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 , and ending

Name of foundation: Claire L. Helsing Foundation, c/o Wofsey, Rosen, Kweskin & Kuriansky

A Employer identification number: 47-1865899

Number and street (or P O box number if mail is not delivered to street address): 600 Summer Street — Room/suite:

B Telephone number: (203) 327-2300

City or town, state or province, country, and ZIP or foreign postal code: Stamford, CT 06901-1490

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

H Check type of organization: [X] Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 2,691,416.

J Accounting method: [X] Cash ☐ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis)

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

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))

		(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	985,954.		N/A	
	2 Check ▶ ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	50,555.	50,555.		Statement 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	92,170.			
	b Gross sales price for all assets on line 6a 1,032,147.				
	7 Capital gain net income (from Part IV, line 2)		92,170.		
	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)				
	11 Other income	128.	0.		Statement 2
	12 **Total.** Add lines 1 through 11	1,128,807.	142,725.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees Stmt 3	37,806.	18,903.		18,903.
	b Accounting fees Stmt 4	1,500.	750.		750.
	c Other professional fees Stmt 5	16,793.	16,793.		0.
	17 Interest				
	18 Taxes Stmt 6	593.	27.		566.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses Stmt 7	12.	0.		0.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	56,704.	36,473.		20,219.
	25 Contributions, gifts, grants paid	65,000.			65,000.
	26 **Total expenses and disbursements.** Add lines 24 and 25	121,704.	36,473.		85,219.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	1,007,103.			
	b **Net investment income** (if negative, enter -0-)		106,252.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1 Cash - non-interest-bearing	14,146.	35,872.	73,110.
	2 Savings and temporary cash investments	772,989.	955,954.	955,954.
	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			
	7 Other notes and loans receivable ▶			
	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			
	b Investments - corporate stock Stmt 8	0.	92,610.	88,357.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other Stmt 9	864,277.	1,574,079.	1,573,995.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	1,651,412.	2,658,515.	2,691,416.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
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 ▶ [X] **and complete lines 27 through 31.**			
	27 Capital stock, trust principal, or current funds	1,651,412.	2,658,515.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 **Total net assets or fund balances**	1,651,412.	2,658,515.	
	31 **Total liabilities and net assets/fund balances**	1,651,412.	2,658,515.	

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	1,651,412.
2 Enter amount from Part I, line 27a	2	1,007,103.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	2,658,515.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	2,658,515.

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 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	UBS,acct. JG A5751 7F/ pdf attached	P		06/30/15
b	UBS,acct. JG A5751 7F/ pdf attached	P		06/30/15
c	UBS,acct. JG A5751 7F/ pdf attached	P		06/30/15
d	UBS,acct. JG A5751 7F/capital gain			
e	distributions	P		

	(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	372,058.		365,519.	6,539.
b	640,490.		557,200.	83,290.
c	17,258.		17,258.	0.
d				
e	2,341.			2,341.

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				6,539.
b				83,290.
c				0.
d				
e				2,341.

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	92,170.
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) If (loss), enter -0- in Part I, line 8		3	N/A

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	62,350.	156,094.	.399439
2013			
2012			
2011			
2010			

2 Total of line 1, column (d)	2	.399439
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	.399439
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	1,805,718.
5 Multiply line 4 by line 3	5	721,274.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,063.
7 Add lines 5 and 6	7	722,337.
8 Enter qualifying distributions from Part XII, line 4	8	85,219.

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)

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ______ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b	1	2,125.
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	2,125.
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	2,125.
6	Credits/Payments.		
a	2015 estimated tax payments and 2014 overpayment credited to 2015 — 6a		
b	Exempt foreign organizations - tax withheld at source — 6b		
c	Tax paid with application for extension of time to file (Form 8868) — 6c		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments. Add lines 6a through 6d	7	0.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	50.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	2,175.
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be: **Credited to 2016 estimated tax** ▶ **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? *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*	1b		X
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
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
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
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	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT			
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*	8b	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

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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 ▶ Yordi Fraser Telephone no. ▶ (203) 327-2300
Located at ▶ c/o WRRK; 600 Summer Street, Stamford, CT ZIP+4 ▶ 06901-1490

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 | N/A

			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.				
1a	During the year did the foundation (either directly or indirectly):				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ 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)?	N/A	1b		
	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?		1c		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 ▶ ______, ______, ______, ______				
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.)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______				
3a	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.)*	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		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?		4b		X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b |

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

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
Daniel Young c/o WRRK; 600 Summer Street Stamford, CT 06901-1490	Trustee 1.00	0.	0.	0.
David Cohen c/o WRRK; 600 Summer Street Stamford, CT 06901-1490	Trustee 1.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). 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 ▶ 0

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

3 Five highest-paid independent contractors for professional services. 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 ▶		0

Part IX-A **Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	0.

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

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	1,763,840.
b	Average of monthly cash balances	1b	69,376.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,833,216.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	1,833,216.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	27,498.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,805,718.
6	**Minimum investment return.** Enter 5% of line 5	6	90,286.

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	90,286.
2a	Tax on investment income for 2015 from Part VI, line 5 — 2a: 2,125.		
b	Income tax for 2015. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	2,125.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	88,161.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	88,161.
6	Deduction from distributable amount (see instructions)	6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	88,161.

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	85,219.
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	85,219.
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	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	85,219.

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				88,161.
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only			0.	
b Total for prior years: ____ , ____ , ____		0.		
3 Excess distributions carryover, if any, to 2015:				
a From 2010				
b From 2011				
c From 2012				
d From 2013				
e From 2014 58,631.				
f **Total** of lines 3a through e	58,631.			
4 Qualifying distributions for 2015 from Part XII, line 4: ▶$ 85,219.				
a Applied to 2014, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2015 distributable amount				85,219.
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).)	2,942.			2,942.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	55,689.			
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		0.		
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 instr.			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)	0.			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7	0.			
9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a	55,689.			
10 Analysis of line 9:				
a Excess from 2011				
b Excess from 2012				
c Excess from 2013				
d Excess from 2014 55,689.				
e Excess from 2015				

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				
ACLU of Connecticut Foundation 330 Main Street Hartford, CT 06106		PC	As per recipient's designated purpose	1,250.
American Red Cross Connecticut Chapter 39 Leroy Avenue Darien, CT 06820		PC	As per recipient's designated purpose	1,000.
Barlett Arboretum & Gardens 151 Brookdale Road Stamford, CT 06903		PC	As per recipient's designated purpose	1,250.
Boys & Girls Club of Stamford 347 Stillwater Avenue Stamford, CT 06902		PC	As per recipient's designated purpose	2,000.
BuildOn, Inc P.O. Box 16741 Stamford, CT 06905		PC	As per recipient's designated purpose	2,000.
Total See continuation sheet(s)			▶ 3a	65,000.
b Approved for future payment				
None				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
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	50,555.	
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	92,170.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a Misc. Revenue			01	128.	
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		142,853.	0.

13 Total. Add line 12, columns (b), (d), and (e) 13 142,853.

(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).

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	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions.			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		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
		N/A	

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

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: 5-13-2016 | Title: Trustee

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Dannell Lyne	Dannell R. Lyne, CPA	5/11/16		P00436718

Firm's name ▶ Dylewsky, Goldberg & Brenner, LLC — Firm's EIN ▶ 06-1325235

Firm's address ▶ 30 Oak Street
Stamford, CT 06905 — Phone no. (203)975-8830

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www.irs.gov/form990* .

OMB No 1545-0047

2015

Name of the organization
Claire L. Helsing Foundation
c/o Wofsey, Rosen, Kweskin & Kuriansky

Employer identification number
47-1865899

Organization type (check one)

Filers of:	**Section:**
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

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

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc , purposes, but no such contributions totaled more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions totaling $5,000 or more during the year ▶ $ ____________

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

Not Open For Public Inspection

Name of organization: Claire L. Helsing Foundation c/o Wofsey, Rosen, Kweskin & Kuriansky

Employer identification number: 47-1865899

Part I **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Claire L. Helsing Revocable Trust 600 Summer Street Stamford, CT 06905	$ 980,675.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Not Open For Public Inspection

Name of organization

Claire L. Helsing Foundation
c/o Wofsey, Rosen, Kweskin & Kuriansky

Employer identification number

47-1865899

Part II **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Not Open For Public Inspection

Name of organization	Employer identification number
Claire L. Helsing Foundation c/o Wofsey, Rosen, Kweskin & Kuriansky	47-1865899

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

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

Not Open For Public Inspection

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
Campaign for Justice Connecticut Legal Services, Inc 62 Washington Street Middletown, CT 06457		PC	As per recipient's designated purpose	3,500.
Connecticut Public Broadcasting, Inc 1049 Asylum Avenue Hartford, CT 06105		PC	As per recipient's designated purpose	2,000.
Doctors Without Borders USA 333 7th Avenue New York, NY 10001-5004		PC	As per recipient's designated purpose	2,500.
Domus Foundation 83 Lockwood Avenue Stamford, CT 06902		PC	As per recipient's designated purpose	2,500.
Faith Tabernacle Church Social Action Ministries 29 Grove Street Stamford, CT 06901		PC	As per recipient's designated purpose	2,500.
Ferguson Library 1 Library Plaza Stamford, CT 06904		PC	As per recipient's designated purpose	2,500.
Future 5 135 Atlantic Street Stamford, CT 06901		PC	As per recipient's designated purpose	2,500.
Interfaith Council of Southwestern CT P.O. Box 17262 Stamford, CT 06907		PC	As per recipient's designated purpose	2,500.
International Institute of Connecticut, Inc 670 Clinton Avenue Bridgeport, CT 06605		PC	As per recipient's designated purpose	3,000.
Jewish Community Center of Stamford-Jump Start Program 1035 Newfield Avenue Stamford, CT 06905		PC	As per recipient's designated purpose	2,500.
Total from continuation sheets				57,500.

Claire L. Helsing Foundation
c/o Wofsey, Rosen, Kweskin & Kuriansky 47-1865899

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
Mill River Park Collaborative, Inc. 1010 Washington Blvd. Stamford, CT 06901		PC	As per recipient's designated purpose	2,000.
Neighbors Link Stamford 75 Selleck Street Stamford, CT 06902		PC	As per recipient's designated purpose	3,000.
New Covenant House of Hospitality P.O. Box 10883 Stamford, CT 06904		PC	As per recipient's designated purpose	3,000.
Norwalk Community College Foundation 188 Richards Avenue Norwalk, CT 06854		PC	As per recipient's designated purpose	5,000.
Operation Fuel 75 Charter Oak Avenue, Suite 2-240 Hartford, CT 06106		PC	As per recipient's designated purpose	1,000.
Shelter for the Homeless, Inc 137 Henry Street, Suite 205 Stamford, CT 06902		PC	As per recipient's designated purpose	2,500.
SoundWaters Cove Island Park 1281 Cove Road Stamford, CT 06902		PC	As per recipient's designated purpose	1,000.
Stamford Family YMCA 10 Bell Street Stamford, CT 06901		PC	As per recipient's designated purpose	2,000.
Stamford High School- Strawberry Hill Players 55 Strawberry Hill Avenue Stamford, CT 06902		PC	As per recipient's designated purpose	1,000.
Stamford Museum and Nature Center 39 Scofield Avenue Town Road Stamford, CT 06903		PC	As per recipient's designated purpose	1,000.
Total from continuation sheets				

Claire L. Helsing Foundation
c/o Wofsey, Rosen, Kweskin & Kuriansky 47-1865899

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
Stamford Peace 925 Long Ridge Road Stamford, CT 06903		PC	As per recipient's designated purpose	1,500.
United Jewish Federation Back to School 1035 Newfield Avenue, Suite 200 Stamford, CT 06905		PC	As per recipient's designated purpose	1,500.
United Way of Western Ct 1150 Summer Street Stamford, CT 06905		PC	As per recipient's designated purpose	3,000.
Westhill High School Northstar Playmakers 51 Boulder Brook Drive Stamford, CT 06903		PC	As per recipient's designated purpose	1,000.
Westhill Parent Teacher Student Organization 125 Roxbury Road Stamford, CT 06902		PC	As per recipient's designated purpose	1,000.
Women's Mentoring Network, Inc. 141 Franklin Street Stamford, CT 06901		PC	As per recipient's designated purpose	2,000.
Total from continuation sheets				

Form 990-PF Dividends and Interest from Securities Statement 1

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
Dividend Income / JG A5748 7F	4.	0.	4.	4.	
Dividend Income from UBS Accounts	41,710.	0.	41,710.	41,710.	
Interest Income from UBS Accounts	8,841.	0.	8,841.	8,841.	
To Part I, line 4	50,555.	0.	50,555.	50,555.	

Form 990-PF Other Income Statement 2

Description	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
Misc. Revenue	128.	0.	
Total to Form 990-PF, Part I, line 11	128.	0.	

Form 990-PF Legal Fees Statement 3

Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Wofsey, Rosen, Kweskin & Kuriansky, LLP	37,806.	18,903.		18,903.
To Fm 990-PF, Pg 1, ln 16a	37,806.	18,903.		18,903.

Form 990-PF	Accounting Fees			Statement 4
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Dylewsky, Goldberg & Brenner, LLC	1,500.	750.		750.
To Form 990-PF, Pg 1, ln 16b	1,500.	750.		750.

Form 990-PF	Other Professional Fees			Statement 5
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Investment Advisory Fees	16,793.	16,793.		0.
To Form 990-PF, Pg 1, ln 16c	16,793.	16,793.		0.

Form 990-PF	Taxes			Statement 6
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Foreign Taxes	27.	27.		0.
United States Treasury	566.	0.		566.
To Form 990-PF, Pg 1, ln 18	593.	27.		566.

Form 990-PF	Other Expenses			Statement 7
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Bank fees	12.	0.		0.
To Form 990-PF, Pg 1, ln 23	12.	0.		0.

Form 990-PF	Corporate Stock	Statement 8

Description	Book Value	Fair Market Value
Fixed Income	92,610.	88,357.
Total to Form 990-PF, Part II, line 10b	92,610.	88,357.

Form 990-PF	Other Investments	Statement 9

Description	Valuation Method	Book Value	Fair Market Value
Equities	COST	972,796.	986,216.
Fixed Income	COST	601,283.	587,779.
Total to Form 990-PF, Part II, line 13		1,574,079.	1,573,995.

Fed ID. 47-1865899

2015 Year End Summary

UBS

UBS Financial Services Inc
1285 Ave of the Americas
15th, 16th, 17th, & 18th Flrs
New York NY 10019-6031

CPZ6001677845 1215 X12 JG 0

Account name: CLAIRE L. HELSING FOUNDATION
Friendly account name: Fndtn Balanced
Account number: JG A5751 7F

Your Financial Advisor:
THE ROTHMAN ADLER GROUP
Phone: 212-713-7800/800-225-2971

CLAIRE L. HELSING FOUNDATION
600 SUMMER STREET
7TH FLOOR
STAMFORD CT 06901-1499

Summary of gains and losses

	Amount ($)
Short term	6,539.49
Long term	83,289.78
Total	**$89,829.27**

Fed ID. 47-1865899
Account name: CLAIRE L. HELSING FOUNDATION
Friendly account name: Fndtn Balanced
Account number: JG A5751 7F

Your Financial Advisor:
THE ROTHMAN ADLER GROUP
212-713-7800/800-225-2971

Realized gains and losses

Estimated 2015 gains and losses for transactions with trade dates through 12/31/15 have been incorporated into this statement. Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss. Please check with your tax advisor. To calculate gains and losses, we liquidate the oldest security lot first. This is known as the first-in, first-out or FIFO accounting method. We use this method unless you specified which tax lot to close when you placed your order. This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information. We may not adjust gains and losses for all capital changes. Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium. Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ABBOTT LABS	FIFO	2 000	Feb 07, 14	Jan 05, 15	90 20	73.98			16.22
	FIFO	9.000	Feb 07, 14	Jan 05, 15	405.89	332.73			73.16
ABBVIE INC COM	FIFO	3.000	Feb 07, 14	Jan 05, 15	195.80	146.36			49.44
ACE LTD CHF	FIFO	1.000	Sep 05, 14	Jan 05, 15	112.97	105.91			7.06
ALTRIA GROUP INC	FIFO	12.000	Feb 07, 14	Jan 05, 15	584.80	421.56			163.24
AMER EXPRESS CO	FIFO	2.000	Feb 07, 14	Jan 05, 15	182.76	173.42			9.34
AMERICAN TOWER CORP REIT	FIFO	1.000	Feb 07, 14	Jan 05, 15	98.76	80.42			18.34
ANHEUSER BUSCH INBEV SPON ADR	FIFO	17 000	Jun 13, 14	Jan 05, 15	1,848.43	1,889.81		-41.38	
APPLE INC CALL@MW+15BP 02.400% 050323 DTD050313 FC110313 NTS B/E	FIFO	10,000.000	Jan 15, 15	Jul 29, 15	9,495.50	9,970.00		-474.50	
BRISTOL MYERS SQUIBB CO	FIFO	7 000	Feb 07, 14	Jan 05, 15	410.05	349 35			60.70
CALIFORNIA RESOURCES CORP	FIFO	0.800	Feb 07, 14	Jan 05, 15	3.98	6.26		-2.28	
CELGENE CORP	FIFO	19 000	Oct 22, 14	Jan 05, 15	2,140.76	1,801 33			339.43
CHEVRON CORP	FIFO	3 000	Feb 07, 14	Jan 05, 15	323.72	332.91		-9.19	
	FIFO	12.000	Feb 07, 14	Jan 05, 15	1,294 89	1,331.52		-36.63	
CITIGROUP INC	FIFO	3.000	Feb 07, 14	Jan 05, 15	158.70	146.52			12.18
	FIFO	18.000	Aug 22, 14	Jan 05, 15	952.18	918.38			33.80
	FIFO	9.000	Oct 08, 14	Jan 05, 15	476.09	465.83			10.26
CME GROUP INC	FIFO	16.000	Jan 31, 14	Jan 05, 15	1,415.01	1,176.58			238.43
	FIFO	1.000	Feb 07, 14	Jan 05, 15	88.44	75.78			12.66
COCA COLA CO COM	FIFO	5.000	Feb 07, 14	Jan 05, 15	212.16	189.70			22.46
	FIFO	39.000	Feb.07, 14	Jan 05, 15	1,654.89	1,480.05			174 84

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
COMCAST CORP NEW SPECIAL*RECLASSIFICATION EFF 12/2015* CL A	FIFO	9.000	Jan 14, 14	Jan 05, 15	502.27	456.78			45.49
	FIFO	4.000	Feb 07, 14	Jan 05, 15	223.24	209.20			14.04
CONOCOPHILLIPS	FIFO	2 000	Feb 07, 14	Jan 05, 15	131.35	128.92			2.43
	FIFO	10.000	Feb 07, 14	Jan 05, 15	656.79	644.30			12.49
CVS CAREMARK CORP CALL 04.125% 051521 DTD051211 FC111511 @MW.+20BP Original cost basis · $9,981.00	FIFO	9,000.000	Jan 15, 15	Jun 08, 15	9,576.36	9,923.37		-347.01	
DIAGEO PLC NEW GB SPON ADR	FIFO	2.000	Feb 07, 14	Jan 05, 15	223.02	239 80		-16.78	
DOMINION RESOURCES INC VA (NEW)	FIFO	3.000	Feb 07, 14	Jan 05, 15	230.07	199.29			30.78
DOW CHEMICAL	FIFO	2.000	Feb 07, 14	Jan 05, 15	88.56	91.18		-2.62	
DU PONT DE NEMOURS	FIFO	6.000	Feb 07, 14	Jan 05, 15	433.88	379 38			54.50
DUKE ENERGY CORP NEW	FIFO	2.000	Feb 07, 14	Jan 05, 15	166 48	139.22			27.26
EXXON MOBIL CORP	FIFO	4.000	Feb 07, 14	Jan 05, 15	359.17	359.56		-0.39	
	FIFO	17.000	Feb 07, 14	Jan 05, 15	1,526 48	1,527.79		-1.31	
FHLMC PL C09066 03.5000 DUE 10/01/44	FIFO	24,000.000	Jan 12, 15	Jun 08, 15	21,778.86	22,273.12		-494 26	
FHLMC PL G08592 04.0000 DUE 06/01/44	FIFO	29,000.000	Apr 08, 15	Nov 09, 15	21,882.13	22,217.13		-335.00	
	FIFO	3,000.000	Jul 10, 15	Nov 09, 15	2,263.67	2,275.89		-12.22	
FHLMC PL Q30145 04.0000 DUE 12/01/44	FIFO	24,000.000	Jan 13, 15	Apr 08, 15	23,902.83	24,021.73		-118.90	
FIFTH THIRD BANCORP	FIFO	8.000	Feb 07, 14	Jan 05, 15	158.08	168.32		-10.24	
FNMA PL AL6004 04.5000 DUE 10/25/44	FIFO	15,000.000	Jan 08, 15	May 08, 15	12,603.88	12,631.05		-27.17	
FNMA PL AS3294 04.0000 DUE 09/01/44	FIFO	26,000.000	May 11, 15	Aug 17, 15	23,758.72	23,957.90		-199.18	
FNMA PL AS3907 04.0000 DUE 11/01/44	FIFO	28,000.000	Jan 09, 15	May 08, 15	27,693.73	27,811.06		-117.33	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
GENL ELECTRIC CO	FIFO	13.000	Feb 07, 14	Jan 05, 15	321.61	326.42		-4 81	
GENL MILLS INC	FIFO	2.000	Feb 07, 14	Jan 05, 15	104.66	96.04			8.62
GILEAD SCIENCES INC	FIFO	22 000	Feb 07, 14	Jan 05, 15	2,063.33	1,710.06			353.27
GOLDMAN SACHS GROUP INC	FIFO	7.000	Oct 02, 14	Jan 05, 15	1,329.55	1,276.77			52.78
HOME DEPOT INC	FIFO	10.000	Jan 14, 14	Jan 05, 15	1,018.17	809.09			209.08
	FIFO	3.000	Feb 07, 14	Jan 05, 15	305.46	228.06			77.40
	FIFO	9.000	Aug 14, 14	Jan 05, 15	916.36	751.47			164.89
HONEYWELL INTL INC	FIFO	2.000	Feb 07, 14	Jan 05, 15	197.32	184.87			12.45
INTEL CORP	FIFO	5.000	Feb 07, 14	Jan 05, 15	180.86	120.23			60.63
	FIFO	7.000	Feb 07, 14	Jan 05, 15	253.21	168.35			84.86
	FIFO	32.000	Feb 14, 14	Jan 05, 15	1,157.52	787.14			370.38
	FIFO	18.000	Aug 14, 14	Jan 05, 15	651.10	610.55			40.55
INTL BUSINESS MACH	FIFO	1 000	Feb 07, 14	Jan 05, 15	160.00	177.04		-17.04	
	FIFO	8.000	Feb 07, 14	Jan 05, 15	1,279.97	1,416.40		-136.43	
INTL PAPER CO	FIFO	2.000	Feb 07, 14	Jan 05, 15	105.37	92.86			12.51
	FIFO	11 000	Aug 27, 14	Jan 05, 15	579.58	529.32			50 26
	FIFO	2.000	Aug 28, 14	Jan 05, 15	105.38	96 00			9.38
ISHARES HIGH DIVID ETF	FIFO	398.000	Jan 31, 14	Jan 05, 15	30,142.86	26,922.87			3,219.99
ISHARES INTL SELECT DIVID ETF	FIFO	414.000	Jan 31, 14	Jan 05, 15	13,633.30	14,963.28		-1,329 98	
ISHARES S&P 500 GROWTH ETF	FIFO	165.000	Jan 05, 15	Nov 30, 15	19,495.02	18,209.56			1,285.46
ISHARES S&P 500 VALUE ETF	FIFO	77.000	Jan 05, 15	Nov 30, 15	6,984.54	7,099.48		-114.94	
ISHARES SELECT DIVID ETF	FIFO	356.000	Jan 05, 15	Feb 03, 15	28,597.03	27,910.40			686.63
	FIFO	34.000	Jan 05, 15	Nov 30, 15	2,614.89	2,665.60		-50.71	
	FIFO	3.000	Jan 05, 15	Nov 30, 15	230.73	234.13		-3.40	
JOHNSON & JOHNSON COM	FIFO	2.000	Feb 07, 14	Jan 05, 15	209.16	179.22			29 94
JOHNSON CONTROLS INC	FIFO	2.000	Feb 07, 14	Jan 05, 15	94.08	93.28			0.80
JPMORGAN CHASE & CO	FIFO	9.000	Feb 07, 14	Jan 05, 15	549.39	508.91			40.48
	FIFO	9 000	Sep 15, 14	Jan 05, 15	549.39	538.95			10.44

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
KROGER COMPANY	FIFO	23.000	Oct 09, 14	Jan 05, 15	1,456.56	1,227.68			228.88
	FIFO	2.000	Oct 10, 14	Jan 05, 15	126.66	107 80			18 86
LOCKHEED MARTIN CORP	FIFO	8 000	Jan 31, 14	Jan 05, 15	1,525.87	1,192.17			333.70
MARATHON OIL CORP	FIFO	2.000	Feb 07, 14	Jan 05, 15	54.34	64.26		-9.92	
MARATHON PETROLEUM CO	FIFO	1.000	Feb 07, 14	Jan 05, 15	88.77	84.59			4.18
MCDONALDS CORP	FIFO	2.000	Feb 07, 14	Jan 05, 15	185.86	191.31		-5.45	
	FIFO	9 000	Feb 07, 14	Jan 05, 15	836.35	860.94		-24.59	
MERCK & CO INC NEW COM	FIFO	10.000	Jan 14, 14	Jan 05, 15	579.13	527.15			51.98
	FIFO	5.000	Feb 07, 14	Jan 05, 15	289.56	272 45			17.11
METLIFE INC	FIFO	2 000	Feb 07, 14	Jan 05, 15	105.26	97.40			7.86
	FIFO	1 000	Aug 27, 14	Jan 05, 15	52.64	54.72		-2.08	
	FIFO	33.000	Aug 28, 14	Jan 05, 15	1,736.90	1,789.67		-52.77	
METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I	Adjustment	139 333	Jan 05, 15	Oct 26, 15	1,513.16	1,520.83	-4.87	-7.67	
	FIFO	537.500	Jan 05, 15	Nov 30, 15	5,799.63	5,847.45	-38.17	-47.82	
MICROSOFT CORP	FIFO	16.000	Jan 15, 14	Jan 05, 15	742.71	585.16			157.55
	FIFO	4 000	Feb 07, 14	Jan 05, 15	185.67	145.24			40.43
	FIFO	15.000	Aug 14, 14	Jan 05, 15	696 29	663.18			33.11
MONDELEZ INTL INC	FIFO	4.000	Feb 07, 14	Jan 05, 15	145.89	131 36			14.53
MORGAN STANLEY	FIFO	34.000	Jan 21, 14	Jan 05, 15	1,274 64	1,122.72			151.92
	FIFO	4.000	Feb 07, 14	Jan 05, 15	149.95	117.90			32.05
	FIFO	15.000	Aug 22, 14	Jan 05, 15	562.34	502.51			59 83
	FIFO	37.000	Sep.18, 14	Jan 05, 15	1,387.11	1,339 06			48.05
MOTOROLA SOLUTIONS INC	FIFO	1 000	Feb 07, 14	Jan 05, 15	65.86	64.17			1.69
NEWS CORP NEW CL A	FIFO	14.000	Feb 07, 14	Jan 05, 15	213.07	242.16		-29.09	
NEXTERA ENERGY INC COM	FIFO	3.000	Feb 07, 14	Jan 05, 15	317.60	270.81			46.79
NORTHEAST UTILITIES **NAME CHANGE 02/2015**	FIFO	3.000	Feb 07, 14	Jan 05, 15	160.35	128.97			31.38
NORTHROP GRUMMAN CORP	FIFO	1.000	Feb 07, 14	Jan 05, 15	143.59	114.67			28.92
OCCIDENTAL PETROLEUM CRP	FIFO	2.000	Feb 07, 14	Jan 05, 15	154.64	173.22		-18.58	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ORACLE CORP	FIFO	7 000	Feb 07, 14	Jan 05, 15	308.20	259.56			48.64
PEPSICO INC	FIFO	7 000	Feb 07, 14	Jan 05, 15	660.57	558.39			102.18
PFIZER INC	FIFO	17 000	Jan 14, 14	Jan 05, 15	528.35	525.79			2 56
	FIFO	8.000	Feb 07, 14	Jan 05, 15	248.64	249.18		-0.54	
	FIFO	16 000	Oct 08, 14	Jan 05, 15	497.27	463.04			34.23
PHILIP MORRIS INTL INC	FIFO	1.000	Feb 07, 14	Jan 05, 15	80.30	79.23			1.07
	FIFO	28 000	Feb 07, 14	Jan 05, 15	2,248.34	2,219 00			29.34
PHILLIPS 66	FIFO	1.000	Feb 07, 14	Jan 05, 15	68.78	73.94		-5.16	
PRAXAIR INC	FIFO	1.000	Feb 07, 14	Jan 05, 15	127.58	126.25			1.33
PROCTER & GAMBLE CO	FIFO	3.000	Feb 07, 14	Jan 05, 15	271.64	231 12			40.52
	FIFO	11.000	Feb 07, 14	Jan 05, 15	996.03	847 66			148.37
	FIFO	6.000	Aug 22, 14	Jan 05, 15	543.29	501.24			42 05
	FIFO	5 000	Nov 11, 14	Jan 05, 15	452.74	448 50			4.24
PRUDENTIAL FINANCIAL INC	FIFO	4 000	Jul 08, 14	Jan 05, 15	350.31	357.59		-7.28	
QUALCOMM INC	FIFO	17.000	Feb 14, 14	Jan 05, 15	1,260.18	1,294.52		-34.34	
	FIFO	7 000	Oct 23, 14	Jan 05, 15	518.90	527.25		-8.35	
RAYTHEON CO NEW	FIFO	2.000	Feb 07, 14	Jan 05, 15	213.52	189.59			23.93
ROYAL DUTCH SHELL PLC CL A SPON ADR	FIFO	12.000	Feb 07, 14	Jan 05, 15	765.04	826.08		-61.04	
SABMILLER PLC SPON ADR	FIFO	21.000	Apr 04, 14	Jan 05, 15	1,034.33	1,093.37		-59.04	
SCHLUMBERGER LTD NETHERLANDS ANTILLES	FIFO	2.000	Feb 07, 14	Jan 05, 15	165.96	177.80		-11.84	
SEMPRA ENERGY	FIFO	1.000	Feb 07, 14	Jan 05, 15	110.49	92.27			18.22
STATE STREET CORP	FIFO	15.000	Sep 05, 14	Jan 05, 15	1,163.38	1,085.73			77.65
SUNTRUST BANKS INC	FIFO	13.000	Jan 14, 14	Jan 05, 15	528.11	496 83			31.28
	FIFO	5.000	Feb 07, 14	Jan 05, 15	203.11	188.93			14.18
	FIFO	24.000	Sep 15, 14	Jan 05, 15	974.97	940.49			34.48
TARGET CORP	FIFO	17.000	Feb 07, 14	Jan 05, 15	1,264.76	948.72			316.04
TEMPLETON GLBAL BOND ADV	FIFO	5.567	Mar 17, 14	Jan 05, 15	68.49	71.39		-2.90	
	FIFO	4.125	Apr 15, 14	Jan 05, 15	50.74	53 72		-2 98	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	4 090	May 15, 14	Jan 05, 15	50.31	53.83		-3.52	
	FIFO	4.062	Jun 16, 14	Jan 05, 15	49 97	53.95		-3 98	
	FIFO	4.062	Jul 15, 14	Jan 05, 15	49.97	54.07		-4.10	
	FIFO	4.451	Aug 15, 14	Jan 05, 15	54.74	59 06		-4.32	
	FIFO	4.520	Sep 15, 14	Jan 05, 15	55.60	59.94		-4 34	
	FIFO	4.563	Oct 15, 14	Jan 05, 15	56.12	59.55		-3.43	
	FIFO	4.540	Nov 17, 14	Jan 05, 15	55.85	59.70		-3.85	
	FIFO	73.873	Dec 15, 14	Jan 05, 15	908.63	907 90			0.73
	FIFO	4.185	Dec 15, 14	Jan 05, 15	51 48	51.43			0.05
TORONTO DOMINION BK NEW CANADA CAD	FIFO	3 000	Feb 07, 14	Jan 05, 15	136.65	132.30			4.35
TOTAL S A..FRANCE SPON ADR	FIFO	3 000	Feb 07, 14	Jan 05, 15	143.47	176.54		-33.07	
TRAVELERS COS INC/THE	FIFO	4.000	Mar 05, 14	Jan 05, 15	418.47	337.06			81.41
TWENTY-FIRST CENTY FOX INC CL A	FIFO	8.000	Feb 07, 14	Jan 05, 15	298.71	257 68			41.03
	FIFO	27.000	Apr 04, 14	Jan 05, 15	1,008.16	912 08			96.08
TYCO INTL PLC	FIFO	16 000	Oct 09, 14	Jan 05, 15	690.22	685.49			4.73
	FIFO	15 000	Oct 10, 14	Jan 05, 15	647.09	637.64			9.45
UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	FIFO	2 000	Feb 07, 14	Jan 05, 15	75.80	75 42			0.38
UNION PACIFIC CORP	FIFO	20.000	Jan 14, 14	Jan 05, 15	2,314.35	1,689.43			624.92
	FIFO	18.000	Jan 30, 14	Jan 05, 15	2,082.91	1,589.17			493.74
UNITED PARCEL SERVICE INC CL B	FIFO	1.000	Feb 07, 14	Jan 05, 15	108.46	94 90			13.56
UNITED STATES TREAS BOND 04.500 % DUE 05/15/38 DTD 08/15/08 FC 11/15/08 Original cost basis · $6,919 34	FIFO	5,000.000	Jan 06, 15	Sep 10, 15	6,418.36	6,877.12		-458.76	
Original cost basis · $1,388.63	FIFO	1,000 000	Feb 05, 15	Sep 10, 15	1,283.67	1,381.07		-97 40	

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Fed ID 47-1865899
Account name: CLAIRE L. HELSING FOUNDATION
Friendly account name: Fndtn Balanced
Account number: JG A5751 7F

Your Financial Advisor:
THE ROTHMAN ADLER GROUP
212-713-7800/800-225-2971

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
UNITED STATES TREAS BOND 03.375 % DUE 05/15/44 DTD 05/15/14 FC 11/15/14	FIFO	1,000.000	Jan 06, 15	Dec 01, 15	1,092.03	1,092.03	-82.80		
UNITED STATES TREAS BOND 03.000 % DUE 05/15/45 DTD 05/15/15 FC 11/15/15	FIFO	1,000 000	Aug 17, 15	Dec 01, 15	1,014 45	1,014 45	-26.54		
UNTD TECHNOLOGIES CORP	FIFO	3 000	Feb 07, 14	Jan 05, 15	341.84	331.38			10.46
US BANCORP DEL (NEW)	FIFO	6.000	Feb 07, 14	Jan 05, 15	265.07	240.36			24.71
US TSY NOTE 02.125 % DUE 09/30/21 DTD 09/30/14 FC 03/31/15 Original cost basis : $1,018.75	FIFO	1,000 000	Aug 17, 15	Dec 01, 15	1,018.98	1,017 91			1 07
VANGUARD FTSE ALL WO X-US SC	FIFO	3:000	Jan 05, 15	Feb 03, 15	290.15	282.62			7 53
VERIZON COMMUNICATIONS INC	FIFO	8.000	Feb 07, 14	Jan 05, 15	376.39	374.56			1.83
VF CORP	FIFO	5 000	Feb 07, 14	Jan 05, 15	368.09	290.55			77.54
VOYA GLOBAL REAL ESTATE FUND CLASS I	FIFO	2.312	Apr 01, 14	Jan 05, 15	47.28	43.58			3.70
	FIFO	4.614	Jul 01, 14	Jan 05, 15	94.35	93.66			0.69
	FIFO	3.467	Oct 01, 14	Jan 05, 15	70.90	65.94			4.96
	FIFO	6 037	Dec 31, 14	Jan 05, 15	123.46	122.67			0 79
WAL MART STORES INC	FIFO	2.000	Feb 07, 14	Jan 05, 15	171.61	145.82			25.79
	FIFO	8.000	Feb 07, 14	Jan 05, 15	686 42	583.36			103.06
WELLS FARGO & CO NEW	FIFO	9.000	Feb 07, 14	Jan 05, 15	481.35	406.26			75.09
WESTERN ASSET SMASH SERIES M FUND	FIFO	960.000	Jan 06, 15	Jun 04, 15	10,262.40	10,329.60		-67.20	
	FIFO	505.000	Jan 06, 15	Dec 02, 15	5,524.70	5,433.80			90.90
WESTERN ASSET SMASH SERIES C FUND	FIFO	150.000	Jan 06, 15	Dec 02, 15	1,449.00	1,440.00			9.00
WESTERN ASSET SMASH SERIES EC FUND	FIFO	350.000	Jan 06, 15	Dec 02, 15	3,199.00	3,199.00	-70.00		
WEYERHAEUSER CO	FIFO	5.000	Feb 07, 14	Jan 05, 15	180.70	147 85			32.85

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
WISDOMTREE EMERGING MARKETS HIGH DIVID FUND ETF	FIFO	177.000	Jan 31, 14	Jan 05, 15	7,325.88	8,201.83		-875 95	
3M CO	FIFO	2.000	Feb 07, 14	Jan 05, 15	324.67	259.00			65.67
Total					**$372,057.52**	**$365,518.03**		**-$5,855.06**	**$12,394.55**
Net short-term capital gains and losses									**$6,539.49**

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ABBOTT LABS	FIFO	18.000	Aug 21, 12	Jan 05, 15	811.78	564 04			247.74
	FIFO	39 000	Aug 21, 12	Jan 05, 15	1,758.86	1,231.24			527.62
	FIFO	1.000	Sep 18, 12	Jan 05, 15	45.10	33.09			12.01
	FIFO	1.000	Dec 28, 12	Jan 05, 15	45.10	31.00			14.10
	FIFO	20.000	Jun 03, 13	Jan 05, 15	901.98	739.21			162.77
ABBVIE INC COM	FIFO	18.000	Aug 21, 12	Jan 05, 15	1,174.78	611.66			563.12
	FIFO	39.000	Aug 21, 12	Jan 05, 15	2,545.35	1,335 17			1,210.18
	FIFO	1.000	Sep 18, 12	Jan 05, 15	65.26	35.88			29.38
	FIFO	1.000	Dec 28, 12	Jan 05, 15	65.27	33.61			31.66
	FIFO	7.000	Jun 03, 13	Jan 05, 15	456.85	301.45			155.40
ACE LTD CHF	FIFO	12.000	Aug 21, 12	Jan 05, 15	1,355.60	889.36			466.24
	FIFO	1.000	Dec 28, 12	Jan 05, 15	112.97	79.35			33.62
	FIFO	8 000	Jul 11, 13	Jan 05, 15	903 73	736.25			167.48
	FIFO	8.000	Nov 19, 13	Jan 05, 15	903.73	788.19			115.54
AIR PROD.& CHEMICAL INC	FIFO	15 000	Aug 21, 12	Jan 05, 15	2,137.15	1,268.40			868.75
ALTRIA GROUP INC	FIFO	47.000	Aug 21, 12	Jan 05, 15	2,290.47	1,647.65			642.82
	FIFO	7 000	Sep 18, 12	Jan 05, 15	341 13	233.29			107.84
	FIFO	5.000	Dec 28, 12	Jan 05, 15	243.67	156.55			87.12
AMER EXPRESS CO	FIFO	17.000	Aug 21, 12	Jan 05, 15	1,553.42	959 93			593.49
	FIFO	11.000	Aug 21, 12	Jan 05, 15	1,005.16	628.10			377.06

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	1 000	Sep 18, 12	Jan 05, 15	91.38	58 66			32.72
	FIFO	12.000	Nov 08, 12	Jan 05, 15	1,096.53	671.31			425.22
AMERICAN TOWER CORP REIT	FIFO	6.000	Jan 16, 13	Jan 05, 15	592.54	472 29			120.25
APPLE INC	FIFO	34.000	Aug 21, 12	Jan 05, 15	3,647.78	3,260.79			386.99
	FIFO	21.000	Dec 28, 12	Jan 05, 15	2,253.04	1,538.07			714.97
ASML HLDG NV GDR EUR	FIFO	9.000	Nov 15, 13	Jan 05, 15	942.55	803.08			139.47
AUTOMATIC.DATA PROCESSNG INC	FIFO	22.000	Aug 21, 12	Jan 05, 15	1,839.38	1,121.44			717.94
BHP BILLITON LTD SPON ADR	FIFO	19.000	Aug 21, 12	Jan 05, 15	862.67	1,314.90		-452.23	
	FIFO	1 000	Sep 18, 12	Jan 05, 15	45.40	71 15		-25:75	
	FIFO	1.000	Dec 28, 12	Jan 05, 15	45 40	77.25		-31.85	
	FIFO	2.000	Feb 07, 14	Jan 05, 15	90 81	135.58		-44 77	
BLACKROCK INC	FIFO	6.000	Aug 21, 12	Jan 05, 15	2,104.04	1,084.56			1,019.48
	FIFO	2.000	Jul 11, 13	Jan 05, 15	701.34	536.21			165.13
BRISTOL MYERS SQUIBB CO	FIFO	69.000	Aug 21, 12	Jan 05, 15	4,041.94	2,180.89			1,861.05
	FIFO	1.000	Sep 18, 12	Jan 05, 15	58.58	32.96			25.62
CALIFORNIA RESOURCES CORP	FIFO	8 000	Aug 21, 12	Jan 05, 15	39 76	61 24		-21.48	
	FIFO	14.400	Aug 21, 12	Jan 05, 15	71.56	112.01		-40 45	
	FIFO	0 400	Sep 18, 12	Jan 05, 15	1.99	3.11		-1.12	
	FIFO	2.400	Dec 28, 12	Jan 05, 15	11.92	15.84		-3 92	
CANADIAN PAC RAILWAY LTD CAD	FIFO	3.000	Feb 15, 13	Jan 05, 15	549.47	357.87			191.60
	FIFO	3.000	Feb 26, 13	Jan 05, 15	549.47	352.84			196.63
	FIFO	3.000	Feb 27, 13	Jan 05, 15	549.46	352.56			196 90
	FIFO	3.000	Jul 11, 13	Jan 05, 15	549.47	373.67			175.80
CATERPILLAR INC	FIFO	16.000	Aug 21, 12	Jan 05, 15	1,411.72	1,472.16		-60 44	
	FIFO	3.000	Dec 28, 12	Jan 05, 15	264.70	261 90			2.80
CHEVRON CORP	FIFO	29 000	Aug 21, 12	Jan 05, 15	3,129.32	3,244.23		-114.91	
	FIFO	43.000	Aug 21, 12	Jan 05, 15	4,640.03	4,868.46		-228.43	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	1.000	Dec 28, 12	Jan 05, 15	107.90	107.32			0 58
	FIFO	3 000	Dec 28, 12	Jan 05, 15	323.73	320 83			2 90
CHUBB CORP	FIFO	24.000	Aug 31, 12	Jan 05, 15	2,448.37	1,770.36			678.01
	FIFO	1.000	Sep 18, 12	Jan 05, 15	102.02	76.21			25 81
CITIGROUP INC	FIFO	21 000	Mar 11, 13	Jan 05, 15	1,110 88	1,002 18			108.70
	FIFO	11 000	May 08, 13	Jan 05, 15	581.89	541.29			40.60
COCA COLA CO COM	FIFO	16.000	Aug 21, 12	Jan 05, 15	678.93	628.10			50.83
	FIFO	146.000	Aug 21, 12	Jan 05, 15	6,195.22	5,772.33			422.89
	FIFO	11.000	Sep 18, 12	Jan 05, 15	466.77	427.53			39.24
	FIFO	6.000	Dec 28, 12	Jan 05, 15	254.60	216.64			37.96
COMCAST CORP NEW SPECIAL*RECLASSIFICATION EFF: 12/2015* CL A	FIFO	35.000	Aug 21, 12	Jan 05, 15	1,953.31	1,158.74			794.57
	FIFO	1 000	Sep 18, 12	Jan 05, 15	55 81	33 97			21.84
	FIFO	1.000	Dec 28, 12	Jan 05, 15	55.81	35.38			20.43
	FIFO	27 000	Feb 21, 13	Jan 05, 15	1,506.84	1,026.97			479.87
COMCAST CORP NEW CL A	FIFO	26.000	Feb 14, 13	Jan 05, 15	1,462.85	1,052.45			410.40
	FIFO	7 000	Jul 11, 13	Jan 05, 15	393.84	311.55			82.29
CONOCOPHILLIPS	FIFO	16.000	Aug 21, 12	Jan 05, 15	1,050 86	905.85			145.01
	FIFO	56.000	Aug 21, 12	Jan 05, 15	3,677.99	3,203 58			474 41
	FIFO	5.000	Sep 18, 12	Jan 05, 15	328.40	290.19			38.21
DIAGEO PLC NEW GB SPON ADR	FIFO	13.000	Aug 21, 12	Jan 05, 15	1,449.60	1,375.97			73.63
	FIFO	11.000	Nov 08, 12	Jan 05, 15	1,226.58	1,255 15		-28.57	
DOMINION RESOURCES INC VA (NEW)	FIFO	33 000	Aug 21, 12	Jan 05, 15	2,530.72	1,778.91			751.81
	FIFO	1.000	Sep 18, 12	Jan 05, 15	76.69	52.22			24.47
	FIFO	1.000	Dec 28, 12	Jan 05, 15	76 68	51.32			25.36
DOW CHEMICAL	FIFO	23 000	Aug 21, 12	Jan 05, 15	1,018.41	693.35			325.06
	FIFO	1.000	Dec 28, 12	Jan 05, 15	44.28	31.76			12.52

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
DU PONT DE NEMOURS	FIFO	47 000	Aug 21, 12	Jan 05, 15	3,398.70	2,364.94			1,033.76
	FIFO	2.000	Sep 18, 12	Jan 05, 15	144.63	102.51			42.12
	FIFO	1.000	Dec 28, 12	Jan 05, 15	72.31	50.27			22.04
DUKE ENERGY CORP NEW	FIFO	14.000	Feb 14, 13	Jan 05, 15	1,165.33	951.97			213.36
EOG RESOURCES INC	FIFO	10.000	Jul 11, 13	Jan 05, 15	866.68	719.21			147 47
EXXON MOBIL CORP	FIFO	26.000	Aug 21, 12	Jan 05, 15	2,334.62	2,270.21			64 41
	FIFO	88 000	Aug 21, 12	Jan 05, 15	7,901.77	7,742.73			159.04
	FIFO	1.000	Sep 18, 12	Jan 05, 15	89.80	91.68		-1.88	
	FIFO	4.000	Dec 28, 12	Jan 05, 15	359.17	342.40			16.77
FIFTH THIRD BANCORP	FIFO	62 000	Dec 28, 12	Jan 05, 15	1,225.09	936 63			288.46
	FIFO	17 000	May 08, 13	Jan 05, 15	335.91	299.40			36.51
FRANKLIN RESOURCES INC	FIFO	30.000	Aug 21, 12	Jan 05, 15	1,616.66	1,198.60			418.06
	FIFO	3 000	Dec 28, 12	Jan 05, 15	161.67	125.72			35.95
	FIFO	15.000	Jul 11, 13	Jan 05, 15	808.33	699.68			108.65
GENL ELECTRIC CO	FIFO	77.000	Aug 21, 12	Jan 05, 15	1,904.94	1,602.11			302.83
	FIFO	92.000	Aug 21, 12	Jan 05, 15	2,276.03	1,931.73			344.30
	FIFO	5.000	Dec 28, 12	Jan 05, 15	123.70	103.00			20.70
	FIFO	41.000	Feb 08, 13	Jan 05, 15	1,014.31	921.88			92.43
	FIFO	29.000	Nov 08, 13	Jan 05, 15	717.45	778 93		-61.48	
GENL MILLS INC	FIFO	14.000	Aug 21, 12	Jan 05, 15	732 60	540 63			191.97
	FIFO	1.000	Dec 28, 12	Jan 05, 15	52.33	40.15			12.18
HOME DEPOT INC	FIFO	30.000	Aug 21, 12	Jan 05, 15	3,054 54	1,684.10			1,370.44
	FIFO	1.000	Sep 18, 12	Jan 05, 15	101.82	58.82			43.00
HONEYWELL INTL INC	FIFO	14.000	Aug 21, 12	Jan 05, 15	1,381.21	825.67			555.54
	FIFO	1.000	Dec 28, 12	Jan 05, 15	98.65	63.28			35.37
	FIFO	4 000	Feb 08, 13	Jan 05, 15	394.63	282.41			112.22
INTEL CORP	FIFO	61 000	Aug 21, 12	Jan 05, 15	2,206.52	1,599.42			607.10
	FIFO	17.000	Sep 18, 12	Jan 05, 15	614 93	394.16			220.77
	FIFO	14.000	Dec 28, 12	Jan 05, 15	506.41	284.76			221.65

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
INTL BUSINESS MACH	FIFO	10.000	Aug 21, 12	Jan 05, 15	1,599.97	1,984.00		-384.03	
	FIFO	13.000	Aug 21, 12	Jan 05, 15	2,079.95	2,603.12		-523.17	
	FIFO	4.000	Sep 10, 12	Jan 05, 15	639.99	803.84		-163.85	
	FIFO	2.000	Sep 18, 12	Jan 05, 15	319.99	415.54		-95.55	
	FIFO	1.000	Dec 28, 12	Jan 05, 15	160.00	191.95		-31.95	
	FIFO	1.000	Dec 28, 12	Jan 05, 15	159.99	190.81		-30.82	
INTL PAPER CO	FIFO	22.000	Jul 15, 13	Jan 05, 15	1,159.16	1,042.53			116.63
ISHARES HIGH DIVID ETF	FIFO	388.000	Aug 16, 12	Jan 05, 15	29,385.50	23,728.82			5,656.68
ISHARES IBOXX $ INVT GRADE CORPORATE BOND ETF	FIFO	172.000	Aug 16, 12	Jan 05, 15	20,722 07	20,434 41			287.66
	FIFO	24 000	Aug 20, 13	Jan 05, 15	2,891.45	2,677.20			214.25
ISHARES IBOXX HIGH YIELD CORPORATE BOND ETF	FIFO	232.000	Aug 16, 12	Jan 05, 15	20,587 24	21,167 68		-580.44	
	FIFO	12.000	Aug 20, 13	Jan 05, 15	1,064 86	1,089.68		-24.82	
ISHARES INTL SELECT DIVID ETF	FIFO	427.000	Aug 16, 12	Jan 05, 15	14,061.40	13,467.54			593.86
ISHARES SELECT DIVID ETF	FIFO	394.000	Aug 16, 12	Feb 03, 15	31,649.52	22,697.44			8,952.08
	FIFO	370.000	Jan 31, 14	Feb 03, 15	29,721.62	25,760.07			3,961.55
ISHARES TIPS,BOND ETF	FIFO	87.000	Aug 16, 12	Jan 05, 15	9,821.22	10,357.96		-536.74	
	FIFO	14.000	Aug 20, 13	Jan 05, 15	1,580.43	1,545.18			35.25
ISHARES TRUST CORE S&P MID-CAP ETF	FIFO	40.000	Aug 20, 12	Nov 30, 15	5,841.09	3,886.30			1,954.79
ISHARES TRUST CORE S&P SMALL-CAP ETF	FIFO	34.000	Aug 20, 12	Nov 30, 15	3,947.67	2,561.22			1,386.45
ISHARES US PFD STOCK ETF INDEX FUND	FIFO	266 000	Aug 16, 12	Jan 05, 15	10,492.11	10,506.07		-13.96	
	FIFO	34.000	Aug 20, 13	Jan 05, 15	1,341.10	1,266 50			74.60
ISHARES 1-3 YEAR CREDIT BOND ETF	FIFO	207.000	Aug 16, 12	Jan 05, 15	21,755.24	21,781.58		-26.34	
	FIFO	9.000	Aug 20, 13	Jan 05, 15	945.88	945.63			0.25

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
JOHNSON & JOHNSON COM	FIFO	8 000	Aug 21, 12	Jan 05, 15	836.62	542.48			294 14
	FIFO	52 000	Aug 21, 12	Jan 05, 15	5,438.04	3,535.37			1,902.67
	FIFO	5 000	Aug 29, 12	Jan 05, 15	522 89	338.76			184.13
	FIFO	5.000	Sep 18, 12	Jan 05, 15	522.89	342.43			180.46
	FIFO	1.000	Dec 28, 12	Jan 05, 15	104.57	69.67			34.90
JOHNSON CONTROLS INC	FIFO	22.000	Aug 21, 12	Jan 05, 15	1,034.85	591.71			443.14
	FIFO	1.000	Dec 28, 12	Jan 05, 15	47.04	30.29			16.75
JPMORGAN CHASE & CO	FIFO	73.000	Aug 21, 12	Jan 05, 15	4,456.18	2,760.62			1,695.56
	FIFO	83.000	Aug 21, 12	Jan 05, 15	5,066.61	3,206.00			1,860.61
	FIFO	4.000	Sep 18, 12	Jan 05, 15	244 18	164.67			79 51
	FIFO	2.000	Dec 28, 12	Jan 05, 15	122 09	86.94			35.15
KRAFT FOODS GROUP INC	FIFO	8.333	Aug 21, 12	Jan 05, 15	519.24	359 67			159.57
	FIFO	1.666	Sep 18, 12	Jan 05, 15	103.85	69.58			34.27
LAUDER ESTEE COS CL A	FIFO	32 000	Aug 21, 12	Jan 05, 15	2,398.67	1,952.32			446.35
MARATHON OIL CORP	FIFO	31 000	Aug 21, 12	Jan 05, 15	842.25	837.20			5.05
	FIFO	2.000	Sep 18, 12	Jan 05, 15	54.34	60.54		-6.20	
	FIFO	1.000	Dec 28, 12	Jan 05, 15	27.17	29.94		-2.77	
MARATHON PETROLEUM CO	FIFO	15.000	Aug 21, 12	Jan 05, 15	1,331.52	733.20			598.32
	FIFO	1.000	Sep 18, 12	Jan 05, 15	88.76	51.97			36.79
	FIFO	1.000	Dec 28, 12	Jan 05, 15	88.77	61.35			27.42
MCDONALDS CORP	FIFO	16.000	Aug 21, 12	Jan 05, 15	1,486.85	1,416.91			69 94
	FIFO	44.000	Aug 21, 12	Jan 05, 15	4,088.83	3,910.58			178.25
	FIFO	1.000	Dec 28, 12	Jan 05, 15	92.93	88.02			4 91
MERCK & CO INC NEW COM	FIFO	40.000	Aug 21, 12	Jan 05, 15	2,316.51	1,722.25			594.26
	FIFO	29.000	Aug 21, 12	Jan 05, 15	1,679 47	1,261 79			417.68
	FIFO	4.000	Dec 28, 12	Jan 05, 15	231.65	163.24			68.41
	FIFO	14.000	Apr 19, 13	Jan 05, 15	810.78	659.40			151.38
METLIFE INC	FIFO	14.000	Jul 09, 13	Jan 05, 15	736 87	680.32			56 55
MICROSOFT CORP	FIFO	43 000	Aug 21, 12	Jan 05, 15	1,996.02	1,319.51			676.51
	FIFO	1.000	Sep 18, 12	Jan 05, 15	46.42	31.18			15.24

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
MONDELEZ INTL INC	FIFO	26 000	Aug 21, 12	Jan 05, 15	948.31	696.88			251.43
	FIFO	5 000	Sep 18, 12	Jan 05, 15	182.37	129 62			52 75
	FIFO	46.000	Apr 19, 13	Jan 05, 15	1,677.79	1,451.95			225.84
MOTOROLA SOLUTIONS INC	FIFO	19.000	Oct 01, 13	Jan 05, 15	1,251.31	1,151 03			100.28
NESTLE S A SPONSORED ADR REPSTG REG SHS SWITZ ADR	FIFO	61.000	Aug 21, 12	Jan 05, 15	4,360.18	3,806.40			553.78
NEWS CORP NEW CL A	FIFO	11.000	Aug 21, 12	Jan 05, 15	167.42	118 22			49.20
NEXTERA ENERGY INC COM	FIFO	21.000	Aug 21, 12	Jan 05, 15	2,223.22	1,440.65			782 57
	FIFO	1.000	Sep 18, 12	Jan 05, 15	105.87	67.38			38.49
	FIFO	1.000	Dec 28, 12	Jan 05, 15	105.87	68 61			37.26
NORTHEAST UTILITIES **NAME CHANGE 02/2015**	FIFO	27.000	Aug 21, 12	Jan 05, 15	1,443.11	1,035.08			408.03
NORTHROP GRUMMAN CORP	FIFO	16.000	Aug 21, 12	Jan 05, 15	2,297.39	1,110 56			1,186.83
	FIFO	1.000	Dec 28, 12	Jan 05, 15	143.58	68.51			75.07
NOVARTIS AG SPON ADR	FIFO	10.000	Jun 03, 13	Jan 05, 15	930.58	711.03			219.55
	FIFO	10.000	Jun 14, 13	Jan 05, 15	930.58	724.06			206.52
NOVO NORDISK ADR DENMARK ADR	FIFO	60.000	Aug 21, 12	Jan 05, 15	2,555.34	1,876.44			678.90
OCCIDENTAL PETROLEUM CRP	FIFO	21.000	Aug 21, 12	Jan 05, 15	1,623.69	1,780.82		-157.13	
	FIFO	36.000	Aug 21, 12	Jan 05, 15	2,783.46	3,102 07		-318.61	
	FIFO	1.000	Sep 18, 12	Jan 05, 15	77.31	85.99		-8 68	
	FIFO	6 000	Dec 28, 12	Jan 05, 15	463.91	438.88			25.03
ORACLE CORP	FIFO	29.000	Aug 21, 12	Jan 05, 15	1,276.84	933.80			343.04
	FIFO	10.000	Jul 11, 13	Jan 05, 15	440.30	319.28			121 02
PEPSICO INC	FIFO	25.000	Aug 21, 12	Jan 05, 15	2,359.20	1,835.00			524.20
	FIFO	5.000	Sep 18, 12	Jan 05, 15	471.84	353.90			117.94
PFIZER INC	FIFO	67 000	Aug 21, 12	Jan 05, 15	2,082.32	1,587.03			495.29
	FIFO	1.000	Dec 28, 12	Jan 05, 15	31.08	25.02			6.06
	FIFO	12.000	Apr 18, 13	Jan 05, 15	372.95	366 66			6 29

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
PHILIP MORRIS INTL INC	FIFO	13 000	Aug 21, 12	Jan 05, 15	1,043.87	1,192.87		-149.00	
	FIFO	69 000	Aug 21, 12	Jan 05, 15	5,540.57	6,408.72		-868 15	
	FIFO	5.000	Sep 18, 12	Jan 05, 15	401.49	457 63		-56.14	
	FIFO	6.000	Dec 28, 12	Jan 05, 15	481.79	498.48		-16.69	
PHILLIPS 66	FIFO	10.000	Aug 21, 12	Jan 05, 15	687.81	417.36			270.45
	FIFO	11.000	Dec 28, 12	Jan 05, 15	756.60	560.19			196.41
PIMCO TOTAL RETURN ACTIVE EXCH ETF	FIFO	400.000	Aug 16, 12	Jan 05, 15	43,225.45	42,678.64			546 81
	FIFO	29.000	Aug 20, 13	Jan 05, 15	3,133 84	3,027 60			106.24
PRAXAIR INC	FIFO	14.000	Aug 21, 12	Jan 05, 15	1,786 08	1,507.59			278 49
	FIFO	18.000	Aug 21, 12	Jan 05, 15	2,296 39	1,956.78			339.61
	FIFO	1.000	Dec 28, 12	Jan 05, 15	127.57	108 52			19.05
PROCTER & GAMBLE CO	FIFO	21.000	Aug 21, 12	Jan 05, 15	1,901.51	1,402.93			498.58
	FIFO	58 000	Aug 21, 12	Jan 05, 15	5,251.78	3,875.56			1,376.22
	FIFO	1.000	Sep 18, 12	Jan 05, 15	90.55	69.25			21.30
PRUDENTIAL FINANCIAL INC	FIFO	5 000	Aug 21, 12	Jan 05, 15	437 89	273.50			164.39
	FIFO	11.000	Aug 29, 12	Jan 05, 15	963.36	599.78			363.58
	FIFO	1.000	Dec 28, 12	Jan 05, 15	87.58	54.38			33.20
	FIFO	9.000	Jul 11, 13	Jan 05, 15	788.20	700.47			87.73
QUALCOMM INC	FIFO	24.000	Aug 21, 12	Jan 05, 15	1,779.08	1,516.92			262.16
RAYTHEON CO NEW	FIFO	34 000	Aug 21, 12	Jan 05, 15	3,629.76	1,913 03			1,716 73
	FIFO	1 000	Sep 18, 12	Jan 05, 15	106 76	57 90			48 86
	FIFO	2.000	Dec 28, 12	Jan 05, 15	213 51	114.04			99.47
ROCHE HLDG LTD SPONS ADR SWITZ ADR	FIFO	76.000	Aug 21, 12	Jan 05, 15	2,615.86	1,718.74			897.12
ROYAL DUTCH SHELL PLC CL A SPON ADR	FIFO	14.000	Aug 21, 12	Jan 05, 15	892.55	994.53		-101.98	
	FIFO	5.000	Dec 28, 12	Jan 05, 15	318.76	344.68		-25.92	
SABMILLER PLC SPON ADR	FIFO	14 000	Aug 21, 12	Jan 05, 15	689.56	625.10			64.46

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
SCHLUMBERGER LTD NETHERLANDS ANTILLES	FIFO	15 000	Aug 21, 12	Jan 05, 15	1,244.68	1,113.15			131.53
	FIFO	1.000	Sep 18, 12	Jan 05, 15	82.97	75.94			7.03
SEMPRA ENERGY	FIFO	12 000	Aug 21, 12	Jan 05, 15	1,325.94	814.92			511.02
	FIFO	1.000	Sep 18, 12	Jan 05, 15	110 49	64.64			45 85
	FIFO	1.000	Dec 28, 12	Jan 05, 15	110.50	70.60			39.90
SPDR.BARCLAYS CONV SEC ETF	FIFO	240.000	Aug 16, 12	Jan 05, 15	11,172.13	9,295.70			1,876.43
STATE STREET CORP	FIFO	11.000	Nov 15, 13	Jan 05, 15	853.14	774.62			78.52
SUNTRUST BANKS INC	FIFO	34 000	Feb 22, 13	Jan 05, 15	1,381 20	946.92			434.28
	FIFO	19.000	May 08, 13	Jan 05, 15	771.85	583.75			188.10
TARGET CORP	FIFO	11.000	Aug 21, 12	Jan 05, 15	818.37	704.50			113.87
	FIFO	5.000	Sep 18, 12	Jan 05, 15	371 99	319.00			52.99
TEMPLETON GLBAL BOND ADV	FIFO	1,593.678	Aug 16, 12	Jan 05, 15	19,602.25	20,972.68		-1,370.43	
	FIFO	6.546	Sep 17, 12	Jan 05, 15	80.53	87.27		-6 74	
	FIFO	6.527	Oct 15, 12	Jan 05, 15	80.29	87.53		-7 24	
	FIFO	6.556	Nov 15, 12	Jan 05, 15	80.65	87.79		-7.14	
	FIFO	42.361	Dec 17, 12	Jan 05, 15	521.05	559.59		-38.54	
	FIFO	0.282	Dec 17, 12	Jan 05, 15	3.48	3.74		-0.26	
	FIFO	28.314	Dec 17, 12	Jan 05, 15	348 26	374 02		-25.76	
	FIFO	6.773	Jan 15, 13	Jan 05, 15	83.32	90.90		-7.58	
	FIFO	6.783	Feb 15, 13	Jan 05, 15	83 43	91.17		-7.74	
	FIFO	6.798	Mar 15, 13	Jan 05, 15	83.63	91 44		-7.81	
	FIFO	6.773	Apr 15, 13	Jan 05, 15	83.31	91.71		-8.40	
	FIFO	6.738	May 15, 13	Jan 05, 15	82.89	91.97		-9.08	
	FIFO	7 073	Jun 17, 13	Jan 05, 15	87.00	92.24		-5.24	
	FIFO	7.116	Jul 15, 13	Jan 05, 15	87.53	92 52		-4 99	
	FIFO	6.146	Aug 15, 13	Jan 05, 15	75.60	81.45		-5.85	
	FIFO	1.091	Aug 15, 13	Jan 05, 15	13.43	13.99		-0 56	
	FIFO	7.169	Sep 16, 13	Jan 05, 15	88.19	92 85		-4 66	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	7.098	Oct 15, 13	Jan 05, 15	87.31	93 13		-5.82	
	FIFO	7 173	Nov 15, 13	Jan 05, 15	88.24	93.41		-5.17	
	FIFO	15 754	Dec 16, 13	Jan 05, 15	193.79	204.98		-11.19	
	FIFO	0 557	Dec 16, 13	Jan 05, 15	6.85	7.26		-0.41	
	FIFO	7.234	Jan 15, 14	Jan 05, 15	88.99	97.60		-8.61	
	FIFO	5.542	Feb 18, 14	Jan 05, 15	68.18	73.65		-5.47	
TEXAS INSTRUMENTS	FIFO	44.000	Aug 21, 12	Jan 05, 15	2,326.67	1,311 20			1,015.47
	FIFO	5.000	Sep 18, 12	Jan 05, 15	264.39	143.83			120.56
TIME WARNER CABLE INC	FIFO	6.000	Aug 21, 12	Jan 05, 15	888.10	539.88			348.22
TORONTO DOMINION BK NEW CANADA CAD	FIFO	19.000	Aug 21, 12	Jan 05, 15	865.43	774 88			90.55
	FIFO	8 000	Aug 29, 12	Jan 05, 15	364.40	329.66			34.74
	FIFO	2.000	Sep 18, 12	Jan 05, 15	91 09	83 64			7.45
	FIFO	2.000	Dec 28, 12	Jan 05, 15	91.10	83.62			7.48
TOTAL S.A. FRANCE SPON ADR	FIFO	32.000	Aug 21, 12	Jan 05, 15	1,530.36	1,603.44		-73.08	
	FIFO	64.000	Aug 21, 12	Jan 05, 15	3,060.72	3,226.24		-165.52	
	FIFO	1.000	Sep 18, 12	Jan 05, 15	47.82	53.60		-5.78	
	FIFO	1 000	Dec 28, 12	Jan 05, 15	47.83	51.46		-3.63	
TRAVELERS COS INC/THE	FIFO	25 000	Sep 06, 12	Jan 05, 15	2,615 42	1,630.70			984.72
	FIFO	1.000	Sep 18, 12	Jan 05, 15	104.61	68.46			36.15
TWENTY-FIRST CENTY FOX INC CL A	FIFO	45.000	Aug 21, 12	Jan 05, 15	1,680.26	934.79			745 47
UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	FIFO	9.000	Aug 21, 12	Jan 05, 15	341.09	311.65			29.44
	FIFO	1.000	Sep 18, 12	Jan 05, 15	37.90	36.08			1.82
	FIFO	1.000	Dec 28, 12	Jan 05, 15	37.90	38.00		-0.10	
UNITED PARCEL SERVICE INC CL B	FIFO	17.000	Mar 18, 13	Jan 05, 15	1,843.78	1,452.19			391.59
UNTD TECHNOLOGIES CORP	FIFO	16.000	Aug 21, 12	Jan 05, 15	1,823.16	1,267.94			555.22
	FIFO	32 000	Aug 21, 12	Jan 05, 15	3,646.32	2,575.16			1,071.16

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	1.000	Sep 18, 12	Jan 05, 15	113.95	81 36			32 59
	FIFO	1 000	Dec 28, 12	Jan 05, 15	113.95	81.28			32.67
US BANCORP DEL (NEW)	FIFO	51.000	Aug 21, 12	Jan 05, 15	2,253.13	1,683.32			569.81
	FIFO	1.000	Sep 18, 12	Jan 05, 15	44.18	34.28			9.90
	FIFO	1 000	Dec 28, 12	Jan 05, 15	44.18	32.62			11.56
VANGUARD BD INDEX FD INC TOTAL BOND MKT ETF	FIFO	501.000	Aug 16, 12	Jan 05, 15	41,498.87	42,186.58		-687.71	
	FIFO	60.000	Aug 20, 13	Jan 05, 15	4,969.92	4,792.80			177.12
VANGUARD FTSE DEVELOPED MKT.ETF	FIFO	211.000	Aug 20, 12	Feb 03, 15	8,212.85	6,937.17			1,275.68
	FIFO	26.000	Aug 20, 12	Nov 30, 15	981.22	854 82			126.40
VANGUARD FTSE EMERGING MARKETS ETF	FIFO	62.000	Aug 20, 12	Feb 03, 15	2,546.90	2,543.24			3.66
VERIZON COMMUNICATIONS INC	FIFO	78.000	Aug 21, 12	Jan 05, 15	3,669.83	3,349.83			320.00
	FIFO	1.000	Dec 28, 12	Jan 05, 15	47.05	43.11			3.94
VF CORP	FIFO	19.000	Aug 21, 12	Jan 05, 15	1,398.73	709.05			689.68
	FIFO	4.000	Sep 18, 12	Jan 05, 15	294.46	160.31			134.15
VOYA GLOBAL REAL ESTATE FUND CLASS I	FIFO	584 659	Aug 16, 12	Jan 05, 15	11,956.28	10,120.45			1,835 83
	FIFO	4.525	Oct 01, 12	Jan 05, 15	92.53	78 28			14.25
	FIFO	20 292	Dec 31, 12	Jan 05, 15	414 97	366.27			48.70
	FIFO	3.618	Apr 01, 13	Jan 05, 15	73.99	67.33			6.66
	FIFO	5.935	Jul 01, 13	Jan 05, 15	121.37	106.41			14.96
	FIFO	3.175	Oct 01, 13	Jan 05, 15	64.93	58.64			6.29
	FIFO	4 992	Dec 31, 13	Jan 05, 15	102.09	91.45			10.64
WAL MART STORES INC	FIFO	11 000	Aug 21, 12	Jan 05, 15	943.83	788.02			155.81
	FIFO	36.000	Aug 21, 12	Jan 05, 15	3,088.90	2,593.44			495.46
	FIFO	2.000	Dec 28, 12	Jan 05, 15	171.60	135 82			35 78

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
WALGREENS BOOTS ALLIANCE INC	FIFO	25 000	Aug 21, 12	Jan 05, 15	1,882.46	898.50			983.96
	FIFO	5.000	Sep 18, 12	Jan 05, 15	376.49	177.90			198.59
WALT DISNEY CO (HOLDING CO) DISNEY COM	FIFO	25.000	Aug 21, 12	Jan 05, 15	2,301.56	1,260 00			1,041.56
WELLS FARGO & CO NEW	FIFO	88.000	Aug 21, 12	Jan 05, 15	4,706.53	3,019.03			1,687.50
	FIFO	3 000	Sep 18, 12	Jan 05, 15	160.45	106.16			54.29
	FIFO	1.000	Dec 28, 12	Jan 05, 15	53.48	34.12			19.36
	FIFO	35.000	Jul 11, 13	Jan 05, 15	1,871.92	1,468.55			403.37
WEYERHAEUSER CO	FIFO	30.000	Aug 21, 12	Jan 05, 15	1,084.18	727.09			357.09
	FIFO	3.000	Sep 18, 12	Jan 05, 15	108.42	79.28			29.14
	FIFO	2.000	Dec 28, 12	Jan 05, 15	72.27	55 40			16.87
WISDOMTREE EMERGING MARKETS HIGH DIVID FUND ETF	FIFO	134.000	Aug 16, 12	Jan 05, 15	5,546.15	7,200.41		-1,654.26	
	FIFO	17.000	Aug 20, 13	Jan 05, 15	703.62	835.38		-131.76	
XILINX INC	FIFO	14.000	Aug 21, 12	Jan 05, 15	602.69	479.50			123.19
3M CO	FIFO	13 000	Aug 21, 12	Jan 05, 15	2,110 37	1,209.16			901.21
	FIFO	1.000	Dec 28, 12	Jan 05, 15	162.34	92.25			70.09
Total					**$640,490.08**	**$557,200.30**		**-$9,516.75**	**$92,806.53**
Net long-term capital gains or losses									**$83,289.78**
Net capital gains/losses:									**$89,829.27**

UBS FINANCIAL SERVICES INC. | Account JG:A5751

Proceeds from Broker and Barter Exchange Transactions (continued)

2015 1099-B* OMB No. 1545-0715 | 02/26/2016

UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS *(Line 5)*

Report on Form 8949, Part I with Box B checked or Part II with Box E checked. Basis is NOT provided to the IRS *(Line 3)*
"Date acquired," "Cost or other basis," "Adjustments & Code(s), if shown," "Gain or loss (-)" and "Additional information" are NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FHLMC PL G08592 04 0000 DUE 06/01/44 FACTOR 0.689436800000 / CUSIP: 3128MJUS7 / Symbol:							
05/15/15	0.000	629.34	N/A	0.00	0.00	0.00	Principal payment
06/15/15	0.000	585.45	N/A	0.00	0.00	0.00	Principal payment
07/15/15	0.000	510.92	N/A	0.00	0.00	0.00	Principal payment
08/15/15	0 000	400.41	N/A	0.00	0.00	0.00	Principal payment
09/15/15	0.000	358.71	N/A	0.00	0.00	0.00	Principal payment
10/15/15	0.000	418.73	N/A	0.00	0.00	0.00	Principal payment
11/15/15	0.000	406.93	N/A	0.00	0.00	0.00	Principal payment
Security total:		3,310.49		0.00		0.00	
FHLMC PL G08669 04.0000 DUE 09/01/45 FACTOR 0.979999600000 / CUSIP: 3128MJW71 / Symbol:							
12/15/15	0.000	130.80	N/A	0 00	0.00	0.00	Principal payment
01/15/16	0.000	161.29	N/A	0.00	...	0.00	Principal payment
Security total.		292.09		0.00		0.00	
FHLMC PL G08641 03.5000 DUE 05/01/45 FACTOR 0.958571600000 / CUSIP: 3128MJWB2 / Symbol:							
07/15/15	0.000	119.53	N/A	0.00	0 00	0.00	Principal payment
08/15/15	0.000	139.35	N/A	0.00	0.00	0.00	Principal payment
09/15/15	0.000	123.58	N/A	0.00	0.00	0 00	Principal payment
10/15/15	0.000	162.94	N/A	0.00	0.00	0.00	Principal payment
11/15/15	0.000	186.12	N/A	0.00	0.00	0.00	Principal payment
12/15/15	0.000	187.93	N/A	0.00	0.00	0.00	Principal payment
01/15/16	0.000	200.34	N/A	0.00	...	0.00	Principal payment
Security total:		1,119.79		0.00		0.00	
FHLMC PL C09066 03.5000 DUE 10/01/44 FACTOR 0.812543100000 / CUSIP: 31292SCB4 / Symbol:							
02/15/15	0.000	310 86	N/A	0.00	0.00	0.00	Principal payment
03/15/15	0.000	596.98	N/A	0 00	0.00	0.00	Principal payment
04/15/15	0.000	649.18	N/A	0.00	0.00	0.00	Principal payment
05/15/15	0.000	561.39	N/A	0.00	0.00	0.00	Principal payment
06/15/15	0.000	448.52	N/A	0.00	0.00	0.00	Principal payment
Security total:		2,566.93		0.00		0.00	

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**D = adjustment amount is market discount. W = adjustment amount is a nondeductible wash sale loss. C = proceeds amount is from collectible assets.

Fed ID. 47-1865899

UBS FINANCIAL SERVICES INC. Account JG A5751

Proceeds from Broker and Barter Exchange Transactions

2015 1099-B* OMB No. 1545-0715 (continued) 02/26/2016

UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS *(Line 5)*

Report on Form 8949, Part I with Box B checked or Part II with Box E checked. Basis is NOT provided to the IRS. *(Line 3)*
"Date acquired," "Cost or other basis," "Adjustments & Code(s), if shown," "Gain or loss (-)" and "Additional information" are NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any**	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FHLMC PL Q30145 04.0000 DUE 12/01/44 FACTOR 0.812730800000 / CUSIP: 3132QLET6 / Symbol.							
02/15/15	0.000	305.44	N/A	0.00	0.00	0.00	Principal payment
03/15/15	0 000	704.71	N/A	0.00	0.00	0.00	Principal payment
04/15/15	0.000	493.00	N/A	0.00	0.00	0.00	Principal payment
	Security total:	1,503.15		0.00		0.00	
FNMA PL AL6004 04.5000 DUE 10/25/44 FACTOR 0.603027320000 / CUSIP. 3138ENU64 / Symbol.							
02/25/15	0.000	458.56	N/A	0.00	0.00	0.00	Principal payment
03/25/15	0 000	537.55	N/A	0.00	0.00	0.00	Principal payment
04/25/15	0.000	535.25	N/A	0.00	0.00	0.00	Principal payment
05/25/15	0.000	560.94	N/A	0.00	0.00	0.00	Principal payment
	Security total:	2,092.30		0.00		0.00	
FNMA PL AL6306 04.5000 DUE 01/01/45 FACTOR 0.718572860000 / CUSIP: 3138EPAG9 / Symbol.							
06/25/15	0.000	536.79	N/A	0.00	0.00	0.00	Principal payment
07/25/15	0.000	387.83	N/A	0.00	0.00	0.00	Principal payment
08/25/15	0.000	393.19	N/A	0.00	0.00	0.00	Principal payment
09/25/15	0.000	529.01	N/A	0 00	0.00	0.00	Principal payment
10/25/15	0.000	453.27	N/A	0.00	0.00	0.00	Principal payment
11/25/15	0.000	463.74	N/A	0.00	0.00	0.00	Principal payment
12/25/15	0.000	313.29	N/A	0.00	0.00	0.00	Principal payment
01/25/16	0.000	452.03	N/A	0.00	...	0.00	Principal payment
	Security total:	3,529.15		0.00		0.00	
FNMA PL AS3294 04.0000 DUE 09/01/44 FACTOR 0.821520770000 / CUSIP: 3138WCUU5 / Symbol:							
06/25/15	0.000	494 52	N/A	0.00	0.00	0.00	Principal payment
07/25/15	0.000	313.25	N/A	0.00	0.00	0.00	Principal payment
08/25/15	0.000	246.23	N/A	0.00	0.00	0.00	Principal payment
	Security total:	1,054.00		0.00		0.00	
FNMA PL AS3907 04.0000 DUE 11/01/44 FACTOR 0.805726490000 / CUSIP: 3138WDKV2 / Symbol:							
02/25/15	0.000	189.54	N/A	0.00	0.00	0.00	Principal payment
03/25/15	0.000	431.40	N/A	0.00	0.00	0.00	Principal payment
04/25/15	0.000	558.92	N/A	0.00	0.00	0.00	Principal payment
05/25/15	0.000	611.05	N/A	0.00	0 00	0.00	Principal payment
	Security total:	1,790.91		0.00		0.00	
Totals :		17,258.81		0.00		...	

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**D = adjustment amount is market discount W = adjustment amount is a nondeductible wash sale loss. C = proceeds amount is from collectible assets.