Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

► **Do not enter social security numbers on this form as it may be made public.**
► **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: ARNOLD AND AUGUSTA NEWMAN FOUNDATION

Number and street (or P O box number if mail is not delivered to street address): 5200 WEST 73RD STREET

Room/suite:

City or town, state or province, country, and ZIP or foreign postal code: MINNEAPOLIS MN 55439

A Employer identification number: 36-4632880

B Telephone number (see instructions): (952) 841-2222

C If exemption application is pending, check here ► ☐

D 1 Foreign organizations, check here ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ► ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► ☐

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

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)* ► $ 5,832,531.

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	46,666.	46,666.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	0.	L-6a Stmt		
	b	Gross sales price for all assets on line 6a 106,062.				
	7	Capital gain net income (from Part IV, line 2)		0.		
	8	Net short-term capital gain				
	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)				
	12	**Total.** Add lines 1 through 11	46,666.	46,666.		
OPERATING AND ADMINISTRATIVE EXPENSES	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach sch)				
	c	Other prof fees (attach sch)	15,534.	15,534.		
	17	Interest				
	18	Taxes (attach schedule)(see instrs) EXCISE TAXES.	1,374.			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)				
		MN ATTY GENERAL FILING FEE	75.			75.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	16,983.	15,534.		75.
	25	Contributions, gifts, grants paid	98,985.			98,985.
	26	**Total expenses and disbursements.** Add lines 24 and 25	115,968.	15,534.		99,060.
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	-69,302.			
	b	**Net investment income** (if negative, enter -0-)		31,132.		
	c	**Adjusted net income** (if negative, enter -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	249,426.	252,715.	252,715.
	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			
	10a	Investments — U.S. and state government obligations (attach schedule)			
	b	Investments — corporate stock (attach schedule)			
	c	Investments — corporate bonds (attach schedule)			
	11	Investments — land, buildings, and equipment: basis ►			
		Less accumulated depreciation (attach schedule) ►			
	12	Investments — mortgage loans			
	13	Investments — other (attach schedule)	1,853,533.	1,885,458.	1,908,125.
	14	Land, buildings, and equipment: basis ►			
		Less accumulated depreciation (attach schedule) ►			
	15	Other assets (describe ► L-15 Stmt)	3,777,752.	3,671,691.	3,671,691.
	16	**Total assets** (to be completed by all filers — see the instructions Also, see page 1, item I)	5,880,711.	5,809,864.	5,832,531.
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			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	5,880,711.	5,809,864.	
	30	**Total net assets or fund balances** (see instructions)	5,880,711.	5,809,864.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	5,880,711.	5,809,864.	

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	5,880,711.
2	Enter amount from Part I, line 27a	2	-69,302.
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	5,811,409.
5	Decreases not included in line 2 (itemize) ► BOOK TAX DIFFERENCES	5	1,545.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	5,809,864.

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	SEE ATTACHED	P	01/01/10	12/31/15
b	CAPITAL GAIN DISTRIBUTIONS	P	12/31/14	12/31/15
c				
d				
e				

	(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	649,666.		666,219.	-16,553.
b	15,005.		0.	15,005.
c				
d				
e				

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				-16,553.
b				15,005.
c				
d				
e				

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	-1,548.
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	

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	86,849.	1,974,460.	0.043986
2013	115,498.	1,613,266.	0.071593
2012	126,200.	1,110,834.	0.113608
2011	44,625.	406,169.	0.109868
2010	71,844.	343,749.	0.209001

2	**Total** of line 1, column (d)	2	0.548056
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	0.109611
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5.	4	2,122,734.
5	Multiply line 4 by line 3	5	232,675.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	311.
7	Add lines 5 and 6.	7	232,986.
8	Enter qualifying distributions from Part XII, line 4	8	99,060.

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	623.
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	623.
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	623.
6	Credits/Payments:				
a	2015 estimated tax pmts and 2014 overpayment credited to 2015	6 a			
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	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	14.
9	**Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ►			9	637.
10	**Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ►			10	0.
11	Enter the amount of line 10 to be **Credited to 2016 estimated tax** ►		**Refunded** ►	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?	1 a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1 b		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?	1 c		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*	2		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*	3		X
4 a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4 a		X
b	If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4 b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If 'Yes,' attach the statement required by General Instruction T*	5		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?	6		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*	7	X	
8 a	Enter the states to which the foundation reports or with which it is registered (see instructions) ► MN - Minnesota			
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*	8 b	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*	9		X
10	Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses*	10		X

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

			Yes	No
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 ▶ TREASURER OF FOUNDATION Telephone no ▶ (952) 841-2222

Located at ▶ 5200 WEST 73RD STREET EDINA MN ZIP + 4 ▶ 55439

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

			Yes	No
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		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114 If 'Yes,' enter the name of the foreign country ▶			

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

			Yes	No
	File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.			
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		
	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 ▶ 20__ , 20__ , 20__ , 20__ .			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement – see instructions)	2 b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 20__ , 20__ , 20__ , 20__ .			
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

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)? **5 b**

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

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

If 'Yes,' attach the statement required by Regulations section 53.4945-5(d).

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? **6 b** X (No)

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

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
ERIC A. NEWMAN 5200 W 73RD ST EDINA MN 55439	PRES/DIR/SEC 5.00	0.	0.	0.
DAVID S. NEWMAN 5200 W 73RD STREET EDINA MN 55439	VP/DIR/TREASURER 5.00	0.	0.	0.
DEIRDRE STEINBERG 5200 W 73RD STREET EDINA MN 55439	DIRECTOR 1.00	0.	0.	0.
JANICE GEPNER 5200 W 73RD STREET EDINA MN 55439	DIRECTOR 1.00	0.	0.	0.

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

(a) Name and address of each employee paid more than $50,000	(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
NONE				

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes		
a	Average monthly fair market value of securities	1a	1,902,023.
b	Average of monthly cash balances	1b	253,037.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	2,155,060.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	2,155,060.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	32,326.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,122,734.
6	**Minimum investment return.** Enter 5% of line 5	6	106,137.

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	106,137.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	623.		
b	Income tax for 2015 (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	623.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	105,514.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	105,514.
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	105,514.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc, purposes		
a	Expenses, contributions, gifts, etc — total from Part I, column (d), line 26	1a	99,060.
b	Program-related investments — total from Part IX-B	1b	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)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	99,060.
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	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	99,060.

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

Part XIII Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7					105,514.
2 Undistributed income, if any, as of the end of 2015					
a Enter amount for 2014 only				0.	
b Total for prior years 20 ___ , 20 ___ , 20 ___					
3 Excess distributions carryover, if any, to 2015					
a From 2010	54,735.				
b From 2011	24,464.				
c From 2012	71,145.				
d From 2013	35,486.				
e From 2014	0.				
f **Total** of lines 3a through e		185,830.			
4 Qualifying distributions for 2015 from Part XII, line 4: ► $ 99,060.					
a Applied to 2014, but not more than line 2a					
b Applied to undistributed income of prior years (Election required — see instructions)					
c Treated as distributions out of corpus (Election required — see instructions)					
d Applied to 2015 distributable amount					99,060.
e Remaining amount distributed out of corpus		0.			
5 Excess distributions carryover applied to 2015 *(If an amount appears in column (d), the same amount must be shown in column (a).)*		6,454.			6,454.
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		179,376.			
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)		48,281.			
9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a		131,095.			
10 Analysis of line 9					
a Excess from 2011	24,464.				
b Excess from 2012	71,145.				
c Excess from 2013	35,486.				
d Excess from 2014	0.				
e Excess from 2015	0.				

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

1 a 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)

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

NONE

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.

NONE

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				
MAINE MEDIA WORKSHOPS 70 CAMDEN STREET ROCKPORT ME 04856	NONE	PUBLIC	SPONSORS MMMW SCHOLARSHIP PROGRAM	30,000.
LOWE ART MUSEUM 1301 STANFORD DR CORAL GABLES FL 33124	NONE	PUBLIC	SPECIAL EVENT LECTURE & WORKSHOP IN PHOTOGRAPHY	16,000.
MPLS INSTITUTE OF ARTS 2400 3RD AVENUE SOUTH MINNEAPOLIS MN 55404	NONE	PUBLIC	SPECIAL EVENT LECTURE & WORKSHOP IN PHOTOGRAPHY	5,000.
JEWISH COMMUNITY CTR 1301 FARMERS LN SANTA ROSA CA 95405	NONE	PUBLIC	DECENDANTS OF LIGHT PROJECT	500.
HARRY RANSOM CENTER 300 W 21ST ST AUSTIN TX 78712	NONE	PUBLIC	GENERAL	29,985.
INTL CENTER OF PHOTOGRAPHY 250 BOWERY NEW YORK NY 10012	NONE	PUBLIC	GENERAL	5,000.
PORTLAND ART MUSEUM 1219 SW PARK AVENUE PORTLAND OR 97205		PUBLIC	GENERAL	5,000.
PHILADELPHIA ART MUSEUM 2600 BENJAMIN FRANKLIN PKWY PHILADELPHIA PA 19130	NONE	PUBLIC	GENERAL	7,500.
Total . . . . ► **3 a**				98,985.
b Approved for future payment				
Total . . . . ► **3 b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	46,666.	
5 Net rental income or (loss) from real estate.					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18		0.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue.					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				46,666.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 46,666.

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions.)
1	N/A

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

(a) Line no	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements

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

Sign Here

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

Signature of officer or trustee — Date: 11/15/16 — Title: Director

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

Paid Preparer Use Only

Print/Type preparer's name PAUL J DINZEO	Preparer's signature	Date 11/15/16	Check ☐ if self-employed	PTIN P00288899
Firm's name ► Paul J Dinzeo CPA, P.A.			Firm's EIN ► 27-5070786	
Firm's address ► 3145 Ilo Way Stillwater MN 55082			Phone no (952) 905-9119	

Form 990-PF, Page 2, Part II, Line 15

Other Assets Stmt

Line 15 - Other Assets:	Beginning Year Book Value	End of Year Book Value	End of Year Fair Market Value
PHOTOGRAPHS FOR CHARITABLE PURPOSE	3,777,752.	3,671,691.	3,671,691.
Total	3,777,752.	3,671,691.	3,671,691.

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Schwab One® Account of
ARNOLD AND AUGUSTA NEWMAN FOUNDATION

Account Number [redacted]

Statement Period
December 1-31, 2015

Income Summary

	This Period		Year to Date	
	Federally Tax-Exempt	Federally Taxable	Federally Tax-Exempt	Federally Taxable
Deposit Accounts Interest	0.00	1.18	0.00	1.60
Money Funds Dividends	0.00	0 00	0 00	6.00
Cash Dividends	0 00	12,913 89	0 00	29,354.79
Total Capital Gains	0.00	12,595 23	0 00	14,015 20
Total Income	**0.00**	**25,510.30**	**0.00**	**43,377.59**

Investment Detail - Cash and Deposit Accounts

Cash	**Market Value**	**% of Account Assets**
Cash	2,265.25	<1%
Total Cash	**2,265.25**	**<1%**

Deposit Accounts	**Market Value**	**% of Account Assets**
Deposit Accounts X,Z	145,236 99	8%
Total Deposit Accounts	**145,236.99**	**8%**

Total Cash and Deposit Accounts	**147,502.24**	**8%**

Investment Detail - Mutual Funds

Bond Funds	**Quantity**	**Market Price**	**Market Value**	**% of Account Assets**	**Average Cost Basis**	**Cost Basis**	**Unrealized Gain or (Loss)**
ABERDEEN TOTAL RETURN BD FD CL I SYMBOL JBGIX	7,851.6790	12.9900	101,993.31	5%	13 74	108,109.02	(6,115 71)

Schwab has provided accurate gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement

Investment Detail - Mutual Funds (continued)

Bond Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
BLACKROCK STRAT INCM OPPTY PORT INSTL SYMBOL. BSIIX	15,168 3240	9 7700	148,194.53	8%	10.26	155,658.39	(7,463.86)
LOOMIS SAYLES BOND FUND **CL I** SYMBOL. LSBDX	14,057.1080	12.8800	181,055.55	9%	14.79	203,708 93 [a]	(22,653.38)
NEUBERGER BERMAN CORE BD FD INSTL CL SYMBOL. NCRLX	5,976.3430	10.2600	61,317.28	3%	10 65	63,653 86	(2,336.58)

[redacted]

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
ABERDEEN SMALL CAP FD INST CL SYMBOL GSCIX	2,000.2600	28.0400	56,087.29	3%	28.00	56,000 00	87.29
AQR LG CAP MULTI STYLE I SYMBOL QCELX	3,590 2580	13.7400	49,330 14	3%	13.59	48,790 04	540.10
ARTISAN INTL SMALL CAP FUND INVESTOR SHARE SYMBOL ARTJX	1,965 7490	24.1200	47,413.87	2%	21 38	42,020.83 [a]	5,393.04
BAIRD MID CAP FUND INST SYMBOL. BMDIX	3,217 7400	14.9900	48,233 92	3%	11.97	38,510 15	9,723 77

Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
FIRST EAGLE OVERSEAS FUND CL I SYMBOL. SGOIX	6,964.4100	22 4000	156,002 78	8%	22 38	155,842.03 [a]	160 75
GOODHAVEN FD SYMBOL GOODX	4,360 9190	19.3700	84,471.00	4%	22 66	98,837.56	(14,366.56)
IVA INTL FD CL I SYMBOL. IVIQX	5,424 5900	15 5800	84,515.11	4%	16.07	84,033.08 [a]	482.03
OAKMARK SELECT FUND SYMBOL. OAKLX	1,826.3720	39.2100	71,612.05	4%	34 55	63,868 59	7,743 46
SCHWAB FUNDAMENTAL US SMALL CO INDEX SYMBOL· SFSNX	1,556 8860	11 6700	18,168 86	<1%	12.77	16,437 69	1,731 17
T ROWE PRICE EUROPEAN STOCK FUND SYMBOL. PRESX	3,024 7050	19 3500	58,528 04	3%	19.06	57,643.54	884.50
[redacted]							
[redacted]							

Investment Detail - Other Assets

Other Assets	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
ISHARES CORE MSCI	**2,062.0000**	**39.3900**	**81,222.18**	**4%**	**857.38**	**2.77%**	**2,252.87**
EMERGING ETF	2,062 0000	38 9741	80,364.80	08/25/15	857.38	128	Short-Term
SYMBOL. IEMG							
ISHARES CORE S&P SMALL	**607.0000**	**110.1100**	**66,836.77**	**4%**	**(1,844.02)**	**1.81%**	**1,210.54**
CAP ETF	91.0000	113.2060	10,301 75	11/18/15	(281.74)	43	Short-Term
SYMBOL. IJR	484.0000	113 2090	54,793.16	11/18/15	(1,499 92)	43	Short-Term
	32.0000	112.0587	3,585 88	12/10/15	(62.36)	21	Short-Term
Cost Basis			*68,680.79*				
ISHARES CORE S&P 500	**354.0000**	**204.8700**	**72,523.98**	**4%**	**24,338.97**	**2.31%**	**1,681.16**
ETF @	34.0000	136 3050	4,634 37	05/08/12	2,331 21	1332	Long-Term
SYMBOL. IVV	100.0000	136 3049	13,630 49	05/08/12	6,856.51	1332	Long-Term
	195.0000	128 6818	25,092 97	06/04/12	14,856.68	1305	Long-Term
	25 0000	193 0872	4,827.18	08/01/14	294.57	517	Long-Term
Cost Basis			*48,185.01*				
ISHARES MSCI ALL COUNT	**836.0000**	**53.4100**	**44,650.76**	**2%**	**1,079.53**	**3.36%**	**1,504.34**
ASA EX JP ETF	836 0000	52.1186	43,571.23	09/02/15	1,079.53	120	Short-Term
SYMBOL. AAXJ							
ISHARES MSCI EUROZONE	**891.0000**	**35.0400**	**31,220.64**	**2%**	**(1,750.04)**	**0.43%**	**137.01**
ETF	601.0000	35 9216	21,588.94	10/13/14	(529 90)	444	Long-Term
SYMBOL EZU	290 0000	39 2473	11,381 74	03/30/15	(1,220.14)	276	Short-Term
Cost Basis			*32,970.68*				
ISHARES MSCI USA QUALITY	**938.0000**	**64.5700**	**60,566.66**	**3%**	**(684.65)**	**1.67%**	**1,014.28**
FACTOR ETF	938.0000	65.2999	61,251.31	08/05/15	(684.65)	148	Short-Term
SYMBOL. QUAL							

Schwab has provided accurate gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement

Investment Detail - Other Assets (continued)

Other Assets (continued)	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
ISHARES RUSSELL MID CAP	**506.0000**	**91.9200**	**46,511.52**	**2%**	**11,504.43**	**1.26%**	**589.62**
GROWTH ETF	57 0000	60 4470	3,445.48	05/08/12	1,793.96	1332	Long-Term
SYMBOL IWP	107.0000	56.4656	6,041.82	06/04/12	3,793 62	1305	Long-Term
	71 0000	60 4760	4,293 80	08/10/12	2,232 52	1238	Long-Term
	25 0000	61 4804	1,537.01	10/12/12	760 99	1175	Long-Term
	57 0000	61.3070	3,494.50	11/07/12	1,744 94	1149	Long-Term
	71.0000	83.9560	5,960.88	05/07/14	565.44	603	Long-Term
	14 0000	88.1371	1,233 92	06/11/14	52 96	568	Long-Term
	23 0000	88.1408	2,027 24	06/11/14	86 92	568	Long-Term
	81 0000	86 0795	6,972 44	08/01/14	473.08	517	Long-Term
Cost Basis			*35,007.09*				
ISHARES RUSSELL 1000	**585.0000**	**99.4800**	**58,195.80**	**3%**	**19,589.79**	**1.53%**	**894.73**
GROWTH ETF	123 0000	49.1917	6,050 59[a]	02/17/10	6,185.45	2143	Long-Term
SYMBOL. IWF	247 0000	61 9928	15,312 23	05/17/12	9,259 33	1323	Long-Term
	13 0000	64 8423	842.95	11/07/12	450 29	1149	Long-Term
	74.0000	68.7409	5,086.83	02/07/13	2,274.69	1057	Long-Term
	55 0000	86.2018	4,741 10	05/07/14	730 30	603	Long-Term
	73 0000	90 0316	6,572 31	06/11/14	689.73	568	Long-Term
Cost Basis			*38,606.01*				
ISHARES RUSSELL 2000	**931.0000**	**112.6200**	**104,849.22**	**5%**	**26,976.96**	**1.76%**	**1,846.47**
ETF	167 0000	78.5506	13,117.96	05/08/12	5,689.58	1332	Long-Term
SYMBOL: IWM	273 0000	76.2507	20,816.46	05/17/12	9,928.80	1323	Long-Term
	231 0000	74.1767	17,134 83	06/04/12	8,880.39	1305	Long-Term
	31 0000	76.6587	2,376 42	06/28/12	1,114.80	1281	Long-Term
	27.0000	80.7714	2,180 83	11/07/12	859.91	1149	Long-Term

Schwab has provided accurate gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement

Investment Detail - Other Assets (continued)

Other Assets (continued)	**Quantity** Units Purchased	**Market Price** Cost Per Share	**Market Value** Cost Basis	**% of Account Assets** Acquired	**Unrealized Gain or (Loss)**	**Estimated Yield** Holding Days	**Estimated Annual Income** Holding Period
ISHARES RUSSELL 2000	25 0000	109 8680	2,746 70	05/07/14	68 80	603	Long-Term
	5.0000	114.9160	574.58	07/16/14	(11.48)	533	Long-Term
	172.0000	110.0260	18,924.48	08/01/14	446.16	517	Long-Term
Cost Basis			*77,872.26*				
SCHWAB US BROAD MARKET	**376.0000**	**49.0400**	**18,439.04**	**<1%**	**441.57**	**2.03%**	**375.40**
ETF	376 0000	47.8656	17,997.47	10/06/15	441.57	86	Short-Term
SYMBOL. SCHB							
VANGUARD FTSE ALL WORLD	**200.0000**	**43.4100**	**8,682.00**	**<1%**	**1,097.98**	**3.08%**	**268.00**
EX US ETF	200 0000	37 9201	7,584.02	06/04/12	1,097 98	1305	Long-Term
SYMBOL. VEU							
Total Other Assets	**8,286.0000**		**593,698.57**	**31%**	**81,607.90**		**11,774.42**
		Total Cost Basis:	***512,090.67***				

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only The actual income and yield might be lower or higher than the estimated amounts EY is based upon EAI and the current price of the security and will fluctuate For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate

Total Investment Detail	**1,908,124.54**

Total Account Value	**1,908,124.54**
Total Cost Basis	***1,705,204.38***

Schwab has provided accurate gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement

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Nonprof

ARNOLD AND AUGUSTA NEWMAN
FOUNDATION
1905 JAMES AVENUE SOUTH

Total Known Realized Gain/(Loss) $/%
($16,550.11)/(2.48%)

Total Known Short-Term Gain/(Loss)
($4,329.00)

Total Known Long-Term Gain/(Loss)
($12,221.11)

Total Known Proceeds
$649,668.42

Total Known Cost Basis
$666,218.53

Cost Basis - Realized Gain/(Loss) - Filtered by: Current Year **Results: 22**

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
	AAXJ	ISHARES MSCI ALL COUNT ASA EX JP ETF	01/05/2016	09/02/2015	836.00000	$43,538.08	$43,571.23	($33 15)		($33 15)	(0 08%)	
	IEMG	ISHARES CORE MSCI EMERGING ETF	01/14/2016	08/25/2015	2,062.00000	$75,076.45	$80,364.80	($5,288 35)		($5,288 35)	(6.58%)	
⊟	JBGIX	ABERDEEN TOTAL RETURN BD FD CL I	02/17/2016	Hide Lots	581.60900	$7,590 00	$7,921 34	($17 81)	($313 53)	($331.34)	(4 18%)	
			02/17/2016	12/06/2012	300.29100	$3,918 80	$4,232.33		($313 53)	($313.53)	(7.41%)	
			02/17/2016	06/29/2015	11.24200	$146.71	$146.82	($0.11)		($0.11)	(0 07%)	
			02/17/2016	08/05/2015	221 20000	$2,886.66	$2,902.14	($15.48)		($15.48)	(0 53%)	
			02/17/2016	08/28/2015	11.24900	$146 80	$147.25	($0.45)		($0 45)	(0.31%)	
			02/17/2016	09/29/2015	11 11500	$145 05	$145.72	($0 67)		($0.67)	(0 46%)	
			02/17/2016	10/29/2015	9.48200	$123.74	$124 50	($0 76)		($0 76)	(0.61%)	
			02/17/2016	11/24/2015	17 03000	$222 24	$222 58	($0.34)		($0 34)	(0 15%)	
	EZU	ISHARES MSCI EUROZONE ETF	02/17/2016	10/13/2014	491.00000	$15,914 53	$17,637.55		($1,723.02)	($1,723 02)	(9.77%)	
⊟	EZU	ISHARES MSCI EUROZONE ETF	02/17/2016	Hide Lots	400.00000	$12,963 72	$15,333.13	($1,983 04)	($386 37)	($2,369.41)	(15 45%)	
			02/17/2016	10/13/2014	110.00000	$3,565.02	$3,951 39		($386 37)	($386.37)	(9.78%)	
			02/17/2016	03/30/2015	290.00000	$9,398 70	$11,381.74	($1,983.04)		($1,983.04)	(17.42%)	
⊟	NCRLX	NEUBERGER BERMAN CORE BD FD INSTL CL	02/17/2016	Hide Lots	1,065.11200	$10,960 00	$11,044 78	($84 78)		($84.78)	(0.77%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
			02/17/2016	02/27/2015	11.01200	$113.31	$116.84	($3 53)		($3 53)	(3 02%)	
			02/17/2016	03/31/2015	12 26600	$126.22	$130 14	($3 92)		($3 92)	(3 01%)	
			02/17/2016	04/30/2015	13.75100	$141 50	$145.21	($3.71)		($3.71)	(2 55%)	
			02/17/2016	05/29/2015	13 92800	$143 32	$146.10	($2 78)		($2.78)	(1 90%)	
			02/17/2016	06/30/2015	14.02200	$144.29	$145.55	($1.26)		($1.26)	(0.87%)	
			02/17/2016	07/31/2015	13.67600	$140 73	$142.64	($1 91)		($1 91)	(1 34%)	
			02/17/2016	08/05/2015	554.37900	$5,704 56	$5,760.00	($55 44)		($55.44)	(0.96%)	
			02/17/2016	08/31/2015	15.50400	$159 54	$160.78	($1 24)		($1.24)	(0.77%)	
			02/17/2016	09/30/2015	15.07800	$155.15	$156 66	($1 51)		($1.51)	(0.96%)	
			02/17/2016	10/30/2015	11 67500	$120.14	$121.30	($1 16)		($1.16)	(0.96%)	
			02/17/2016	11/10/2015	377.09700	$3,880 31	$3,887 87	($7.56)		($7 56)	(0 19%)	
			02/17/2016	11/30/2015	12 72400	$130.93	$131.69	($0.76)		($0 76)	(0.58%)	
⊟	BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	02/17/2016	Hide Lots	2,198 54500	$21,150 00	$22,000.85	($850 85)		($850 85)	(3.87%)	
			02/17/2016	02/27/2015	18.56800	$178.62	$189 76	($11 14)		($11.14)	(5.87%)	
			02/17/2016	03/31/2015	19 87300	$191.18	$203.10	($11 92)		($11.92)	(5.87%)	
			02/17/2016	04/30/2015	25 41700	$244.51	$259 00	($14 49)		($14.49)	(5.59%)	
			02/17/2016	05/29/2015	26.73900	$257 23	$271.67	($14 44)		($14 44)	(5.32%)	
			02/17/2016	06/30/2015	22.74400	$218.80	$229.26	($10 46)		($10 46)	(4.56%)	
			02/17/2016	07/31/2015	23 81300	$229.08	$239.80	($10 72)		($10 72)	(4 47%)	
			02/17/2016	08/05/2015	685 20400	$6,591.66	$6,900.00	($308 34)		($308 34)	(4.47%)	
			02/17/2016	08/31/2015	23.41300	$225 23	$234 36	($9 13)		($9.13)	(3 90%)	
			02/17/2016	10/06/2015	1,326 07000	$12,756 80	$13,207 66	($450.86)		($450 86)	(3 41%)	
			02/17/2016	10/30/2015	26.70400	$256.89	$266.24	($9 35)		($9.35)	(3.51%)	
⊟	LSBDX	LOOMIS SAYLES BOND FUND CL I	02/17/2016	Hide Lots	4,077.10800	$50,760.00	$57,129 20	($4,229 25)	($2,139 95)	($6,369.20)	(11 15%)	
			02/17/2016	02/07/2013	342 11500	$4,259 33	$5,244.39		($985 06)	($985 06)	(18 78%)	
			02/17/2016	04/25/2013	35.66200	$443 99	$553 11		($109.12)	($109.12)	(19.73%)	
			02/17/2016	05/28/2013	41 43600	$515.88	$641.85		($125 97)	($125.97)	(19 63%)	
			02/17/2016	10/28/2013	37.75800	$470 09	$579.96		($109.87)	($109.87)	(18 94%)	
			02/17/2016	02/24/2014	30 68700	$382.05	$471 04		($88 99)	($88.99)	(18 89%)	
			02/17/2016	03/25/2014	32.73000	$407.49	$503 39		($95.90)	($95 90)	(19.05%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
			02/17/2016	04/24/2014	29 88000	$372.01	$464.04		($92.03)	($92 03)	(19.83%)	
			02/17/2016	05/23/2014	29.33200	$365.18	$458.75		($93 57)	($93.57)	(20.40%)	
			02/17/2016	09/24/2014	46.35600	$577.13	$724 54		($147 41)	($147 41)	(20.35%)	
			02/17/2016	10/24/2014	50.40000	$627 48	$779 69		($152 21)	($152.21)	(19.52%)	
			02/17/2016	11/24/2014	45.25200	$563 39	$703 21		($139 82)	($139.82)	(19.88%)	
			02/17/2016	02/25/2015	32.82800	$408 71	$485.85	($77 14)		($77 14)	(15 88%)	
			02/17/2016	03/25/2015	18 44100	$229 59	$269 43	($39 84)		($39.84)	(14 79%)	
			02/17/2016	04/23/2015	21.75400	$270 84	$320.44	($49 60)		($49.60)	(15.48%)	
			02/17/2016	05/22/2015	23.60900	$293.93	$345.87	($51 94)		($51 94)	(15 02%)	
			02/17/2016	06/23/2015	21.95500	$273 34	$317 47	($44.13)		($44 13)	(13.90%)	
			02/17/2016	07/24/2015	23 54900	$293 19	$331 10	($37.91)		($37.91)	(11 45%)	
			02/17/2016	08/24/2015	25.79200	$321 11	$355 67	($34 56)		($34 56)	(9.72%)	
			02/17/2016	09/24/2015	15 46000	$192.48	$211.96	($19.48)		($19.48)	(9.19%)	
			02/17/2016	10/06/2015	2,610.26800	$32,497 84	$36,100 00	($3,602.16)		($3,602.16)	(9 98%)	
			02/17/2016	10/26/2015	20 96900	$261.06	$294 20	($33 14)		($33 14)	(11 26%)	
			02/17/2016	11/24/2015	19.54700	$243 36	$268 97	($25 61)		($25 61)	(9.52%)	
			02/17/2016	12/17/2015	514 06500	$6,400 11	$6,610 87	($210.76)		($210 76)	(3 19%)	
			02/17/2016	12/17/2015	7 26300	$90 42	$93 40	($2.98)		($2.98)	(3.19%)	
⊟	BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	03/15/2016	Hide Lots	3,067.35800	$29,600 00	$31,575 18	($153.85)	($1,821 33)	($1,975.18)	(6.26%)	
			03/15/2016	06/24/2014	2,485 00100	$23,980 25	$25,801 58		($1,821.33)	($1,821 33)	(7.06%)	
			03/15/2016	09/30/2015	20.31400	$196 03	$201 72	($5 69)		($5 69)	(2.82%)	
			03/15/2016	10/06/2015	391.80100	$3,780.88	$3,902.34	($121.46)		($121 46)	(3 11%)	
			03/15/2016	11/30/2015	28 61300	$276.12	$284.41	($8 29)		($8.29)	(2 91%)	
			03/15/2016	12/23/2015	141.62900	$1,366 72	$1,385.13	($18.41)		($18 41)	(1.33%)	
⊟	DEM	WISDOMTREE EMRG MRKT HG DIV ETF	06/24/2016	Hide Lots	1,288.00000	$43,525 08	$37,825.98	$5,699 10		$5,699 10	15 07%	
			06/24/2016	01/04/2016	81 00000	$2,737 21	$2,481 76	$255.45		$255 45	10 29%	
			06/24/2016	01/14/2016	1,207 00000	$40,787.87	$35,344.22	$5,443 65		$5,443 65	15.40%	
⊟	ARTJX	ARTISAN INTL SM CAP FD INV SHR	06/30/2016	Hide Lots	916.93100	$20,200.00	$22,512 71	($124 17)	($2,188.54)	($2,312.71)	(10 27%)	
			06/30/2016	11/02/2012	129.21800	$2,846 67	$2,767.84		$78.83	$78 83	2.85%	
			06/30/2016	12/19/2012	12.17900	$268.30	$270 12		($1 82)	($1.82)	(0.67%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
			06/30/2016	11/21/2013	5 83000	$128 43	$148.54		($20 11)	($20 11)	(13 54%)	
			06/30/2016	11/21/2013	3.26100	$71 84	$83.08		($11 24)	($11 24)	(13.53%)	
			06/30/2016	11/21/2013	71.80100	$1,581.78	$1,829.48		($247.70)	($247 70)	(13 54%)	
			06/30/2016	06/11/2014	147 16400	$3,242 02	$4,100.00		($857 98)	($857 98)	(20.93%)	
			06/30/2016	07/16/2014	133 58100	$2,942 79	$3,600.00		($657.21)	($657 21)	(18 26%)	
			06/30/2016	10/13/2014	240 60800	$5,300.60	$5,700.00		($399.40)	($399 40)	(7 01%)	
			06/30/2016	11/19/2014	0.45800	$10.09	$10 40		($0 31)	($0.31)	(2.98%)	
			06/30/2016	11/19/2014	108 48800	$2,389.99	$2,461.59		($71 60)	($71.60)	(2 91%)	
			06/30/2016	11/19/2015	2.50000	$55.08	$59.89	($4 81)		($4 81)	(8 03%)	
			06/30/2016	11/19/2015	2.57900	$56.82	$61.80	($4 98)		($4 98)	(8 06%)	
			06/30/2016	11/19/2015	59.26400	$1,305 59	$1,419 97	($114.38)		($114.38)	(8 06%)	
⊟	SGOIX	FIRST EAGLE OVERSEAS FUND CL I	07/01/2016	Hide Lots	1,072 47600	$25,600.00	$26,367.96		($767.96)	($767 96)	(2.91%)	
			07/01/2016	08/21/2013	223.27300	$5,329 52	$5,267.96		$61.56	$61.56	1.17%	
			07/01/2016	05/07/2014	326.64800	$7,797.09	$8,000 00		($202 91)	($202 91)	(2.54%)	
			07/01/2016	06/11/2014	247 79500	$5,914 87	$6,200.00		($285.13)	($285 13)	(4.60%)	
			07/01/2016	07/16/2014	274.76000	$6,558 52	$6,900.00		($341.48)	($341.48)	(4.95%)	
⊟	PRESX	T ROWE PRICE EUROPEAN STOCK FUND	07/01/2016	Hide Lots	1,233 87500	$22,000 00	$27,274.38	($72 32)	($5,202.06)	($5,274 38)	(19.34%)	
			07/01/2016	05/02/2014	630 54200	$11,242 57	$14,100.00		($2,857.43)	($2,857.43)	(20.27%)	
			07/01/2016	05/07/2014	228.31500	$4,070.86	$5,100 00		($1,029.14)	($1,029 14)	(20 18%)	
			07/01/2016	07/16/2014	328 95700	$5,865 30	$7,180.79		($1,315.49)	($1,315.49)	(18 32%)	
			07/01/2016	12/16/2015	46 06100	$821.27	$893 59	($72 32)		($72.32)	(8.09%)	
⊟	SGOIX	FIRST EAGLE OVERSEAS FUND CL I	07/06/2016	Hide Lots	29.63600	$700.00	$690 85		$9.15	$9.15	1.32%	
			07/06/2016	09/21/2012	15.56300	$367.60	$358.81		$8.79	$8.79	2.45%	
			07/06/2016	08/21/2013	14 07300	$332 40	$332.04		$0.36	$0.36	0 11%	
	ARTJX	ARTISAN INTL SM CAP FD INV SHR	07/06/2016	02/17/2016	32.31800	$700.00	$705.18	($5.18)		($5 18)	(0 73%)	
⊟	BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	08/08/2016	Hide Lots	9,902.42100	$97,043.73	$102,082.36		($5,038 63)	($5,038 63)	(4.94%)	
			08/08/2016	06/24/2014	4,353.14900	$42,660.86	$45,198 42		($2,537.56)	($2,537 56)	(5 61%)	
			08/08/2016	06/30/2014	2 66200	$26.09	$27.60		($1 51)	($1.51)	(5.47%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
		08/08/2016	07/17/2014	13.01800	$127.58	$134.87		($7 29)	($7.29)	(5.41%)	
		08/08/2016	07/31/2014	15 74900	$154 34	$163 00		($8 66)	($8 66)	(5.31%)	
		08/08/2016	08/29/2014	12.94200	$126 83	$133 82		($6 99)	($6 99)	(5 22%)	
		08/08/2016	09/30/2014	11.52600	$112.95	$118.49		($5.54)	($5.54)	(4 68%)	
		08/08/2016	10/31/2014	12.35300	$121 06	$126 74		($5 68)	($5.68)	(4.48%)	
		08/08/2016	11/17/2014	4,423 00200	$43,345.42	$45,400 00		($2,054.58)	($2,054 58)	(4 53%)	
		08/08/2016	11/28/2014	17.41300	$170.65	$179 35		($8.70)	($8 70)	(4.85%)	
		08/08/2016	12/22/2014	198.61000	$1,946.38	$2,009.93		($63.55)	($63 55)	(3 16%)	
		08/08/2016	12/31/2014	19.92500	$195 27	$201.44		($6 17)	($6.17)	(3 06%)	
		08/08/2016	01/30/2015	18.53600	$181 65	$188 70		($7.05)	($7 05)	(3 74%)	
		08/08/2016	02/05/2015	803 53600	$7,874.65	$8,200.00		($325 35)	($325 35)	(3 97%)	
⊟ LSBDX	LOOMIS SAYLES BOND FUND CL I	08/08/2016	Hide Lots	4,548.73600	$63,000 00	$68,180 69		($5,180 69)	($5,180 69)	(7 60%)	
		08/08/2016	04/26/2011	3.19200	$44 21	$47 49		($3.28)	($3.28)	(6 91%)	
		08/08/2016	05/24/2011	3.39600	$47.03	$50 53		($3 50)	($3 50)	(6.93%)	
		08/08/2016	06/21/2011	3.23100	$44 75	$47.59		($2 84)	($2.84)	(5 97%)	
		08/08/2016	07/26/2011	3.26900	$45 28	$48 87		($3.59)	($3 59)	(7.35%)	
		08/08/2016	05/08/2012	69 42800	$961.59	$1,020 56		($58.97)	($58 97)	(5.78%)	
		08/08/2016	08/10/2012	771.00300	$10,678.39	$11,400.00		($721.61)	($721.61)	(6 33%)	
		08/08/2016	08/23/2012	26 27500	$363 91	$387.03		($23.12)	($23.12)	(5 97%)	
		08/08/2016	08/31/2012	601.21900	$8,326 88	$8,900 00		($573 12)	($573.12)	(6 44%)	
		08/08/2016	09/21/2012	23.60600	$326 94	$355.27		($28.33)	($28 33)	(7 97%)	
		08/08/2016	09/21/2012	649 83400	$9,000 20	$9,800.00		($799 80)	($799.80)	(8.16%)	
		08/08/2016	10/22/2012	30.06700	$416 43	$452.81		($36 38)	($36.38)	(8.03%)	
		08/08/2016	11/02/2012	1,002 66000	$13,886 84	$15,100 00		($1,213.16)	($1,213 16)	(8 03%)	
		08/08/2016	11/07/2012	603 32200	$8,356.01	$9,100.00		($743 99)	($743 99)	(8 18%)	
		08/08/2016	11/20/2012	34.67900	$480.30	$518.10		($37.80)	($37 80)	(7 30%)	
		08/08/2016	12/17/2012	116.91400	$1,619 26	$1,761.89		($142 63)	($142 63)	(8 10%)	
		08/08/2016	01/28/2013	31 27900	$433 21	$479 19		($45 98)	($45.98)	(9.60%)	
		08/08/2016	02/07/2013	166.71400	$2,308.99	$2,555.61		($246.62)	($246.62)	(9.65%)	
		08/08/2016	02/25/2013	36 81000	$509 82	$557 31		($47 49)	($47 49)	(8 52%)	
		08/08/2016	03/26/2013	36.59200	$506 80	$559 49		($52.69)	($52.69)	(9 42%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
			08/08/2016	06/25/2013	36.28800	$502.59	$535.61		($33.02)	($33 02)	(6.16%)	
			08/08/2016	07/26/2013	38.16100	$528 53	$575 08		($46 55)	($46 55)	(8 09%)	
			08/08/2016	08/27/2013	41.89700	$580.27	$618 82		($38 55)	($38.55)	(6.23%)	
			08/08/2016	09/25/2013	33.70000	$466 75	$509 21		($42 46)	($42 46)	(8 34%)	
			08/08/2016	11/26/2013	36 88300	$510.83	$561.73		($50 90)	($50.90)	(9 06%)	
			08/08/2016	12/16/2013	73.61300	$1,019 54	$1,110 09		($90.55)	($90 55)	(8.16%)	
			08/08/2016	12/16/2013	43 42800	$601 48	$654 89		($53 41)	($53 41)	(8.16%)	
			08/08/2016	01/28/2014	31 27600	$433.17	$473 52		($40.35)	($40.35)	(8 52%)	
⊟	IHYIX	VOYA HIGH YIELD BD CL I	08/08/2016	Hide Lots	4,402 51600	$35,000 00	$32,185.35	$2,814.65		$2,814.65	8 75%	
			08/08/2016	02/17/2016	4,379 77700	$34,819.22	$32,016.17	$2,803.05		$2,803 05	8 76%	
			08/08/2016	02/29/2016	22.73900	$180 78	$169 18	$11 60		$11.60	6.86%	
⊟	GOODX	GOODHAVEN FD	09/22/2016	Hide Lots	634.23100	$14,600.00	$17,335.30		($2,735 30)	($2,735 30)	(15.78%)	
			09/22/2016	11/02/2012	78 53100	$1,807.79	$1,918 68		($110.89)	($110.89)	(5 78%)	
			09/22/2016	12/18/2013	14.23200	$327 62	$393.80		($66.18)	($66.18)	(16.81%)	
			09/22/2016	12/18/2013	0.76100	$17.52	$21.05		($3.53)	($3.53)	(16.77%)	
			09/22/2016	05/07/2014	224 09600	$5,158 69	$6,400.00		($1,241 31)	($1,241.31)	(19 40%)	
			09/22/2016	06/11/2014	177.76300	$4,092 10	$5,200.00		($1,107.90)	($1,107 90)	(21.31%)	
			09/22/2016	12/19/2014	138.84800	$3,196 28	$3,401.77		($205 49)	($205.49)	(6 04%)	
⊟	IWP	ISHARES RUSSELL MID CAP GROWTH ETF	09/22/2016	Hide Lots	497 00000	$48,447 49	$34,498.90		$13,948.59	$13,948 59	40 43%	
			09/22/2016	05/08/2012	57.00000	$5,556.35	$3,445.48		$2,110 87	$2,110.87	61 26%	
			09/22/2016	06/04/2012	98 00000	$9,553.02	$5,533 63		$4,019.39	$4,019.39	72 64%	
			09/22/2016	08/10/2012	71 00000	$6,921.07	$4,293.80		$2,627 27	$2,627 27	61.19%	
			09/22/2016	10/12/2012	25.00000	$2,437.00	$1,537.01		$899.99	$899.99	58 55%	
			09/22/2016	11/07/2012	57 00000	$5,556.35	$3,494 50		$2,061.85	$2,061 85	59.00%	
			09/22/2016	05/07/2014	71.00000	$6,921.07	$5,960.88		$960.19	$960.19	16.11%	
			09/22/2016	06/11/2014	23 00000	$2,242.04	$2,027.24		$214 80	$214.80	10.60%	
			09/22/2016	06/11/2014	14 00000	$1,364 72	$1,233 92		$130 80	$130 80	10.60%	
			09/22/2016	08/01/2014	81.00000	$7,895.87	$6,972 44		$923.43	$923.43	13.24%	
⊟	IWM	ISHARES RUSSELL 2000 ETF	09/22/2016	Hide Lots	83.00000	$10,399.34	$9,156.61		$1,242 73	$1,242.73	13 57%	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
		09/22/2016	07/16/2014	5.00000	$626 47	$574 58		$51.89	$51 89	9.03%	
		09/22/2016	08/01/2014	78 00000	$9,772.87	$8,582 03		$1,190.84	$1,190.84	13.88%	
ARTJX	ARTISAN INTL SM CAP FD INV SHR	09/22/2016	11/02/2012	38.47800	$900 00	$824 20		$75.80	$75 80	9 20%	

Disclosures

The Realized Gain/Loss page provides summary information of closed transactions. Not all closed transactions appear on this page.

We calculate cost basis using data that you or your client have provided to us or that we have obtained from market data supplied by third party sources We may also display cost basis data that we have not calculated but that has been supplied by you or your client, a prior custodian or another third party source. Because the accuracy of cost basis data depends upon these third party inputs, we are not able to guarantee the availability, accuracy or completeness of such cost basis data.

Only covered transactions will be reported to the IRS. Schwab does not provide tax or legal advice. Please have your clients consult with a tax advisor regarding their specific tax situation

Footnotes apply where indicated on the data view.

Missing: Indicates cost basis has not been provided for this security.

Not Tracked: Indicates original cost basis is not available.

1. a Data for this holding has been edited or provided by the Advisor.
   e Data for this holding has been edited or provided by the end client.
   t Data for this holding has been edited or provided by a third party
   w Cost Basis adjusted due to a wash sale.
3. Cost Basis for fixed income securities is now adjusted to reflect amortized/accreted values. Click the acquired/opened date to view original cost in the Details page. Note Some securities, including variable rate/term instruments and mortgage backed securities, may only reflect original cost even when the amortization/accretion preference is on.
8. Total excludes missing cost basis information, or values not tracked by Schwab.

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