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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 instructions is at *www.irs.gov/form990pf*.

OMB No 1545-0052

2015

Open to Public Inspection

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

Name of foundation
Oates Family Foundation

A Employer identification number
94-3289689

Number and street (or P O box number if mail is not delivered to street address) Room/suite
555 Capitol Mall 9th Floor

B Telephone number (see instructions)
(916) 379-3800

City or town, state or province, country, and ZIP or foreign postal code
Sacramento, CA 95814

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 ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 370,007

J Accounting method ☑ 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) (see instructions))*

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	351,214			
	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	7,827	7,827		
	5a	Gross rents				
	b	Net rental income or (loss) _____				
	6a	Net gain or (loss) from sale of assets not on line 10	12,244			
	b	Gross sales price for all assets on line 6a 176,554				
	7	Capital gain net income (from Part IV, line 2)		12,244		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	7,424	7,424		
	12	**Total.** Add lines 1 through 11	378,709	27,495		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	3,496			
	c	Other professional fees (attach schedule)	2,661	2,661		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	782	782		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings	250			
	22	Printing and publications				
	23	Other expenses (attach schedule)	11,275			
	24	**Total operating and administrative expenses.** Add lines 13 through 23	18,464	3,443		0
	25	Contributions, gifts, grants paid	350,814			350,814
	26	**Total expenses and disbursements.** Add lines 24 and 25	369,278	3,443		350,814
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	9,431			
	b	**Net investment income** (if negative, enter -0-)		24,052		
	c	**Adjusted net income** (if negative, enter -0-)				

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	42,857	25,447	25,447
	2	Savings and temporary cash investments	17,626	18,606	18,606
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	325,053	325,954	325,954
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	385,536	370,007	370,007
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 (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)		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	385,536	370,007	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☐ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	385,536	370,007	
	31	**Total liabilities and net assets/fund balances** (see instructions)	385,536	370,007	

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	385,536
2	Enter amount from Part I, line 27a	2	9,431
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	394,967
5	Decreases not included in line 2 (itemize) ▶	5	24,960
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	370,007

Part IV Capital Gains and Losses for Tax on Investment Income

	List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)	How acquired P—Purchase (b) D—Donation	Date acquired (c) (mo , day, yr)	Date sold (d) (mo , day, yr)
1 a	CHARLES SCHWAB LT - SEE ATTACHED STMT	P	2013-04-26	2015-03-23
b	CHARLES SCHWAB ST - SEE ATTACHED STMT	P	2014-03-31	2015-03-23
c				
d				
e				

	(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
a	176,554		163,343	13,211
b			967	-967
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			Gains (Col (h) gain minus col (k), but not less than -0-) or
	(i) F M V as of 12/31/69	Adjusted basis (j) as of 12/31/69	Excess of col (i) (k) over col (j), if any	(l) Losses (from col (h))
a				13,211
b				-967
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	12,244
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	-967

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)
If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see instructions before making any entries

(a) Base period years Calendar 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	521,049	505,509	1 03074
2013	376,892	708,604	0 53188
2012	103,900	689,016	0 15080
2011	179,253	703,918	0 25465
2010	195,991	626,256	0 31296

2	**Total** of line 1, column (d)	2	2 281023
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 456205
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	390,556
5	Multiply line 4 by line 3	5	178,174
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	241
7	Add lines 5 and 6	7	178,415
8	Enter qualifying distributions from Part XII, line 4	8	350,814

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 page 18 of the instructions)**

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ **(attach copy of letter if necessary–see instructions)**		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b	1	241
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	
3	Add lines 1 and 2	3	241
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-	5	241
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: 300		
d	Backup withholding erroneously withheld — 6d		
7	Total credits and payments Add lines 6a through 6d	7	300
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	59
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 59 **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		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ _____ **(2)** On foundation managers ▶ $ _____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ _____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
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	Yes	
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	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.*	10		No

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶ N/A

14 The books are in care of ▶ Philip Oates Telephone no ▶ (916) 379-3800

Located at ▶ 555 Capitol Mall 9th Floor Sacramento CA ZIP+4 ▶ 95814

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 |

			Yes	No
16	At any time during calendar year 2015, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No

See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶

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

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

			Yes	No
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)?	1b		No
	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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____			
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.).*	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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)? **5b** 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).

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** 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? **7b** 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 (see instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
PHILIP OATES 555 CAPITOL MALL 9TH FLOOR SACRAMENTO, CA 95814	President 1 00	0		
JANA OATES 555 CAPITOL MALL 9TH FLOOR SACRAMENTO, CA 95814	CFO 1 00	0		

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

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
NONE				

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

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

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

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

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

Part IX-B **Summary of Program-Related Investments** (see instructions)

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

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	357,267
b	Average of monthly cash balances			1b	39,237
c	Fair market value of all other assets (see instructions)			1c	0
d	**Total** (add lines 1a, b, and c)			1d	396,504
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	
3	Subtract line 2 from line 1d			3	396,504
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)			4	5,948
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4			5	390,556
6	**Minimum investment return.** Enter 5% of line 5			6	19,528

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	19,528
2a	Tax on investment income for 2015 from Part VI, line 5	2a	241		
b	Income tax for 2015 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	241
3	Distributable amount before adjustments Subtract line 2c from line 1			3	19,287
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	19,287
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	19,287

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	350,814
b	Program-related investments—total from Part IX-B	1b	
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	350,814
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	241
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	350,573

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				19,287
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only.				
b Total for prior years 20___ , 20___ , 20___				
3 Excess distributions carryover, if any, to 2015				
a From 2010. 165,250				
b From 2011. 144,251				
c From 2012. 69,839				
d From 2013. 341,970				
e From 2014. 496,360				
f **Total** of lines 3a through e.	1,217,670			
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ $ 350,814				
a Applied to 2014, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2015 distributable amount.				19,287
e Remaining amount distributed out of corpus	331,527			
5 Excess distributions carryover applied to 2015 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,549,197			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions				
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions) . . .	165,250			
9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a	1,383,947			
10 Analysis of line 9				
a Excess from 2011. . . . 144,251				
b Excess from 2012. . . . 69,839				
c Excess from 2013. . . . 341,970				
d Excess from 2014. . . . 496,360				
e Excess from 2015. . . . 331,527				

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

1a 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 organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2015	**(b)** 2014	**(c)** 2013	**(d)** 2012	
2a 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 organization 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))

PHILIP OATES

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

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient 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*				
See Additional Data TableSee Additional Data Table				
Total . . . . . ▶ **3a**				350,814
b *Approved for future payment*				
Total . . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	7,827	
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			14	7,424	
8 Gain or (loss) from sales of assets other than inventory			18	12,244	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				27,495	
13 **Total.** Add line 12, columns (b), (d), and (e) (See worksheet in line 13 instructions to verify calculations)				13	27,495

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

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

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

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

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

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

****** 2016-08-04 ******

Signature of officer or trustee Date Title

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
Kim Kirkish				P00286383

Firm's name ▶ Buzz Oates Construction

Firm's EIN ▶

Firm's address ▶ 555 Capitol Mall 9th Floor Sacramento, CA 95814

Phone no (916) 379-3800

Form 990PF Part XV Line 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*				
ST BALDRICK'S FOUNDATION 1333 SOUTH MAYFLOWER AVENUE SUITE MONROVIA,CA 91016	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	500
SACTO PUBLIC POLICY FOUNDATION 1717 I STREET SACRAMENTO,CA 95811	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	5,000
REGGIE EVANS FOUNDATION 1901 AVENUE OF THE STARS STE 200 LOS ANGELES,CA 90067	NONE	PF	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	1,000
LOAVES AND FISHES HOMELESS SURVIVAL PO BOX 13495 SACRAMENTO,CA 95813	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAM	1,000
AMERICAN VALUES 2800 SHIRLINGTON ROAD 950 ARLINGTON,VA 22206	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	1,000
BILETNIKOFF FOUNDATION 7080 DONLON WAT 126 DUBLIN,CA 94568	NONE	PF	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	13,800
CALVARY CHAPEL OF SANTA BARBARA 1 N CALLE CESAR CHAVEZ 21 SANTA BARBARA,CA 93103	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	1,700
CAPITAL CHRISTIAN CENTER 9470 MICRON AVENUE SACRAMENTO,CA 95827	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	71,600
COLLEGE GOLF FELLOWSHIP 5098 FOOTHILLS BLVD STE 3-138 ROSEVILLE,CA 95747	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	500
DONOVAN CREASON MEMORIAL FUND 103 RUSSLER LANE FOLSOM,CA 95630	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	250
DESTINY COMMUNITY CENTER 6850 FIVE STAR BLVD ROCKLIN,CA 95677	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	10,000
EASEACED 455 CAPITOL AVE SUITE 604 SACRAMENTO,CA 95841		PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	80,000
EMPOWERING LIVES INTERNATIONAL PO BOX 67 UPLAND,CA 91785	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	2,000
FRIENDS CARE 500 A JEFFERSON BLVD WEST SACRAMENTO,CA 95605	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	3,000
KING TLK FOUNDATION 5431 AUBURN BLVD 136 SACRAMENTO,CA 95814	NONE	PF	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	2,000
Total . . . . . ▶ **3a**				350,814

Form 990PF Part XV Line 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*				
KLOVE RADIO 5700 W OAKS BLVD ROCKLIN, CA 95765		PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	3,000
DOWN TO EARTH 15058 ZIRCON DR VICTORVILLE, CA 92394	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	3,000
FAITH MEDICAL MISSIONS 510 W CHICKASHA AVENUE CHICKASHA, OK 73018	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	35,000
UC DAVIS MIND INSTITUTE 4900 BROADWAY SUITE 1150 SACRAMENTO, CA 95820	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	5,000
GRANT NAPEAR FUTURE FOUNDATION 425 UNIVERSITY AVE 210 SACRAMENTO, CA 95825	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	5,500
NCN 6051 SOUTH WATT AVENUE SACRAMENTO, CA 95829	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	2,000
PACIFIC JUSTICE INSTITUTE 9851 HORN ROAD SUITE 115 SACRAMENTO, CA 95827	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	5,000
HAROLD & CAROLE PUMP FOUNDATION 13636 VENTURA BLVD SHERMAN OAKS, CA 91423	NONE	PF	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	21,000
SAC ACCESS 4623 T STREET SUITE A SACRAMENTO, CA 95819	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	1,500
ST JOHNS 2443 FAIR OAKS BLVD 369 SACRAMENTO, CA 95825	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	5,000
WESTERN STATES FELLOWSHIP 10496 ALTA SIERRA DR GRASS VALLEY, CA 95949	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	10,000
WILLIAM JESSUP UNIVERSITY 333 SUNSET BLVD ROCKLIN, CA 95765	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	40,050
YELLOW JACKETS 8 SKY LIGHT COURT SACRAMENTO, CA 95828	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	2,200
YES-YOUNG ENOUGH TO SERVE 1040 CREEK DRIVE SCOTTS VALLEY, CA 95066	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	3,000
MIKUNI CHARITABLE FOUNDATION 5012 LUCE AVENUE SUITE 100 SACRAMENTO, CA 95652		PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	12,569
Total . . . . . ▶ **3a**				350,814

Form 990PF Part XV Line 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*				
GRANT NAPEAR FUTURE FOUNDATION 425 UNIVERSITY AVE 210 SACRAMENTO, CA 95825	NONE	PC	TO PROVIDE ASSISTANCE TO ORGANIZATION'S PROGRAMS	3,645
Total . . . . . ▶ **3a**				350,814

TY 2015 Accounting Fees Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Accounting Fees	3,496	0	0	0

TY 2015 Investments - Other Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
OTHER ASSETS	AT COST	100,554	100,554
CORPORATE BOND MUTUAL FUNDS	AT COST	30,246	30,246
CORPORATE EQUITY MUTUAL FUNDS	AT COST	195,154	195,154

TY 2015 Other Decreases Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Description	Amount
Nondeductible Donation	2,200

TY 2015 Other Expenses Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Misc Expense	119			
Overhead and Publicity	3,156			
Sponsorship and Promotion	8,000			

TY 2015 Other Income Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Other Investment Income	7,424	7,424	

TY 2015 Other Professional Fees Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Advisory Fees	2,661	2,661	0	0

TY 2015 Taxes Schedule

Name: Oates Family Foundation

EIN: 94-3289689

Software ID: 15000324

Software Version: 2015v2.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Federal Tax	599	599		
Foreign Tax	173	173		
State Tax	10	10		

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

Schedule of Contributors

▶ **Attach to Form 990, 990-EZ, or 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
Oates Family Foundation

Employer identification number
94-3289689

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 other property) from any one contributor Complete Parts I and II See instructions for determining a contributor's total contributions

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 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 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization
Oates Family Foundation

Employer identification number
94-3289689

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	PHILIP OATES 555 CAPITOL MALL 9TH FLOOR SACRAMENTO, CA 95814	$ 235,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2	PHILIP OATES 555 CAPITOL MALL 9TH FLOOR SACRAMENTO, CA 95814	$ 100,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
3	PHILIP OATES 555 CAPITOL MALL 9TH FLOOR SACRAMENTO, CA 95814	$ 16,214	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)

Name of organization
Oates Family Foundation

Employer identification number
94-3289689

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
3	PLANE RENTAL AND EXPENSE, MEMORABILIA	$ 16,214	2015-08-30

(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
		$	

Name of organization	**Employer identification number**
Oates Family Foundation	94-3289689

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

Use duplicate copies of Part III if additional space is needed

(a) 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

charles SCHWAB

[redacted]

LT Cost Basis

2066-3265 OATES FAMILY FOUNDATION

Charity Nonprof

555 CAPITOL MALL NINTH FLOOR

SACRAMENTO CA

Total Known Realized Gain/(Loss) $/%
$12,244.49/7.45%

Total Known Short-Term Gain/(Loss)
($966.89)

Total Known Long-Term Gain/(Loss)
$13,211.38

Total Known Proceeds
$176,554.31

Total Known Cost Basis
$164,309.82

Cost Basis - Realized Gain/(Loss) - Filtered by: From 01/01/2015 Through 12/31/2015 **Results: 17**

[redacted]

÷	JSOAX	JPMORGAN STRATEGIC INCM OPPTY A	03/23/2015	Hide Lots	81 02300	$949 59	$967 95	($0 09)	($18 27)	($18 36)	(1 90%)
			03/23/2015	04/26/2013	78 49400	$919 95	$938 00		($18 05)	($18 05)	(1 92%)
			03/23/2015	04/30/2013	0 17100	$2 00	$2 04		($0 04)	($0 04)	(1 96%)
			03/23/2015	05/31/2013	0 17200	$2 02	$2 05		($0 03)	($0 03)	(1 46%)
			03/23/2015	06/28/2013	0 12000	$1 41	$1 42		($0 01)	($0 01)	(0 70%)
			03/23/2015	07/31/2013	0 15900	$1 86	$1 89		($0 03)	($0 03)	(1 59%)
			03/23/2015	08/30/2013	0 14700	$1 72	$1 74		($0 02)	($0 02)	(1 15%)
			03/23/2015	09/30/2013	0 12800	$1 50	$1 51		($0 01)	($0 01)	(0 66%)
			03/23/2015	10/31/2013	0 12000	$1 41	$1 43		($0 02)	($0 02)	(1 40%)
			03/23/2015	11/29/2013	0 11400	$1 34	$1 35		($0 01)	($0 01)	(0 74%)
			03/23/2015	12/31/2013	0 16100	$1 89	$1 91		($0 02)	($0 02)	(1 05%)
			03/23/2015	01/31/2014	0 04000	$0 47	$0 48		($0 01)	($0 01)	(2 08%)
			03/23/2015	02/28/2014	0 11400	$1 34	$1 36		($0 02)	($0 02)	(1 47%)
			03/23/2015	03/31/2014	0 12800	$1 50	$1 52	($0 02)		($0 02)	(1 32%)
			03/23/2015	04/30/2014	0 05400	$0 63	$0 64	($0 01)		($0 01)	(1 56%)
			03/23/2015	05/30/2014	0 07400	$0 87	$0 88	($0 01)		($0 01)	(1 14%)
			03/23/2015	06/30/2014	0 10800	$1 27	$1 28	($0 01)		($0 01)	(0 78%)

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			03/23/2015	07/31/2014	0 06800	$0 80	$0 80	$0 00		$0 00	0 00%
			03/23/2015	08/29/2014	0 07400	$0 87	$0 88	($0 01)		($0 01)	(1 14%)
			03/23/2015	09/30/2014	0 05400	$0 63	$0 64	($0 01)		($0 01)	(1 56%)
			03/23/2015	10/31/2014	0 10300	$1 21	$1 21	$0 00		$0 00	0 00%
			03/23/2015	11/28/2014	0 02700	$0 32	$0 32	$0 00		$0 00	0 00%
			03/23/2015	12/30/2014	0 20000	$2 34	$2 34	$0 00		$0 00	0 00%
			03/23/2015	01/29/2015	0 01400	$0 14	$0 16	($0 02)		($0 02)	(12 50%)
			03/23/2015	02/25/2015	0 17900	$2 10	$2 10	$0 00		$0 00	0 00%
	LALDX	LORD ABBETT SHORT DUR INCOME FD CL A	03/23/2015	Hide Lots	353 90700	$1,578 43	$1,609 81	($31 38)		($31 38)	(1 95%)
			03/23/2015	03/26/2014	341 75800	$1,524 25	$1,555 00	($30 75)		($30 75)	(1 98%)
			03/23/2015	03/31/2014	0 16500	$0 74	$0 75	($0 01)		($0 01)	(1 33%)
			03/23/2015	04/30/2014	1 04800	$4 67	$4 77	($0 10)		($0 10)	(2 10%)
			03/23/2015	05/30/2014	1 04800	$4 67	$4 78	($0 11)		($0 11)	(2 30%)
			03/23/2015	06/30/2014	1 05900	$4 72	$4 83	($0 11)		($0 11)	(2 28%)
			03/23/2015	07/31/2014	1 08800	$4 85	$4 93	($0 08)		($0 08)	(1 62%)
			03/23/2015	08/29/2014	1 11700	$4 98	$5 06	($0 08)		($0 08)	(1 58%)
			03/23/2015	09/30/2014	1 09100	$4 87	$4 92	($0 05)		($0 05)	(1 02%)
			03/23/2015	10/31/2014	1 06700	$4 76	$4 81	($0 05)		($0 05)	(1 04%)
			03/23/2015	11/28/2014	1 08200	$4 83	$4 87	($0 04)		($0 04)	(0 82%)
			03/23/2015	12/31/2014	1 13700	$5 07	$5 07	$0 00		$0 00	0 00%
			03/23/2015	01/30/2015	1 11700	$4 98	$4 98	$0 00		$0 00	0 00%
			03/23/2015	02/27/2015	1 13000	$5 04	$5 04	$0 00		$0 00	0 00%
	MWTRX	METROPOLITAN WEST TOTAL RETURN BOND M	09/29/2015	03/23/2015	184 50200	$2,000 00	$2,033 21	($33 21)		($33 21)	(1 63%)
	DLTNX	DOUBLELINE TOTAL RETURN BD FD CL N	09/29/2015	Hide Lots	182 31500	$2,000 00	$1,993 47	$6 09	$0 44	$6 53	0 33%
			09/29/2015	03/31/2014	3 64700	$40 01	$39 72		$0 29	$0 29	0 73%
			09/29/2015	04/30/2014	3 69200	$40 50	$40 35		$0 15	$0 15	0 37%
			09/29/2015	09/30/2014	4 17100	$45 76	$45 59	$0 17		$0 17	0 37%
			09/29/2015	09/30/2014	158 30300	$1,736 59	$1,730 25	$6 34		$6 34	0 37%
			09/29/2015	03/31/2015	4 17400	$45 79	$46 08	($0 29)		($0 29)	(0 63%)
			09/29/2015	04/30/2015	4 05600	$44 49	$44 62	($0 13)		($0 13)	(0 29%)

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			09/29/2015	05/29/2015	4 27200	$46 86	$46 86	$0 00		$0 00	0 00%	
	NWFFX	AMERICAN FD NEW WORLD FD CL F1	03/23/2015	Hide Lots	79 84600	$4,409 89	$4,065 92	$7 46	$336 51	$343 97	8 46%	
			03/23/2015	08/16/2012	73 05600	$4,034 88	$3,692 25		$342 63	$342 63	9 28%	
			03/23/2015	12/26/2013	1 25100	$69 09	$72 18		($3 09)	($3 09)	(4 28%)	
			03/23/2015	12/26/2013	1 22400	$67 60	$70 63		($3 03)	($3 03)	(4 29%)	
			03/23/2015	12/26/2014	0 59800	$33 03	$31 99	$1 04		$1 04	3 25%	
			03/23/2015	12/26/2014	3 71700	$205 29	$198 87	$6 42		$6 42	3 23%	
	BEMAX	BRANDES EMERGING MARKETS CL A	03/23/2015	Hide Lots	622 31100	$4,829 13	$6,296 16	($1,467 03)		($1,467 03)	(23 30%)	
			03/23/2015	08/11/2014	600 59000	$4,660 58	$6,108 00	($1,447 42)		($1,447 42)	(23 70%)	
			03/23/2015	09/30/2014	1 77200	$13 75	$16 94	($3 19)		($3 19)	(18 83%)	
			03/23/2015	12/05/2014	8 68800	$67 42	$75 67	($8 25)		($8 25)	(10 90%)	
			03/23/2015	12/05/2014	7 24000	$56 18	$63 06	($6 88)		($6 88)	(10 91%)	
			03/23/2015	12/31/2014	4 02100	$31 20	$32 49	($1 29)		($1 29)	(3 97%)	
	HCAIX	HARBOR CAP APPRECIATION FUND INV CL	03/23/2015	Hide Lots	95 18000	$5,875 46	$5,341 72	$533 74		$533 74	9 99%	
			03/23/2015	05/27/2014	89 33200	$5,514 46	$5,005 29	$509 17		$509 17	10 17%	
			03/23/2015	12/18/2014	5 84800	$361 00	$336 43	$24 57		$24 57	7 30%	
	LSBDX	LOOMIS SAYLES BOND FUND CL I	03/23/2015	Hide Lots	566 34900	$8,294 00	$8,262 33	($42 50)	$74 17	$31 67	0 38%	
			03/23/2015	06/28/2007	72 42500	$1,060 64	$1,044 28		$16 36	$16 36	1 57%	a
			03/23/2015	08/28/2007	10 53300	$154 25	$150 51		$3 74	$3 74	2 48%	a
			03/23/2015	12/14/2007	23 97700	$351 14	$344 31		$6 83	$6 83	1 98%	a
			03/23/2015	02/26/2008	11 05100	$161 84	$158 92		$2 92	$2 92	1 84%	a
			03/23/2015	03/25/2008	13 59500	$199 09	$191 69		$7 40	$7 40	3 86%	a
			03/23/2015	04/28/2008	12 35200	$180 89	$176 88		$4 01	$4 01	2 27%	a
			03/23/2015	05/27/2008	12 98600	$190 18	$186 22		$3 96	$3 96	2 13%	a
			03/23/2015	06/24/2008	13 71600	$200 87	$192 30		$8 57	$8 57	4 46%	a
			03/23/2015	03/23/2010	2 79300	$40 91	$38 60		$2 31	$2 31	5 98%	a
			03/23/2015	04/27/2010	13 05600	$191 20	$182 13		$9 07	$9 07	4 98%	a
			03/23/2015	07/27/2010	13 45800	$197 09	$186 12		$10 97	$10 97	5 89%	a
			03/23/2015	08/24/2010	12 13000	$177 64	$168 00		$9 64	$9 64	5 74%	a

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	03/23/2015	09/21/2010	12 11800	$177 46	$170 86	$6 60	$6 60	3 86%	a
	03/23/2015	10/26/2010	11 63700	$170 42	$167 23	$3 19	$3 19	1 91%	a
	03/23/2015	11/23/2010	12 05900	$176 60	$171 12	$5 48	$5 48	3 20%	
	03/23/2015	12/09/2010	17 65500	$258 55	$248 93	$9 62	$9 62	3 86%	
	03/23/2015	09/20/2011	8 58700	$125 75	$122 71	$3 04	$3 04	2 48%	
	03/23/2015	10/25/2011	9 04700	$132 49	$129 19	$3 30	$3 30	2 55%	
	03/23/2015	11/22/2011	8 27600	$121 20	$115 04	$6 16	$6 16	5 35%	
	03/23/2015	01/23/2012	5 95100	$87 15	$85 04	$2 11	$2 11	2 48%	
	03/23/2015	02/22/2012	7 32500	$107 27	$106 72	$0 55	$0 55	0 52%	
	03/23/2015	03/23/2012	7 39600	$108 31	$108 20	$0 11	$0 11	0 10%	
	03/23/2015	04/23/2012	7 27800	$106 58	$106 26	$0 32	$0 32	0 30%	
	03/23/2015	05/23/2012	7 70800	$112 88	$109 99	$2 89	$2 89	2 63%	
	03/23/2015	06/22/2012	7 28600	$106 70	$104 92	$1 78	$1 78	1 70%	
	03/23/2015	07/23/2012	7 60900	$111 43	$110 25	$1 18	$1 18	1 07%	
	03/23/2015	08/23/2012	5 91400	$86 61	$87 12	($0 51)	($0 51)	(0 59%)	
	03/23/2015	09/21/2012	4 81500	$70 51	$72 47	($1 96)	($1 96)	(2 70%)	
	03/23/2015	10/22/2012	5 57100	$81 59	$83 90	($2 31)	($2 31)	(2 75%)	
	03/23/2015	11/20/2012	5 24200	$76 77	$78 32	($1 55)	($1 55)	(1 98%)	
	03/23/2015	12/17/2012	17 67500	$258 84	$266 36	($7 52)	($7 52)	(2 82%)	
	03/23/2015	01/28/2013	4 72800	$69 24	$72 44	($3 20)	($3 20)	(4 42%)	
	03/23/2015	02/25/2013	5 26400	$77 09	$79 70	($2 61)	($2 61)	(3 27%)	
	03/23/2015	03/26/2013	5 23300	$76 64	$80 01	($3 37)	($3 37)	(4 21%)	
	03/23/2015	04/25/2013	5 10000	$74 69	$79 10	($4 41)	($4 41)	(5 58%)	
	03/23/2015	05/28/2013	5 92600	$86 78	$91 79	($5 01)	($5 01)	(5 46%)	
	03/23/2015	06/25/2013	5 18900	$75 99	$76 59	($0 60)	($0 60)	(0 78%)	
	03/23/2015	07/26/2013	5 45700	$79 92	$82 24	($2 32)	($2 32)	(2 82%)	
	03/23/2015	08/27/2013	5 99100	$87 74	$88 49	($0 75)	($0 75)	(0 85%)	
	03/23/2015	09/25/2013	4 81900	$70 57	$72 82	($2 25)	($2 25)	(3 09%)	
	03/23/2015	10/28/2013	5 40000	$79 08	$82 94	($3 86)	($3 86)	(4 65%)	
	03/23/2015	11/26/2013	5 27400	$77 24	$80 33	($3 09)	($3 09)	(3 85%)	
	03/23/2015	12/16/2013	6 21000	$90 94	$93 65	($2 71)	($2 71)	(2 89%)	
	03/23/2015	12/16/2013	10 52700	$154 16	$158 75	($4 59)	($4 59)	(2 89%)	

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			03/23/2015	01/28/2014	4 47200	$65 49	$67 71		($2 22)	($2 22)	(3 28%)
			03/23/2015	02/24/2014	4 38800	$64 26	$67 36		($3 10)	($3 10)	(4 60%)
			03/23/2015	03/25/2014	4 68100	$68 55	$71 99	($3 44)		($3 44)	(4 78%)
			03/23/2015	04/24/2014	4 27300	$62 58	$66 36	($3 78)		($3 78)	(5 70%)
			03/23/2015	05/23/2014	4 89800	$71 73	$76 60	($4 87)		($4 87)	(6 36%)
			03/23/2015	06/23/2014	4 34900	$63 69	$68 80	($5 11)		($5 11)	(7 43%)
			03/23/2015	07/25/2014	4 64900	$68 08	$73 92	($5 84)		($5 84)	(7 90%)
			03/23/2015	08/25/2014	4 51000	$66 05	$71 40	($5 35)		($5 35)	(7 49%)
			03/23/2015	09/24/2014	4 20200	$61 54	$65 67	($4 13)		($4 13)	(6 29%)
			03/23/2015	10/24/2014	4 56800	$66 90	$70 67	($3 77)		($3 77)	(5 33%)
			03/23/2015	11/24/2014	5 01300	$73 41	$77 90	($4 49)		($4 49)	(5 76%)
			03/23/2015	12/16/2014	0 09000	$1 32	$1 32	$0 00		$0 00	0 00%
			03/23/2015	12/16/2014	40 05700	$586 62	$587 24	($0 62)		($0 62)	(0 11%)
			03/23/2015	12/16/2014	10 24400	$150 02	$150 18	($0 16)		($0 16)	(0 11%)
			03/23/2015	01/28/2015	4 94700	$72 45	$72 67	($0 22)		($0 22)	(0 30%)
			03/23/2015	02/25/2015	4 66900	$68 38	$69 10	($0 72)		($0 72)	(1 04%)
⋰	DLTNX	DOUBLELINE TOTAL RETURN BD FD CL N	03/23/2015	Hide Lots	980 75900	$10,857 00	$10,861 45	$22 57	($27 02)	($4 45)	(0 04%)
			03/23/2015	12/22/2011	742 57400	$8,220 29	$8,250 00		($29 71)	($29 71)	(0 36%)
			03/23/2015	12/30/2011	5 86100	$64 88	$64 59		$0 29	$0 29	0 45%
			03/23/2015	01/31/2012	4 33100	$47 94	$48 20		($0 26)	($0 26)	(0 54%)
			03/23/2015	02/29/2012	3 72900	$41 28	$41 65		($0 37)	($0 37)	(0 89%)
			03/23/2015	03/30/2012	3 97500	$44 00	$44 36		($0 36)	($0 36)	(0 81%)
			03/23/2015	06/29/2012	2 55800	$28 32	$28 60		($0 28)	($0 28)	(0 98%)
			03/23/2015	06/28/2013	3 07100	$34 00	$33 84		$0 16	$0 16	0 47%
			03/23/2015	07/31/2013	3 20300	$35 46	$35 10		$0 36	$0 36	1 03%
			03/23/2015	08/30/2013	3 24300	$35 90	$35 25		$0 65	$0 65	1 84%
			03/23/2015	09/30/2013	3 45000	$38 19	$37 78		$0 41	$0 41	1 09%
			03/23/2015	11/29/2013	3 32400	$36 80	$36 23		$0 57	$0 57	1 57%
			03/23/2015	12/31/2013	3 95400	$43 77	$42 62		$1 15	$1 15	2 70%
			03/23/2015	02/28/2014	3 28600	$36 38	$36 01		$0 37	$0 37	1 03%
			03/23/2015	03/26/2014	91 32400	$1,010 96	$1,000 00	$10 96		$10 96	1 10%

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			03/23/2015	07/31/2014	3 78700	$41 92	$41 43	$0 49		$0 49	1 18%
			03/23/2015	09/30/2014	59 22800	$655 64	$647 36	$8 28		$8 28	1 28%
			03/23/2015	09/30/2014	3 37100	$37 32	$36 85	$0 47		$0 47	1 28%
			03/23/2015	10/31/2014	7 67600	$84 97	$84 21	$0 76		$0 76	0 90%
			03/23/2015	11/28/2014	7 31400	$80 97	$80 45	$0 52		$0 52	0 65%
			03/23/2015	12/31/2014	8 37600	$92 72	$91 88	$0 84		$0 84	0 91%
			03/23/2015	01/30/2015	6 88400	$76 21	$76 34	($0 13)		($0 13)	(0 17%)
			03/23/2015	02/27/2015	6 24000	$69 08	$68 70	$0 38		$0 38	0 55%
÷	GSYIX	GOLDMAN SACHS N 11 EQTY INSTL	03/23/2015	Hide Lots	1,062 13600	$11,068 70	$12,717 43	($1 03)	($1,647 70)	($1,648 73)	(12 96%)
			03/23/2015	05/15/2013	1,047 95300	$10,920 90	$12,564 00		($1,643 10)	($1,643 10)	(13 08%)
			03/23/2015	12/10/2013	8 32200	$86 72	$90 96		($4 24)	($4 24)	(4 66%)
			03/23/2015	12/30/2013	0 92800	$9 67	$10 03		($0 36)	($0 36)	(3 59%)
			03/23/2015	12/30/2014	4 93300	$51 41	$52 44	($1 03)		($1 03)	(1 96%)
÷	OSTFX	OSTERWEIS FUND	03/23/2015	Hide Lots	320 26700	$11,317 45	$11,583 39	($265 94)		($265 94)	(2 30%)
			03/23/2015	05/27/2014	293 03300	$10,355 07	$10,704 00	($348 93)		($348 93)	(3 26%)
			03/23/2015	12/15/2014	4 56200	$161 21	$147 31	$13 90		$13 90	9 44%
			03/23/2015	12/15/2014	22 52800	$796 08	$727 42	$68 66		$68 66	9 44%
			03/23/2015	12/15/2014	0 14400	$5 09	$4 66	$0 43		$0 43	9 23%
÷	TGVIX	THORNBURG INTL VALUE FD INST CLASS	03/23/2015	Hide Lots	381 13900	$11,437 04	$10,265 03	$51 91	$1,120 10	$1,172 01	11 42%
			03/23/2015	04/13/2012	336 45600	$10,096 21	$9,000 00		$1,096 21	$1,096 21	12 18%
			03/23/2015	06/25/2012	2 43100	$72 95	$59 32		$13 63	$13 63	22 98%
			03/23/2015	09/24/2012	1 24200	$37 27	$33 56		$3 71	$3 71	11 05%
			03/23/2015	03/22/2013	1 25100	$37 54	$35 83		$1 71	$1 71	4 77%
			03/23/2015	06/24/2013	2 24000	$67 22	$60 89		$6 33	$6 33	10 40%
			03/23/2015	09/24/2013	1 11700	$33 52	$34 59		($1 07)	($1 07)	(3 09%)
			03/23/2015	12/24/2013	0 28400	$8 52	$8 94		($0 42)	($0 42)	(4 70%)
			03/23/2015	06/24/2014	2 55500	$76 67	$79 10	($2 43)		($2 43)	(3 07%)
			03/23/2015	09/24/2014	1 69800	$50 95	$52 31	($1 36)		($1 36)	(2 60%)
			03/23/2015	11/19/2014	31 13700	$934 34	$880 24	$54 10		$54 10	6 15%
			03/23/2015	12/24/2014	0 72800	$21 85	$20 25	$1 60		$1 60	7 90%

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REMSX	RUSSELL EMERGING MARKETS FD CL S	03/23/2015	Hide Lots	677 71800	$11,677 08	$12,411 23	($4 53)	($729 62)	($734 15)	(5 92%)	
		03/23/2015	05/15/2013	325 64900	$5,610 93	$6,272 00		($661 07)	($661 07)	(10 54%)	
		03/23/2015	09/05/2013	212 85700	$3,667 53	$3,725 00		($57 47)	($57 47)	(1 54%)	
		03/23/2015	12/23/2013	3 99700	$68 87	$71 03		($2 16)	($2 16)	(3 04%)	
		03/23/2015	12/23/2013	16 52500	$284 73	$293 65		($8 92)	($8 92)	(3 04%)	
		03/23/2015	03/26/2014	98 15200	$1,691 16	$1,700 00	($8 84)		($8 84)	(0 52%)	
		03/23/2015	12/22/2014	8 42900	$145 23	$143 46	$1 77		$1 77	1 23%	
		03/23/2015	12/22/2014	1 78800	$30 80	$30 43	$0 37		$0 37	1 22%	
		03/23/2015	12/22/2014	10 32100	$177 83	$175 66	$2 17		$2 17	1 24%	
OSTIX	OSTERWEIS STRATEGIC INCOME FUND	03/23/2015	Hide Lots	1,031 44000	$11,779 67	$11,939 86	($9 33)	($150 86)	($160 19)	(1 34%)	
		03/23/2015	03/22/2010	768 19500	$8,773 25	$8,898 10		($124 85)	($124 85)	(1 40%)	a
		03/23/2015	03/30/2010	11 41000	$130 31	$130 87		($0 56)	($0 56)	(0 43%)	a
		03/23/2015	06/29/2010	14 19500	$162 12	$160 83		$1 29	$1 29	0 80%	a
		03/23/2015	12/15/2010	8 13400	$92 90	$94 19		($1 29)	($1 29)	(1 37%)	
		03/23/2015	12/15/2010	17 02400	$194 42	$197 14		($2 72)	($2 72)	(1 38%)	
		03/23/2015	12/15/2010	3 48900	$39 85	$40 40		($0 55)	($0 55)	(1 36%)	
		03/23/2015	09/15/2011	16 28900	$186 03	$185 37		$0 66	$0 66	0 36%	
		03/23/2015	12/15/2011	3 90400	$44 59	$43 96		$0 63	$0 63	1 43%	
		03/23/2015	12/15/2011	19 66800	$224 62	$221 46		$3 16	$3 16	1 43%	
		03/23/2015	12/15/2011	6 01900	$68 74	$67 77		$0 97	$0 97	1 43%	
		03/23/2015	03/15/2012	11 09200	$126 68	$127 89		($1 21)	($1 21)	(0 95%)	
		03/23/2015	06/15/2012	14 81000	$169 14	$168 98		$0 16	$0 16	0 09%	
		03/23/2015	09/17/2012	11 70900	$133 72	$136 18		($2 46)	($2 46)	(1 81%)	
		03/23/2015	12/17/2012	16 06800	$183 51	$186 71		($3 20)	($3 20)	(1 71%)	
		03/23/2015	03/15/2013	9 67200	$110 46	$114 32		($3 86)	($3 86)	(3 38%)	
		03/23/2015	06/17/2013	12 68000	$144 81	$149 24		($4 43)	($4 43)	(2 97%)	
		03/23/2015	09/16/2013	8 62500	$98 50	$101 60		($3 10)	($3 10)	(3 05%)	
		03/23/2015	12/16/2013	13 23300	$151 13	$156 15		($5 02)	($5 02)	(3 21%)	
		03/23/2015	12/16/2013	0 67300	$7 69	$7 94		($0 25)	($0 25)	(3 15%)	
		03/23/2015	03/17/2014	7 99400	$91 30	$95 53		($4 23)	($4 23)	(4 43%)	

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			03/23/2015	06/16/2014	11 89800	$135 88	$142 42	($6 54)		($6 54)	(4 59%)	
			03/23/2015	09/15/2014	13 31600	$152 08	$157 13	($5 05)		($5 05)	(3 21%)	
			03/23/2015	12/15/2014	16 19800	$184 99	$183 04	$1 95		$1 95	1 07%	
			03/23/2015	12/15/2014	1 48600	$16 96	$16 79	$0 17		$0 17	1 01%	
			03/23/2015	03/16/2015	13 65900	$155 99	$155 85	$0 14		$0 14	0 09%	
	ARTQX	ARTISAN MID CAP VALUE FD INV	03/23/2015	Hide Lots	565 45000	$14,351 12	$14,424 20	$36 38	($109 46)	($73 08)	(0 51%)	
			03/23/2015	09/05/2013	486 11100	$12,337 50	$12,425 00		($87 50)	($87 50)	(0 70%)	
			03/23/2015	11/21/2013	2 02200	$51 32	$53 33		($2 01)	($2 01)	(3 77%)	
			03/23/2015	11/21/2013	17 98300	$456 41	$474 20		($17 79)	($17 79)	(3 75%)	
			03/23/2015	11/21/2013	2 18100	$55 35	$57 51		($2 16)	($2 16)	(3 76%)	
			03/23/2015	11/19/2014	48 72600	$1,236 67	$1,205 48	$31 19		$31 19	2 59%	
			03/23/2015	11/19/2014	1 86700	$47 38	$46 20	$1 18		$1 18	2 55%	
			03/23/2015	11/19/2014	4 77900	$121 29	$118 23	$3 06		$3 06	2 59%	
			03/23/2015	12/30/2014	1 78100	$45 20	$44 25	$0 95		$0 95	2 15%	
	GFAFX	AMERICAN FD GROWTH FD OF AMERICA CL F1	03/23/2015	Hide Lots	456 86800	$20,412 86	$15,882 57	$150 76	$4,379 53	$4,530 29	28 52%	
			03/23/2015	08/16/2012	359 77400	$16,074 70	$11,779 00		$4,295 70	$4,295 70	36 47%	
			03/23/2015	12/18/2013	1 14500	$51 16	$47 74		$3 42	$3 42	7 16%	
			03/23/2015	12/18/2013	26 98300	$1,205 60	$1,125 19		$80 41	$80 41	7 15%	
			03/23/2015	05/27/2014	27 40500	$1,224 46	$1,205 00	$19 46		$19 46	1 61%	
			03/23/2015	12/17/2014	40 58000	$1,813 11	$1,684 90	$128 21		$128 21	7 61%	
			03/23/2015	12/17/2014	0 98100	$43 83	$40 74	$3 09		$3 09	7 58%	
	MSEFX	LITMAN GREGORY MASTERS EQTY FD INST	03/23/2015	Hide Lots	2,362 87900	$43,716 89	$33,654 09	$79 24	$9,983 56	$10,062 80	29 90%	
			03/23/2015	06/20/2007	403 05900	$7,457 21	$6,978 19		$479 02	$479 02	6 86%	a
			03/23/2015	12/07/2007	118 27700	$2,188 31	$1,843 94		$344 37	$344 37	18 68%	a
			03/23/2015	12/07/2007	2 50300	$46 31	$39 02		$7 29	$7 29	18 68%	a
			03/23/2015	11/05/2008	110 72900	$2,048 66	$919 05		$1,129 61	$1,129 61	122 91%	a
			03/23/2015	11/05/2008	1 31900	$24 40	$10 95		$13 45	$13 45	122 83%	a
			03/23/2015	11/05/2008	1 76100	$32 58	$14 62		$17 96	$17 96	122 85%	a
			03/23/2015	07/12/2012	548 74200	$10,152 57	$7,000 00		$3,152 57	$3,152 57	45 04%	

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	03/23/2015	08/16/2012	813 00800	$15,041 90	$10,520 00		$4,521 90	$4,521 90	42 98%
	03/23/2015	12/28/2012	1 24500	$23 03	$17 00		$6 03	$6 03	35 47%
	03/23/2015	12/28/2012	7 08100	$131 01	$93 61		$37 40	$37 40	39 95%
	03/23/2015	12/28/2012	16 67800	$308 57	$227 65		$80 92	$80 92	35 55%
	03/23/2015	12/28/2012	11 13900	$206 09	$152 05		$54 04	$54 04	35 54%
	03/23/2015	05/20/2013	5 72100	$105 85	$87 90		$17 95	$17 95	20 42%
	03/23/2015	06/17/2013	1 37200	$25 38	$20 96		$4 42	$4 42	21 09%
	03/23/2015	12/16/2013	28 82800	$533 36	$495 26		$38 10	$38 10	7 69%
	03/23/2015	12/16/2013	59 42000	$1,099 36	$1,020 83		$78 53	$78 53	7 69%
	03/23/2015	12/23/2014	175 64800	$3,249 76	$3,189 76	$60 00		$60 00	1 88%
	03/23/2015	12/23/2014	56 34900	$1,042 54	$1,023 30	$19 24		$19 24	1 88%

Disclosures

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

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

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

Footnotes apply where indicated on the data view.

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

Not Tracked: Indicates original cost basis is not available

1 a Data for this holding has been edited or provided by the Advisor
  e Data for this holding has been edited or provided by the end client
  t Data for this holding has been edited or provided by a third party
  w Cost Basis adjusted due to a wash sale

3 Cost Basis for fixed income securities is now adjusted to reflect amortized/accreted values Click the acquired/opened date to view original cost in the Details page Note Some securities, including variable rate/term instruments and mortgage backed securities, may only reflect original cost even when the amortization/accretion preference is on

8 Total excludes missing cost basis information, or values not tracked by Schwab

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