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Return of Private Foundation

Department of the Treasury
Internal Revenue Service

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.

2015

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

Open to Public Inspection

For calendar year 2015 or tax year beginning , and ending

Name of foundation: **ROBERT CHINN FOUNDATION**

Number and street (or P O box number if mail is not delivered to street address): **P.O. BOX 14084**

Room/suite: _____

City or town, state or province, country, and ZIP or foreign postal code: **SEATTLE, WA 98114**

A Employer identification number: **91-1364167**

B Telephone number: **206-264-2327**

C If exemption application is pending, check here

D 1. Foreign organizations, check here
2. Foreign organizations meeting the 85% test, check here and attach computation

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

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

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

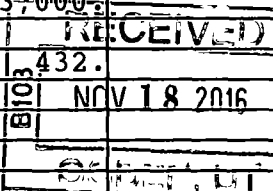
H Check type of organization: Section 501(c)(3) exempt private foundation
 Section 4947(a)(1) nonexempt charitable trust Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col (c), line 16): **\$ 4,777,020.** (Part I, column (d) must be on cash basis)

J Accounting method: Cash Accrual
 Other (specify) _____

| Part I Analysis of Revenue and Expenses | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|--|--|------------------------------------|---------------------------|-------------------------|---|
| <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))</i> | | | | | |
| Revenue | 1 Contributions, gifts, grants, etc., received | 88,963. | | | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 6,649. | 6,649. | | STATEMENT 1 |
| | 4 Dividends and interest from securities | 25,933. | 25,933. | | STATEMENT 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 12,931. | | | |
| | b Gross sales price for all assets on line 6a | 283,092. | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 12,931. | | |
| | 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 | | | | | |
| 12 Total Add lines 1 through 11 | | 134,476. | 45,513. | 0. | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0. | 0. | 0. | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees STMT 3 | 824. | 412. | 0. | 412. |
| | b Accounting fees STMT 4 | 1,250. | 625. | 0. | 625. |
| | c Other professional fees STMT 5 | 45,000. | 3,000. | 0. | 42,000. |
| | 17 Interest | | | | |
| | 18 Taxes STMT 6 | 432. | 432. | 0. | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | | |
| 23 Other expenses STMT 7 | 127,149. | 17,874. | 0. | 109,274. | |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 174,655. | 22,343. | 0. | 152,311. | |
| 25 Contributions, gifts, grants paid | 12,810. | | | 12,810. | |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 187,465. | 22,343. | 0. | 165,121. | |
| 27 Subtract line 26 from line 12: | | | | | |
| a Excess of revenue over expenses and disbursements | <52,989.> | | | | |
| b Net investment income (if negative, enter -0-) | | 23,170. | | | |
| c Adjusted net income (if negative, enter -0-) | | | 0. | | |

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| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only | | |
|--|---|---|----------------|-----------------------|
| | | Beginning of year | End of year | |
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 9,159. | 235,721. | 235,721. |
| | 2 Savings and temporary cash investments | 4,037,889. | 4,478,470. | 4,541,299. |
| | 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 | | | |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment, basis ▶ | | | |
| Less: accumulated depreciation ▶ | | | | |
| 12 Investments - mortgage loans | | | | |
| 13 Investments - other | 865,045. | | | |
| 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) | 4,912,093. | 4,714,191. | 4,777,020. | |
| 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. ▶ <input type="checkbox"/> | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/> | | | |
| | 27 Capital stock, trust principal, or current funds | 1,291,867. | 1,291,867. | |
| | 28 Paid-in or capital surplus, or land, bldg, and equipment fund | 3,620,226. | 3,620,226. | |
| 29 Retained earnings, accumulated income, endowment, or other funds | 0. | <197,902.> | | |
| 30 Total net assets or fund balances | 4,912,093. | 4,714,191. | | |
| 31 Total liabilities and net assets/fund balances | 4,912,093. | 4,714,191. | | |

Part III Analysis of Changes in Net Assets or Fund Balances

| | | |
|--|---|------------|
| 1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 4,912,093. |
| 2 Enter amount from Part I, line 27a | 2 | <52,989.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 4,859,104. |
| 5 Decreases not included in line 2 (itemize) ▶ PRIOR PERIOD ADJUSTMENT | 5 | 144,913. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 4,714,191. |

Form 990-PF (2015)

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 US TRUST #011001289750 - SEE ATTACHED | P | VARIOUS | 12/31/15 |
| b US TRUST #011001289750 - SEE ATTACHED | P | VARIOUS | 12/31/15 |
| c US TRUST #011001289750 - SEE ATTACHED | P | 12/24/12 | 07/28/15 |
| d CAPITAL GAINS DIVIDENDS | | | |
| e | | | |

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a 56,620. | | 58,685. | <2,065.> |
| b 200,008. | | 199,946. | 62. |
| c 6,698. | | 11,530. | <4,832.> |
| d 19,766. | | | 19,766. |
| e | | | |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|--------------------------------------|---|---|
| (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 | |
| a | | | <2,065.> |
| b | | | 62. |
| c | | | <4,832.> |
| d | | | 19,766. |
| e | | | |

| | | | |
|--|---|---|---------|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 | 2 | 12,931. |
| 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 | | | |
| 2013 | | | |
| 2012 | | | |
| 2011 | | | |
| 2010 | | | |

| | | |
|--|---|--|
| 2 Total of line 1, column (d) | 2 | |
| 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 | |
| 4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5 | 4 | |
| 5 Multiply line 4 by line 3 | 5 | |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | |
| 7 Add lines 5 and 6 | 7 | |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | |

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 <input type="checkbox"/> 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 <input type="checkbox"/> and enter 1% of Part I, line 27b | 1 | 463. |
| 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 | 463. |
| 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 | 463. |
| 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 | 475. |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 475. |
| 8 | Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached | 8 | |
| 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | 9 | |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | 12. |
| 11 | Enter the amount of line 10 to be: Credited to 2016 estimated tax 12. Refunded | 11 | 0. |

Part VII-A Statements Regarding Activities

| | Yes | No |
|--|--|----|
| 1a | | X |
| 1b | | X |
| If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities | | |
| 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 | | X |
| If "Yes," attach a detailed description of the activities | | |
| 3 | | X |
| 4a | | X |
| 4b | N/A | |
| 5 | | X |
| If "Yes," attach the statement required by General Instruction T. | | |
| 6 | X | |
| 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NONE | |
| 8b | X | |
| 9 | | X |
| 10 | | X |

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges?
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?
14 The books are in care of DEREK L CHINN Telephone no. 206-860-8522
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here
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?

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.
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?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(6) Agree to pay money or property to a government official?
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)?
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?
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?
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?
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?
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?
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No
 Organizations relying on a current notice regarding disaster assistance check here

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) **N/A**

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No
 If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

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 |
|----------------------|---|---|---|---------------------------------------|
| SEE STATEMENT 8 | | 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

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 | |
| 3 All other program-related investments. See instructions. | |
| 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 | 3,370,077. |
| b | Average of monthly cash balances | 1b | 199,752. |
| c | Fair market value of all other assets | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 3,569,829. |
| 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 | 3,569,829. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 53,547. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 3,516,282. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 175,814. |

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 | 175,814. |
| 2a | Tax on investment income for 2015 from Part VI, line 5 | 2a | 463. |
| 2b | Income tax for 2015. (This does not include the tax from Part VI.) | 2b | |
| c | Add lines 2a and 2b | 2c | 463. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 175,351. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 175,351. |
| 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 | 175,351. |

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 | 165,121. |
| 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 | 165,121. |
| 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 | 165,121. |

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 | | | | 175,351. |
| 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 | | | | |
| f Total of lines 3a through e | 0. | | | |
| 4 Qualifying distributions for 2015 from Part XII, line 4: ▶ \$ 165,121. | | | | |
| 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 | | | | 165,121. |
| 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)) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| 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 | | | | 10,230. |
| 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 | 0. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2011 | | | | |
| b Excess from 2012 | | | | |
| c Excess from 2013 | | | | |
| d Excess from 2014 | | | | |
| e Excess from 2015 | | | | |

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 | | | | (e) Total |
|--|----------|----------|----------|----------|-----------|
| | (a) 2015 | (b) 2014 | (c) 2013 | (d) 2012 | |
| 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:

SEE STATEMENT 9

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

| 3 Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|---|---|--------------------------------|----------------------------------|----------------|
| Recipient | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
| Name and address (home or business) | | | | |
| a Paid during the year | | | | |
| CHINESE AMERICAN CITIZENS ALLIANCE 415 BAMBOO LN LOS ANGELES, CA 90012 | | 501(C)(3) | GENERAL FUND | 400. |
| API CHAYA PO BOX 14047 SEATTLE, WA 98114 | | 501(C)(3) | GENERAL FUND | 5,000. |
| RESCUE FREEDOM PO BOX 77 KIRKLAND, WA 98083 | | 501(C)(3) | GENERAL FUND | 5,000. |
| KIN ON 4416 S. BRANDON STREET SEATTLE, WA 98118 | | 501(C)(3) | GENERAL FUND | 450. |
| ASIAN BAR ASSOCIATION 925 4TH AVE. STE 2900 SEATTLE, WA 98164 | | 501(C)(6) | GENERAL FUND | 1,500. |
| Total | SEE CONTINUATION SHEET(S) | | | 12,810. |
| b Approved for future payment | | | | |
| NONE | | | | |
| | | | | |
| | | | | |
| Total | | | | 0. |

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

ROBERT CHINN FOUNDATION

Employer identification number

91-1364167

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).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2015)

| | |
|--|---|
| Name of organization ROBERT CHINN FOUNDATION | Employer identification number 91-1364167 |
|--|---|

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 | TULALIP RESORT CASINO 10200 QUIL CEDA BLVD. TULALIP, WA 98271 | \$ 10,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| 2 | ALASKA AIRLINES P.O. BOX 68900 SEATTLE, WA 98168 | \$ 12,150. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| 3 | VIRGINIA MASON 1100 NINTH AVENUE SEATTLE, WA 98101 | \$ 5,000. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |

| | |
|--|---|
| Name of organization ROBERT CHINN FOUNDATION | Employer identification number 91-1364167 |
|--|---|

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 |
|------------------------------|--|--|----------------------|
| | | \$ _____ | |
| | | \$ _____ | |
| | | \$ _____ | |
| | | \$ _____ | |
| | | \$ _____ | |
| | | \$ _____ | |
| | | \$ _____ | |

| | |
|--|---|
| Name of organization ROBERT CHINN FOUNDATION | Employer identification number 91-1364167 |
|--|---|

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 |
| | |

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

| SOURCE | (A) REVENUE PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME |
|-------------------------|-----------------------------|---------------------------------|-------------------------------|
| BEAL BANK | 1,475. | 1,475. | 1,475. |
| WASHINGTON FEDERAL | 5,174. | 5,174. | 5,174. |
| TOTAL TO PART I, LINE 3 | 6,649. | 6,649. | 6,649. |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|----------------------------|-----------------|-------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| AMERICAN STOCK US TRUST | 298. 45,401. | 0. 19,766. | 298. 25,635. | 298. 25,635. | 298. 25,635. |
| TO PART I, LINE 4 | 45,699. | 19,766. | 25,933. | 25,933. | 25,933. |

FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| LEGAL FEES | 824. | 412. | 0. | 412. |
| TO FM 990-PF, PG 1, LN 16A | 824. | 412. | 0. | 412. |

FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ACCOUNTING FEES | 1,250. | 625. | 0. | 625. |
| TO FORM 990-PF, PG 1, LN 16B | 1,250. | 625. | 0. | 625. |

FORM 990-PF **OTHER PROFESSIONAL FEES** **STATEMENT 5**

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| CONSULTING FEES | 45,000. | 3,000. | 0. | 42,000. |
| TO FORM 990-PF, PG 1, LN 16C | 45,000. | 3,000. | 0. | 42,000. |

FORM 990-PF **TAXES** **STATEMENT 6**

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| FOREIGN TAX | 432. | 432. | 0. | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 432. | 432. | 0. | 0. |

FORM 990-PF **OTHER EXPENSES** **STATEMENT 7**

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| INVESTMENT FEES AND EXPENSES | 8,215. | 8,215. | 0. | 0. |
| UTILITIES | 2,515. | 1,258. | 0. | 1,258. |
| OPERATING COSTS | 4,903. | 2,451. | 0. | 2,451. |
| INSURANCE | 3,898. | 1,949. | 0. | 1,949. |
| MISC FEES | 50. | 25. | 0. | 25. |
| MISC EXPENSE | 300. | 150. | 0. | 150. |
| POSTAGE | 128. | 64. | 0. | 64. |
| OFFICE RENT | 3,415. | 1,707. | 0. | 1,707. |
| SEVERANCE | 4,000. | 2,000. | 0. | 2,000. |
| BUSINESS LICENSE | 110. | 55. | 0. | 55. |
| GRANT PROGRAM EXPENSE - HALL OF FAME | 99,615. | 0. | 0. | 99,615. |
| TO FORM 990-PF, PG 1, LN 23 | 127,149. | 17,874. | 0. | 109,274. |

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 8

| NAME AND ADDRESS | TITLE AND AVRG HRS/WK | COMPEN- SATION | EMPLOYEE BEN PLAN CONTRIB | EXPENSE ACCOUNT |
|---|--------------------------|-------------------|---------------------------------|--------------------|
| KAREN WONG 116 FAIRVIEW AVENUE N, #613 SEATTLE, WA 98109 | PRESIDENT 20.00 | 0. | 0. | 0. |
| DEREK L. CHINN P.O. BOX 3232 SEATTLE, WA 98114 | TREASURER 8.00 | 0. | 0. | 0. |
| JIM REED 2100 124TH AVE NE, SUITE 100 BELLEVUE, WA 98005 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| LETITIA FONG 3211-109TH SE BELLEVUE, WA 98004 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| NATE ROTHBAUER 600 UNIVERSITY ST SUITE 1100 SEATTLE, WA 98101 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| ANGELA GEE 1916 PIKE PLACE #12-607 SEATTLE, WA 98101 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| DENISE SEAVITT 15 LAKE ST #200 KIRKLAND, WA 98032 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| EDMUND LEE 601 UNION ST SEATTLE, WA 98101 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| AARON OLSON 11100 NE 8TH ST SUITE #250 BELLEVUE, WA 98004 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| EDDIE PASATIEMPO 5410 NE PENRITH ROAD SEATTLE, WA 98105 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| JAMES SPAHN 15600 REDMOND, WA 98052 SUITE 101 REDMOND, WA 98052 | BOARD MEMBER 2.00 | 0. | 0. | 0. |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII | | 0. | 0. | 0. |

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 9

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

ROBERT CHINN FOUNDATION
P.O. BOX 14084
SEATTLE, WA 98104

TELEPHONE NUMBER

NAME OF GRANT PROGRAM

206-264-2327

PHILANTHROPIC GRANT PROGRAM

EMAIL ADDRESS

INFO@ROBERTCHINNFUNDATION.ORG

FORM AND CONTENT OF APPLICATIONS

ALL GRANT OPPORTUNITIES ARE LISTED ON THE FOUNDATION WEBSITE,
ROBERTCHINNFUNDATION.ORG.

ANY SUBMISSION DEADLINES

DEPENDENT ON GRANT.

RESTRICTIONS AND LIMITATIONS ON AWARDS

ORGANIZATIONS CAN APPLY EVERY TWO YEARS.

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | LIMITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | ADJUSTMENTS | PERMANENT SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PERMANENT SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|----------------------------|-----------------------|---------------|--------|------------|--------|----------|---------------------|---------------|-------------|--|--|
| ALPHABET INC | 11/23/15 | 11/13/15 | 1 | 02079KJ107 | GOOG | \$723.70 | \$723.00 | \$35.70 | \$0.00 | \$0.00 | \$0.00 |
| APPLE COMPUTER INC | 11/20/15 | 01/15/15 | 5 | 037833100 | AAPL | \$595.42 | \$538.53 | \$26.89 | \$0.00 | \$0.00 | \$0.00 |
| BLUE BUFFALO PET PRODS INC | 11/20/15 | 11/13/15 | 4 | 09531U102 | BUFF | \$476.34 | \$452.60 | \$23.74 | \$0.00 | \$0.00 | \$0.00 |
| | 11/18/15 | 11/11/15 | 30 | | | \$609.41 | \$519.80 | \$30.44 | \$0.00 | \$0.00 | \$0.00 |
| | 11/18/15 | 11/11/15 | 8 | | | \$135.76 | \$143.96 | \$ 8.20 | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | DATE ACQUIRED | UNIT | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET CAP/LISS | CODE | ADJUSTMENTS | PERIOD SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PERIOD SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|----------------------------------|---------------|--------|-----------|--------|------------|---------------------|--------------|------|-------------|---|---|
| BLUE BUFFALO PET PRODS INC | | | 09531U102 | BUFF | | | | | | | |
| | 11/19/15 | 4 | | | \$68.08 | \$71.95 | \$-3.90 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 23 | | | \$393.78 | \$413.89 | \$-20.11 | | \$0.00 | \$0.00 | \$0.00 |
| CIGNA CORP | | | 125509109 | CI | | | | | | | |
| | 12/14/15 | 1 | | | \$140.66 | \$132.60 | \$8.06 | | \$0.00 | \$0.00 | \$0.00 |
| CELGENE CORP COM | | | 151020104 | CELG | | | | | | | |
| | 11/23/15 | 2 | | | \$328.43 | \$217.90 | \$110.53 | | \$0.00 | \$0.00 | \$0.00 |
| CHEVRONTEKACO CORP | | | 166764100 | CVA | | | | | | | |
| | 11/20/15 | 16 | | | \$1,431.57 | \$1,418.95 | \$12.62 | | \$0.00 | \$0.00 | \$0.00 |
| | 12/14/15 | 2 | | | \$178.69 | \$177.37 | \$1.32 | | \$0.00 | \$0.00 | \$0.00 |
| | 12/14/15 | 1 | | | \$89.35 | \$90.15 | \$-0.80 | | \$0.00 | \$0.00 | \$0.00 |
| COMCAST CORP NEW CLA | | | 20030N101 | CMCSA | | | | | | | |
| | 08/14/15 | 5 | | | \$468.30 | \$455.35 | \$12.95 | | \$0.00 | \$0.00 | \$0.00 |
| EATON VANCE MUT FDR TR FLTG RATE | | | 277911491 | EIBLX | | | | | | | |
| | 07/28/15 | 548.85 | | | \$4,890.23 | \$4,995.44 * | \$-105.21 | | \$0.00 | \$0.00 | \$0.00 |
| ELECTRONIC ARTS | | | 285512109 | EA | | | | | | | |
| | 11/23/15 | 2 | | | \$136.88 | \$140.40 | \$-3.52 | | \$0.00 | \$0.00 | \$0.00 |
| | 12/14/15 | 3 | | | \$209.04 | \$211.35 | \$-2.31 | | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | CLUSIP | SYMBOL | Units | Proceeds | Cost or other basis | Net Gain/Loss | Code | Adjustments | Portion Subject to 96% and Market Discount (included in Net G/L) | Portion Subject to 28% Rates (included in Net G/L) |
|-----------------------------------|------------------|-------------|-------|------------|---------------------|---------------|------|-------------|--|--|
| FACERBOOK INC | 30303M102 | FB | | | | | | | | |
| 11/23/15 | 2 | \$213.74 | | \$211.92 | \$1.82 | | | \$0.00 | \$0.00 | \$0.00 |
| FEDEX CORPORATION | 3142RX106 | FDX | | | | | | | | |
| 12/14/15 | 1 | \$143.64 | | \$163.57 | \$-19.93 | | | \$0.00 | \$0.00 | \$0.00 |
| 12/14/15 | 3 | \$130.92 | | \$476.75 | \$-345.83 | | | \$0.00 | \$0.00 | \$0.00 |
| HANESBRANDS INC | 410345102 | HBI | | | | | | | | |
| 03/26/15 | 8 | \$267.10 | | \$164.16 * | \$102.94 | | | \$0.00 | \$0.00 | \$0.00 |
| 03/26/15 | 2 | \$66.77 | | \$41.07 * | \$25.70 | | | \$0.00 | \$0.00 | \$0.00 |
| HONEYWELL INTL INC | 438516106 | HON | | | | | | | | |
| 12/14/15 | 2 | \$197.89 | | \$202.84 | \$-5.00 | | | \$0.00 | \$0.00 | \$0.00 |
| HURON CONSULTING GROUP INC | 447462102 | HURN | | | | | | | | |
| 11/18/15 | 2 | \$108.95 | | \$105.09 | \$3.86 | | | \$0.00 | \$0.00 | \$0.00 |
| 11/20/15 | 4 | \$217.30 | | \$210.18 | \$7.12 | | | \$0.00 | \$0.00 | \$0.00 |
| 11/23/15 | 6 | \$324.54 | | \$315.27 | \$9.27 | | | \$0.00 | \$0.00 | \$0.00 |
| IHS INC COM CLA | 451734107 | IHS | | | | | | | | |
| 12/14/15 | 3 | \$342.33 | | \$354.03 | \$-11.70 | | | \$0.00 | \$0.00 | \$0.00 |
| INTEL CORP | 458140100 | INTC | | | | | | | | |
| 11/20/15 | 23 | \$975.23 | | \$699.64 | \$275.59 | | | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | ADJUSTMENTS | MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RULES (INCLUDED IN NET G/L) |
|-----------------------|-----------------------|---------------|-----------|-------|--------|------------|---------------------|---------------|-------------|---------------------------------------|--|
| INTUIT | | | 461202103 | | INTU | | | | | | |
| | 12/14/15 | 11/13/15 | 4 | | | \$388.15 | \$388.83 | \$-0.68 | \$0.00 | \$0.00 | \$0.00 |
| JARDEN CORP | | | 471109108 | | JAH | | | | | | |
| | 12/15/15 | 11/11/15 | 7 | | | \$337.65 | \$337.65 | \$-0.00 | \$0.00 | \$0.00 | \$0.00 |
| | 12/16/15 | 11/11/15 | 7 | | | \$389.23 | \$337.65 | \$51.58 | \$0.00 | \$0.00 | \$0.00 |
| KINDER MORGAN INC DEL | | | 49456101 | | KMI | | | | | | |
| | 11/12/15 | 07/06/15 | 15 | | | \$354.70 | \$564.41 | \$-209.71 | \$0.00 | \$0.00 | \$0.00 |
| | 11/12/15 | 01/15/15 | 33 | | | \$780.33 | \$1,352.01 | \$-571.68 | \$0.00 | \$0.00 | \$0.00 |
| M&CYS INC | | | 55616104 | | M | | | | | | |
| | 11/20/15 | 11/13/15 | 24 | | | \$926.34 | \$932.56 | \$-6.22 | \$0.00 | \$0.00 | \$0.00 |
| MASTERCARD INC CL A | | | 576360104 | | MA | | | | | | |
| | 12/14/15 | 11/13/15 | 3 | | | \$288.68 | \$291.18 | \$-2.50 | \$0.00 | \$0.00 | \$0.00 |
| MEDTRONIC INC | | | 585055106 | | MDT | | | | | | |
| | 01/26/15 | 01/15/15 | 25 | | | \$1,923.75 | \$1,791.43 | \$1,292.32 | \$0.00 | \$0.00 | \$0.00 |
| METLIFE INC | | | 59156108 | | MET | | | | | | |
| | 01/15/15 | 05/06/14 | 7 | | | \$338.81 | \$356.13 | \$-17.32 | \$0.00 | \$0.00 | \$0.00 |
| MICROSOFT CORP | | | 594918104 | | MSFT | | | | | | |
| | 11/12/15 | 06/29/15 | 3 | | | \$160.60 | \$134.63 | \$25.97 | \$0.00 | \$0.00 | \$0.00 |
| | 12/14/15 | 11/13/15 | 6 | | | \$330.99 | \$318.12 | \$12.87 | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | ADJUSTMENTS | MARKET DISCOUNT (EXCLUDED IN NET C/L) | MARKET SUBJECT TO 968 AND MARKET DISCOUNT (EXCLUDED IN NET C/L) | PORTION SUBJECT TO 28% RULES (EXCLUDED IN NET C/L) |
|-------------------------------|-----------------------|---------------|-------|-----------|--------|------------|---------------------|---------------|-------------|---------------------------------------|---|--|
| MOHAWK INDS INC | 11/23/15 | 11/13/15 | 1 | 688190104 | MHK | \$194.39 | \$183.00 | \$11.39 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| PHILIP MORRIS INTL INC | 12/14/15 | 11/13/15 | 3 | 718172109 | PM | \$251.86 | \$251.42 | \$0.44 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| PRICELINE.COM INC | 11/23/15 | 11/13/15 | 1 | 741583403 | PCLN | \$1,271.59 | \$1,207.14 | \$64.45 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| QORVO INC | 12/14/15 | 11/13/15 | 0 | 747368101 | QVVO | \$314.51 | \$305.70 | \$8.81 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| RADIAN GROUP INC | 11/18/15 | 11/11/15 | 50 | 750236101 | RDN | \$715.45 | \$717.75 | -\$2.30 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| RANGE RES CORP | 12/14/15 | 11/13/15 | 15 | 75281A109 | RRC | \$328.20 | \$466.20 | -\$138.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| RAYONER INC | 12/14/15 | 11/13/15 | 16 | 754907103 | RYN | \$353.46 | \$372.92 | -\$19.46 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| REGENERON PHARMACEUTICALS INC | 12/02/15 | 11/17/15 | 6 | 75986F107 | REGN | \$3,269.59 | \$2,391.95 | \$877.64 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| ROCHE HLDG LTD SPONSORED ADR | 03/26/15 | 11/07/14 | 20 | 771195104 | RHHBY | \$653.93 | \$733.27 | -\$79.34 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 11/07/14 | 11 | | | \$389.63 | \$403.30 | -\$13.67 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DEPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 98% AND MARKET DISCOUNT (INCLUDED IN NET C/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET C/L) |
|---|----------------------|---------------|-------|-----------|--------|------------|---------------|------|-------------|--|--|
| KICKWELL INTL CORP NEW | | | | | | | | | | | |
| | 11/20/15 | 11/11/15 | 5 | 773903109 | ROK | \$526.68 | \$5.05 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/23/15 | 11/11/15 | 13 | | | \$1,357.31 | \$8.89 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/24/15 | 11/11/15 | 4 | | | \$415.69 | \$0.79 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/24/15 | 11/11/15 | 12 | | | \$1,249.39 | \$4.69 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/25/15 | 11/11/15 | 30 | | | \$3,114.31 | \$35.56 | | \$0.00 | \$0.00 | \$0.00 |
| ST JUDE MEDICAL INC | | | | | | | | | | | |
| | 12/14/15 | 11/13/15 | 7 | 790849103 | SJ1 | \$421.56 | \$-12.58 | | \$0.00 | \$0.00 | \$0.00 |
| SMITH A O CORP | | | | | | | | | | | |
| | 11/17/15 | 11/11/15 | 5 | 831865209 | ADN | \$385.65 | \$0.12 | | \$0.00 | \$0.00 | \$0.00 |
| UNITED TECHNOLOGIES CORP | | | | | | | | | | | |
| | 11/20/15 | 11/13/15 | 20 | 913017109 | UTX | \$1,971.70 | \$30.75 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 12/11/14 | 16 | | | \$1,577.36 | \$-250.21 | | \$0.00 | \$0.00 | \$0.00 |
| | 12/14/15 | 11/13/15 | 3 | | | \$279.24 | \$-11.90 | | \$0.00 | \$0.00 | \$0.00 |
| VANGUARD INDEX FDS RET VIPHERSHS | | | | | | | | | | | |
| | 07/29/15 | 09/01/14 | 50 | 922908583 | VXQ | \$3,913.86 | \$213.86 | | \$0.00 | \$0.00 | \$0.00 |
| WABASH NATL CORP | | | | | | | | | | | |
| | 11/19/15 | 11/11/15 | 11 | 929566107 | WNC | \$1,413.57 | \$3.25 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/19/15 | 11/11/15 | 17 | | | \$218.71 | \$1.27 | | \$0.00 | \$0.00 | \$0.00 |

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COVER NUMBER BASIS | NET GAIN/LOSS | ADJUSTMENTS | PORTION SUBJECT TO 95% AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) | |
|---------------------------------------|-----------------------|---------------|-------|-----------|---------|------------|--------------------|---------------|-------------|--|--|--|
| WAL MARI STORES INC | | | | | | | | | | | | |
| | 09/28/15 | 01/15/15 | 11 | 931142103 | WMI | \$700.55 | 5959.17 | \$-258.62 | \$0.00 | \$0.00 | \$0.00 | |
| | 09/28/15 | 11/05/14 | 5 | | | \$318.43 | \$588.72 | \$-70.20 | \$0.00 | \$0.00 | \$0.00 | |
| | 11/20/15 | 11/13/15 | 8 | | | \$485.40 | \$453.98 | \$31.51 | \$0.00 | \$0.00 | \$0.00 | |
| WILLIAMS COMPANIES | | | | | | | | | | | | |
| | 12/14/15 | 11/13/15 | 25 | 969457100 | WYB | \$387.78 | \$796.10 | \$-208.32 | \$0.00 | \$0.00 | \$0.00 | |
| ACTELION LTD | | | | | | | | | | | | |
| | 13/07/15 | 11/11/15 | 17 | BYD5Q244 | ATLN.VX | \$2,195.47 | \$2,351.30 | \$-155.83 | \$0.00 | \$0.00 | \$0.00 | |
| SALVATORE FERRACANO ITALIA SPA | | | | | | | | | | | | |
| | 11/16/15 | 11/11/15 | 86 | BSVZ05349 | SFER.IM | \$1,940.69 | \$2,266.31 | \$-325.62 | \$0.00 | \$0.00 | \$0.00 | |
| | 11/17/15 | 11/11/15 | 61 | | | \$1,396.82 | \$1,607.50 | \$-210.68 | \$0.00 | \$0.00 | \$0.00 | |
| | 11/18/15 | 11/11/15 | 54 | | | \$1,228.62 | \$1,423.03 | \$-194.41 | \$0.00 | \$0.00 | \$0.00 | |
| | 11/19/15 | 11/11/15 | 14 | | | \$326.38 | \$368.93 | \$-42.55 | \$0.00 | \$0.00 | \$0.00 | |
| DELPHI AUTOMOTIVE PLC | | | | | | | | | | | | |
| | 12/14/15 | 11/13/15 | 4 | G27823106 | DLPH | \$328.51 | \$323.67 | \$4.84 | \$0.00 | \$0.00 | \$0.00 | |
| MEDTRONIC PLC | | | | | | | | | | | | |
| | 11/12/15 | 01/26/15 | 7 | G5960L103 | MDT | \$523.71 | \$553.47 * | \$-29.76 | \$0.00 | \$0.00 | \$0.00 | |
| | 11/12/15 | 03/26/15 | 10 | | | \$748.15 | \$764.71 * | \$-16.56 | \$0.00 | \$0.00 | \$0.00 | |
| | 12/14/15 | 11/13/15 | 5 | | | \$383.13 | \$373.00 | \$10.13 | \$0.00 | \$0.00 | \$0.00 | |

Short Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|----------------------------|-----------------------|---------------|-------|-----------|--------|-------------|---------------------|---------------|------|-------------|--|--|
| NIELSEN HEDGS PLC | 11/23/15 | 11/13/15 | 10 | G6518L108 | NLSN | \$474.30 | \$465.50 | \$8.80 | | \$0.00 | \$0.00 | \$0.00 |
| TYCO INTERNATIONAL PLC | 12/14/15 | 11/13/15 | 11 | G91442106 | TYC | \$349.44 | \$385.40 | \$-35.96 | | \$0.00 | \$0.00 | \$0.00 |
| PERRIGO CO | 11/12/15 | 11/11/15 | 5 | G97822103 | PRGO | \$784.06 | \$823.13 | \$-39.07 | | \$0.00 | \$0.00 | \$0.00 |
| Total Short Term Gain/Loss | | | | | | \$56,620.28 | \$59,064.73 | \$-2,064.45 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|--------------------------------|-----------------------|---------------|--------|-----------|--------|-------------|---------------------|---------------|------|-------------|--|--|
| ABN AMKO PDS MONTAG & CALDWELL | 07/28/15 | 04/11/11 | 259.07 | 00073H281 | MCGIX | \$1,077.71 | \$6,400.00 | \$-5,322.29 | | \$0.00 | \$0.00 | \$0.00 |
| ABBVIL INC | 07/28/15 | 09/04/09 | 390.43 | 00287Y109 | ABBY | \$10,666.66 | \$8,000.00 | \$2,666.66 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 11/07/07 | 3 | | | \$171.56 | \$83.98 | \$87.58 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 10/29/07 | 30 | | | \$1,715.61 | \$950.45 | \$865.16 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 01/03/13 | 4 | | | \$228.75 | \$138.13 | \$90.62 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 01/04/13 | 7 | | | \$400.31 | \$242.52 | \$157.79 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | CGR OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|----------------------------|-----------------------|---------------|--------|-------|-----------|-------------|--------------------|---------------|------|-------------|--|--|
| ALTRIA GROUP INC | | | | | | | | | | | | |
| | 11/12/15 | 06/24/14 | 2 | | 1113 94 | \$113.94 | \$84.73 | \$29.21 | | \$0.00 | \$0.00 | \$0.00 |
| AMERICAN EXPRESS CO | | | | | | | | | | | | |
| | 03/25/15 | 02/08/10 | 20 | | 025816109 | AXP | \$739.76 | \$865.24 | | \$0.00 | \$0.00 | \$0.00 |
| AMGEN INC | | | | | | | | | | | | |
| | 01/15/15 | 11/01/12 | 3 | | 031162100 | AMGN | \$459.40 | \$461.79 | | \$0.00 | \$0.00 | \$0.00 |
| | 01/15/15 | 01/14/14 | 2 | | | \$306.27 | \$235.42 | \$70.85 | | \$0.00 | \$0.00 | \$0.00 |
| | 01/15/15 | 01/04/13 | 4 | | | \$612.54 | \$354.56 | \$257.98 | | \$0.00 | \$0.00 | \$0.00 |
| | 01/15/15 | 01/03/13 | 3 | | | \$459.40 | \$265.74 | \$193.66 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 05/03/12 | 1 | | | \$155.28 | \$70.90 | \$84.38 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 11/01/12 | 2 | | | \$310.56 | \$174.52 | \$136.04 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 11/14/11 | 17 | | | \$2,639.77 | \$972.53 | \$1,667.24 | | \$0.00 | \$0.00 | \$0.00 |
| ARBITRAGE FUND | | | | | | | | | | | | |
| | 07/28/15 | 12/24/12 | 372.34 | | 03875R205 | ARBFX | \$4,873.93 | \$4,728.72 | | \$0.00 | \$0.00 | \$0.00 |
| | 07/28/15 | 05/03/12 | 763.94 | | | \$10,000.00 | \$10,000.00 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| BP AMOCO P.L.C. ADR | | | | | | | | | | | | |
| | 09/28/15 | 03/28/14 | 21 | | 055622104 | BP | \$622.30 | \$1,012.96 | | \$0.00 | \$0.00 | \$0.00 |
| CDK GLOBAL INC | | | | | | | | | | | | |
| | 01/15/15 | 06/19/09 | 5 | | 12508B101 | CDK | \$336.05 | \$108.17 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | ADJUSTMENTS | PORTION SUBJECT TO 966 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 38% RULES (INCLUDED IN NET G/L) |
|---|-----------------------|---------------|--------|-----------|--------|-------------|---------------------|---------------|-------------|--|--|
| CHEVRON TEXACO CORP | | | | | | | | | | | |
| | 07/06/15 | 01/11/10 | 8 | 166764100 | CYX | \$759.87 | \$649.57 | \$113.30 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 10/13/08 | 4 | | | \$337.89 | \$246.82 | \$111.07 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 10/13/08 | 6 | | | \$536.84 | \$372.26 | \$164.58 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 10/29/08 | 5 | | | \$447.37 | \$363.55 | \$83.82 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 01/11/10 | 1 | | | \$89.47 | \$80.82 | \$8.65 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 12/02/08 | 3 | | | \$268.42 | \$227.12 | \$41.30 | \$0.00 | \$0.00 | \$0.00 |
| CHUBB CORP | | | | | | | | | | | |
| | 11/12/15 | 10/21/11 | 5 | 171232101 | CB | \$642.56 | \$341.32 | \$301.24 | \$0.00 | \$0.00 | \$0.00 |
| COLUMBIA FRS SRK F R I SMALL CAP | | | | | | | | | | | |
| | 01/12/15 | 11/30/07 | 165.06 | 19765P596 | CMCX | \$9,382.09 | \$12,287.99 | \$-2,905.90 | \$0.00 | \$0.00 | \$0.00 |
| | 01/12/15 | 10/18/11 | 222.76 | | | \$5,724.81 | \$6,300.00 | \$-575.19 | \$0.00 | \$0.00 | \$0.00 |
| | 01/12/15 | 01/28/10 | 64.19 | | | \$1,649.55 | \$1,500.00 | \$149.55 | \$0.00 | \$0.00 | \$0.00 |
| COMCAST CORP NEW CLA | | | | | | | | | | | |
| | 11/12/15 | 09/11/14 | 2 | 20030N101 | CMCSA | \$123.26 | \$113.84 | \$9.42 | \$0.00 | \$0.00 | \$0.00 |
| CONOCOPHILLIPS | | | | | | | | | | | |
| | 01/15/15 | 09/06/13 | 26 | 20025C104 | COP | \$1,622.37 | \$1,733.49 | \$-111.12 | \$0.00 | \$0.00 | \$0.00 |
| DELLAWARE EMERGING MKTS FUND | | | | | | | | | | | |
| | 06/26/15 | 04/11/11 | 43.45 | 245914817 | DEMLX | \$10,980.81 | \$12,623.85 | \$-1,643.04 | \$0.00 | \$0.00 | \$0.00 |
| | 06/26/15 | 07/20/11 | 507.61 | | | \$7,497.46 | \$8,000.00 | \$-502.54 | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | LIQ/N | CUSIP | SYMBOL | PROCEEDS | Cost or other basis | Net Gain/Loss | Code | Adjustments | Portion Subject to 9.8% and Market Discount (included in Net G/L) | Portion Subject to 28% Rates (included in Net G/L) |
|-----------------------------|-----------------------|---------------|-------|-----------|------------|------------|---------------------|---------------|------|-------------|---|--|
| DU PONT (L) DE NEMOURS & CO | | | | 263534109 | DD | | | | | | | |
| | 06/29/15 | 11/22/11 | | 20 | \$1,282.85 | \$910.62 | \$371.93 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 11/23/11 | | 8 | \$513.14 | \$355.53 | \$157.61 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/29/15 | 03/21/12 | | 6 | \$384.85 | \$315.99 | \$68.86 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| DUKE ENERGY CORP | | | | 26441C204 | DUK | | | | | | | |
| | 03/25/15 | 01/08/13 | | 10 | \$751.67 | \$649.72 | \$101.94 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| EMC CORPORATION | | | | 268648102 | EMC | | | | | | | |
| | 06/29/15 | 07/17/13 | | 72 | \$1,670.80 | \$1,528.53 | \$51.27 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| HALLARD HEALTH INC | | | | 40650V100 | HYH | | | | | | | |
| | 01/15/15 | 11/14/11 | | 2 | \$91.77 | \$47.19 | \$44.58 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| HANESBRANDS INC | | | | 410345102 | HBI | | | | | | | |
| | 08/05/15 | 05/05/14 | | 2 | \$57.84 | \$41.06 * | \$16.78 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 08/05/15 | 05/06/14 | | 36 | \$1,041.11 | \$735.23 * | \$305.88 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| HOME DEPOT INC | | | | 437076102 | HD | | | | | | | |
| | 03/26/15 | 10/10/08 | | 6 | \$677.66 | \$115.96 | \$561.70 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| INTEL CORP | | | | 458140100 | INTC | | | | | | | |
| | 11/20/15 | 11/18/11 | | 35 | \$1,219.04 | \$552.98 | \$366.06 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 02/06/09 | | 1 | \$34.83 | \$14.70 | \$20.13 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | SYMBOL | CUSIP | UNITS | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|----------------------------------|-----------------------|---------------|--------|-----------|-------------|-------------|---------------------|---------------|------|-------------|--|--|
| INTERNATIONAL BUSINESS MACHINES | | | | 499200101 | IBM | | | | | | | |
| | 01/15/15 | 01/15/09 | | 4 | \$619.69 | \$333.03 | \$286.66 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 03/26/15 | 01/15/09 | | 6 | \$963.14 | \$499.55 | \$463.59 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 03/26/15 | 12/02/08 | | 3 | \$481.57 | \$254.59 | \$226.98 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| ISHARES INC MSCI AUSTRALIA INDEX | | | | 464286103 | EWA | | | | | | | |
| | 07/28/15 | 03/25/13 | | 200 | \$4,102.92 | \$4,437.00 | -\$334.08 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| ISHARES INC MSCI CDA INDEX FD | | | | 464286509 | EWC | | | | | | | |
| | 07/28/15 | 03/25/13 | | 200 | \$5,021.90 | \$5,701.00 | -\$679.10 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| ISHARES INC MSCI SINGAPORE INDEX | | | | 464286673 | EWS | | | | | | | |
| | 07/28/15 | 03/25/13 | | 350 | \$4,294.18 | \$4,821.25 | -\$527.07 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| ISHARES DOW JONES EPAC SELECT | | | | 464288448 | IDV | | | | | | | |
| | 06/26/15 | 12/23/13 | | 600 | \$19,952.63 | \$22,265.00 | -\$2,312.37 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| JP MORGAN CHASE & CO | | | | 46625H100 | JPM | | | | | | | |
| | 11/12/15 | 08/27/14 | | 3 | \$198.43 | \$178.98 | \$19.45 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| KLA-TENCOR CORP | | | | 482480100 | KLAC | | | | | | | |
| | 02/04/15 | 02/07/13 | | 6 | \$379.93 | \$313.67 | \$66.26 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 02/08/13 | | 6 | \$799.92 | \$316.52 | \$483.40 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/05/15 | 02/07/13 | | 12 | \$756.55 | \$627.71 | \$128.84 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | COUSIP | SYMBOL | PROCEEDS | LOSS OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENTS | PORTION SUBJECT TO 98% AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---|-----------------------|---------------|--------|-----------|----------|---------------------|---------------|------|-------------|--|--|
| LACARD FDS INC EMERGING MKLS | | | | | | | | | | | |
| | 06/26/15 | 05/27/10 | 29624 | 52106N889 | LACM X | \$5,427.19 | \$3,732.27 | | \$0.00 | \$0.00 | \$0.00 |
| | 06/26/15 | 01/29/10 | 5777 | | | \$9,855.58 | \$10,000.00 | | \$0.00 | \$0.00 | \$0.00 |
| MACYS INC | | | | | | | | | | | |
| | 11/20/15 | 03/21/12 | 16 | 55616P104 | M | \$643.86 | \$5,263.30 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 08/07/15 | 15 | | | \$623.62 | \$121.55 | | \$0.00 | \$0.00 | \$0.00 |
| MCDONALDS CORP | | | | | | | | | | | |
| | 03/26/15 | 11/18/11 | 4 | 540135101 | MCD | \$338.31 | \$371.61 | | \$0.00 | \$0.00 | \$0.00 |
| | 03/26/15 | 10/26/11 | 3 | | | \$291.23 | \$274.72 | | \$0.00 | \$0.00 | \$0.00 |
| | 03/26/15 | 10/20/08 | 1 | | | \$97.07 | \$53.24 | | \$0.00 | \$0.00 | \$0.00 |
| METLIFE INC | | | | | | | | | | | |
| | 01/15/15 | 02/03/12 | 16 | 59156R108 | MET | \$774.43 | \$604.48 | | \$0.00 | \$0.00 | \$0.00 |
| PERMANENT FORT FID INC PERMANENT FID | | | | | | | | | | | |
| | 07/28/15 | 10/18/11 | 21155 | 714199106 | PRPF X | \$5,087.39 | \$10,000.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 07/28/15 | 05/02/12 | 10372 | | | \$3,965.75 | \$5,000.00 | | \$0.00 | \$0.00 | \$0.00 |
| | 07/28/15 | 12/24/12 | 1613 | | | \$6,166.50 | \$7,810.15 | | \$0.00 | \$0.00 | \$0.00 |
| Pfizer Inc | | | | | | | | | | | |
| | 02/04/15 | 08/30/11 | 9 | 717081103 | PFE | \$288.66 | \$170.73 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 08/15/11 | 6 | | | \$192.44 | \$109.18 | | \$0.00 | \$0.00 | \$0.00 |
| | 02/04/15 | 01/14/14 | 18 | | | \$577.31 | \$558.27 | | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | UNITS | CUSIP | SYMBOL | PROCEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | ADJUSTMENTS | PORTION SUBJECT TO 988 AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L) |
|---------------------------------|-----------------------|---------------|-------|-----------|--------|------------|---------------------|---------------|-------------|--|--|
| PFIZER INC | | | | 717081103 | PRR | | | | | | |
| | 11/12/15 | 08/15/11 | 3 | | | \$100.38 | \$54.59 | \$45.79 | \$0.00 | \$0.00 | \$0.00 |
| PHILIP MORRIS INTL INC | | | | 718172109 | PMI | | | | | | |
| | 03/26/15 | 09/20/13 | 6 | | | \$458.93 | \$54.00 | \$404.93 | \$0.00 | \$0.00 | \$0.00 |
| RAYTHEON CO N.L.W | | | | 755115807 | RTN | | | | | | |
| | 08/14/15 | 09/08/12 | 6 | | | \$659.90 | \$246.61 | \$413.29 | \$0.00 | \$0.00 | \$0.00 |
| | 08/14/15 | 11/21/11 | 2 | | | \$219.96 | \$86.45 | \$133.51 | \$0.00 | \$0.00 | \$0.00 |
| | 08/14/15 | 01/14/14 | 3 | | | \$329.95 | \$273.18 | \$56.77 | \$0.00 | \$0.00 | \$0.00 |
| | 08/17/15 | 11/21/11 | 16 | | | \$1,975.86 | \$778.07 | \$1,197.79 | \$0.00 | \$0.00 | \$0.00 |
| | 08/18/15 | 11/21/11 | 3 | | | \$329.13 | \$129.68 | \$199.45 | \$0.00 | \$0.00 | \$0.00 |
| ROCHE HLDC LTD SPONSORED ADR | | | | 771195104 | RHHBY | | | | | | |
| | 06/29/15 | 05/11/14 | 55 | | | \$1,958.13 | \$1,966.47 | -\$8.34 | \$0.00 | \$0.00 | \$0.00 |
| ROYAL DUTCH SHELL PLC SPONSORED | | | | 780259206 | RDS A | | | | | | |
| | 09/28/15 | 09/13/11 | 13 | | | \$600.07 | \$837.25 | -\$237.18 | \$0.00 | \$0.00 | \$0.00 |
| | 09/28/15 | 09/13/11 | 13 | | | \$600.07 | \$829.01 | -\$228.94 | \$0.00 | \$0.00 | \$0.00 |
| US BANCORP DEL NEW | | | | 902973304 | USB | | | | | | |
| | 01/15/15 | 02/03/12 | 20 | | | \$816.15 | \$582.92 | \$233.23 | \$0.00 | \$0.00 | \$0.00 |
| UNITED TECHNOLOGIES CORP | | | | 913017109 | UTX | | | | | | |
| | 11/20/15 | 04/20/12 | 5 | | | \$492.92 | \$405.56 | \$87.36 | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 02/03/12 | 3 | | | \$295.76 | \$243.57 | \$52.19 | \$0.00 | \$0.00 | \$0.00 |

Long Term Transactions

| DESCRIPTION | Date sold or disposed | Date acquired | Units | CUSIP | SYMBOL | Proceeds | Cost, net of other basis | Net Gain/Loss | Code | Adjustments | Portion Subject to 988 and Market Discount (included in Net C/L) | Portion Subject to 28% Rates (included in Net C/L) |
|--|-----------------------|---------------|-------|-----------|--------|--------------|--------------------------|---------------|------|-------------|--|--|
| VANGUARD INTL EQUITY INDEX FUND INC | | | | | | | | | | | | |
| | 07/28/15 | 07/01/09 | 52 | 922042858 | VVO | \$2,078.40 | \$1,900.25 | \$178.15 | | \$0.00 | \$0.00 | \$0.00 |
| | 07/28/15 | 01/28/10 | 258 | | | \$9,749.58 | \$9,989.76 | \$-240.18 | | \$0.00 | \$0.00 | \$0.00 |
| VANGUARD INDEX FDS REIT VOPER SHS | | | | | | | | | | | | |
| | 07/28/15 | 03/25/13 | 170 | 921908553 | VNQ | \$13,706.70 | \$11,301.91 * | \$1,804.59 | | \$0.00 | \$0.00 | \$0.00 |
| VERIZON COMMUNICATIONS | | | | | | | | | | | | |
| | 08/14/15 | 03/12/13 | 7 | 92343V104 | VZ | \$332.89 | \$334.52 | \$-1.63 | | \$0.00 | \$0.00 | \$0.00 |
| | 08/14/15 | 02/03/12 | 6 | | | \$285.34 | \$236.59 | \$58.75 | | \$0.00 | \$0.00 | \$0.00 |
| WAL-MART STORES INC | | | | | | | | | | | | |
| | 11/20/15 | 11/05/14 | 2 | 931142103 | WMT | \$121.37 | \$155.49 | \$-34.12 | | \$0.00 | \$0.00 | \$0.00 |
| | 11/20/15 | 05/27/14 | 8 | | | \$485.49 | \$606.44 | \$-120.95 | | \$0.00 | \$0.00 | \$0.00 |
| <i>Total Long Term Gain/Loss</i> | | | | | | \$306,104.13 | \$1,009,945.75 | \$62.28 | | \$0.00 | \$0.00 | \$0.00 |

Master Limited Partnership (MLP) Proceeds

This account holds an interest in one or more Master Limited Partnerships (MLP's). Please note that the information provided below reflects the cost basis on our accounting system, so you will need to adjust the cost basis shown below based on the information that has been provided to you on your MLP partnership Schedule K-1(s). Please consult your personal tax advisor regarding the tax treatment applicable to these items.

Long Term Master Limited Partnership Transactions

| DESCRIPTION | DATE SOLD OR DISPOSED | DATE ACQUIRED | CUSIP | SYMBOL | UNITS | PRECEEDS | COST OR OTHER BASIS | NET GAIN/LOSS | CODE | ADJUSTMENT | PORTION SUBJECT TO 98% AND MARKET DISCOUNT (INCLUDED IN NET G/L) | PORTION SUBJECT TO 28% KARES (INCLUDED IN NET G/L) |
|--|-----------------------|---------------|-----------|--------|-------|------------|---------------------|---------------|------|------------|--|--|
| PWKSH DB COMMODITY INDEX TRACKER | | | 73935S105 | DBC | | | | | | | | |
| | 07/28/15 | 12/28/12 | | | 420 | \$6,698.28 | \$11,370.01 | \$-4,831.73 | | \$0.00 | \$0.00 | \$0.00 |
| <i>Total Long Term Gain/Loss from MLP Transactions</i> | | | | | | | | | | | | |
| | | | | | | \$6,698.28 | \$11,370.01 | \$-4,831.73 | | \$0.00 | \$0.00 | \$0.00 |