	\$1,028.990	\$41,159.60	\$37,625.20	\$3,534.40	\$2,200.00
POWERSHARES EXCHANGE-TRADED FD TR II BUILD AMERICA BOND PORTFOLIO	BAB	2,200.000	\$28.990	\$63,778.00	\$64,123.62	-\$345.62	\$3,003.00

Sch. A-1



RBC Wealth Management

A Division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC.



INVESTMENT ACCESS ACCOUNT STATEMENT WITH PORTFOLIO FOCUS 2015 ANNUAL STATEMENT

Account number:
7231
Page 5 of 26

TAXABLE FIXED INCOME (continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCURED INTEREST	NET COST *	UNREALIZED GAIN/LOSS	ESTIMATED ANNUALIZED INCOME
COHEN & STEERS PFD SECS & INCOME FD INC CL I	CPXIX	14,704.000	\$13.600	\$199,974.40	\$186,249.30	\$13,725.10	\$11,822.02
ISHARES 7 TO 10 YEAR TREASURY BOND ETF	IEF	760.000	\$105.590	\$80,248.40	\$81,150.52	-\$902.12	\$1,520.00
LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	NEFX	7,038.000	\$13.670	\$96,209.46	\$100,009.98	-\$3,800.52	\$4,046.85
POWERSHARES GLOBAL EXCHANGE TRADED FD TR EMERGING MARKETS SOVEREIGN DEBT PORTFOLIO	PCY	3,400.000	\$27.310	\$92,854.00	\$98,023.16	-\$5,169.16	\$5,069.40
ALPS ETF TR RIVERFRONT STRATEGIC INCOME FD	RIGS	3,600.000	\$24.190	\$87,084.00	\$92,154.42	-\$5,070.42	\$3,139.20
WACHOVIA BK NATL ASSN MEDIUM TERM SUB BK NTS ORIGINAL ISSUE DISCOUNT MOODY A3 S&P A	92976GAE1 CPN: 5.600% DUE 03/15/2016 DTD 03/09/2006 BOOK ENTRY ONLY	125,000.000	\$101.010	\$126,262.50 \$2,061.11	\$123,413.75	\$2,848.75	\$7,000.00
AMERICAN EXPRESS CO NT ORIGINAL ISSUE DISCOUNT MOODY A3 S&P BBB+	025816AV5 CPN: 7.000% DUE 03/19/2018 DTD 03/19/2008 BOOK ENTRY ONLY	50,000.000	\$110.899	\$55,449.50 \$991.67	\$50,463.53	\$4,985.97	\$3,500.00
VERIZON COMMUNICATIONS INC NT ORIGINAL ISSUE DISCOUNT CALLABLE 09/01/21 AT 100.000 MOODY BAA1 S&P BBB+	92343VCN2 CPN: 3.000% DUE 11/01/2021 DTD: 10/29/2014 BOOK ENTRY ONLY	25,000.000	\$99.719	\$24,929.75 \$125.00	\$24,915.72	\$14.03	\$750.00
MERCK & CO INC NEW ORIGINAL ISSUE DISCOUNT CALLABLE SUBJ MAKE-WHOLE CALL MOODY A1 S&P AA	58933YQA8 CPN: 2.350% DUE 02/10/2022 DTD: 02/10/2015 BOOK ENTRY ONLY	25,000.000	\$98.186	\$24,546.50 \$230.10	\$24,531.60	\$14.90	\$587.50
QUALCOMM INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE SUBJ MAKE-WHOLE CALL MOODY A1 S&P A+	747525AE3 CPN: 3.000% DUE 05/20/2022 DTD: 05/20/2015 BOOK ENTRY ONLY	25,000.000	\$98.998	\$24,749.50 \$85.42	\$25,097.84	-\$348.34	\$750.00

THE RICE FAMILY FOUNDATION
ATTN LISA WILSON

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TAXABLE FIXED INCOME (continued)									
DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCURED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME		
AT&T INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE 04/30/22 AT 100.000 MOODY BAA1 S&P BBB+	00206RCM2 CPN: 3.000% DUE 06/30/2022 DTD: 05/04/2015 BOOK ENTRY ONLY	25,000.000	\$97.602	\$24,400.50	\$24,377.64	\$22.86	\$750.00		
J P MORGAN CHASE & CO ORIGINAL ISSUE DISCOUNT MOODY BAA1 S&P BBB+	46625HJ0 CPN: 3.375% DUE 05/01/2023 DTD: 05/01/2013 BOOK ENTRY ONLY	25,000.000	\$98.282	\$24,570.50 \$140.63	\$24,550.08	\$20.42	\$843.75		
FREPORT-MCMORAN INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE 08/14/24 AT 100.000 MOODY BAA3 S&P BBB-	35671DBL8 CPN: 4.550% DUE 11/14/2024 DTD 11/14/2014 BOOK ENTRY ONLY	25,000.000	\$57.250	\$14,312.50 \$148.51	\$22,584.80	-\$8,272.30	\$1,137.50		
WELLS FARGO & CO NEW ORIGINAL ISSUE DISCOUNT MOODY A3 S&P A-	94974BFY1 CPN: 4.100% DUE 06/03/2026 DTD 06/03/2014 BOOK ENTRY ONLY	25,000.000	\$100.939	\$25,234.75 \$79.72	\$25,413.76	-\$179.01	\$1,025.00		
MORGAN STANLEY SUBORDINATED ORIGINAL ISSUE DISCOUNT MOODY BAA2 S&P BBB-	6174467Y9 CPN: 4.350% DUE 09/08/2026 DTD 09/08/2014 BOOK ENTRY ONLY	25,000.000	\$100.327	\$25,081.75 \$341.35	\$24,926.00	\$155.75	\$1,087.50		
BANK OF AMERICA CORP SENIOR NOTES ORIGINAL ISSUE DISCOUNT MOODY BAA3 S&P BBB	06051GFL8 CPN: 4.250% DUE 10/22/2026 DTD: 10/22/2014 BOOK ENTRY ONLY	25,000.000	\$98.983	\$24,745.75 \$203.65	\$24,759.50	-\$13.75	\$1,062.50		
FNMA GTD PASS THRU POOL#828378 DELAY DAYS 24 FACTOR = .15860583 CURRENT BALANCE = 30,135 MOODY N/R S&P N/R	31407EJX2 CPN: 6.000% DUE 06/01/2030 DTD 06/01/2005 BOOK ENTRY ONLY	190,000.000	\$112.847	\$34,006.56 \$150.68	\$30,022.10	\$3,984.46	\$1,808.11		
DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 DELAY DAYS 24 FACTOR = .02221252 CURRENT BALANCE = 1,666 MOODY N/A S&P AA+	251563CG5 CPN: 5.500% DUE 09/25/2033 DTD 01/28/2004 BOOK ENTRY ONLY	75,000.000	\$103.238	\$1,719.88 \$7.64	\$1,545.16	\$174.72	\$91.63		

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RBC Wealth Management

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TAXABLE FIXED INCOME (continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT DELAY DAYS 24 FACTOR = .05730955 CURRENT BALANCE = 3.037 MOODY N/A S&P B+	55265KQ28 CPN: 5.500% DUE 10/25/2033 DTD: 09/25/2003 BOOK ENTRY ONLY	53,000.000	\$96.000	\$2,915.91 \$13.92	\$3,082.97	-\$167.06	\$167.06
FIRST HORIZON ALTERNATIVE MORTGAGE SECURITIZATION/SERIES 2004-FAT 1-A-1-FIXED DELAY DAYS 24 FACTOR = .10453223 CURRENT BALANCE = 41.813 MOODY B2 S&P CCC	32051D6V3 CPN: 6.250% DUE 10/25/2034 DTD: 08/25/2004 BOOK ENTRY ONLY	400,000.000	\$103.512	\$43,281.36 \$217.78	\$41,603.83	\$1,677.53	\$2,613.31
GOLDMAN SACHS GROUP INC ORIGINAL ISSUE DISCOUNT MOODY BAA2 S&P BBB-	38148LAF3 CPN: 5.150% DUE 05/22/2045 DTD: 05/22/2015 BOOK ENTRY ONLY	25,000.000	\$97.139	\$24,284.75 \$139.48	\$24,613.25	-\$328.50	\$1,287.50

TOTAL TAXABLE FIXED INCOME
ESTIMATED ACCRUED BOND INTEREST

1,174,742.000 \$1,161,799.82 \$1,155,237.73 \$6,562.09 \$55,268.67 \$4,936.66

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
NEXPOINT CREDIT STRATEGIES FUND	NHF	1,500.000	\$20.440	\$30,660.00	\$40,619.60	-\$9,959.60	\$4,320.00
TOTAL MIXED ASSETS				\$30,660.00	\$40,619.60	-\$9,959.60	\$4,320.00

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
NEXPOINT RESIDENTIAL TRUST INC	NXRT	2,000.000	\$13.090	\$26,180.00	\$28,300.00	-\$2,120.00
TOTAL OTHER ASSETS				\$26,180.00	\$28,300.00	-\$2,120.00

THE RICE FAMILY FOUNDATION
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ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statement" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated

RBC BRANCH SWEEP PROGRAM

Deposits in the RBC Branch Sweep Program are not insured by the Federal Deposit Insurance Corporation (FDIC). Securities Investor Protection Corporation (SIPC) or any governmental agency of the United States, Canada or any other jurisdiction. The Deposits in the RBC Branch Sweep program are obligations of the Royal Bank of Canada. Three World Financial Center Branch located in New York (Branch) and the Royal Bank of Canada (RBC), and are not obligations of RBC Capital Markets LLC or any other RBC affiliates. The payment of principal and interest on Deposit Accounts at the Branch is subject to the creditworthiness of RBC. In the event of the failure of the Branch, you will be a general unsecured creditor of RBC. Deposit information is included on this statement solely as a service to our clients. Please refer to the RBC Branch Sweep Program Disclosure Statement and our website www.rbcwm-usa.com for more information regarding the merits and risks involved with electing the RBC Branch Sweep Program as your cash sweep option. For questions concerning Program balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BRANCH SWEEP PROGRAM NOT SIPC OR FDIC COVERED RBSF UNINSURED DEPOSIT		\$37,616.54	\$0.00	\$507.81

DEPOSITS ARE HELD AT:

RBC WFC Branch New York, NY

\$37,616.54

TOTAL RBC BRANCH SWEEP PROGRAM

\$37,616.54

\$507.81

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$2,953.90		

TOTAL CASH AND MONEY MARKET

\$2,953.90

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
CONOCOPHILLIPS	COP	3,250,000	\$46.690	\$151,742.50	\$192,224.32	-\$40,481.82	\$9,620.00
COSTCO WHOLESALE CORP-NEW	COST	1,180,000	\$161.500	\$190,570.00	\$184,988.60	\$5,581.40	\$1,888.00
FIRST TRUST ETF DOW JONES INTERNET INDEX FUND	FDN	2,525,000	\$74.610	\$188,390.25	\$188,530.03	-\$139.78	
GILEAD SCIENCES INC	GILD	1,800,000	\$101.190	\$182,142.00	\$175,410.00	\$6,732.00	\$3,096.00
ISHARES RUSSELL MID CAP ETF	IWR	700,000	\$160.180	\$112,126.00	\$118,502.23	-\$6,376.23	\$1,784.30
KINDER MORGAN INC	KMI	2,365,000	\$14.920	\$35,285.80	\$101,477.77	-\$66,191.97	\$4,824.60

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RBC Wealth Management

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US EQUITIES (continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
LOCKHEED MARTIN CORP	LMT	1,180.000	\$217.150	\$256,237.00	\$208,914.38	\$47,322.62	\$7,788.00
MCDONALDS CORP	MCD	1,900.000	\$118.140	\$224,466.00	\$145,490.15	\$78,975.85	\$6,764.00
MICROSOFT CORP	MSFT	5,100.000	\$55.480	\$282,948.00	\$196,038.90	\$86,909.10	\$7,340.00
NUVEN NASDAQ 100 DYNAMIC OVERWRITE FUND SHARES OF BENEFICIAL INTEREST	QQQX	4,200.000	\$19.370	\$81,354.00	\$80,722.44	\$631.56	\$5,880.00
PHILIP MORRIS INTERNATIONAL INC	PM	1,700.000	\$87.910	\$149,447.00	\$118,030.83	\$31,416.17	\$6,936.00
POWERSHARES EXCHANGE TRADED FD TR SHR OF BEN INT \$0.01 PV OF PWR SHS DWA MOMENTM PRFLIO	PDP	3,590.000	\$41.370	\$148,518.30	\$151,941.51	-\$3,423.21	\$574.40
REYNOLDS AMERICAN INC	RAI	5,360.000	\$46.150	\$247,364.00	\$199,893.16	\$47,470.84	\$7,718.40
SALIENT MLP & ENERGY INFRASTRUCTURE FUND II CL I	SMLPX	13,258.000	\$7.070	\$93,734.06	\$208,606.73	-\$114,872.67	\$8,034.35
TOTAL US EQUITIES				\$2,344,324.91	\$2,270,771.05	\$73,553.86	\$72,252.05

INTERNATIONAL EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
BANK OF MONTREAL	BMO	3,170.000	\$56.420	\$178,851.40	\$188,154.40	-\$9,303.00	\$7,972.55
HENDERSON GLOBAL FDS GLOBAL EQUITY INCOME FD CL I	HFQIX	24,015.000	\$7.300	\$175,309.50	\$195,001.80	-\$19,692.30	\$11.95
LAZARD LTD SHS A	LAZ	3,600.000	\$45.010	\$162,036.00	\$199,257.00	-\$37,221.00	\$5,040.00
TOTAL INTERNATIONAL EQUITIES				\$516,196.90	\$582,413.20	-\$66,216.30	\$24,972.02

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ASTOR LONG/SHORT ETF FUND CL I	ASTIX	17,715.517	\$11.520	\$204,082.76	\$200,859.16	\$3,223.60	\$2,940.78
					\$197,006.04	\$3,303.72	
					Purchase		
					Reinvest		
TOTAL MIXED ASSETS				\$204,082.76	\$200,859.16	\$3,223.60	\$2,940.78

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THE RICE FAMILY FOUNDATION
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OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
BOSTON PROPERTIES INC	BXP	1,540.000	\$127.540	\$196,411.60	\$181,332.00	\$15,079.60
HIGHLAND LONG SHORT HEALTHCARE FUND Z	HHCZX	12,563.000	\$13.620	\$171,108.06	\$200,002.96	-\$28,894.90
MUTUAL FD SER TR CTLYST HCD FTR STRAGY FD CL I	HFXIX	18,084.000	\$10.920	\$197,477.28	\$200,009.04	-\$2,531.76
TOTAL OTHER ASSETS				\$564,996.94	\$581,344.00	-\$16,347.06

THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE

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ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statement" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated

RBC BANK DEPOSIT PROGRAM

Deposits in the RBC Bank Deposit Program, with the exception of amounts classified as "Pending Deposits," are held by the Program Banks, not RBC Capital Markets. They are not covered by SIPC. Balances classified as "Pending Deposits" are scheduled to be deposited in the Program Banks on the business day following the statement date, and thus, these deposits are covered by SIPC until such time as they are deposited in the Program Banks. Deposit information is included on this statement solely as a service to our clients. All balance and transaction information is provided by the Program Banks. RBC Capital Markets is not responsible for the accuracy of this information. Deposits are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 per depositor at each bank subject to certain limitations. **This means that your funds in excess of \$250,000 in the same insurable capacity at any single Program Bank are not insured.** FDIC insurance coverage amounts are subject to the combined total of all deposits at a specific Program Bank including deposits held by the Program Bank outside of this account. Please refer to the RBC Bank Deposit Program Disclosure Statement and our website at www.rbcwmconnect.com for more details, including the current aggregate FDIC deposit insurance amount available through the Program. For questions concerning bank balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BANK DEPOSIT PROGRAM NOT SIPC COVERED		\$50,357.09	\$81,252.87	\$7.90

DEPOSITS ARE HELD AT:

Texas Capital Bank

Dallas, TX

TOTAL RBC BANK DEPOSIT PROGRAM **\$50,357.09** **\$50,357.09** **\$7.90**

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$11,672.47	
TOTAL CASH AND MONEY MARKET				\$11,672.47	

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ALPS ETF TR ALERIAN MLP	AMPL	540.000	\$12.050	\$6,507.00	\$6,265.62	\$241.38	\$640.44
AMERICAN EXPRESS COMPANY	AXP	65.000	\$69.550	\$4,520.75	\$4,466.36	\$54.39	\$75.40
AMGEN INC	AMGN	31.000	\$162.330	\$5,032.23	\$4,446.47	\$585.76	\$124.00
AT&T INC	T	280.000	\$34.410	\$9,634.80	\$9,332.79	\$302.01	\$537.60
BLACKROCK CAPITAL INVESTMENT CORPORATION	BKCC	450.000	\$9.400	\$4,230.00	\$4,094.83	\$135.17	\$378.00
CATERPILLAR INC	CAT	135.000	\$67.960	\$9,174.60	\$8,912.03	\$262.57	\$415.80

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RBC Wealth Management*

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US EQUITIES (continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
CITICORP INC COM	C	80.000	\$51.750	\$4,140.00	\$3,895.48	\$244.52	\$16.00
CONOCOPHILLIPS	COP	80.000	\$46.690	\$3,735.20	\$3,554.28	\$180.92	\$23.00
CSX CORPORATION COM	CSX	180.000	\$25.950	\$4,671.00	\$4,522.39	\$148.61	\$129.60
CYPRESS SEMICONDUCTOR CORP	CY	421.000	\$9.810	\$4,130.01	\$4,130.58	-\$0.57	\$185.24
FIFTH STREET FINANCE CORPORATION	FSC	1,455.000	\$6.380	\$9,282.90	\$9,191.49	\$91.41	\$1,047.60
FIFTH THIRD BANCORP	FTB	240.000	\$20.100	\$4,824.00	\$4,521.84	\$302.16	\$124.80
GAP INC	GPS	145.000	\$24.700	\$3,581.50	\$4,113.29	-\$531.79	\$133.40
GENERAL ELECTRIC COMPANY COM	GE	305.000	\$31.150	\$9,500.75	\$7,522.42	\$1,978.33	\$280.60
HORIZON TECHNOLOGY FIN CORP	HRZN	225.000	\$11.730	\$2,639.25	\$2,343.29	\$295.96	\$310.50
INTERNATIONAL BUSINESS MACHINES CORP	IBM	33.000	\$137.620	\$4,541.46	\$4,442.25	\$99.21	\$171.60
ISHARES RUSSELL 2000 ETF	IWM	59.000	\$112.620	\$6,644.58	\$6,660.07	-\$15.49	\$102.19
MACYS INC	M	130.000	\$34.980	\$4,547.40	\$4,530.50	\$16.90	\$187.20
MEDLEY CAPITAL CORPORATION	MCC	3,583.000	\$7.520	\$26,944.16	\$37,344.74	-\$10,400.58	\$4,299.60
MERCK & CO INC	MRK	170.000	\$52.820	\$8,979.40	\$8,886.34	\$93.06	\$312.80
NORDSTROM INC	JWN	90.000	\$49.810	\$4,482.90	\$4,473.87	\$9.03	\$13.00
PITNEY BOWES INC	PBI	225.000	\$20.650	\$4,646.25	\$4,465.24	\$181.01	\$168.75
QUALCOMM INC	QCOM	95.000	\$49.985	\$4,748.58	\$4,529.51	\$219.07	\$182.40
SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND	XLF	380.000	\$23.830	\$9,055.40	\$9,006.30	\$49.10	\$176.32
SOLAR CAPITAL LTD	SLRC	805.000	\$16.430	\$13,226.15	\$14,670.97	-\$1,444.82	\$1,288.00
SPDR SER TR S&P HOMEBUILDERS ETF	XHB	130.000	\$34.180	\$4,443.40	\$4,478.42	-\$35.02	\$22.23
TEREX CORP	TEX	240.000	\$18.480	\$4,435.20	\$4,382.64	\$52.56	\$57.60
TICC CAPITAL CORP	TICC	375.000	\$6.080	\$2,280.00	\$3,108.80	-\$828.80	\$435.00
VERIZON COMMUNICATIONS	VZ	145.000	\$46.220	\$6,701.90	\$6,643.00	\$58.90	\$327.70

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US EQUITIES
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DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
WAL-MART STORES INC	WMT	155,000	\$61.300	\$9,501.50	\$8,865.72	\$635.78	\$303.80
WINDSTREAM HOLDINGS INC COM	WIN	914,000	\$6.440	\$5,886.16	\$6,615.32	-\$729.16	\$548.40
TOTAL US EQUITIES				\$206,668.43	\$214,416.85	-\$7,748.42	\$13,352.57

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
POWERSHARES EXCHAN CEF INCOM COMPOSITE PT ETF	PCEF	1,030,000	\$21.340	\$21,980.20	\$24,843.27	-\$2,863.07	\$2,017.77
TOTAL MIXED ASSETS				\$21,980.20	\$24,843.27	-\$2,863.07	\$2,017.77

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
COMMUNICATIONS SALES & LEASING INC COM	CSAL	464,000	\$18.690	\$8,672.16	\$11,458.67	-\$2,786.51
CYS INVESTMENTS INC	CYS	615,000	\$7.130	\$4,384.95	\$4,560.72	-\$175.77
HATTERAS FINANCIAL CORP	HTS	795,000	\$13.150	\$10,454.25	\$11,381.21	-\$926.96
INDEPENDENCE REALTY TRUST INC	IRT	1,025,000	\$7.510	\$7,697.75	\$8,258.04	-\$560.29
LEXINGTON REALTY TRUST	LXP	575,000	\$8.000	\$4,600.00	\$4,570.33	\$29.67
PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW	SDS	3,060,000	\$19.930	\$60,985.80	\$68,708.02	-\$7,722.22
PROSPECT CAPITAL CORPORATION	PSEC	1,325,000	\$6.980	\$9,248.50	\$10,522.73	-\$1,274.23
RAIT FINL TR COM	RAS	555,000	\$2.700	\$1,498.50	\$1,608.83	-\$110.33
SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST	SIR	120,000	\$19.820	\$2,378.40	\$2,306.71	\$71.69
SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST	SNH	1,257,000	\$14.840	\$18,653.88	\$23,192.85	-\$4,538.97
SPIRIT REALTY CAPITAL INC	SRC	559,000	\$10.020	\$5,601.18	\$5,281.72	\$319.46



RBC Wealth Management

A Division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC



MANAGED ACCOUNT PROGRAM ACCOUNT STATEMENT 2015 ANNUAL STATEMENT

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OTHER ASSETS (continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
TWO HARBORS INVESTMENT CORP	TWO	1,640,000	\$8.100	\$13,284.00	\$13,944.69	-\$660.69
WHITESTONE REIT COMMON SHARE	WSR	933,000	\$12.010	\$11,205.33	\$11,636.11	-\$430.78
TOTAL OTHER ASSETS				\$158,664.70	\$177,430.63	-\$18,765.93

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Schedule B-1

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
1,300.000	ISHARES 20 PLUS YEAR TREASURY BOND ETF SYMBOL: TLT, CUSIP: 464287432	☐	12/12/14	05/27/15	158,443.68	163,563.40	-5,119.72
660.000	ISHARES 20 PLUS YEAR TREASURY BOND ETF SYMBOL: TLT, CUSIP: 464287432	☐	08/07/15	09/14/15	80,302.04	81,877.09	-1,575.05
*3,270.000	POWERSHARES DB U S DLR INDEX TR PS DB US\$ INDEX BULLISH FD COM UNIT SYMBOL: UUP, CUSIP: 73936D107	☒	05/28/15	06/10/15	81,094.50	83,674.40	-2,579.90 *
Short-Term Subtotal					319,840.22		-9,274.67

Long-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY: 937.710, ORIGINAL COST: 876.76, PURCHASE FACTOR: 0.03024871, SALE FACTOR: 0.03024871 CUSIP: 05949AEV8	☒	12/17/09	01/25/15	937.71	876.76	60.95
31,000.000	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY: 108.557, ORIGINAL COST: 28,985.00, ACCRUALS: 30,891.44, PURCHASE FACTOR: 1, SALE FACTOR: 0.00350183 CUSIP: 05949AEV8	☒	12/17/09	02/25/15	108.56	101.50	7.06
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 54.450, ORIGINAL COST: 53.09,	☒	03/25/11	01/25/15	54.45	53.09	1.36

Sch. B-1

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	PURCHASE FACTOR 0.00363, SALE FACTOR: 0.00363 CUSIP: 12669EXN1						
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 1,559.080, ORIGINAL COST: 1,520.10, PURCHASE FACTOR 0.10393867, SALE FACTOR: 0.10393867 CUSIP: 12669EXN1	☒	03/25/11	02/25/15	1,559.08	1,520.10	38.98
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 54.390, ORIGINAL COST: 53.03, PURCHASE FACTOR: 0.003626, SALE FACTOR: 0.003626 CUSIP: 12669EXN1	☒	03/25/11	03/25/15	54.39	53.03	1.36
15,000.000	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 418.153, ORIGINAL COST: 14,625.00, ACCRUALS: 14,581.85, PURCHASE FACTOR: 1, SALE FACTOR: 0.02787688 CUSIP: 12669EXN1	☒	03/25/11	04/27/15	418.15	407.70	10.45
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY 627.420, ORIGINAL COST: 581.93, PURCHASE FACTOR: 0.0083656, SALE FACTOR: 0.0083656 CUSIP: 251563CG5	☒	06/16/09	01/25/15	627.42	581.93	45.49
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 6.720, ORIGINAL COST: 6.23, PURCHASE FACTOR: 0.0000896, SALE FACTOR: 0.0000896 CUSIP: 251563CG5	☒	06/16/09	02/25/15	6.72	6.23	0.49
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 6.720, ORIGINAL COST: 6.23, PURCHASE FACTOR: 0.0000896, SALE FACTOR: 0.0000896 CUSIP: 251563CG5	☒	06/16/09	03/25/15	6.72	6.23	0.49
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 6.980, ORIGINAL COST: 6.47, PURCHASE FACTOR: 0.00009307, SALE FACTOR: 0.00009307 CUSIP: 251563CG5	☒	06/16/09	04/25/15	6.98	6.47	0.51

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 6.600, ORIGINAL COST: 6.12, PURCHASE FACTOR: 0.000088, SALE FACTOR: 0.000088 CUSIP: 251563CG5	☒	06/16/09	05/25/15	6.60	6.12	0.48
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 6.840, ORIGINAL COST: 6.34, PURCHASE FACTOR: 0.0000912, SALE FACTOR: 0.0000912 CUSIP: 251563CG5	☒	06/16/09	06/25/15	6.84	6.34	0.50
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 382.560, ORIGINAL COST: 354.82, PURCHASE FACTOR: 0.0051008, SALE FACTOR: 0.0051008 CUSIP: 251563CG5	☒	06/16/09	07/25/15	382.56	354.82	27.74
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 5.660, ORIGINAL COST: 5.25, PURCHASE FACTOR: 0.00007547, SALE FACTOR: 0.00007547 CUSIP: 251563CG5	☒	06/16/09	08/25/15	5.66	5.25	0.41
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 5.600, ORIGINAL COST: 5.19, PURCHASE FACTOR: 0.00007467, SALE FACTOR: 0.00007467 CUSIP: 251563CG5	☒	06/16/09	09/25/15	5.60	5.19	0.41
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 5.630, ORIGINAL COST: 5.22, PURCHASE FACTOR: 0.00007507, SALE FACTOR: 0.00007507 CUSIP: 251563CG5	☒	06/16/09	10/25/15	5.63	5.22	0.41
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 5.660, ORIGINAL COST: 5.25, PURCHASE FACTOR: 0.00007547, SALE FACTOR: 0.00007547 CUSIP: 251563CG5	☒	06/16/09	11/25/15	5.66	5.25	0.41
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 243.290, ORIGINAL COST: 225.65,	☒	06/16/09	12/25/15	243.29	225.65	17.64

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	PURCHASE FACTOR: 0.00324387, SALE FACTOR: 0.00324387 CUSIP: 251563CG5						
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 181.760, ORIGINAL COST: 180.85, PURCHASE FACTOR: 0.0004544, SALE FACTOR: 0.0004544 CUSIP: 32051D6Y3	☒	08/17/10	01/25/15	181.76	180.85	0.91
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 576.532, ORIGINAL COST: 573.65, PURCHASE FACTOR: 0.00144133, SALE FACTOR: 0.00144133 CUSIP: 32051D6Y3	☒	08/17/10	02/25/15	576.53	573.65	2.88
1,000,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,196.920, ORIGINAL COST: 1,190.94, PURCHASE FACTOR: 0.0029923, SALE FACTOR: 0.0029923 CUSIP: 32051D6Y3	☒	08/17/10	03/25/15	1,196.92	1,190.94	5.98
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,445.420, ORIGINAL COST: 1,438.19, PURCHASE FACTOR: 0.00361355, SALE FACTOR: 0.00361355 CUSIP: 32051D6Y3	☒	08/17/10	04/25/15	1,445.42	1,438.19	7.23
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 118.152, ORIGINAL COST: 117.56, PURCHASE FACTOR: 0.00029538, SALE FACTOR: 0.00029538 CUSIP: 32051D6Y3	☒	08/17/10	05/25/15	118.15	117.56	0.59
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 642.492, ORIGINAL COST: 639.28, PURCHASE FACTOR: 0.00160623, SALE FACTOR: 0.00160623 CUSIP: 32051D6Y3	☒	08/17/10	06/25/15	642.49	639.28	3.21
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES	☒	08/17/10	07/25/15	566.39	563.56	2.83

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 566.392, ORIGINAL COST: 563.56, PURCHASE FACTOR: 0.00141598, SALE FACTOR: 0.00141598 CUSIP: 32051D6Y3						
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 904.052, ORIGINAL COST: 899.53, PURCHASE FACTOR: 0.00226013, SALE FACTOR: 0.00226013 CUSIP: 32051D6Y3	☒	08/17/10	08/25/15	904.05	899.53	4 52
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 471.660, ORIGINAL COST: 469.30, PURCHASE FACTOR: 0.00117915, SALE FACTOR: 0 00117915 CUSIP: 32051D6Y3	☒	08/17/10	09/25/15	471.66	469.30	2 36
400,000 000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 502.412, ORIGINAL COST: 499.90, PURCHASE FACTOR: 0.00125603, SALE FACTOR: 0.00125603 CUSIP: 32051D6Y3	☒	08/17/10	10/25/15	502.41	499.90	2 51
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 711.520, ORIGINAL COST: 707.96, PURCHASE FACTOR: 0.0017788, SALE FACTOR: 0.0017788 CUSIP: 32051D6Y3	☒	08/17/10	11/25/15	711.52	707.96	3 56
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 840.892, ORIGINAL COST: 836.69, PURCHASE FACTOR: 0.00210223, SALE FACTOR: 0.00210223 CUSIP: 32051D6Y3	☒	08/17/10	12/25/15	840.89	836.69	4 20
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 108 729, ORIGINAL COST: 108.32, PURCHASE FACTOR: 0.00057226, SALE FACTOR: 0.00057226 CUSIP: 31407EJX2	☒	05/03/06	01/26/15	108.73	108 32	0.41
190,000.000*	FNMA GTD PASS THRU POOL#828378	☒	05/03/06	02/25/15	106.45	106.05	0.40

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 106.449, ORIGINAL COST: 106.05, PURCHASE FACTOR: 0.00056026, SALE FACTOR: 0.00056026 CUSIP: 31407EJX2						
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 114.650, ORIGINAL COST: 114.22, PURCHASE FACTOR: 0.00060342, SALE FACTOR: 0.00060342 CUSIP: 31407EJX2	☒	05/03/06	03/25/15	114.65	114.22	0.43
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 109.811, ORIGINAL COST: 109.40, PURCHASE FACTOR: 0.00057795, SALE FACTOR: 0.00057795 CUSIP: 31407EJX2	☒	05/03/06	04/27/15	109.81	109.40	0.41
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 115.839, ORIGINAL COST: 115.40, PURCHASE FACTOR: 0.00060968, SALE FACTOR: 0.00060968 CUSIP: 31407EJX2	☒	05/03/06	05/26/15	115.84	115.40	0.44
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 108.891, ORIGINAL COST: 108.48, PURCHASE FACTOR: 0.00057311, SALE FACTOR: 0.00057311 CUSIP: 31407EJX2	☒	05/03/06	06/25/15	108.89	108.48	0.41
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 117.050, ORIGINAL COST: 116.61, PURCHASE FACTOR: 0.00061605, SALE FACTOR: 0.00061605 CUSIP: 31407EJX2	☒	05/03/06	07/27/15	117.05	116.61	0.44
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 117.671, ORIGINAL COST: 117.23, PURCHASE FACTOR: 0.00061932, SALE FACTOR: 0.00061932 CUSIP: 31407EJX2	☒	05/03/06	08/25/15	117.67	117.23	0.44
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 110.010, ORIGINAL COST: 109.60, PURCHASE FACTOR: 0.000579, SALE FACTOR: 0.000579 CUSIP: 31407EJX2	☒	05/03/06	09/25/15	110.01	109.60	0.41
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 118.891, ORIGINAL COST: 118.44, PURCHASE FACTOR: 0.00062574, SALE FACTOR: 0.00062574 CUSIP: 31407EJX2	☒	05/03/06	10/26/15	118.89	118.44	0.45
190,000.000*	FNMA GTD PASS THRU POOL#828378	☒	05/03/06	11/25/15	119.52	119.07	0.45

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	6 000% DUE 06/01/2030 ADJUSTED QUANTITY: 119.520, ORIGINAL COST: 119.07, PURCHASE FACTOR: 0.00062905, SALE FACTOR: 0.00062905 CUSIP: 31407EJX2						
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 120.169, ORIGINAL COST: 119.72, PURCHASE FACTOR: 0.00063247, SALE FACTOR: 0.00063247 CUSIP: 31407EJX2	☒	05/03/06	12/28/15	120.17	119.72	0.45
21,277.000	HIGHLAND FLOATING RATE OPPORTUNITIES FUND Z SYMBOL: HFRZX, CUSIP: 430101782	☐	09/12/14	11/03/15	155,534.87	170,003.23	-14,468.36
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 96.280, ORIGINAL COST: 97.72, PURCHASE FACTOR: 0.0018166, SALE FACTOR: 0.0018166 CUSIP: 55265KQ28	☒	07/28/10	01/25/15	96.28	97.72	-1.44
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 136.910, ORIGINAL COST: 138.96, PURCHASE FACTOR: 0.00258321, SALE FACTOR: 0.00258321 CUSIP: 55265KQ28	☒	07/28/10	02/25/15	136.91	138.96	-2.05
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 11.500, ORIGINAL COST: 11.67, PURCHASE FACTOR: 0.00021698, SALE FACTOR: 0.00021698 CUSIP: 55265KQ28	☒	07/28/10	03/25/15	11.50	11.67	-0.17
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 58.360, ORIGINAL COST: 59.24, PURCHASE FACTOR: 0.00110113, SALE FACTOR: 0.00110113 CUSIP: 55265KQ28	☒	07/28/10	04/25/15	58.36	59.24	-0.88
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 91.220, ORIGINAL COST: 92.59, PURCHASE FACTOR: 0.00172113, SALE FACTOR: 0.00172113 CUSIP: 55265KQ28	☒	07/28/10	05/25/15	91.22	92.59	-1.37

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 210.430, ORIGINAL COST: 213.59, PURCHASE FACTOR 0 00397038, SALE FACTOR: 0.00397038 CUSIP: 55265KQ28	☒	07/28/10	06/25/15	210.43	213.59	-3 16
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 10.950, ORIGINAL COST: 11.11, PURCHASE FACTOR: 0.0002066, SALE FACTOR: 0.0002066 CUSIP: 55265KQ28	☒	07/28/10	07/25/15	10.95	11.11	-0.16
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 200.970, ORIGINAL COST: 203.98, PURCHASE FACTOR: 0.00379189, SALE FACTOR: 0.00379189 CUSIP: 55265KQ28	☒	07/28/10	08/25/15	200 97	203.98	-3 01
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 11 240, ORIGINAL COST: 11.41, PURCHASE FACTOR: 0.00021208, SALE FACTOR: 0.00021208 CUSIP: 55265KQ28	☒	07/28/10	09/25/15	11.24	11.41	-0.17
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 293.160, ORIGINAL COST: 297.56, PURCHASE FACTOR: 0.00553132, SALE FACTOR: 0.00553132 CUSIP: 55265KQ28	☒	07/28/10	10/25/15	293.16	297.56	-4.40
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 9.600, ORIGINAL COST: 9.74, PURCHASE FACTOR: 0.00018113, SALE FACTOR: 0.00018113 CUSIP: 55265KQ28	☒	07/28/10	11/25/15	9.60	9.74	-0.14
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033	☒	07/28/10	12/25/15	109.64	111.28	-1.64

CORRECTED COPY: March 15, 2016

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
ADJUSTED QUANTITY: 109.640, ORIGINAL COST: 111.28, PURCHASE FACTOR: 0.00206868, SALE FACTOR: 0.00206868 CUSIP: 55265KQ28							
35,000.000	NEW YORK TIMES CO 5.000% DUE 03/15/2015 CUSIP: 650111AE7	☒	08/29/06	03/16/15	35,000.00	32,649.05	2,350.95
600.000	PIMCO 0-5 YEAR HIGH YIELD CORPORATE BOND INDEX EXCHANGE TRADED FUND SYMBOL: HYS, CUSIP: 72201R783	☐	09/07/12	12/14/15	54,227.00	60,732.00	-6,505.00
1,000.000	PIMCO 0-5 YEAR HIGH YIELD CORPORATE BOND INDEX EXCHANGE TRADED FUND SYMBOL: HYS, CUSIP: 72201R783	☒	09/27/11	12/14/15	90,378.33	95,548.00	-5,169.67
3,400.000	POWERSHARES GLOBAL EXCHANGE TRADED FD TR EMERGING MARKETS SOVEREIGN DEBT PORTFOLIO SYMBOL: PCY, CUSIP: 73936T573	☐	03/28/14	07/08/15	94,557.36	94,987.50	-430.14
Long-Term Subtotal					444,905.71		-23,979.75
Total Gains and Losses					764,745.93		-33,254.42
Short-Term							-9,274.67
Long-Term							-23,979.75
Term Unknown							0.00

Schedule of Realized Gains and Losses Account 231

	Net Proceeds	Net Cost	Realized Gain/Loss
Short-Term	319,840.22	329,114.89	-9,274.67
Long-Term	444,905.71	468,885.46	-23,979.75
	764,745.93	798,000.35	-33,254.42
Deduct K-1: Sold UUP (Reported Separately) (Short term)	-81,094.50	-83,674.40	2,579.90
Amount reported on tax return	683,651.43	714,325.95	-30,674.52

CORRECTED COPY: March 15, 2016

Schedule B-2

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
2,900.000	BANK OF MONTREAL SYMBOL: BMO, CUSIP: 063671101	☐	03/28/14	02/02/15	171,257.81	192,995.00	-21,737.19
5,150.000	CENTURYLINK INC SYMBOL: CTL, CUSIP: 156700106	☐	09/19/14	01/30/15	191,182.78	209,965.50	-18,782.72
1,900.000	DUKE ENERGY CORPORATION HOLDING COMPANY SYMBOL: DUK, CUSIP: 26441C204	☐	08/25/14	05/19/15	144,893.33	139,079.81	5,813.52
3,000.000	FIRST TRUST ETF DOW JONES INTERNET INDEX FUND SYMBOL: FDN, CUSIP: 33733E302	☐	03/24/15	08/24/15	124,155.75	199,375.50	-75,219.75
4,013.000	FLY LEASING LIMITED SPONSORED ADR SYMBOL: FLY, CUSIP: 34407D109	☐	05/27/15	10/30/15	53,248.30	63,355.18	-10,106.88
2,600.000	GUGGENHEIM S&P 500 EQUAL WEIGHT ETF SYMBOL: RSP, CUSIP: 78355W106	☐	11/25/14	08/21/15	200,768.56	208,697.97	-7,929.41
1,400.000	GUGGENHEIM S&P 500 EQUAL WEIGHT ETF SYMBOL: RSP, CUSIP: 78355W106	☐	12/23/14	08/21/15	108,106.15	113,339.80	-5,233.65
5,298.000	HENDERSON GLOBAL FDS EUROPEAN FOCUS FD CL I SHS SYMBOL: HFEIX, CUSIP: 425067642	☐	05/15/15	09/23/15	174,939.96	202,012.74	-27,072.78
700.000	ISHARES RUSSELL MID CAP ETF SYMBOL: IWR, CUSIP: 464287499	☐	12/23/14	10/30/15	115,777.86	118,502.23	-2,724.37
885.000	KANSAS CITY SOUTHERN SYMBOL: KSU, CUSIP: 485170302	☐	08/25/14	03/06/15	101,038.59	100,817.96	220.63
2,300.000	KINDER MORGAN INC SYMBOL: KMI, CUSIP: 49456B101	☐	05/19/15	10/30/15	61,941.31	98,688.75	-36,747.44
43,317.000	LEUTHOLD FUNDS INC	☐	09/28/15	10/13/15	319,246.29	350,001.36	-30,755.07

Sch B-2

CORRECTED COPY: March 15, 2016

Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	GRIZZLY SHORT FUND SYMBOL: GRZZX, CUSIP 527289300						
3,590.000	POWERSHARES EXCHANGE TRADED FD TR SHR OF BEN INT \$0.01 PV OF PWR SHS DWA MOMENTM PRTFLIO SYMBOL: PDP, CUSIP: 73935X153	☐	12/23/14	05/11/15	155,195.31	148,114.59	7,080.72
3,150.000	SEAGATE TECHNOLOGY PLC SYMBOL: STX, CUSIP: G7945M107	☐	11/28/14	01/16/15	197,478.58	209,334.84	-11,856.26
1,700.000	VENTAS INC SYMBOL: VTR, CUSIP: 92276F100	☐	09/16/14	04/17/15	124,016.28	105,175.60	18,840.68
3,200.000	WISDOMTREE TR EUROPE HEDGED EQUITY FUND SYMBOL: HEDJ, CUSIP: 97717X701	☐	02/19/15	04/28/15	212,841.08	200,383.86	12,457.22
3,400.000	WISDOMTREE TRUST EUROPE SMALLCAP DIVIDEND FUND ETF SYMBOL: DFE, CUSIP 97717W869	☐	04/28/15	07/07/15	186,262.24	201,280.00	-15,017.76
Short-Term Subtotal					2,642,350.18		-218,770.51

Long-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
1,400.000	CHEVRON CORPORATION SYMBOL: CVX, CUSIP: 166764100	☐	07/13/12	01/14/15	144,344.64	148,200.50	-3,855.86
180.000	CHEVRON CORPORATION SYMBOL: CVX, CUSIP: 166764100	☐	08/31/11	01/14/15	18,558.60	17,794.53	764.07
2,000.000	DOMINION RESOURCES INC VA NEW SYMBOL: D, CUSIP: 25746U109	☐	08/23/11	05/27/15	141,693.49	97,912.19	43,781.30
1,250.000	HOME DEPOT INC SYMBOL: HD, CUSIP 437076102	☐	08/12/14	08/24/15	124,997.78	103,622.50	21,375.28
3,000.000	INTEL CORP SYMBOL INTC, CUSIP: 458140100	☐	08/09/11	05/19/15	99,182.67	60,000.00	39,182.67
1,000.000	INTEL CORP SYMBOL INTC, CUSIP 458140100	☐	08/09/11	07/22/15	28,580.97	20,000.00	8,580.97
2,000.000	INTEL CORP SYMBOL: INTC, CUSIP: 458140100	☐	10/10/11	07/22/15	57,161.95	45,638.90	11,523.05
7,800.000	ISHARES MORTGAGE REAL ESTATE CAPPED ETF SYMBOL REM, CUSIP: 464288539	☐	02/11/14	05/15/15	90,642.13	91,124.70	-482.57

THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:
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Schedule of Realized Gains and Losses (con't)

		Long-Term (con't)					
QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
6,000.000	KIMCO REALTY CORPORATION SYMBOL: KIM, CUSIP: 49446R109	☐	01/13/12	05/11/15	145,339 32	97,449 97	47,889 35
Long-Term Subtotal					850,501.55		168,758.26
Total Gains and Losses					3,492,851.73		-50,012.25
Short-Term							-218,770.51
Long-Term							168,758.26
Term Unknown							0.00

CORRECTED COPY: March 15, 2016

Schedule B-3

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
105.000	ABERCROMBIE & FITCH CO-CL A SYMBOL ANF, CUSIP: 002896207	☐	10/23/14	01/20/15	2,735.17	3,509.57	-774.40
580.000	ALPS ETF TR ALERIAN MLP SYMBOL: AMLP, CUSIP: 00162Q866	☐	06/10/15	10/13/15	7,995.56	9,239.98	-1,244.42
165.000	ALPS ETF TR ALERIAN MLP SYMBOL: AMLP, CUSIP: 00162Q866	☐	07/20/15	10/13/15	2,274.60	2,478.13	-203.53
230.000	AMERICA MOVIL S A B D E C V SPONSORED ADR REPSTG SER L SHS SYMBOL: AMX, CUSIP: 02364W105	☐	02/11/15	10/07/15	4,031.38	4,738.99	-707.61
140.000	AMERICAN EAGLE OUTFITTERS INC SYMBOL: AEO, CUSIP: 02553E106	☐	03/17/14	01/26/15	2,017.04	1,786.13	230.91
210.000	AMERICAN EAGLE OUTFITTERS INC SYMBOL: AEO, CUSIP: 02553E106	☐	12/05/14	01/26/15	3,025.57	2,509.50	516.07
100.000	APPLIED MATERIALS INC SYMBOL: AMAT, CUSIP: 038222105	☐	03/20/15	06/29/15	1,933.34	2,425.90	-492.56
265.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	09/02/15	11/03/15	1,156.41	1,261.93	-105.52
176.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	08/26/15	11/03/15	768.03	814.76	-46.73
59.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	09/10/15	11/03/15	257.46	244.59	12.87
315.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	09/11/15	11/12/15	875.62	1,100.80	-225.18
152.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	09/10/15	11/12/15	422.52	630.13	-207.61
180.000	AVON PRODUCTS INC SYMBOL: AVP, CUSIP: 054303102	☐	09/11/15	11/12/15	500.35	629.03	-128.68
305.000	BANK OF AMERICA CORP SYMBOL: BAC, CUSIP: 060505104	☐	04/21/15	09/28/15	4,700.14	4,756.29	-56.15

Sch. B-3

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
175.000	CISCO SYSTEMS INC SYMBOL: CSCO, CUSIP: 17275R102	☐	10/31/14	01/02/15	4,836.31	4,276.60	559.71
55.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	☐	01/29/15	02/18/15	2,829.22	2,599.84	229.38
55.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	☐	01/29/15	11/09/15	3,041.61	2,599.84	441.77
75.000	CONOCOPHILLIPS SYMBOL: COP, CUSIP: 20825C104	☐	08/21/15	10/09/15	4,184.04	3,486.75	697.29
220.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	03/20/15	10/22/15	2,197.35	3,345.43	-1,148.08
90.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	03/20/15	11/04/15	958.48	1,368.59	-410.10
210.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	05/13/15	11/04/15	2,236.46	2,627.27	-390.81
75.000	DISCOVER FINANCIAL SERVICES SYMBOL: DFS, CUSIP: 254709108	☐	01/21/15	07/07/15	4,306.14	4,573.02	-266.88
25.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	04/14/14	02/03/15	313.91	319.75	-5.84
150.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	04/14/14	03/19/15	1,942.46	1,918.47	23.99
230.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	10/31/14	03/19/15	2,978.44	2,714.55	263.89
420.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	04/29/15	12/29/15	4,104.42	4,776.66	-672.24
225.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	06/18/15	12/29/15	2,198.80	2,475.00	-276.20
250.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	08/12/15	12/29/15	2,443.11	2,562.48	-119.37
265.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	☐	11/02/15	12/29/15	2,589.69	2,593.03	-3.34

CORRECTED COPY: March 15, 2016

Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
25.000	EXXON MOBIL CORP SYMBOL: XOM, CUSIP: 30231G102	☐	09/10/14	06/29/15	2,078.00	2,421.67	-343.67
25.000	EXXON MOBIL CORP SYMBOL: XOM, CUSIP: 30231G102	☐	09/24/14	06/29/15	2,078.00	2,404.22	-326.22
225.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP: 31678A103	☐	06/29/15	12/22/15	1,365.12	1,490.69	-125.58
185.000	FIFTH STREET SENIOR FLOATING RATE CORP SYMBOL: FSFR, CUSIP: 31679F101	☐	06/30/15	12/14/15	1,371.82	1,743.35	-371.53
265.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	☐	01/21/15	07/22/15	5,685.70	4,743.42	942.28
135.000	GUESS INC SYMBOL: GES, CUSIP: 401617105	☐	03/31/15	06/30/15	2,578.92	2,542.54	36.38
140.000	HEWLETT PACKARD ENTERPRISE COMPANY COM SYMBOL: HPE, CUSIP: 42824C109	☐	03/20/15	11/12/15	1,922.33	2,477.89	-555.56
85.000	HEWLETT PACKARD ENTERPRISE COMPANY COM SYMBOL: HPE, CUSIP: 42824C109	☐	03/30/15	11/12/15	1,167.13	1,421.49	-254.36
110.000	HONDA MOTOR CO LTD ADR SYMBOL: HMC, CUSIP: 438128308	☐	11/11/14	05/06/15	3,709.17	3,416.50	292.67
140.000	HP INC COM SYMBOL: HPQ, CUSIP: 40434L105	☐	03/20/15	11/12/15	1,892.99	2,210.64	-317.66
85.000	HP INC COM SYMBOL: HPQ, CUSIP: 40434L105	☐	03/30/15	11/12/15	1,149.31	1,268.17	-118.86
175.000	INVESCO MORTGAGE CAPITAL INC SYMBOL: IVR, CUSIP: 46131B100	☐	01/13/15	12/07/15	2,246.64	2,716.35	-469.71
145.000	INVESCO MORTGAGE CAPITAL INC SYMBOL: IVR, CUSIP: 46131B100	☐	04/01/15	12/07/15	1,861.50	2,270.13	-408.63
38.000	ISHARES RUSSELL 2000 ETF SYMBOL: IWM, CUSIP: 464287655	☐	11/02/15	11/12/15	4,396.27	4,475.58	-79.31
155.000	ISHARES U S TELECOMMUNICATIONS ETF SYMBOL: IYZ, CUSIP: 464287713	☐	03/30/15	04/02/15	4,852.96	4,727.38	125.58
40.000	JPMORGAN CHASE & CO SYMBOL: JPM, CUSIP: 46625H100	☐	05/19/14	01/14/15	2,236.39	2,145.96	90.43

CORRECTED COPY: March 15, 2016

Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
80.000	JPMORGAN CHASE & CO SYMBOL: JPM, CUSIP: 46625H100	☐	04/06/15	06/29/15	5,427.16	4,827.13	600.03
220.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	☐	04/23/14	01/13/15	3,200.92	3,543.72	-342.80
207.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	☐	08/26/15	12/04/15	2,851.12	2,867.70	-16.58
175.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	☐	10/22/15	12/04/15	2,410.37	2,387.46	22.91
135.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	☐	10/29/15	12/04/15	1,859.43	1,749.24	110.19
150.000	KINDER MORGAN INC SYMBOL: KMI, CUSIP: 49456B101	☐	12/04/15	12/14/15	2,377.20	2,701.04	-323.84
50.000	KLA-TENCOR CORP SYMBOL: KLAC, CUSIP: 482480100	☐	01/07/15	04/01/15	2,875.17	3,354.02	-478.85
35.000	KLA-TENCOR CORP SYMBOL: KLAC, CUSIP: 482480100	☐	01/23/15	06/29/15	1,985.42	2,275.36	-289.94
20.000	KLA-TENCOR CORP SYMBOL: KLAC, CUSIP: 482480100	☐	01/07/15	06/29/15	1,134.52	1,332.31	-197.78
45.000	KOHL'S CORP SYMBOL: KSS, CUSIP: 500255104	☐	11/13/14	02/04/15	3,008.05	2,510.06	498.00
60.000	KOHL'S CORP SYMBOL: KSS, CUSIP: 500255104	☐	09/23/15	12/22/15	2,763.88	2,896.15	-132.27
285.000	MEDLEY MANAGEMENT INC CL A COM SYMBOL: MDLY, CUSIP: 58503T106	☐	09/24/14	01/14/15	3,118.54	5,130.00	-2,011.46
30.000	MEDLEY MANAGEMENT INC CL A COM SYMBOL: MDLY, CUSIP: 58503T106	☐	09/24/14	01/14/15	328.27	492.88	-164.62
5.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	☐	03/30/15	05/05/15	302.10	292.13	9.97
80.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	☐	02/20/15	05/05/15	4,833.60	4,668.68	164.92
35.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	☐	03/30/15	11/06/15	1,905.71	2,044.90	-139.19
45.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	☐	04/06/15	11/06/15	2,450.20	2,563.58	-113.38
60.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	☐	08/25/15	11/06/15	3,266.94	3,232.26	34.67

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
700.000	NEW YORK MORTGAGE TRUST INC SYMBOL: NYMT, CUSIP: 649604501	☐	08/26/15	12/07/15	3,849.99	4,445.58	-595.59
210.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	☐	09/15/15	12/11/15	4,061.05	3,976.62	84.43
400.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	06/12/15	10/19/15	2,838.19	3,688.00	-849.81
280.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	07/10/15	10/19/15	1,986.73	2,343.57	-356.84
140.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 5,583.13 WASH SALE REPLACEMENT ADDITION: 508.04 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	01/08/15	5,497.69	6,091.17	-593.48
40.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 1,595.18 WASH SALE REPLACEMENT ADDITION: 253.94 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	01/08/15	1,570.77	1,849.12	-278.35
35.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 1,395.78 WASH SALE REPLACEMENT ADDITION: 100.13 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	01/08/15	1,374.42	1,495.91	-121.49
15.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 598.19 WASH SALE REPLACEMENT ADDITION: 83.52 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	01/28/15	595.94	681.71	-85.78
170.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	01/28/15	6,753.94	6,779.52	-25.57
130.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 5,184.33 WASH SALE LOSS DISALLOWED: 239.72 SYMBOL: QID, CUSIP: 74348A426	☐	12/12/14	03/27/15	4,817.71	4,944.62	-126.91
5.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 199.39	☐	12/12/14	03/27/15	185.30	185.30	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE REPLACEMENT ADDITION: 19.29						
	WASH SALE LOSS DISALLOWED 33.39						
	SYMBOL: QID, CUSIP: 74348A426						
40.000	PROSHARES	☐	12/12/14	03/27/15	1,482.37	1,482.37	0.00
	ULTRASHORT QQQ						
	ORIGINAL COST 1,595.18						
	WASH SALE LOSS DISALLOWED: 227.24						
	SYMBOL: QID, CUSIP: 74348A426						
100.000	PROSHARES	☐	03/06/15	03/27/15	3,705.93	3,544.65	161.28
	ULTRASHORT QQQ						
	SYMBOL: QID, CUSIP: 74348A426						
40.000	PROSHARES	☐	03/06/15	04/06/15	1,468.79	1,645.10	-176.31
	ULTRASHORT QQQ						
	ORIGINAL COST 1,417.86						
	WASH SALE REPLACEMENT ADDITION: 227.24						
	WASH SALE LOSS DISALLOWED: 0.00						
	SYMBOL: QID, CUSIP: 74348A426						
85.000	PROSHARES	☐	03/06/15	04/06/15	3,121.19	3,252.67	-131.48
	ULTRASHORT QQQ						
	ORIGINAL COST 3,012.95						
	WASH SALE REPLACEMENT ADDITION: 239.72						
	WASH SALE LOSS DISALLOWED: 0.00						
	SYMBOL: QID, CUSIP: 74348A426						
5.000	PROSHARES	☐	03/06/15	04/06/15	183.60	210.62	-27.02
	ULTRASHORT QQQ						
	ORIGINAL COST 177.23						
	WASH SALE REPLACEMENT ADDITION: 33.39						
	WASH SALE LOSS DISALLOWED: 0.00						
	SYMBOL: QID, CUSIP: 74348A426						
285.000	PROSHARES	☐	05/22/15	06/10/15	9,761.07	9,510.45	250.62
	ULTRASHORT QQQ						
	SYMBOL: QID, CUSIP: 74348A426						
40.000	PROSHARES	☐	09/01/15	09/02/15	1,478.41	1,525.56	-47.15
	ULTRASHORT QQQ						
	SYMBOL: QID, CUSIP: 74348A426						
230.000	PROSHARES	☐	08/25/15	09/02/15	8,500.87	8,500.87	0.00
	ULTRASHORT QQQ						
	ORIGINAL COST 9,194.39						
	WASH SALE LOSS DISALLOWED: 693.52						
	SYMBOL: QID, CUSIP: 74348A426						
230.000	PROSHARES	☐	09/01/15	09/17/15	7,750.67	9,465.49	-1,714.82
	ULTRASHORT QQQ						
	ORIGINAL COST 8,771.97						
	WASH SALE REPLACEMENT ADDITION: 693.52						

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 0.00						
	SYMBOL: QID, CUSIP: 74348A426						
10.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP: 74348A426	☐	09/01/15	09/17/15	336.99	381.39	-44.40
550.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	09/22/14	02/13/15	11,731.28	12,518.00	-786.72
440.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	09/09/14	02/13/15	9,385.02	10,071.60	-686.58
35.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	08/22/14	02/13/15	746.54	802.06	-55.52
795.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	09/25/14	05/08/15	16,615.19	18,300.82	-1,685.63
420.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	10/29/14	05/08/15	8,777.84	9,567.60	-789.76
340.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	09/22/14	05/08/15	7,105.87	7,738.40	-632.53
905.000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP: 74347R503	☐	10/29/14	05/27/15	18,823.74	20,615.90	-1,792.16
640.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	01/12/15	01/16/15	14,643.19	14,412.80	230.39
620.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	01/23/15	02/02/15	14,235.00	13,664.80	570.20
30.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 661.20 WASH SALE LOSS DISALLOWED: 42.60 SYMBOL: SDS, CUSIP: 74347B300	☐	01/23/15	07/28/15	618.60	618.60	0.00
375.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500	☐	01/30/15	07/28/15	7,732.47	7,732.47	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	NEW ORIGINAL COST 8,655.00 WASH SALE LOSS DISALLOWED: 922.53 SYMBOL: SDS, CUSIP: 74347B300						
690.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 14,952.23 WASH SALE LOSS DISALLOWED: 724.48 SYMBOL: SDS, CUSIP: 74347B300	☐	02/11/15	07/28/15	14,227.75	14,227.75	0.00
290.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,072.60 WASH SALE LOSS DISALLOWED: 92.82 SYMBOL: SDS, CUSIP: 74347B300	☐	04/17/15	07/28/15	5,979.78	5,979.78	0.00
610.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 12,773.40 WASH SALE LOSS DISALLOWED: 524.77 SYMBOL: SDS, CUSIP: 74347B300	☐	04/17/15	08/10/15	12,248.63	12,248.63	0.00
140.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	06/19/15	08/25/15	3,301.36	2,814.00	487.36
275.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	04/17/15	08/25/15	6,484.82	5,758.50	726.32
705.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	05/19/15	08/25/15	16,624.72	14,050.65	2,574.07
60.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,245.60 WASH SALE REPLACEMENT ADDITION: 147.60 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	07/06/15	08/26/15	1,411.79	1,393.20	18.59
30.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 622.80	☐	07/06/15	08/26/15	705.90	665.40	40.49

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)							
QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE REPLACEMENT ADDITION: 42.60						
	WASH SALE LOSS DISALLOWED: 0.00						
	SYMBOL: SDS, CUSIP: 74347B300						
420.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	06/19/15	08/26/15	9,882.53	8,442.00	1,440.53
290.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,020.40 WASH SALE LOSS DISALLOWED: 177.48 SYMBOL: SDS, CUSIP: 74347B300	☐	07/06/15	09/25/15	6,556.34	6,556.34	0.00
25.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 509.75 WASH SALE REPLACEMENT ADDITION: 61.50 WASH SALE LOSS DISALLOWED: 6.05 SYMBOL: SDS, CUSIP: 74347B300	☐	07/24/15	09/25/15	565.20	565.20	0.00
35.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 713.30 WASH SALE REPLACEMENT ADDITION: 11.20 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	08/03/15	09/25/15	791.28	724.50	66.78
150.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	07/24/15	09/25/15	3,391.21	3,216.00	175.21
365.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 7,442.35 WASH SALE REPLACEMENT ADDITION: 383.24 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	07/24/15	09/25/15	8,251.95	7,825.59	426.35
85.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,978.80 WASH SALE REPLACEMENT ADDITION: 52.02 WASH SALE LOSS DISALLOWED: 39.15 SYMBOL: SDS, CUSIP: 74347B300	☐	09/04/15	10/01/15	1,991.67	1,991.67	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
335.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	08/24/15	10/01/15	7,849.51	7,812.20	37.31
40.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 815.20 WASH SALE REPLACEMENT ADDITION: 34.41 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	08/03/15	10/01/15	937.25	849.61	87.64
175.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 3,566.50 WASH SALE REPLACEMENT ADDITION: 183.75 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	08/03/15	10/01/15	4,100.49	3,750.25	350.24
115.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	08/18/15	10/01/15	2,694.61	2,317.25	377.36
255.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	08/03/15	10/01/15	5,975.00	5,278.52	696.48
570.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 11,485.50 WASH SALE REPLACEMENT ADDITION: 490.36 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	08/18/15	10/01/15	13,355.88	11,975.86	1,380.02
25.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 582.00 WASH SALE REPLACEMENT ADDITION: 6.05 WASH SALE LOSS DISALLOWED: 84.81 SYMBOL: SDS, CUSIP: 74347B300	☐	09/04/15	11/16/15	503.24	503.24	0.00
220.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 5,121.60	☐	09/04/15	11/16/15	4,428.54	4,428.54	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 693.06 SYMBOL: SDS, CUSIP: 74347B300						
205.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 4,772.40 WASH SALE LOSS DISALLOWED: 771.27 SYMBOL: SDS, CUSIP: 74347B300	☐	09/04/15	11/16/15	4,126.59	4,126.59	0.00
85.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,904.02 WASH SALE REPLACEMENT ADDITION: 39.15 WASH SALE LOSS DISALLOWED: 232.15 SYMBOL: SDS, CUSIP: 74347B300	☐	09/18/15	11/16/15	1,711.03	1,711.03	0.00
390.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 8,736.11 WASH SALE LOSS DISALLOWED: 885.53 SYMBOL: SDS, CUSIP: 74347B300	☐	09/18/15	11/16/15	7,850.59	7,850.59	0.00
285.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,384.08 WASH SALE LOSS DISALLOWED: 900.76 SYMBOL: SDS, CUSIP: 74347B300	☐	09/18/15	11/20/15	5,483.33	5,483.33	0.00
910.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 21,817.89 WASH SALE LOSS DISALLOWED: 4,309.73 SYMBOL: SDS, CUSIP: 74347B300	☐	09/28/15	11/20/15	17,508.16	17,508.16	0.00
5.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 119.87 WASH SALE LOSS DISALLOWED: 22.08 SYMBOL: SDS, CUSIP: 74347B300	☐	09/28/15	12/04/15	97.79	97.79	0.00
1,370.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 28,824.65 WASH SALE LOSS DISALLOWED: 2,029.19 SYMBOL: SDS, CUSIP: 74347B300	☐	10/09/15	12/04/15	26,795.47	26,795.47	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
185 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 3,892.38 WASH SALE LOSS DISALLOWED: 297.90 SYMBOL: SDS, CUSIP: 74347B300	☐	10/09/15	12/09/15	3,594.48	3,594.48	0 00
25 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 500.00 WASH SALE REPLACEMENT ADDITION: 84.81 WASH SALE LOSS DISALLOWED: 99.07 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/09/15	485 74	485.74	0.00
220.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 4,400.00 WASH SALE REPLACEMENT ADDITION: 693.06 WASH SALE LOSS DISALLOWED: 818.54 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/09/15	4,274.52	4,274.52	0.00
70 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,400.00 WASH SALE REPLACEMENT ADDITION: 263.36 WASH SALE LOSS DISALLOWED: 303.29 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/09/15	1,360.07	1,360.07	0.00
505 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 10,165.70 WASH SALE REPLACEMENT ADDITION: 2,391 66 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	11/17/15	12/15/15	10,016.64	12,557 36	-2,540 72
135.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 2,700.00 WASH SALE LOSS DISALLOWED: 274.91 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/15/15	2,677.72	2,932.99	-255.28
50.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,006.50 WASH SALE REPLACEMENT ADDITION: 158.03	☐	11/17/15	12/15/15	991 75	1,164.53	-172.79

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300						
85 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,700.00 WASH SALE REPLACEMENT ADDITION: 232.15 WASH SALE LOSS DISALLOWED: 246.18 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/15/15	1,685.97	1,685.97	0.00
30 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 600.00 WASH SALE REPLACEMENT ADDITION: 68.12 WASH SALE LOSS DISALLOWED: 73.07 SYMBOL: SDS, CUSIP: 74347B300	☐	10/27/15	12/15/15	595.05	595.05	0.00
65.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	02/12/14	01/05/15	2,883.44	4,706.65	-1,823.21
5.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	07/31/14	01/05/15	221.80	297.15	-75.35
75 000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	07/31/14	01/27/15	2,973.79	4,457.23	-1,483.44
50.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 2,971.48 WASH SALE LOSS DISALLOWED: 893.32 SYMBOL: TBT, CUSIP: 74347B201	☐	07/31/14	03/18/15	2,078.17	2,078.17	0.00
75.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 3,801.56 WASH SALE LOSS DISALLOWED: 684.31 SYMBOL: TBT, CUSIP: 74347B201	☐	12/05/14	03/18/15	3,117.26	3,117.26	0.00
115 000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 5,829.07 WASH SALE LOSS DISALLOWED: 335.63 SYMBOL: TBT, CUSIP: 74347B201	☐	12/05/14	04/23/15	4,971.35	5,493.44	-522.09
5.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 210.15 WASH SALE REPLACEMENT ADDITION: 45.62	☐	03/31/15	04/23/15	216.15	255.77	-39.63

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED 0.00 SYMBOL: TBT, CUSIP: 74347B201						
50 000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 2,101.51 WASH SALE REPLACEMENT ADDITION: 893.32 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: TBT, CUSIP: 74347B201	☐	03/31/15	05/07/15	2,350.54	2,994.83	-644.29
70.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	03/31/15	05/07/15	3,290.76	3,580.81	-290.05
45.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS ORIGINAL COST 1,891.36 WASH SALE REPLACEMENT ADDITION: 335.63 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: TBT, CUSIP: 74347B201	☐	03/31/15	05/07/15	2,115.49	2,226.99	-111.51
120 000	PULTEGROUP INC SYMBOL: PHM, CUSIP: 745867101	☐	05/08/15	06/29/15	2,414.87	2,368.42	46.45
0.124	RMR GROUP INC (THE) CLASS A SYMBOL: RMR, CUSIP: 74967R106	☐	12/14/15	12/14/15	1.80	1.47	0.33
0.953	RMR GROUP INC (THE) CLASS A SYMBOL: RMR, CUSIP: 74967R106	☐	12/14/15	12/14/15	13.86	11.33	2.53
2 000	RMR GROUP INC (THE) CLASS A SYMBOL: RMR, CUSIP: 74967R106	☐	12/15/15	12/22/15	28.02	23.78	4.24
13 000	RMR GROUP INC (THE) CLASS A SYMBOL: RMR, CUSIP: 74967R106	☐	12/15/15	12/22/15	182.12	154.57	27.55
270.000	SECTOR SPDR TRUST SBI CONSUMER STAPLES SYMBOL: XLP, CUSIP: 81369Y308	☐	11/03/15	11/24/15	13,324.25	13,497.30	-173.05
95.000	SELECT SECTOR SPDR FUND SHS BEN INT MATERIALS SYMBOL: XLB, CUSIP: 81369Y100	☐	03/30/15	04/28/15	4,815.57	4,666.32	149.25
170.000	SELECT SECTOR SPDR TRUST THE INDUSTRIAL SELECT SECTOR SPDR FUND SYMBOL: XLI, CUSIP: 81369Y704	☐	06/16/15	06/29/15	9,275.29	9,440.10	-164.81
115.000	SELECT SECTOR SPDR TRUST	☐	03/30/15	04/28/15	4,995.50	4,808.14	187.36

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	THE TECHNOLOGY SELECT SECTOR SPDR FUND SYMBOL: XLK, CUSIP: 81369Y803						
310.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND SYMBOL: XLF, CUSIP: 81369Y605	☐	01/29/15	02/18/15	7,563.86	7,226.10	337.76
295.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND SYMBOL: XLF, CUSIP: 81369Y605	☐	01/29/15	03/19/15	7,194.91	6,876.45	318.46
195.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND SYMBOL: XLF, CUSIP: 81369Y605	☐	03/30/15	06/12/15	4,872.96	4,726.80	146.16
120.000	SELECT SECTOR SPDR TRUST SHS BEN INT ENERGY SYMBOL: XLE, CUSIP: 81369Y506	☐	06/16/15	10/09/15	8,267.84	9,232.80	-964.96
65.000	SELECT SECTOR SPDR TRUST SHS BEN INT ENERGY SYMBOL: XLE, CUSIP: 81369Y506	☐	07/01/15	11/04/15	4,608.29	4,837.22	-228.93
105.000	SOUTHERN CO SYMBOL: SO, CUSIP: 842587107	☐	02/20/15	08/21/15	4,814.16	4,844.60	-30.44
25.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 4,418.74 WASH SALE LOSS DISALLOWED: 32.55 SYMBOL: DIA, CUSIP: 78467X109	☐	11/18/14	01/13/15	4,386.19	4,386.19	0.00
40.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 7,133.59 WASH SALE LOSS DISALLOWED: 115.68 SYMBOL: DIA, CUSIP: 78467X109	☐	01/08/15	01/13/15	7,017.91	7,017.91	0.00
10.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	☐	12/17/14	01/13/15	1,754.48	1,718.19	36.29
60.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 10,309.11 WASH SALE REPLACEMENT ADDITION: 83.90 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	☐	12/17/14	01/13/15	10,526.87	10,393.01	133.85

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
25.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 4,458.49 WASH SALE REPLACEMENT ADDITION: 32.55 WASH SALE LOSS DISALLOWED: 165.88 SYMBOL: DIA, CUSIP: 78467X109	☐	01/08/15	01/27/15	4,325.16	4,325.16	0.00
70.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 12,483.78 WASH SALE LOSS DISALLOWED: 373.34 SYMBOL: DIA, CUSIP: 78467X109	☐	01/08/15	01/27/15	12,110.44	12,110.44	0.00
25.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 4,364.70 WASH SALE REPLACEMENT ADDITION: 165.88 WASH SALE LOSS DISALLOWED: 52.90 SYMBOL: DIA, CUSIP: 78467X109	☐	01/20/15	02/20/15	4,477.70	4,477.70	0.00
5.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 872.94 WASH SALE REPLACEMENT ADDITION: 26.67 WASH SALE LOSS DISALLOWED: 4.07 SYMBOL: DIA, CUSIP: 78467X109	☐	01/20/15	02/20/15	895.54	895.54	0.00
40.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 6,983.53 WASH SALE REPLACEMENT ADDITION: 115.68 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	☐	01/20/15	02/20/15	7,164.31	7,099.21	65.10
65.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 11,348.24 WASH SALE LOSS DISALLOWED: 106.54 SYMBOL: DIA, CUSIP: 78467X109	☐	01/20/15	03/13/15	11,521.79	11,588.38	-66.59
5.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 885.79 WASH SALE REPLACEMENT ADDITION: 10.58 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	☐	03/11/15	03/13/15	886.29	896.38	-10.09
35.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 6,200.58 WASH SALE REPLACEMENT ADDITION: 93.22	☐	03/11/15	03/19/15	6,287.68	6,293.81	-6.13

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED 0.00 SYMBOL DIA, CUSIP: 78467X109						
5.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 885.79 WASH SALE REPLACEMENT ADDITION: 4.07 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	☐	03/11/15	03/19/15	898.24	889.87	8.37
20.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL DIA, CUSIP: 78467X109	☐	03/11/15	05/05/15	3,576.57	3,585.51	-8.94
5.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	☐	03/11/15	05/05/15	894.14	899.12	-4.97
80.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	☐	06/10/15	06/19/15	14,446.58	14,355.20	91.38
50.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 8,972.00 WASH SALE LOSS DISALLOWED: 96.42 SYMBOL: DIA, CUSIP: 78467X109	☐	06/10/15	06/29/15	8,875.58	8,875.58	0.00
80.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	☐	07/10/15	07/17/15	14,411.59	14,217.57	194.02
50.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 8,885.98 WASH SALE REPLACEMENT ADDITION: 96.42 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	☐	07/10/15	08/03/15	8,790.00	8,982.40	-192.40
80.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	☐	07/28/15	08/03/15	14,063.99	14,018.32	45.67
35.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	09/17/14	03/19/15	1,455.27	1,699.20	-243.94
15.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	09/26/14	03/19/15	623.69	700.93	-77.24

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)							
QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
60 000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP 78463X772	☐	09/26/14	05/05/15	2,757.10	2,803.70	-46.60
55.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	10/31/14	05/05/15	2,527.35	2,526.13	1 22
170.000	STAPLES INC SYMBOL: SPLS, CUSIP 855030102	☐	10/02/14	01/13/15	2,878.03	2,039.57	838.46
155.000	TELEFONICA BRASIL SA SPONSORED ADR SYMBOL: VIV, CUSIP: 87936R106	☐	03/13/15	07/07/15	2,125.01	2,405 10	-280 09
340.000	TELEFONICA SA SPONSORED ADR SYMBOL: TEF, CUSIP 879382208	☐	03/13/15	04/21/15	43 27	54.73	-11 46
340.000	TELEFONICA SA SPONSORED ADR SYMBOL: TEF, CUSIP 879382208	☐	03/13/15	07/23/15	5,126 83	4,691.53	435.30
185.000	TRINSEO S A SHS SYMBOL: TSE, CUSIP L9340P101	☐	07/31/15	08/07/15	5,471.21	4,630.27	840.94
40 000	TUPPERWARE BRANDS CORPORATION SYMBOL: TUP, CUSIP 899896104	☐	10/27/14	01/28/15	2,647 34	2,553.87	93.47
40.000	TUPPERWARE BRANDS CORPORATION SYMBOL: TUP, CUSIP 899896104	☐	10/27/14	06/29/15	2,629.78	2,553.87	75.91
25.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP 92343V104	☐	08/08/14	02/06/15	1,238.52	1,211.47	27.05
80.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	☐	03/17/14	02/06/15	3,963.28	3,711 48	251.80
50.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	☐	12/05/14	10/27/15	2,302.09	2,431.93	-129 84
5.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP 92343V104	☐	07/28/15	10/27/15	230.21	229 07	1.14
65.000	WAL-MART STORES INC SYMBOL WMT, CUSIP 931142103	☐	06/16/15	09/28/15	4,139.12	4,705 35	-566.24
65.000	WAL-MART STORES INC SYMBOL: WMT, CUSIP: 931142103	☐	07/01/15	09/28/15	4,139.12	4,600.62	-461.51
0 167	WINDSTREAM HOLDINGS INC	☐	04/06/15	04/29/15	1 81	1.96	-0 15

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	COM SYMBOL: WIN, CUSIP 97382A200						
	Short-Term Subtotal				841,997.32		-17,852.05

Long-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
105 000	AMERICAN CAPITAL MORTGAGE INVESTMENT CORP SYMBOL: MTGE, CUSIP: 02504A104	☐	02/12/13	07/23/15	1,696.83	2,700.65	-1,003.82
105.000	AMERICAN CAPITAL MORTGAGE INVESTMENT CORP SYMBOL: MTGE, CUSIP: 02504A104	☐	09/25/13	07/23/15	1,696.83	2,223.85	-527.02
75.000	AMERICAN CAPITAL MORTGAGE INVESTMENT CORP SYMBOL: MTGE, CUSIP: 02504A104	☐	06/28/13	07/23/15	1,212.02	1,324.54	-112.52
560.000	APOLLO INVESTMENT CORPORATION COMMON STOCK SYMBOL: AINV, CUSIP: 03761U106	☐	09/25/13	11/09/15	3,264.73	4,468.18	-1,203.45
40.000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	☐	09/25/12	12/02/15	404.44	369.81	34.64
170 000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	☐	03/20/14	12/02/15	1,718.89	1,540.23	178.65
230.000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	☐	09/25/13	12/02/15	2,325.55	2,138.77	186.78
205.000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	☐	02/26/13	10/08/15	1,588.27	2,294.13	-705.86
125.000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	☐	03/05/13	10/08/15	968.46	1,400.73	-432.27
235 000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	☐	06/30/14	10/08/15	1,820.70	2,076.61	-255.91
25.000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	☐	10/18/12	10/08/15	193.69	323.90	-130.21
260.000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	☐	09/25/13	10/08/15	2,014.39	2,062.53	-48.14
100 000	DOW CHEMICAL COMPANY (THE) SYMBOL: DOW, CUSIP: 260543103	☐	11/28/14	12/10/15	5,472.89	4,873.94	598.95

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
220.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP 294821608	☐	12/24/13	02/03/15	2,762.36	2,641.17	121.20
355.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP 31678A103	☐	11/27/13	02/11/15	2,414.59	3,346.91	-932.32
560.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP 31678A103	☐	12/13/13	08/12/15	3,640.38	5,033.39	-1,393.01
160.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP 31678A103	☐	11/27/13	08/12/15	1,040.11	1,508.42	-468.32
530.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP 31678A103	☐	12/20/13	12/22/15	3,215.61	4,858.65	-1,643.04
30 000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP 31678A103	☐	12/13/13	12/22/15	182.02	269.65	-87.63
305.000	FIFTH STREET SENIOR FLOATING RATE CORP SYMBOL: FSFR, CUSIP 31679F101	☐	09/17/14	12/14/15	2,261.65	3,624.19	-1,362.54
125 000	FIFTH STREET SENIOR FLOATING RATE CORP SYMBOL: FSFR, CUSIP 31679F101	☐	10/10/14	12/14/15	926.91	1,402.18	-475.27
20 000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP 369604103	☐	09/04/13	10/27/15	588.82	462.34	126.49
95.000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP 369604103	☐	08/04/14	10/27/15	2,796.92	2,394.00	402.92
165.000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP 369604103	☐	09/25/13	10/27/15	4,857.80	4,019.07	838.73
265 000	INVESCO MORTGAGE CAPITAL INC SYMBOL: IVR, CUSIP 46131B100	☐	07/01/14	11/16/15	3,408.36	4,594.49	-1,186.13
25.000	INVESCO MORTGAGE CAPITAL INC SYMBOL: IVR, CUSIP 46131B100	☐	07/01/14	12/07/15	320.95	433.44	-112.49
385.000	ISHARES MORTGAGE REAL ESTATE CAPPED ETF SYMBOL: REM, CUSIP 464288539	☐	11/14/13	06/29/15	4,090.78	4,307.15	-216.37

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
40.000	JPMORGAN CHASE & CO SYMBOL: JPM, CUSIP 46625H100	☐	09/25/13	01/14/15	2,236.39	2,051.20	185 19
35.000	KOHL'S CORP SYMBOL: KSS, CUSIP 500255104	☐	11/13/14	12/22/15	1,612.27	1,952.27	-340 00
245.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP 708062104	☐	09/25/14	10/19/15	1,738.39	2,721.36	-982.97
218.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	09/05/14	10/19/15	1,546.81	2,507.00	-960.19
225.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	06/26/14	10/19/15	1,596.48	2,540.84	-944.36
170.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	09/25/13	10/19/15	1,206.23	1,901.79	-695.56
135.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	05/14/13	10/19/15	957.89	1,545.21	-587.32
140.000	PENNANTPARK INVESTMENT CORP SYMBOL: PNNT, CUSIP: 708062104	☐	06/06/13	10/19/15	993.37	1,533.39	-540.02
665.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	09/25/13	12/22/15	4,551.31	7,600.15	-3,048.84
180.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	04/18/13	12/22/15	1,231.93	1,886.40	-654.47
115.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	11/12/12	12/22/15	787.07	1,211.87	-424.80
85.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	07/11/13	12/22/15	581.75	930.25	-348.50
45.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	03/20/14	12/22/15	307.98	486.31	-178.33
70.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF ORIGINAL COST 3,398.40 WASH SALE REPLACEMENT ADDITION: 116.13 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DWX, CUSIP: 78463X772	☐	09/17/14	03/19/15	2,910.53	3,514.54	-604.01
35.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	09/25/13	03/19/15	1,455.27	1,642.20	-186.93
405.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	09/25/13	03/19/15	2,706.08	3,936.20	-1,230.12

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
160.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	02/12/13	03/19/15	1,069.07	1,639.94	-570.87
160.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	09/25/13	12/02/15	1,101.16	1,555.04	-453.88
90.000	TICC CAPITAL CORP ORIGINAL COST 882.43 WASH SALE REPLACEMENT ADDITION 6.81 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: TICC, CUSIP: 87244T109	☐	03/14/14	12/02/15	619.40	889.24	-269.84
90.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	03/14/14	12/02/15	619.40	882.43	-263.03
20.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	03/14/14	12/02/15	137.65	196.10	-58.45
145.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	03/14/14	12/22/15	846.68	1,421.70	-575.02
70.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	☐	08/19/14	10/27/15	3,222.92	3,383.78	-160.86
50.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	☐	10/14/14	10/27/15	2,302.09	2,427.43	-125.34
25.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	☐	08/08/14	10/27/15	1,151.04	1,211.47	-60.43
Long-Term Subtotal					94,374.11		-23,886.91
Total Gains and Losses					936,371.43		-41,738.96
Short-Term							-17,852.05
Long-Term							-23,886.91
Term Unknown							0.00

2015

Powershares DB US Dollar Index Bullish Fund (UUP)

		(3)	(4)	(5)	(6)	(7)	(8)	Gain or Loss Classification	
								(9)	(10)
Units Disposed	Acquisition Date	Disposition Date	Sales Proceeds	Purchase Amt	Adjustments to Basis	Total Basis	Total Gain/Loss (4 Less 7)	Short-Term Capital Gain/Loss	Long Term Capital Gain/Loss
3270	5/28/2015	6/10/2015	81,094.50	83,674.40	-1,571.00	82,103.40	-1,008.90	-1,008.90	
Totals			81,094.50	83,674.40	-1,571.00		-1,008.90	-1,008.90	
Total Gain								-1,008.90	

Reported Realized Gain/Loss (4 minus 5)
Less: Adjustments to Basis
-1,008.90

AMT Basis Adjustment
Gain/Loss to Report on Tax Return
-1,008.90