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EXTENDED TO JANUARY 17, 2017

Return of Private Foundation

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

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

OMB No 1545-0052

2015

Open to Public Inspection

Form 990-PF

Department of the Treasury
Internal Revenue Service

For calendar year 2015 or tax year beginning MAR 1, 2015, and ending FEB 29, 2016

Name of foundation

HERMAN GOLDMAN FOUNDATION

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

44 WALL STREET, SUITE 1212

Room/suite

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

NEW YORK, NY 10005-2401

A Employer identification number

13-6066039

B Telephone number

212-461-2132

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)

\$ 16,875,688. (Part I, column (d) must be on cash basis.)

J Accounting method:

☐ Cash☒ Accrual☐ Other (specify)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

		(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			N/A	
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	5,017.	5,017.		STATEMENT 1
	4 Dividends and interest from securities	415,291.	415,291.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	333,138.			
	b Gross sales price for all assets on line 6a	7,742,474.			
	7 Capital gain net income (from Part IV, line 2)		333,138.		
	8 Net short-term capital gain				
Operating and Administrative Expenses	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	40,014.	0.		STATEMENT 3
	12 Total. Add lines 1 through 11	793,460.	753,446.		
	13 Compensation of officers, directors, trustees, etc	168,000.	56,000.		102,672.
	14 Other employee salaries and wages	186,294.	27,944.		145,852.
	15 Pension plans, employee benefits	16,900.	2,535.		14,365.
	16a Legal fees				
	b Accounting fees STMT 4	43,105.	21,553.		21,552.
	c Other professional fees STMT 5	157,390.	157,390.		0.
	17 Interest				
	18 Taxes STMT 6	14,589.	2,188.		12,401.
	19 Depreciation and depletion	4,179.	0.		
	20 Occupancy	40,670.	6,101.		34,570.
	21 Travel, conferences, and meetings	22,633.	7,544.		15,089.
	22 Printing and publications				
	23 Other expenses STMT 7	36,962.	18,481.		18,481.
	24 Total operating and administrative expenses. Add lines 13 through 23	690,722.	299,736.		364,982.
	25 Contributions, gifts, grants paid	886,500.			858,000.
	26 Total expenses and disbursements. Add lines 24 and 25	1,577,222.	299,736.		1,222,982.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	<783,762.>			
	b Net investment income (if negative, enter -0-)		453,710.		
	c Adjusted net income (if negative, enter -0-)			N/A	

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LHA For Paperwork Reduction Act Notice, see instructions.

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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	29,035.	55,857.	55,857.
	2 Savings and temporary cash investments	633,028.	1,565,733.	1,565,733.
	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 ▶ 73,139.			
Liabilities	Less: accumulated depreciation ▶ 68,377.	8,941.	4,762.	4,762.
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	18,927,336.	14,718,581.	14,718,581.
	14 Land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation ▶			
	15 Other assets (describe ▶ STATEMENT 10)	538,363.	530,755.	530,755.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	20,136,703.	16,875,688.	16,875,688.
	17 Accounts payable and accrued expenses	178,831.	100,062.	
	18 Grants payable	232,000.	260,500.	
	19 Deferred revenue			
Net Assets or Fund Balances	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ STATEMENT 11)	18,138.	13,000.	
	23 Total liabilities (add lines 17 through 22)	428,969.	373,562.	
	Foundations that follow SFAS 117, check here ▶ ☒			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	19,259,049.	16,048,270.	
	25 Temporarily restricted	448,685.	453,856.	
	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	19,707,734.	16,502,126.	
	31 Total liabilities and net assets/fund balances	20,136,703.	16,875,688.	

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	19,707,734.
2 Enter amount from Part I, line 27a	2	<783,762.>
3 Other increases not included in line 2 (itemize) ▶ ROUNDING	3	2.
4 Add lines 1, 2, and 3	4	18,923,974.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 8	5	2,421,848.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	16,502,126.

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				
b SEE ATTACHED STATEMENT				
c				
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 7,742,474.		7,409,336.	333,138.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			333,138.

2 Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$		2	333,138.
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	1,214,327.	20,141,421.	.060290
2013	1,193,752.	19,725,616.	.060518
2012	1,196,778.	18,399,932.	.065043
2011	1,145,481.	18,539,250.	.061787
2010	1,184,177.	18,389,809.	.064393

2 Total of line 1, column (d)	2	.312031
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	.062406
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	18,228,604.
5 Multiply line 4 by line 3	5	1,137,574.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	4,537.
7 Add lines 5 and 6	7	1,142,111.
8 Enter qualifying distributions from Part XII, line 4	8	1,222,982.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	4,537.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	4,537.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	4,537.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2015 estimated tax payments and 2014 overpayment credited to 2015	6a 16,319.	7	16,319.
b Exempt foreign organizations - tax withheld at source	6b	8	
c Tax paid with application for extension of time to file (Form 8868)	6c	9	
d Backup withholding erroneously withheld	6d	10	11,782.
7 Total credits and payments. Add lines 6a through 6d		11	0.
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11 Enter the amount of line 10 to be: Credited to 2016 estimated tax ☒ 11,782. Refunded ☐			

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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☒ \$ 0. (2) On foundation managers. ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2015 or the taxable year beginning in 2015 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	X	
Website address ► N/A		
14 The books are in care of ► RICHARD K. BARON Telephone no. ► 212-461-2132		
Located at ► 44 WALL STREET, SUITE 1212, NEW YORK, NY ZIP+4 ► 10005-2401		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year		
► 15 N/A		
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?	Yes	No
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	16	X

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

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

	Yes	No
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)? Organizations relying on a current notice regarding disaster assistance check here		X
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?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015?	☐ Yes ☒ No	
If "Yes," list the years ►		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 2015 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015.)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?		X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

N/A

5b

▶ ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

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

6b

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 12		168,000.	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
RICHARD K. BARON - 44 WALL STREET, SUITE 1212, NEW YORK, NY 10005-2401	EXECUTIVE DIRECTOR 40.00	140,833.	16,900.	0.

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

0

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
KAHN BROTHERS LLC - 555 MADISON AVENUE, 22ND FLOOR, NEW YORK, NY 10022-3301	INVESTMENT MANAGEMENT	77,440.

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

0

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	16,822,959.
b	Average of monthly cash balances	1b	1,141,827.
c	Fair market value of all other assets	1c	541,411.
d	Total (add lines 1a, b, and c)	1d	18,506,197.
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	18,506,197.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	277,593.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	18,228,604.
6	Minimum investment return. Enter 5% of line 5	6	911,430.

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	911,430.
2a	Tax on investment income for 2015 from Part VI, line 5	2a	4,537.
b	Income tax for 2015. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	4,537.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	906,893.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	906,893.
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	906,893.

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	1,222,982.
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	1,222,982.
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	4,537.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,218,445.

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				906,893.
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	283,974.			
b From 2011	238,571.			
c From 2012	296,727.			
d From 2013	226,195.			
e From 2014	240,594.			
f Total of lines 3a through e	1,286,061.			
4 Qualifying distributions for 2015 from Part XII, line 4: ► \$	1,222,982.			
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				906,893.
e Remaining amount distributed out of corpus	316,089.			
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	1,602,150.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2014. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2015. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7	283,974.			
9 Excess distributions carryover to 2016. Subtract lines 7 and 8 from line 6a	1,318,176.			
10 Analysis of line 9:				
a Excess from 2011	238,571.			
b Excess from 2012	296,727.			
c Excess from 2013	226,195.			
d Excess from 2014	240,594.			
e Excess from 2015	316,089.			

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)

- 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.

Tax year

(a) 2015

(b) 2014

Prior 3 years

(c) 2013

(d) 2012

(e) Total

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 13

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				
1. SCHEDULE ATTACHED: PAYABLE AS AT 2/28/15 C/O FOUNDATION NEW YORK, NY 10005-2401	N/A	501(C)(3)	ARTS EDUCATION HEALTH JUSTICE WELFARE	232,000.
2. SCHEDULE ATTACHED: AUTHORIZED DURING F/Y/E 2/28/15 C/O FOUNDATION NEW YORK, NY 10005-2401	N/A	501(C)(3)	ARTS EDUCATION HEALTH JUSTICE WELFARE	886,500.
3. SCHEDULE ATTACHED: PAYABLE AS AT 2/29/16 C/O FOUNDATION NEW YORK, NY 10005-2401	N/A	501(C)(3)	ARTS EDUCATION HEALTH JUSTICE WELFARE	<260,500.>
Total			▶ 3a	858,000.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

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

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
	(6) Performance of services or membership or fundraising solicitations	1b(6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

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

b If "Yes," complete the following schedule.		
(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge				May the IRS discuss this return with the preparer shown below (see instr.)? ☒ Yes ☐ No		
	Signature of officer or trustee <i>Charles Denty</i>		Date <i>1/9/2017</i>			Title PRESIDENT	
Paid Preparer Use Only	Print/Type preparer's name ELIHU D. BAER		Preparer's signature ELIHU D. BAER		Date 01/03/17	Check ☐ if self-employed	PTIN P00122903
	Firm's name BILLET, FEIT & PREIS P.C.					Firm's EIN 13-2839033	
	Firm's address 42 BROADWAY SUITE 1815 NEW YORK, NY 10004					Phone no. 212-425-3300	

HERMAN GOLDMAN FOUNDATION

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	KAHN BROS--SCHEDULE			
b	NEUBERGER BERMAN--SCHEDULE			
c	NEUBERGER BERMAN--SCHEDULE			
d	EVERCORE--SCHEDULE			
e	UBS--SCHEDULE			
f	UBS--GAIN ON CALLS			
g	ROUNDING			
h	CAPITAL GAINS DIVIDENDS			
i				
j				
k				
l				
m				
n				
o				

(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	1,152,196.	894,724.	257,472.
b	2,395,277.	2,511,384.	<116,107.>
c	458,444.	479,743.	<21,299.>
d	376,304.	403,409.	<27,105.>
e	3,261,586.	3,120,076.	141,510.
f	13,359.		13,359.
g	2.		2.
h	85,306.		85,306.
i			
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			257,472.
b			<116,107.>
c			<21,299.>
d			<27,105.>
e			141,510.
f			13,359.
g			2.
h			85,306.
i			
j			
k			
l			
m			
n			
o			

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	333,138.
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

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
BANK & BROKERAGE ACCOUNTS	694.	694.	
CHARITABLE REMAINDER TRUST	4,323.	4,323.	
TOTAL TO PART I, LINE 3	5,017.	5,017.	

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
CAPITAL GAIN					
DIVIDENDS	85,306.	85,306.	0.	0.	
DIVIDEND INCOME	324,411.	0.	324,411.	324,411.	
INTEREST INCOME	90,880.	0.	90,880.	90,880.	
TO PART I, LINE 4	500,597.	85,306.	415,291.	415,291.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
EXCISE TAX ADJUSTMENT	40,014.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	40,014.	0.	

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 & TAX PREPARATION	31,750.	15,875.		15,875.	
PENSION PLAN ADMINISTRATION	3,355.	1,678.		1,677.	
REVIEW SERVICE	8,000.	4,000.		4,000.	
TO FORM 990-PF, PG 1, LN 16B	43,105.	21,553.		21,552.	

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	
INVESTMENT MANAGEMENT FEES	157,390.	157,390.		0.	
TO FORM 990-PF, PG 1, LN 16C	157,390.	157,390.		0.	

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
PAYROLL TAXES	14,589.	2,188.		12,401.	
TO FORM 990-PF, PG 1, LN 18	14,589.	2,188.		12,401.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
TELEPHONE & ANSWERING SERVICE	1,475.	737.		738.	
EQUIPMENT SUPPLIES & LEASING	12,627.	6,314.		6,313.	
MISCELLANEOUS EXPENSES	2,902.	1,451.		1,451.	
INSURANCE PREMIUMS	19,958.	9,979.		9,979.	
TO FORM 990-PF, PG 1, LN 23	36,962.	18,481.		18,481.	

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES		STATEMENT	8
DESCRIPTION			AMOUNT	
UNREALIZED LOSS ON SECURITIES			2,416,677.	
UNREALIZED LOSS ON REMAINDER INTEREST IN TRUST			5,171.	
TOTAL TO FORM 990-PF, PART III, LINE 5			2,421,848.	

FORM 990-PF	OTHER INVESTMENTS		STATEMENT	9
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
SECURITIES AT COST--SCHEDULES ATTACHED	COST	14,061,746.	14,061,746.	
UNREALIZED APPRECIATION	FMV	656,835.	656,835.	
TOTAL TO FORM 990-PF, PART II, LINE 13		14,718,581.	14,718,581.	

FORM 990-PF	OTHER ASSETS		STATEMENT 10
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
ACCRUED DIVIDENDS AND INTEREST	60,975.	41,085.	41,085.
PREPAID EXPENSES AND SECURITY DEPOSIT	28,703.	35,814.	35,814.
REMAINDER INTEREST IN TRUST	448,685.	453,856.	453,856.
TO FORM 990-PF, PART II, LINE 15	538,363.	530,755.	530,755.

FORM 990-PF	OTHER LIABILITIES		STATEMENT 11
DESCRIPTION	BOY AMOUNT	EOY AMOUNT	
OPEN CALLS	18,138.	0.	
DEFERRED TAXES PAYABLE	0.	13,000.	
TOTAL TO FORM 990-PF, PART II, LINE 22	18,138.	13,000.	

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 12

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
MEL P. BARKAN 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.
JULES M. BARON 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.
DAVID A. BRAUNER 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	VICE PRESIDENT & DIRECTOR 1.00	12,000.	0.	0.
MICHAEL J. CLAIN 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	VICE PRESIDENT & DIRECTOR 1.00	12,000.	0.	0.
CHARLES A. DAMATO 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	PRESIDENT & DIRECTOR 1.00	12,000.	0.	0.
JOHN H.F. ENTEMAN 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.
DONALD GIBSON 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.
MICHAEL L. GOLDSTEIN 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	SECRETARY & DIRECTOR 1.00	12,000.	0.	0.
DAVID R. KAY 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.
ALAN MICHIGAN 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	IMM PAST PRES & DIRECTOR 1.00	12,000.	0.	0.
ALAN NISSELSON 44 WALL STREET, SUITE 1212 NEW YORK, NY 10005-2401	DIRECTOR 1.00	12,000.	0.	0.

HERMAN GOLDMAN FOUNDATION

13-6066039

CHRISTOPHER C. SCHWABACHER
44 WALL STREET, SUITE 1212
NEW YORK, NY 10005-2401

DIRECTOR
1.00

12,000.

0. 0.

HOWARD L. SIMON
44 WALL STREET, SUITE 1212
NEW YORK, NY 10005-2401

DIRECTOR
1.00

12,000.

0. 0.

ROY M. SPARBER
44 WALL STREET, SUITE 1212
NEW YORK, NY 10005-2401

TREASURER & DIRECTOR
1.00

12,000.

0. 0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

168,000.

0. 0.

FORM 990-PF

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

STATEMENT 13

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

RICHARD BARON
44 WALL STREET, SUITE 1212
NEW YORK, NY 10005-2401

TELEPHONE NUMBER

212-461-2132

FORM AND CONTENT OF APPLICATIONS

INFORMATION FOR GRANT APPLICANTS: YOU ARE REQUESTED TO SUBMIT YOUR APPLICATION USING THE NEW YORK/NEW JERSEY AREA COMMON APPLICATION FORM, WHICH CAN BE OBTAINED AT THE WEBSITE OF THE NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS (NYRAG.ORG). NO ADDITIONAL COPIES ARE NEEDED. IT IS NOT NECESSARY TO SUBMIT A LETTER OF INQUIRY PRIOR TO FILING AN APPLICATION. CONSIDERATION WILL NOT BE GIVEN TO A GRANT PROPOSAL UNLESS IT IS ACCOMPANIED BY A COPY OF INTERNAL REVENUE SERVICE NOTIFICATION OF THE APPLYING ORGANIZATION'S TAX-EXEMPT STATUS. GRANTS TO INDIVIDUALS CANNOT BE CONSIDERED. THE FOUNDATION DOES NOT CONDUCT SITE VISITS OR IN-PERSON INTERVIEWS PRIOR TO CONSIDERATION OF GRANT REQUESTS.

ANY SUBMISSION DEADLINES

APPLICATIONS ARE ACCEPTED AT ANY TIME, BUT ARE CONSIDERED ONLY AT SPECIFIC TIMES DURING THE YEAR.

RESTRICTIONS AND LIMITATIONS ON AWARDS

MUST BE A 501(C)(3) ORGANIZATION.

November 10, 2016

Current Holdings

(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

Security	Total Shares	Cost Basis
Evercore 1015700		
ACE051524 Ace Ina Holdings 3.35% 5/15/24	50,000 0000	50,823.50
ANHEUS022 Anheuser Busch 3 30% 02/01/23	50,000 0000	49,781.10
3		
ASAIX Aqr Multi Strategy Alternative	21,641 4320	215,000 00
AT&T021723 AT&T 3 60% 2/17/23	50,000 0000	49,962.50
AUSTIN3 83 Austin, TX 3 837% 11/15/22	50,000 0000	50,000 00
BARC101420 Barclays Bank 5.140% 10/14/20	50,000 0000	52,187.50
BHPB093023 BHP Billiton3 85% 09/30/23	50,000.0000	51,002 50
BURL040125 Burlington Northern 3 00% 04/01/25	50,000 0000	47,964.50
CITI042718 Citigroup Inc MTN 1.70% 4/27/16	50,000 0000	49,977 00
CSX110123 CSX Corp 3 70% 11/01/23	50,000 0000	51,166 00
CVS072022 CVS Health Corp 3 50% 07/20/22	50,000 0000	51,755 00
DFIEX Dfa International Core Equity Portfolio	19,446 8450	225,000.00
EATN110217 Eaton Corp 1 50% 11/02/17	50,000 0000	49,942 50
ENER020123 Energy Transfer Partners 3 605 02/01/23	50,000.0000	46,871.50
ENTER1156 Enterprise Products V_Q 7 034% 1/15/68	50,000 0000	53,000 00
8		
ENTERP206 Enterprise Products 7 034% 1/15/68	50,000 0000	55,687.50
8		
FORD05151 Ford Motor Credit 5.00% 5/15/18	50,000 0000	54,304 00
8		
FPACX Fpa Fds Trust Fpa Crescent Portf Insti Cl	1,736 6590	55,000 00
GONIX Gotham Neutral Fund- Institutional Class	21,738.9130	225,000 00
GOOG5/19/2 Google Inc 3 625% 5/19/21	50,000 0000	53,187 00
GOTHAMER Gotham Enhanced Return	5,430 2420	65,000.00
HARRIS1220 Harris Corp 4 40% 12/15/20	50,000 0000	52,664 05
HART101516 Hartford Financial Services 5.50% 10/15/16	50,000 0000	52,539.50
HEWL12092 Hewlett-Packard Co 4 65% 12/09/21	50,000 0000	53,122 00
1		
ISHAMSCIG Isha MSCI Germany	1,250 0000	35,576.37
E		
JPM123199 JPMorgan Chase V-Q 5 150% 12/31/99	50,000 0000	50,000 00
MA120150 MA St Hsg 3 45% 12/01/50	50,000.0000	50,000.00
MCKESS122 McKesson Corp 2 70% 12/15/22	50,000 0000	49,836 50
2		
MIPTX Matthews Pacific Tiger Fund Insti Class	7,996 8010	200,000 00
MZCSX Muzinich Credit Opportunities F	6,673 0220	70,000.00
NBCUNIV42 NBCUniversal Media 4 375% 4/1/21	50,000.0000	56,162 00
1		
NISO11519 NiSource FIN CP 6 80% 1/15/19	50,000 0000	57,268.50
NJHSG0516 New Jersey Housing 0 913% 5/1/16	50,000 0000	50,000 00
NRU021522 National Rural Utilities 3 050% 2/15/22	50,000 0000	50,319.50
ORAC01151 Oracle Corp 2 375% 01/15/19	50,000 0000	50,756 50
9		
PFIZ31519 Pfizer 6.20% 3/15/19	50,000 0000	56 310 50
PREC011518 Precision Castparts 1 250% 1/15/18	50,000 0000	49,532.50
RBS82420 Royal Bank of Scotland 5 625% 08/24/20	50,000 0000	56,901 00

Prepared by:

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 44 Wall Street 12th Floor
 New York, NY 10005
 Tel: (212) 461-2132

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November 10, 2016

Current Holdings

(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

SAMBX	Ridgeworth Fds Seix Floating Rate High Income Fu	7,795 1000	70,000.00
SOCAL49	Southern California Edison 6 25% 8/1/49	50,000 0000	51,875.00
TAREX	Third Avenue Real Estate Value Fd Instl Class	3,866 5230	120,000.00
TEVA101121	Teva Pharmaceuticals 3 65% 10/11/21	23,000 0000	24,104.92
TIPS071525	TIPS 07/15/25	100,619 0000	98,834.59
UBSSTAM318	UBS STAMFORD 1 8% 3/26/18	50,000 0000	49,934.50
UNIT011521	United Parcel Service 3 125% 01/15/21	50,000 0000	51,639.50
USBA060126	US Bancorp 7 50% 06/01/26	25,000 0000	32,199.75
VER110121	Verizon Communications Inc 3 00% 11/01/21	50,000 0000	49,423.50
WALLX	Wall Street Fd	95,012 2560	1,048,161.20
WELLS06032	Wells Fargo & Co 4.10% 6/3/26	50,000 0000	50,875.00
WELLS32949	Wells Fargo 7 98% 3/29/49	50,000 0000	52,125.00
Total Cost			4,342,773.98

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Page 2

November 10, 2016

Current Holdings

(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

Security		Total Shares	Cost Basis
Kahn Brothers 7RU-158171			
BBRY	Blackberry Limited	65,000 0000	635,630 50
BP	BP Plc Sponsored ADR	13,000 0000	566,702 40
C	Citigroup Inc	20,000.0000	721,789 80
GNE	Genie Energy Ltd, Class B	10,000 0000	158,058 80
HOLX	Hologic Inc.	16,000.0000	35,976 40
IDT	Idt Corp	10,000 0000	300,167 35
IDWM	IDW Media Holdings Inc, CI B	1,660 0000	37,570 45
MBI	Mbia Inc	70,000 0000	574,671 50
MRK	Merck & Co Inc	12,000 0000	290,002 95
NTP	Nam Tai Property Inc	70,000.0000	530,013 81
NYB	New York Community Bancorp Inc	39,000 0000	566,221 90
NYT	New York Times Co	70,000 0000	732,456 50
PFE	Pfizer Inc	27,000 0000	535,448 36
PTEN	Patterson-UTI Energy Inc	15,000 0000	235,265 70
STRP	Straight Path Communications Inc., CI B	5,000 0000	47,673 93
VOXX	Voxx International Corp	35,000 0000	289,630 00
		Total Cost	6,257,280 34

Prepared by:

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44 Wall Street 12th Floor
New York, NY 10005
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Page 1

November 10, 2016

Current Holdings

(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

Security		Total Shares	Cost Basis
NB Alternative Investments Neuberger Berman 550-04175			
NBALT	NB Alternative Absolute Return Multi Manager	25,283 9879	280,581 11
		Total Cost	280,581 11

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Current Holdings

(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

Security	Total Shares	Cost Basis
NB Bond Account Neuberger Berman 550-04174		
ACTAVIS318 Actavis 2 35% 3/12/18	35,000.0000	35,212 45
ALLY0218 Ally Financial 3 25% 2/13/18	35,000 0000	34,884 15
AMPH0917 Amphenol Corp 1 55% 9/15/17	35,000.0000	35,047 90
AMT090120 Amercan Tower Corp 5 05% 9/1/20	25,000.0000	27,725 00
APPLE51322 Apple 2 70% 05/13/22	40,000 0000	40,568 40
CIT31518 CIT Group Inc 5 25% 3/15/18	35,000 0000	37,843 75
COMC03012 Comcast Corp 2 75% 3/1/23 3	35,000 0000	35,274 00
CONST9120 Constellation Brands 7 25% 9/1/20	35,000 0000	38,237 50
CVS120516 CVS Caremark Corp 1 20% 12/5/16	35,000 0000	35,189 35
DELPH21523 Delphi Corp 5 00% 2/15/23	35,000 0000	37,450 00
DISNE21221 Disney, Walt 2 30% 02/12/21	40,000 0000	39,961 20
ECOL12817 Ecolab Inc 1 450% 12/8/17	35,000 0000	34,928 25
FRON04151 Fronter Communicaions 8 25% 04/15/17 7	35,000 0000	38,062 50
HCA31519 HCA Inc 3 75% 3/15/19	35,000.0000	35,700 00
HOME61519 Home Depot 2 00% 6/15/19	40,000 0000	40,224.40
HUNT31519 Hunt, JB 2 40% 3/15/19	40,000 0000	40,201.60
LAZ111420 Lazard Group LLC 4 25% 11/14/20	35,000 0000	36,586 20
MICRO11032 Microsoft 2 00% 11/03/20	35,000 0000	34,986.70
NEW101518 Newell Rubbermaid Inc 2 15% 10/15/18	20,000 0000	20,038.60
NEXT91519 Nextera Energy Cap Hldgs Inc 2 40% 9/15/19	35,000 0000	34,938.75
NIEL10120 Nielsen Fin LLC 4 50% 10/1/20	35,000 0000	35,612.50
SBATE71520 SBA Telecommunications 5 75% 7/15/20	15,000 0000	15,750 00
SERV100118 Service Corp Intl 7 625% 10/1/18	35,000 0000	40,293 75
STAR120516 Starbucks Corp 0.875% 12/05/16	25,000 0000	25,030 25
UNIT071618 United Health Group Inc 1 90% 07/16/18	40,000 0000	40,010 40
VERI61917 Verizon Communications 1 35% 6/9/17	35,000 0000	35,005 90
VERISK0119 Verisk Analytics 4 875% 01/15/19	35,000 0000	37,800 00
VISA121422 Visa Inc 2 80% 12/14/22	35,000 0000	35,527 10
VORN63019 Voronado Realty LP 2.50% 6/30/19	35,000 0000	34,866.65
WF9817 Wells Fargo 1.40% 09/08/17	35,000 0000	34,965.35
WISC061518 Wisconsin Energy corp 1 65% 6/15/18	35,000 0000	35,133.00
ZIMM040118 Zimmer Holdings Inc 2 00% 04/01/18	35,000 0000	35,099 05
Total Cost		1,118,154 65

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(As of 02/29/2016)

HERMAN GOLDMAN FOUNDATION

Security	Total Shares	Cost Basis
NB Equity Account 550-01079		
AAPL Apple Inc	230 0000	21,791 03
AMTPRB American Tower Corp B	740 0000	74,420 00
AREEI Alexandria Real Estate Equities Inc Pfd	1,180 0000	31,762 24
BMY Bristol Myers Squibb Co	1,310 0000	42,677 15
BRK B Berkshire Hathaway Inc Del Class B	335 0000	28,608 86
CB Chubb Cp The	270 0000	29,545 43
COG Cabot Oil & Gas Corporation	1,370 0000	39,492 12
COST Costco Wholesale Cp	250 0000	28,234 32
CVS Cvs Corporation	390 0000	39,146 40
CVX Chevron Corp.	210 0000	12,095 25
EOG EOG Resources Inc	627 0000	30,764.25
GOOGA Alphabet Inc, Class A	48.0000	22,468.47
GOOGC Alphabet Inc, Class C	55 0000	24,654 94
GS Goldman Sachs Group Inc	399 0000	54,200 91
GSK GlaxoSmithKline PLC	830 0000	36,553 32
HEDJ Intl Hedged Equity Wisdomtree	525 0000	34,890 92
IDJREALEST ishares Trust Dow Jones US Real Estate	460.0000	29,449 66
JNJ Johnson & Johnson	675.0000	44,020 84
LDOS Leidos Holdings Inc	780.0000	26,745 80
LLY Eli Lilly And Company	625 0000	32,156 59
MCD McDonalds Cp	555 0000	50,883 07
MIC Macquarie Infrastructure Company Trust	1,605.0000	98,056.12
MSFT Microsoft Corporation	875 0000	39,664 39
NKE Nike Inc	730.0000	15,554 22
NYLD NRG YIELD INC	1,920 0000	39,523 41
NYLDA NRG Yield Inc, Class A	1,150.0000	22,583 41
OAK Oaktree Capital Group Llc	700 0000	32,890 35
OKE Oneok Inc	2,130 0000	99,192 61
ORCL Oracle Corporation	815 0000	31,099 03
PEP Pepsico Inc	255 0000	16,131 35
PG Procter & Gamble Co	840 0000	60,226 28
PINC Premier Inc	1,090 0000	35,638 81
RGC Regal Entertainment Group	3,695.0000	47,945 80
RTN Raytheon Company	245 0000	29,650 61
SE Spectra Energy Corp	2,620 0000	62,649 96
SLB Schlumberger, Ltd	815 0000	53,014 00
SMTFINAL Smart & Final Stores Inc	2,340 0000	30,211 97
SRCLP Stericycle Inc	370 0000	36,479 07
STWD STARWOOD PROPERTY TRUST INC.	4,565 0000	98,144 23
SYF Synchrony Financial	629 0000	19,430 54
TEVA7%PFD Teva Pharmaceutical 7% Pfd	65 0000	65,000 00
TGT Target Corp	670 0000	50,580 96

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Current Holdings

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TIF	Tiffany & Co	655 0000	39,860 54
VGK	Europe ETF FTSE Vanguard	335 0000	17,868 13
VIVENDI	Vivendi	2,494 0000	63,148 03
VNO	Vornado Realty Trust	530 0000	39,958.01
VWOX	Vanguard FTSE Emerging Markets ETF	660 0000	29,336.21
VZ	Verizon Communications	590 0000	27,276 23
WF	Whitewave Foods Co	1,305 0000	22,000 73
WLTW	Willis Towers Watson PLC	130.0000	16,049 26
WY	Weyerhaeuser Company	1,825 0000	35,317.04
ZTS	Zoetis Inc. Class A Common Stoc	1,785 0000	53,917 94
Total Cost			2,062,960 82

November 11, 2016

Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (Evercore)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
WALLX Wall Street Fd	12/28/2012	03/20/2015	8,514 986	125,000	83,277	0		41,723
GLD Streettracks Gold Trust	01/28/2013	03/24/2015	300 00	33,654	48,081	0		(14,427)
PETRO5 Petrobras International 5 375%	02/26/2014	04/17/2015	50,000 00	48,875	49,847	0		(972)
MEXBO NOS Mex Bonos 5 00% 6/15/17	05/21/2013	11/10/2015	6,000 00	36,739	50,734	0		(13,995)
ACSBX Avenue Credit Strategies Fun	03/12/2014	12/14/2015	6,404 782	59,821	75,000	0		(15,179)
NMC031 Newmont Mining Corp 3 5% 0	11/15/2013	12/23/2015	50,000 00	44,465	43,702	0		763
TECK01 Teck Resources 4 750% 1/15	06/03/2013	02/19/2016	50,000 00	27,750	52,768	0		(25,018)

		Proceeds	Cost Basis	Adjustment	Gain/(Loss)
Short-term:	Gains	0	0	0	0
	Losses	0	0	0	0
	Net	0	0	0	0
Long-term:	Gains	169,465	126,979	0	42,486
	Losses	206,839	276,430	0	(69,591)
	Net	376,304	403,409	0	(27,105)
Totals		376,304	403,409	0	(27,105)

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (Kahn Brothers)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
PFE Pfizer Inc	02/08/2002	04/23/2015	1,150 00	40,344	44,316	0		(3,972)
PFE Pfizer Inc	10/06/2006	04/23/2015	3,850 00	135,064	107,145	0		27,919
ORI Old Republic Intl Corp	03/14/2008	05/20/2015	4,175 00	64,444	52,397	0		12,047
ORI Old Republic Intl Corp	03/17/2008	05/20/2015	825 00	12,734	10,315	0		2,419
ORI Old Republic Intl Corp	03/19/2009	05/20/2015	2,000 00	30,871	21,139	0		9,732
ORI Old Republic Intl Corp	08/19/2009	05/20/2015	8,000 00	123,486	86,376	0		37,110
ORI Old Republic Intl Corp	02/03/2010	05/20/2015	5,000 00	77,179	53,896	0		23,283
ORI Old Republic Intl Corp	05/18/2011	05/20/2015	900 00	13,892	11,214	0		2,678
ORI Old Republic Intl Corp	05/18/2011	05/20/2015	9,100 00	140,465	113,932	0		26,533
ORI Old Republic Intl Corp	07/19/2012	06/09/2015	5,000 00	74,119	41,387	0		32,732
ORI Old Republic Intl Corp	08/07/2012	06/09/2015	10,000 00	148,238	82,619	0		65,619
NYB New York Community Bancor	03/07/2003	06/18/2015	5,000 00	91,982	78,862	0		13,120
NYB New York Community Bancor	03/07/2003	07/15/2015	2,110 00	38,852	33,280	0		5,572
NYB New York Community Bancor	06/28/2004	07/15/2015	2,890 00	53,214	56,770	0		(3,556)
NYB New York Community Bancor	08/24/2004	07/15/2015	1,000 00	18,413	20,196	0		(1,783)
PFE Pfizer Inc	02/06/2007	02/28/2016	3,000 00	88,899	80,880	0		8,019

		Proceeds	Cost Basis	Adjustment	Gain/(Loss)
Short-term:	Gains	0	0	0	0
	Losses	0	0	0	0
	Net	0	0	0	0
Long-term:	Gains	1,040,225	773,442	0	266,783
	Losses	111,971	121,282	0	(9,311)
	Net	1,152,196	894,724	0	257,472
Totals		1,152,196	894,724	0	257,472

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (NB Bond Account)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
URNA71 518 United Rentals NorthAmerica	06/10/2014	04/13/2015	35,000 00	36,470	37,398	0	(928)	
MARK81 521 Markwest Energy Partners LP	06/16/2014	06/04/2015	35,000 00	37,533	38,019	0	(486)	
ENT813 15 Enterprise Products Oper LLC	08/18/2014	08/13/2015	35,000 00	35,000	35,202	0	(202)	
BORG09 20 Borg Warner Automotive Inc 4	02/06/2015	12/04/2015	35,000 00	37,750	39,067	0	(1,317)	
COVANT 1022 Covanta 6 375% 10/1/22	04/21/2015	01/04/2016	35,000 00	34,825	37,800	0	(2,975)	
CALP01 1523 Calpine Corp 5 375% 1/15/23	07/22/2014	07/27/2015	30,000 00	29,100	30,000	0		(900)
TEEK73 019 Teekay Offshore Partners LP	06/05/2014	09/11/2015	35,000 00	29,050	35,350	0		(6,300)
FORD61 217 Ford Motor Credit Co 3 00% 6	06/05/2014	10/23/2015	35,000 00	35,615	36,539	0		(924)
BA12294 9 Bank of America 5 125% 12/2	06/20/2014	10/28/2015	35,000 00	34,431	34,825	0		(394)
EXPR61 519 Express Scripts Hldg Co 2 25'	06/05/2014	11/12/2015	35,000 00	34,798	34,916	0		(118)
GENE21 521 Genesis Energy LP 5 75% 2/1	06/18/2014	12/04/2015	35,000 00	31,500	36,488	0		(4,988)
AMT090 120 American Tower Corp 5 05% '	06/19/2014	12/31/2015	10,000 00	10,753	11,090	0		(337)
SLM125 16 SLM Corp 6 25% 1/25/16	06/05/2014	01/25/2016	35,000 00	35,000	37,524	0		(2,524)
CROWN 0422 Crown Castle Int'l Corp 4 875'	02/03/2015	02/23/2016	35,000 00	36,619	35,525	0		1,094

		Proceeds	Cost Basis	Adjustment	Gain/(Loss)
Short-term:	Gains	0	0	0	0
	Losses	181,578	187,486	0	(5,908)
	Net	181,578	187,486	0	(5,908)
Long-term:	Gains	36,619	35,525	0	1,094
	Losses	240,247	256,732	0	(16,485)
	Net	276,866	292,257	0	(15,391)
	Totals	458,444	479,743	0	(21,299)

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (NB Equity Account)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
OUT Outfront Media Inc	04/02/2014	03/03/2015	1,000 00	29,323	30,067	0	(744)	
ARMK Aramark Holdings Corporation	06/04/2014	04/10/2015	1,000 00	30,990	25,500	0	5,490	
BABA Alibaba Group Holdings Ltd	02/20/2015	04/21/2015	15 00	1,228	1,312	0	(84)	
BCE BCE Inc	11/18/2014	04/21/2015	30 00	1,321	1,385	0	(64)	
BEAV BE Aerospace	10/14/2014	04/21/2015	20 00	1,254	1,156	0	98	
DSW DSW Inc	06/03/2014	04/21/2015	50 00	1,808	1,189	0	619	
DCUC Dominich Resources Inc	09/12/2014	04/21/2015	25 00	1,245	1,283	0	(38)	
GE General Electric Co	12/01/2014	04/21/2015	50 00	1,350	1,347	0	3	
GSK GlaxoSmithKline PLC	10/22/2014	04/21/2015	20 00	941	873	0	68	
EZU EMU Index MSCI Ishares	01/29/2015	04/21/2015	35 00	1,357	1,299	0	58	
IRM Iron Mountain Inc	07/09/2014	04/21/2015	30 00	1,105	1,059	0	46	
KMI Kinder Morgan	10/10/2014	04/21/2015	50 00	2,172	1,923	0	249	
KLXI KLX Inc	10/14/2014	04/21/2015	10 00	420	441	0	(21)	
LVMUY Lvmh Moet Henn Unsp	12/03/2014	04/21/2015	20 00	697	678	0	19	
LDOS Leidos Holdings Inc	10/03/2014	04/21/2015	35 00	1,451	1,203	0	248	
MIC Macquarie Infrastructure Com	04/25/2014	04/21/2015	60 00	5,026	3,369	0	1,657	
MDT Medtronic Inc	02/09/2015	04/21/2015	20 00	1,540	1,488	0	52	
MCD McDonalds Cp	10/27/2014	04/21/2015	20 00	1,920	1,820	0	100	
OKE Oneok Inc	11/14/2014	04/21/2015	70 00	3,440	3,949	0	(509)	
POL Polyone Corp	09/25/2014	04/21/2015	25 00	963	912	0	51	
PINC Premier Inc	11/19/2014	04/21/2015	40 00	1,481	1,294	0	187	
RDSB Royal Dutch Shell B Shares	08/06/2014	04/21/2015	25 00	1,596	2,142	0	(546)	
RDSA Royal Dutch Shell A Shares	08/29/2014	04/21/2015	20 00	1,257	1,605	0	(348)	
RDSA Royal Dutch Shell A Shares	09/02/2014	04/21/2015	10 00	628	802	0	(174)	
SMTFIN AL Smart & Final Stores Inc	10/01/2014	04/21/2015	100 00	1,814	1,291	0	523	
SUMMIT Summit Materials Inc A	03/17/2015	04/21/2015	35 00	831	711	0	120	
TKC Teekay Corporation	12/01/2014	04/21/2015	40 00	2,000	2,180	0	(180)	
TGT Target Corp	01/21/2015	04/21/2015	15 00	1,213	1,140	0	73	
VGK Europe ETF FTSE Vanguard	01/29/2015	04/21/2015	15 00	834	800	0	34	
WYNN Wynn Resorts Limited	08/27/2014	04/21/2015	30 00	3,861	5,983	0	(2,122)	
HEDJ Intl Hedged Equity Wisdomtre	03/19/2015	04/21/2015	20 00	1,332	1,340	0	(8)	
WSH Willis Group Holdings Ltd	12/09/2014	04/21/2015	10 00	489	434	0	55	
WMB Williams Companies Inc (The	06/23/2014	04/21/2015	25 00	1,303	1,442	0	(139)	
WYNN Wynn Resorts Limited	08/27/2014	05/04/2015	50 00	5,845	9,971	0	(4,126)	
PINC Premier Inc	11/19/2014	05/15/2015	10 00	395	324	0	71	
BEAV BE Aerospace	10/14/2014	05/27/2015	430 00	26,005	24,846	0	1,159	
BEAV BE Aerospace	10/22/2014	05/27/2015	50 00	3,024	2,738	0	286	
WYNN Wynn Resorts Limited	08/27/2014	06/04/2015	120 00	11,854	23,930	0	(12,076)	
WYNN Wynn Resorts Limited	09/05/2014	06/04/2015	100 00	9,878	18,359	0	(8,481)	
WYNN Wynn Resorts Limited	09/18/2014	06/04/2015	105 00	10,372	18,892	0	(8,520)	
WYNN Wynn Resorts Limited	12/11/2014	06/04/2015	45 00	4,445	7,222	0	(2,777)	
POL Polyone Corp	09/25/2014	06/12/2015	125 00	4,806	4,559	0	247	
POL Polyone Corp	10/01/2014	06/12/2015	500 00	19,224	18,017	0	1,207	
BCE BCE Inc	11/18/2014	06/30/2015	175 00	7,691	8,080	0	(389)	
BCE BCE Inc	12/08/2014	06/30/2015	20 00	879	918	0	(39)	

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (NB Equity Account)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
CC Chemours Company	05/19/2015	07/08/2015	50 00	814	894	0	(80)	
CC Chemours Company	05/21/2015	07/08/2015	53 00	862	944	0	(82)	
COH Coach Inc	04/29/2015	07/10/2015	210 00	7,135	8,960	0	(1,825)	
COH Coach Inc	05/01/2015	07/10/2015	206 00	6,999	8,195	0	(1,196)	
GE General Electric Co	12/01/2014	07/22/2015	1,335 00	36,291	35,972	0	319	
TKC Teekay Corporation	12/01/2014	07/24/2015	180 00	7,255	9,810	0	(2,555)	
DCUC Dominich Resources Inc	09/12/2014	07/27/2015	340 00	16,586	17,443	0	(857)	
DCUC Dominich Resources Inc	09/12/2014	07/28/2015	370 00	17,872	18,983	0	(1,111)	
BCE BCE Inc	12/08/2014	07/30/2015	80 00	3,262	3,673	0	(411)	
BCE BCE Inc	12/09/2014	07/30/2015	329 00	13,415	15,108	0	(1,693)	
BCE BCE Inc	12/10/2014	07/30/2015	56 00	2,283	2,553	0	(270)	
BCE BCE Inc	12/10/2014	07/31/2015	120 00	4,888	5,471	0	(583)	
TKC Teekay Corporation	12/01/2014	08/06/2015	35 00	1,218	1,908	0	(690)	
HYH Halyard Health Inc Common	07/13/2015	08/07/2015	425 00	15,207	16,828	0	(1,621)	
HYH Halyard Health Inc Common	07/13/2015	08/10/2015	25 00	837	990	0	(153)	
HYH Halyard Health Inc Common	07/14/2015	08/10/2015	400 00	13,400	16,014	0	(2,614)	
OUT Outfront Media Inc	12/31/2014	08/10/2015	426 00	10,790	11,295	0	(505)	
TKC Teekay Corporation	12/01/2014	08/10/2015	50 00	1,697	2,725	0	(1,028)	
LDOS Leidos Holdings Inc	10/03/2014	08/11/2015	90 00	3,924	3,094	0	830	
EZU EMU Index MSCI Ishares	01/29/2015	08/14/2015	915 00	35,526	33,951	0	1,575	
EZU EMU Index MSCI Ishares	01/30/2015	08/14/2015	50 00	1,941	1,865	0	76	
LVMUY Lvmh Moet Henn Unsp	12/03/2014	08/19/2015	50 00	1,801	1,695	0	106	
SMTFIN AL Smart & Final Stores Inc	10/01/2014	08/21/2015	55 00	951	710	0	241	
SMTFIN AL Smart & Final Stores Inc	10/01/2014	08/24/2015	110 00	1,870	1,420	0	450	
BABA Alibaba Group Holdings Ltd	02/20/2015	08/26/2015	195 00	13,633	17,061	0	(3,428)	
BABA Alibaba Group Holdings Ltd	02/28/2015	08/26/2015	23 00	1,608	1,984	0	(376)	
WYNN Wynn Resorts Limited	12/11/2014	08/26/2015	360 00	30,112	57,777	0	(27,665)	
BABA Alibaba Group Holdings Ltd	02/28/2015	08/31/2015	177 00	11,714	15,266	0	(3,552)	
BABA Alibaba Group Holdings Ltd	07/13/2015	08/31/2015	40 00	2,647	3,111	0	(464)	
PLL Pall Corporation	06/30/2015	08/31/2015	275 00	34,980	34,266	0	714	
SUMMIT Summit Materials Inc A	03/17/2015	09/30/2015	90 00	1,884	1,828	0	56	
SUMMIT Summit Materials Inc A	03/17/2015	10/01/2015	355 00	7,211	7,210	0	1	
SUMMIT Summit Materials Inc A	03/17/2015	10/07/2015	410 00	8,270	8,327	0	(57)	
PAYPAL, Paypal Holdings Inc	09/15/2015	10/30/2015	115 00	4,098	3,824	0	274	
PAYPAL, Paypal Holdings Inc	09/15/2015	11/06/2015	85 00	3,236	2,826	0	410	
PAYPAL, Paypal Holdings Inc	09/15/2015	11/09/2015	255 00	9,646	8,479	0	1,167	
VIVENDI Vivendi	04/13/2015	11/16/2015	90 00	1,987	2,321	0	(334)	
SNY Sanofi-Aventis Sa	12/03/2014	12/03/2015	25 00	1,118	1,146	0	(28)	
USTB01 0716 US Treasury Bill 01/07/16	12/31/2015	01/07/2016	390,000 00	390,000	390,000	0	0	
CPR Canadian Pacific Railway	11/25/2015	01/12/2016	110 00	12,409	16,385	0	(3,976)	
CPR Canadian Pacific Railway	11/27/2015	01/12/2016	110 00	12,409	16,198	0	(3,789)	
CPR Canadian Pacific Railway	12/09/2015	01/12/2016	72 00	8,122	9,804	0	(1,682)	
RL Ralph Lauren Corp	10/28/2015	01/14/2016	160 00	16,231	17,960	0	(1,729)	
WDC Western Digital Corp	11/06/2015	01/14/2016	480 00	25,526	32,574	0	(7,048)	

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CSX Csx Corp	11/25/2015	01/25/2016	550 00	12,304	16,152	0	(3,848)	
CSX Csx Corp	12/15/2015	01/25/2016	325 00	7,271	8,034	0	(763)	
VIVENDI Vivendi	04/13/2015	02/01/2016	270 00	5,919	6,962	0	(1,043)	
VIVENDI Vivendi	04/20/2015	02/01/2016	6 00	132	153	0	(21)	
DD E i Du Pont De Nemours And	05/19/2015	02/02/2016	65 00	3,373	4,337	0	(964)	
MDT Medtronic Inc	02/09/2015	02/02/2016	330 00	24,466	24,554	0	(88)	
MDT Medtronic Inc	02/11/2015	02/02/2016	150 00	11,121	11,207	0	(86)	
DD E i Du Pont De Nemours And	05/19/2015	02/03/2016	185 00	9,516	12,344	0	(2,828)	
DD E i Du Pont De Nemours And	05/21/2015	02/03/2016	265 00	13,631	17,613	0	(3,982)	
DD E i Du Pont De Nemours And	08/19/2015	02/03/2016	110 00	5,658	5,940	0	(282)	
PRUDG BP 05 Prudential Corp PLC ORd GB	12/07/2015	02/04/2016	725 00	12,790	16,747	0	(3,957)	
PBI Pitney Bowes Inc	08/24/2015	02/09/2016	344 00	6,054	7,306	0	(1,252)	
PBI Pitney Bowes Inc	08/24/2015	02/10/2016	166 00	2,889	3,526	0	(637)	
PRUDG BP 05 Prudential Corp PLC ORd GB	12/07/2015	02/10/2016	87 00	1,548	2,010	0	(462)	
PRUDG BP 05 Prudential Corp PLC ORd GB	01/06/2016	02/10/2016	212 00	3,771	4,655	0	(884)	
PRUDG BP 05 Prudential Corp PLC ORd GB	01/11/2016	02/10/2016	426 00	7,578	8,689	0	(1,111)	
WLTW Willis Towers Watson PLC	08/03/2015	02/16/2016	37 987927	4,178	4,690	0	(512)	
AIZ Assurant Inc	06/30/2015	02/22/2016	220 00	15,138	15,036	0	102	
AIZ Assurant Inc	06/30/2015	02/24/2016	110 00	7,592	7,518	0	74	
AIZ Assurant Inc	06/30/2015	02/25/2016	175 00	12,446	11,960	0	486	
SYF Synchrony Financial	11/25/2015	02/28/2016	50 00	1,352	1,500	0	(148)	
SYF Synchrony Financial	11/25/2015	02/28/2016	350 00	9,461	10,808	0	(1,347)	
SYF Synchrony Financial	11/25/2015	02/28/2016	236 00	6,379	7,231	0	(852)	
HON Honeywell International Inc	01/14/2010	03/02/2015	200 00	20,935	8,539	0		12,396
HON Honeywell International Inc	11/19/2010	03/02/2015	400 00	41,870	19,750	0		22,120
KRFT Kraft Foods Group Inc	10/05/2012	03/03/2015	365 0001	23,325	16,641	0		6,684
PSO Pearson Plc	03/29/2011	03/03/2015	225 00	4,830	3,925	0		905
PSO Pearson Plc	03/13/2013	03/03/2015	550 00	11,807	9,623	0		2,184
PSO Pearson Plc	09/04/2013	03/03/2015	750 00	16,101	14,857	0		1,244
PSO Pearson Plc	02/28/2014	03/03/2015	475 00	10,197	8,027	0		2,170
ARMK Aramark Holdings Corporation	12/18/2013	03/18/2015	620 00	20,008	14,771	0		5,237
ARMK Aramark Holdings Corporation	12/18/2013	03/24/2015	30 00	965	715	0		250
ARMK Aramark Holdings Corporation	01/30/2014	03/24/2015	10 00	322	235	0		87
ARMK Aramark Holdings Corporation	01/30/2014	04/10/2015	190 00	5,888	4,465	0		1,423
SNY Sanofi-Aventis Sa	07/15/2013	04/20/2015	10 00	525	509	0		16
AREEI Alexandria Real Estate Equite	12/14/2012	04/21/2015	45 00	1,306	1,209	0		97
ADT ADT Corporation	01/21/2014	04/21/2015	30 00	1,222	1,162	0		60
BRK B Berkshire Hathaway Inc Del C	11/20/2012	04/21/2015	15 00	2,130	1,281	0		849
BPY Brookfield Property Partners L	04/25/2013	04/21/2015	30 00	730	628	0		102
BPY Brookfield Property Partners L	04/25/2013	04/21/2015	75 00	1,825	1,565	0		260
BMJ Bnstol Myers Squibb Co	05/23/2012	04/21/2015	55 00	3,605	1,801	0		1,804
COST Costco Wholesale Cp	03/11/2014	04/21/2015	10 00	1,464	1,129	0		335
CVX Chevron Corp	08/03/2005	04/21/2015	10 00	1,103	595	0		508
COG Cabot Oil & Gas Corporation	01/30/2012	04/21/2015	80 00	2,633	1,268	0		1,365

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CSCO Cisco Systems Inc	12/23/2013	04/21/2015	30 00	854	621	0		233
EOG EOG Resources Inc	08/10/2011	04/21/2015	25 00	2,456	1,206	0		1,250
GS Goldman Sachs Group Inc	05/27/2010	04/21/2015	15 00	2,974	2,141	0		833
GOOGL Google Inc Class A	10/06/2011	04/21/2015	5 00	2,706	1,250	0		1,456
IDJREAL EST iShares Trust Dow Jones US F	12/31/2012	04/21/2015	15 00	1,162	960	0		202
JAH Jarden Corp	09/10/2013	04/21/2015	30 00	1,557	940	0		617
JNJ Johnson & Johnson	05/11/2011	04/21/2015	25 00	2,504	1,632	0		872
PHG Koninklijke Philips Electronics	07/25/2013	04/21/2015	35 00	1,011	1,103	0		(92)
LLY Eli Lilly And Company	07/15/2013	04/21/2015	25 00	1,807	1,293	0		514
MSFT Microsoft Corporation	10/23/2013	04/21/2015	15 00	642	519	0		123
NYLD NRG YIELD INC	11/15/2013	04/21/2015	40 00	2,117	1,387	0		730
NKE Nike Inc	06/26/2011	04/21/2015	15 00	1,498	639	0		859
PCL Plum Creek Timber Company	02/07/2012	04/21/2015	55 00	2,339	2,145	0		194
OUT Outfront Media Inc	04/02/2014	04/21/2015	65 00	1,878	1,954	0		(76)
PSO Pearson Plc	02/28/2014	04/21/2015	90 00	1,830	1,521	0		309
PEP Pepsico Inc	03/15/2012	04/21/2015	10 00	964	633	0		331
PBI Pitney Bowes Inc	08/27/2013	04/21/2015	95 00	2,203	1,659	0		544
PG Procter & Gamble Co	07/19/2012	04/21/2015	15 00	1,244	973	0		271
RGC Regal Entertainment Group	01/10/2012	04/21/2015	135 00	2,993	1,575	0		1,418
RL Ralph Lauren Corp	10/07/2013	04/21/2015	10 00	1,371	1,631	0		(260)
RL Ralph Lauren Corp	10/11/2013	04/21/2015	5 00	686	804	0		(118)
SNY Sanofi-Aventis Sa	07/15/2013	04/21/2015	50 00	2,561	2,547	0		14
STWD STARWOOD PROPERTY TR	05/18/2011	04/21/2015	170 00	4,056	3,650	0		406
SLB Schlumberger, Ltd	10/21/2005	04/21/2015	30 00	2,771	1,232	0		1,539
TOO Teekay Offshore Partners L P	05/29/2012	04/21/2015	95 00	2,217	2,604	0		(387)
TIF Tiffany & Co	09/27/2011	04/21/2015	25 00	2,118	1,695	0		423
VWOX Vanguard FTSE Emerging Ma	02/20/2013	04/21/2015	25 00	1,082	1,111	0		(29)
VZ Venzon Communications	02/27/2014	04/21/2015	70 00	3,434	3,267	0		167
VNO Vornado Realty Trust	08/14/2012	04/21/2015	15 00	1,603	1,091	0		512
WF Whitewave Foods Co	11/30/2012	04/21/2015	95 00	4,389	1,425	0		2,964
WY Weyerhaeuser Company	05/21/2012	04/21/2015	75 00	2,374	1,451	0		923
ZTS Zoetis Inc Class A Common S	07/24/2013	04/21/2015	65 00	3,035	1,981	0		1,054
PSO Pearson Plc	02/28/2014	04/29/2015	270 00	5,583	4,563	0		1,020
SNY Sanofi-Aventis Sa	07/15/2013	04/30/2015	95 00	5,005	4,838	0		167
SNY Sanofi-Aventis Sa	08/06/2013	04/30/2015	55 00	2,898	2,783	0		115
VZ Venzon Communications	02/27/2014	05/15/2015	815 00	40,342	38,037	0		2,305
VZ Venzon Communications	02/28/2014	05/15/2015	425 00	21,037	19,648	0		1,389
WF Whitewave Foods Co	11/30/2012	05/20/2015	300 00	14,139	4,499	0		9,640
GS Goldman Sachs Group Inc	05/27/2010	05/29/2015	25 00	5,159	3,569	0		1,590
GS Goldman Sachs Group Inc	07/09/2010	05/29/2015	21 00	4,333	2,878	0		1,455
BMJ Bnstol Myers Squibb Co	05/23/2012	06/04/2015	10 00	667	327	0		340
BMJ Bnstol Myers Squibb Co	05/29/2012	06/04/2015	190 00	12,681	6,175	0		6,506
CSCO Cisco Systems Inc	12/23/2013	06/12/2015	370 00	10,449	7,656	0		2,793
LLY Eli Lilly And Company	07/15/2013	06/15/2015	15 00	1,234	776	0		458
WF Whitewave Foods Co	11/30/2012	06/15/2015	90 00	4,328	1,350	0		2,978

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SNY Sanofi-Aventis Sa	08/06/2013	06/16/2015	135 00	6,891	6,832	0		59
WF Whitewave Foods Co	11/30/2012	06/16/2015	30 00	1,447	450	0		997
GS Goldman Sachs Group Inc	07/09/2010	06/29/2015	10 00	2,142	1,371	0		771
PHG Koninklijke Philips Electronics	07/25/2013	06/29/2015	115 00	3,042	3,623	0		(581)
PHG Koninklijke Philips Electronics	07/26/2013	06/29/2015	190 00	5,026	5,951	0		(925)
WF Whitewave Foods Co	11/30/2012	06/29/2015	170 00	8,426	2,549	0		5,877
PHG Koninklijke Philips Electronics	07/26/2013	06/30/2015	25 00	660	783	0		(123)
PHG Koninklijke Philips Electronics	09/17/2013	06/30/2015	140 00	3,697	4,639	0		(942)
LLY Eli Lilly And Company	07/15/2013	06/30/2015	35 00	2,945	1,810	0		1,135
PHG Koninklijke Philips Electronics	09/17/2013	07/06/2015	40 00	1,026	1,326	0		(300)
PHG Koninklijke Philips Electronics	09/18/2013	07/06/2015	65 00	1,667	2,153	0		(486)
PHG Koninklijke Philips Electronics	09/18/2013	07/07/2015	85 00	2,205	2,815	0		(610)
PHG Koninklijke Philips Electronics	09/19/2013	07/07/2015	5 00	130	166	0		(36)
CSCO Cisco Systems Inc	12/23/2013	07/14/2015	370 00	10,099	7,656	0		2,443
JAH Jarden Corp	09/10/2013	07/16/2015	385 00	21,061	12,063	0		8,998
PSO Pearson Plc	02/28/2014	07/16/2015	435 00	8,422	7,351	0		1,071
PSO Pearson Plc	02/28/2014	07/17/2015	820 00	15,649	13,857	0		1,792
JAH Jarden Corp	09/10/2013	07/21/2015	385 00	20,985	12,063	0		8,922
OUT Outfront Media Inc	04/02/2014	07/24/2015	498 00	12,458	14,973	0		(2,515)
TOO Teekay Offshore Partners L P	05/29/2012	07/24/2015	600 00	10,944	16,445	0		(5,501)
OUT Outfront Media Inc	04/02/2014	07/27/2015	424 00	10,697	12,748	0		(2,051)
TOO Teekay Offshore Partners L P	05/29/2012	07/29/2015	50 00	876	1,370	0		(494)
PHG Koninklijke Philips Electronics	09/19/2013	07/30/2015	290 00	7,940	9,638	0		(1,698)
RL Ralph Lauren Corp	10/11/2013	08/06/2015	30 00	3,618	4,826	0		(1,208)
RL Ralph Lauren Corp	10/15/2013	08/06/2015	20 00	2,412	3,190	0		(778)
TOO Teekay Offshore Partners L P	05/29/2012	08/06/2015	300 00	5,214	8,223	0		(3,009)
WF Whitewave Foods Co	11/30/2012	08/06/2015	105 00	5,391	1,575	0		3,816
BPY Brookfield Property Partners L	04/25/2013	08/07/2015	325 00	6,908	6,784	0		124
BPY Brookfield Property Partners L	04/29/2013	08/07/2015	155 00	3,295	3,239	0		56
BPY Brookfield Property Partners L	04/30/2013	08/07/2015	240 00	5,101	5,081	0		20
TOO Teekay Offshore Partners L P	05/29/2012	08/07/2015	300 00	4,955	8,223	0		(3,268)
OUT Outfront Media Inc	04/02/2014	08/10/2015	488 00	12,361	14,672	0		(2,311)
BPY Brookfield Property Partners L	04/30/2013	08/11/2015	145 00	3,226	3,070	0		156
BPY Brookfield Property Partners L	05/03/2013	08/11/2015	45 00	1,001	954	0		47
BPY Brookfield Property Partners L	05/30/2013	08/11/2015	395 00	8,789	9,000	0		(211)
BPY Brookfield Property Partners L	06/06/2013	08/11/2015	115 00	2,559	2,409	0		150
UE Urban Edge Properties	08/14/2012	08/11/2015	189 50	4,064	2,893	0		1,171
UE Urban Edge Properties	05/30/2013	08/11/2015	17 50	375	276	0		99
WF Whitewave Foods Co	11/30/2012	08/12/2015	510 00	25,031	7,648	0		17,383
WF Whitewave Foods Co	06/06/2013	08/12/2015	150 00	7,362	2,529	0		4,833
TOO Teekay Offshore Partners L P	05/29/2012	08/24/2015	200 00	3,399	5,482	0		(2,083)
RL Ralph Lauren Corp	10/15/2013	08/26/2015	10 00	1,118	1,595	0		(477)
RL Ralph Lauren Corp	01/22/2014	08/26/2015	100 00	11,176	16,361	0		(5,185)
RL Ralph Lauren Corp	02/10/2014	08/26/2015	20 00	2,235	3,009	0		(774)
DSW DSW Inc	06/03/2014	08/28/2015	320 00	9,344	7,610	0		1,734

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BPY Brookfield Property Partners L	06/06/2013	08/31/2015	550 00	11,614	11,520	0		94
BPY Brookfield Property Partners L	06/24/2013	08/31/2015	150 00	3,167	3,087	0		80
BPY Brookfield Property Partners L	06/25/2013	08/31/2015	250 00	5,279	5,026	0		253
WY Weyerhaeuser Company	05/21/2012	08/31/2015	225 00	6,056	4,354	0		1,702
BPY Brookfield Property Partners L	06/25/2013	09/01/2015	150 00	3,192	3,016	0		176
DSW DSW Inc	06/03/2014	09/01/2015	40 00	1,158	951	0		207
TOO Teekay Offshore Partners L P	05/29/2012	09/01/2015	50 00	850	1,370	0		(520)
DSW DSW Inc	06/03/2014	09/03/2015	120 00	3,601	2,854	0		747
WMB Williams Companies Inc (The	06/23/2014	09/10/2015	450 00	20,940	25,964	0		(5,024)
WMB Williams Companies Inc (The	06/23/2014	09/16/2015	165 00	6,897	9,520	0		(2,623)
BPY Brookfield Property Partners L	06/25/2013	09/21/2015	300 00	6,360	6,031	0		329
SNY Sanofi-Aventis Sa	08/06/2013	10/01/2015	330 00	15,650	16,701	0		(1,051)
PSO Pearson Plc	02/28/2014	10/02/2015	925 00	15,396	15,631	0		(235)
RDSB Royal Dutch Shell B Shares	08/06/2014	10/02/2015	80 00	3,720	6,855	0		(3,135)
RDSA Royal Dutch Shell A Shares	09/02/2014	10/02/2015	70 00	3,259	5,612	0		(2,353)
COST Costco Wholesale Cp	03/11/2014	10/07/2015	30 00	4,290	3,388	0		902
RDSB Royal Dutch Shell B Shares	08/06/2014	10/07/2015	40 00	1,961	3,427	0		(1,466)
RDSA Royal Dutch Shell A Shares	09/02/2014	10/07/2015	50 00	2,451	4,009	0		(1,558)
SMTFIN AL Smart & Final Stores Inc	10/01/2014	10/07/2015	60 00	900	775	0		125
RDSB Royal Dutch Shell B Shares	08/06/2014	10/15/2015	80 00	4,442	6,855	0		(2,413)
RDSA Royal Dutch Shell A Shares	09/02/2014	10/15/2015	50 00	2,745	4,009	0		(1,264)
DSW DSW Inc	06/03/2014	10/27/2015	90 00	2,290	2,140	0		150
DSW DSW Inc	06/03/2014	10/30/2015	410 00	9,765	9,750	0		15
RDSB Royal Dutch Shell B Shares	08/06/2014	11/04/2015	40 00	2,122	3,427	0		(1,305)
RDSA Royal Dutch Shell A Shares	09/02/2014	11/05/2015	50 00	2,651	4,009	0		(1,358)
DSW DSW Inc	06/03/2014	11/09/2015	410 00	8,967	9,750	0		(783)
PCL Plum Creek Timber Company	02/07/2012	11/13/2015	440 00	20,354	17,160	0		3,194
PCL Plum Creek Timber Company	02/21/2012	11/13/2015	450 00	20,817	17,504	0		3,313
PCL Plum Creek Timber Company	05/04/2012	11/13/2015	400 00	18,504	15,999	0		2,505
PCL Plum Creek Timber Company	01/09/2014	11/13/2015	225 00	10,408	10,096	0		312
KMI Kinder Morgan	10/10/2014	11/18/2015	152 00	3,461	5,847	0		(2,386)
SNY Sanofi-Aventis Sa	08/06/2013	11/18/2015	35 00	1,505	1,771	0		(266)
SNY Sanofi-Aventis Sa	08/07/2013	11/18/2015	130 00	5,590	6,585	0		(995)
KMI Kinder Morgan	10/10/2014	11/24/2015	127 00	3,017	4,886	0		(1,869)
TOO Teekay Offshore Partners L P	09/18/2012	11/24/2015	100 00	1,287	2,743	0		(1,456)
SNY Sanofi-Aventis Sa	08/07/2013	11/25/2015	170 00	7,550	8,611	0		(1,060)
TOO Teekay Offshore Partners L P	09/18/2012	11/25/2015	50 00	642	1,372	0		(730)
KMI Kinder Morgan	10/10/2014	11/27/2015	222 00	5,299	8,540	0		(3,241)
SNY Sanofi-Aventis Sa	08/07/2013	11/27/2015	100 00	4,414	5,065	0		(651)
SNY Sanofi-Aventis Sa	01/16/2014	11/27/2015	100 00	4,414	5,002	0		(588)
SNY Sanofi-Aventis Sa	11/04/2014	11/27/2015	40 00	1,766	1,830	0		(64)
TOO Teekay Offshore Partners L P	09/18/2012	11/27/2015	200 00	2,587	5,486	0		(2,899)
TOO Teekay Offshore Partners L P	09/18/2012	11/30/2015	50 00	650	1,372	0		(722)
TOO Teekay Offshore Partners L P	09/18/2012	12/01/2015	150 00	1,950	4,115	0		(2,165)
SNY Sanofi-Aventis Sa	11/04/2014	12/02/2015	70 00	3,115	3,203	0		(88)

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TOO Teekay Offshore Partners L P	09/18/2012	12/02/2015	50 00	662	1,372	0		(710)
SNY Sanofi-Aventis Sa	11/04/2014	12/03/2015	75 00	3,353	3,431	0		(78)
TOO Teekay Offshore Partners L P	09/18/2012	12/03/2015	50 00	680	1,372	0		(692)
KMI Kinder Morgan	10/10/2014	12/04/2015	454 00	10,341	17,465	0		(7,124)
SNY Sanofi-Aventis Sa	12/03/2014	12/04/2015	50 00	2,230	2,292	0		(62)
TOO Teekay Offshore Partners L P	09/18/2012	12/04/2015	50 00	663	1,372	0		(709)
KMI Kinder Morgan	10/10/2014	12/07/2015	415 00	8,717	15,965	0		(7,248)
LDOS Leidos Holdings Inc	10/03/2014	12/07/2015	20 00	1,185	687	0		498
LDOS Leidos Holdings Inc	10/06/2014	12/07/2015	20 00	1,185	686	0		499
COST Costco Wholesale Cp	03/11/2014	12/14/2015	25 00	4,091	2,823	0		1,268
KLXI KLX Inc	10/14/2014	12/14/2015	215 00	6,719	9,472	0		(2,753)
KLXI KLX Inc	10/22/2014	12/14/2015	25 00	781	1,044	0		(263)
RDSB Royal Dutch Shell B Shares	08/06/2014	12/15/2015	150 00	7,012	12,852	0		(5,840)
RDSA Royal Dutch Shell A Shares	09/02/2014	12/15/2015	150 00	6,964	12,026	0		(5,062)
TKC Teekay Corporation	12/01/2014	12/15/2015	45 00	965	2,453	0		(1,488)
TKC Teekay Corporation	12/03/2014	12/15/2015	205 00	4,397	10,724	0		(6,327)
RDSB Royal Dutch Shell B Shares	08/06/2014	12/17/2015	10 00	441	857	0		(416)
RDSB Royal Dutch Shell B Shares	11/21/2014	12/17/2015	340 00	15,003	24,844	0		(9,841)
RDSA Royal Dutch Shell A Shares	09/02/2014	12/17/2015	310 00	13,684	24,854	0		(11,170)
RDSA Royal Dutch Shell A Shares	11/21/2014	12/17/2015	90 00	3,973	6,299	0		(2,326)
TKC Teekay Corporation	12/03/2014	12/17/2015	50 00	985	2,616	0		(1,631)
SNY Sanofi-Aventis Sa	12/03/2014	12/18/2015	110 00	4,718	5,043	0		(325)
TKC Teekay Corporation	12/03/2014	12/18/2015	50 00	954	2,616	0		(1,662)
TKC Teekay Corporation	12/03/2014	12/22/2015	50 00	356	2,616	0		(2,260)
TKC Teekay Corporation	12/11/2014	12/22/2015	450 00	3,207	21,455	0		(18,248)
TOO Teekay Offshore Partners L P	09/18/2012	12/22/2015	400 00	1,816	10,973	0		(9,157)
WLTW Willis Towers Watson PLC	12/09/2014	01/05/2016	0457	6	5	0		1
PBI Pitney Bowes Inc	08/27/2013	01/07/2016	320 00	6,502	5,589	0		913
PBI Pitney Bowes Inc	08/28/2013	01/07/2016	175 00	3,556	3,027	0		529
MSFT Microsoft Corporation	10/23/2013	01/11/2016	110 00	5,962	3,803	0		2,159
PBI Pitney Bowes Inc	08/28/2013	01/11/2016	250 00	5,054	4,324	0		730
PBI Pitney Bowes Inc	08/30/2013	01/11/2016	410 00	8,289	6,951	0		1,338
ADT ADT Corporation	01/21/2014	01/12/2016	240 00	7,388	9,296	0		(1,908)
ADT ADT Corporation	02/04/2014	01/12/2016	600 00	18,470	20,640	0		(2,170)
PBI Pitney Bowes Inc	08/30/2013	01/13/2016	550 00	10,510	9,324	0		1,186
RL Ralph Lauren Corp	02/10/2014	01/14/2016	130 00	13,188	19,560	0		(6,372)
LVMUY Lvmh Moet Henn Unsp	12/03/2014	01/25/2016	475 00	13,779	16,107	0		(2,328)
PBI Pitney Bowes Inc	08/30/2013	01/29/2016	40 00	727	678	0		49
PBI Pitney Bowes Inc	09/03/2013	01/29/2016	330 00	5,995	5,525	0		470
VZ Verizon Communications	02/28/2014	02/01/2016	70 00	3,395	3,236	0		159
PBI Pitney Bowes Inc	09/03/2013	02/05/2016	70 00	1,219	1,172	0		47
PBI Pitney Bowes Inc	09/04/2013	02/05/2016	255 00	4,442	4,258	0		184
PBI Pitney Bowes Inc	05/14/2014	02/05/2016	105 00	1,829	2,702	0		(873)
PBI Pitney Bowes Inc	05/20/2014	02/05/2016	107 00	1,864	2,725	0		(861)
PBI Pitney Bowes Inc	05/20/2014	02/09/2016	3 00	53	76	0		(23)

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (NB Equity Account)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
IRM Iron Mountain Inc	07/09/2014	02/11/2016	75 00	1,985	2,647	0		(662)
IRM Iron Mountain Inc	07/10/2014	02/11/2016	368 00	9,739	12,916	0		(3,177)
MSFT Microsoft Corporation	10/23/2013	02/12/2016	100 00	5,001	3,458	0		1,543
VZ Venzon Communications	02/28/2014	02/12/2016	65 00	3,229	3,005	0		224
IRM Iron Mountain Inc	07/10/2014	02/16/2016	152 00	4,089	5,335	0		(1,246)
IRM Iron Mountain Inc	11/04/2014	02/16/2016	17 00	457	606	0		(149)
WLTW Willis Towers Watson PLC	12/09/2014	02/16/2016	26 756871	2,943	3,080	0		(137)
WLTW Willis Towers Watson PLC	12/10/2014	02/16/2016	76 255202	8,388	8,854	0		(466)
IRM Iron Mountain Inc	11/04/2014	02/17/2016	168 00	4,415	5,990	0		(1,575)
COG Cabot Oil & Gas Corporation	01/30/2012	02/26/2016	645 00	12,798	10,224	0		2,574
COG Cabot Oil & Gas Corporation	03/28/2012	02/26/2016	130 00	2,579	2,036	0		543

		Proceeds	Cost Basis	Adjustment	Gain/(Loss)
Short-term:	Gains	681,225	661,624	0	19,601
	Losses	519,615	657,469	0	(137,854)
	Net	1,200,840	1,319,093	0	(118,253)
Long-term:	Gains	744,041	543,759	0	200,282
	Losses	450,396	648,532	0	(198,135)
	Net	1,194,437	1,192,291	0	2,147
Totals		2,395,277	2,511,384	0	(116,106)

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HERMAN GOLDMAN FOUNDATION (UBS)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
BUD Anheuser-Busch Companies I	09/29/2014	03/25/2015	300 00	35,999	34,196	0	1,803	
BUD Anheuser-Busch Companies I	10/01/2014	03/25/2015	200 00	24,000	22,344	0	1,656	
SNDK SanDisk Corporation	12/26/2014	03/31/2015	400 00	27,206	40,123	0	(12,917)	
AET Aetna Inc	12/26/2014	04/22/2015	500 00	52,499	45,508	0	6,991	
WBA Walgreen Boots Alliance Inc	12/03/2014	04/22/2015	500 00	39,999	34,520	0	5,479	
GILD Gilead Sciences Inc	11/19/2014	06/16/2015	300 00	33,599	30,594	0	3,005	
GILD Gilead Sciences Inc	11/28/2014	06/16/2015	100 00	11,200	10,169	0	1,031	
GILD Gilead Sciences Inc	12/03/2014	06/16/2015	100 00	11,200	10,109	0	1,091	
MDLZ Mondolez International - W/I	11/12/2014	06/24/2015	500 00	18,500	18,748	0	(248)	
AEG6 37 5 Aegon NV 6 375 Pfd	09/05/2014	07/01/2015	900 00	22,712	23,156	0	(444)	
AAPL Apple Inc	02/06/2015	07/01/2015	100 00	12,694	11,831	0	863	
AAPL Apple Inc	02/26/2015	07/01/2015	250 00	31,734	32,585	0	(851)	
ACP Avenue Income Credit Strateg	08/29/2014	07/01/2015	20 00	291	351	0	(60)	
ACP Avenue Income Credit Strateg	09/30/2014	07/01/2015	21 00	305	349	0	(44)	
ACP Avenue Income Credit Strateg	10/31/2014	07/01/2015	22 00	320	359	0	(39)	
ACP Avenue Income Credit Strateg	11/28/2014	07/01/2015	23 00	335	367	0	(32)	
ACP Avenue Income Credit Strateg	12/16/2014	07/01/2015	25 00	364	370	0	(6)	
ACP Avenue Income Credit Strateg	01/14/2015	07/01/2015	1 00	15	15	0	0	
ACP Avenue Income Credit Strateg	01/14/2015	07/01/2015	18 00	262	269	0	(7)	
ACP Avenue Income Credit Strateg	01/14/2015	07/01/2015	24 00	349	359	0	(10)	
ACP Avenue Income Credit Strateg	01/14/2015	07/01/2015	35 00	509	523	0	(14)	
ACP Avenue Income Credit Strateg	02/27/2015	07/01/2015	25 00	364	381	0	(17)	
ACP Avenue Income Credit Strateg	03/31/2015	07/01/2015	25 00	364	378	0	(14)	
ACP Avenue Income Credit Strateg	04/30/2015	07/01/2015	25 00	364	386	0	(22)	
ACP Avenue Income Credit Strateg	05/29/2015	07/01/2015	25 00	364	379	0	(15)	
LDP Cohen & Steers Ltd Duration I	08/29/2014	07/01/2015	12 00	277	300	0	(23)	
LDP Cohen & Steers Ltd Duration I	09/30/2014	07/01/2015	12 00	277	297	0	(20)	
LDP Cohen & Steers Ltd Duration I	10/31/2014	07/01/2015	13 00	300	315	0	(15)	
LDP Cohen & Steers Ltd Duration I	11/28/2014	07/01/2015	13 00	300	312	0	(12)	
LDP Cohen & Steers Ltd Duration I	12/31/2014	07/01/2015	13 00	300	297	0	3	
LDP Cohen & Steers Ltd Duration I	01/15/2015	07/01/2015	26 00	600	603	0	(3)	
LDP Cohen & Steers Ltd Duration I	01/30/2015	07/01/2015	13 00	300	310	0	(10)	
LDP Cohen & Steers Ltd Duration I	02/27/2015	07/01/2015	13 00	300	310	0	(10)	
LDP Cohen & Steers Ltd Duration I	03/31/2015	07/01/2015	13 00	300	312	0	(12)	
LDP Cohen & Steers Ltd Duration I	04/30/2015	07/01/2015	13 00	300	315	0	(15)	
LDP Cohen & Steers Ltd Duration I	05/29/2015	07/01/2015	14 00	323	330	0	(7)	
CL Colgate-palmolive Company	11/28/2014	07/01/2015	900 00	60,176	61,587	0	(1,411)	
CL Colgate-palmolive Company	12/03/2014	07/01/2015	100 00	6,686	6,984	0	(298)	
DIS Disney Co Walt Hldg Co	01/02/2015	07/01/2015	300 00	34,421	28,691	0	5,730	
DIS Disney Co Walt Hldg Co	01/23/2015	07/01/2015	200 00	22,948	18,843	0	4,105	
DIS Disney Co Walt Hldg Co	01/28/2015	07/01/2015	200 00	22,948	19,030	0	3,918	
DG Dollar General Corp	03/30/2015	07/01/2015	300 00	23,760	22,367	0	1,393	
DG Dollar General Corp	04/23/2015	07/01/2015	200 00	15,840	14,974	0	866	
EVV Eaton Vance Limited Duration	08/18/2014	07/01/2015	26 00	355	394	0	(39)	
EVV Eaton Vance Limited Duration	09/19/2014	07/01/2015	27 00	368	399	0	(31)	

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (UBS)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
EVV Eaton Vance Limited Duration	10/20/2014	07/01/2015	28 00	382	402	0	(20)	
EVV Eaton Vance Limited Duration	11/20/2014	07/01/2015	28 00	382	402	0	(20)	
EVV Eaton Vance Limited Duration	12/18/2014	07/01/2015	30 00	409	417	0	(8)	
EVV Eaton Vance Limited Duration	01/20/2015	07/01/2015	29 00	396	409	0	(13)	
EVV Eaton Vance Limited Duration	02/19/2015	07/01/2015	29 00	396	412	0	(16)	
EVV Eaton Vance Limited Duration	03/19/2015	07/01/2015	30 00	409	427	0	(18)	
EVV Eaton Vance Limited Duration	04/20/2015	07/01/2015	29 00	396	421	0	(25)	
EVV Eaton Vance Limited Duration	05/18/2015	07/01/2015	30 00	409	432	0	(23)	
EVV Eaton Vance Limited Duration	06/18/2015	07/01/2015	31 00	423	432	0	(9)	
DD E I Du Pont De Nemours And	11/10/2014	07/01/2015	200 00	13,224	13,804	0	(580)	
EMC EMC Corporation	12/04/2014	07/01/2015	1,500 00	40,012	45,402	0	(5,390)	
EMR Emerson Electric Co	01/23/2015	07/01/2015	100 00	5,668	5,994	0	(326)	
HON Honeywell International Inc	11/12/2014	07/01/2015	500 00	51,745	48,140	0	3,605	
HON Honeywell International Inc	11/19/2014	07/01/2015	300 00	31,047	29,037	0	2,010	
HYG Ishares Iboxx Hy Bd	08/07/2014	07/01/2015	3 00	267	279	0	(12)	
HYG Ishares Iboxx Hy Bd	09/08/2014	07/01/2015	3 00	267	280	0	(13)	
HYG Ishares Iboxx Hy Bd	10/07/2014	07/01/2015	3 00	267	276	0	(9)	
HYG Ishares Iboxx Hy Bd	11/07/2014	07/01/2015	3 00	267	277	0	(10)	
HYG Ishares Iboxx Hy Bd	12/05/2014	07/01/2015	3 00	267	270	0	(3)	
HYG Ishares Iboxx Hy Bd	12/31/2014	07/01/2015	3 00	267	269	0	(2)	
HYG Ishares Iboxx Hy Bd	02/06/2015	07/01/2015	3 00	267	273	0	(6)	
HYG Ishares Iboxx Hy Bd	03/06/2015	07/01/2015	3 00	267	273	0	(6)	
HYG Ishares Iboxx Hy Bd	04/08/2015	07/01/2015	3 00	267	274	0	(7)	
HYG Ishares Iboxx Hy Bd	05/07/2015	07/01/2015	3 00	267	271	0	(4)	
HYG Ishares Iboxx Hy Bd	06/05/2015	07/01/2015	3 00	267	268	0	(1)	
IR Ingersoll-Rand Plc (Ireland)	04/22/2015	07/01/2015	500 00	34,184	33,758	0	426	
INTC Intel Corporation	02/26/2015	07/01/2015	1,500 00	46,645	50,970	0	(4,325)	
JPM JPMorgan Chase Pfd W	07/24/2014	07/01/2015	1,000 00	25,323	25,020	0	303	
JPM JPMorgan Chase Pfd W	08/27/2014	07/01/2015	1,000 00	25,323	24,950	0	373	
JPM Jp Morgan Chase & Co	11/28/2014	07/01/2015	1,000 00	69,043	61,216	0	7,827	
LOW Lowe's Companies Inc	11/28/2014	07/01/2015	1,000 00	68,914	63,589	0	5,325	
LOW Lowe's Companies Inc	12/03/2014	07/01/2015	100 00	6,891	6,374	0	517	
MSFT Microsoft Corporation	10/01/2014	07/01/2015	500 00	22,772	23,069	0	(297)	
MSFT Microsoft Corporation	10/07/2014	07/01/2015	300 00	13,663	13,727	0	(64)	
MAR Marnot International	01/02/2015	07/01/2015	300 00	22,988	23,693	0	(705)	
MAR Marnot International	01/06/2015	07/01/2015	200 00	15,325	15,819	0	(494)	
MAR Marnot International	02/19/2015	07/01/2015	100 00	7,663	7,891	0	(228)	
MDLZ Mondolez International - W/I	11/12/2014	07/01/2015	500 00	20,643	18,748	0	1,895	
MCK McKesson Corp	03/16/2015	07/01/2015	300 00	68,546	66,735	0	1,811	
MRK Merck & Co Inc	11/28/2014	07/01/2015	1,000 00	58,324	59,403	0	(1,079)	
MON Monsanto Company	12/03/2014	07/01/2015	100 00	10,615	12,077	0	(1,462)	
MDTPLC Medtronic Plc	01/27/2015	07/01/2015	750 00	56,455	58,136	0	(1,681)	
NGG National Grid Transco Plc	12/26/2014	07/01/2015	300 00	20,109	21,504	0	(1,395)	
NGG National Grid Transco Plc	01/06/2015	07/01/2015	200 00	13,406	14,225	0	(819)	

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Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (UBS)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
NKE Nike Inc	02/26/2015	07/01/2015	400 00	43,909	37,980	0	5,929	
NKE Nike Inc	03/26/2015	07/01/2015	200 00	21,954	20,320	0	1,634	
PSX Phillips 66	10/07/2014	07/01/2015	800 00	63,155	61,440	0	1,715	
PBE Dynamic Biotech & Genome F	12/26/2014	07/01/2015	250 00	14,612	13,003	0	1,609	
IVZ INVESCO PLC	11/19/2014	07/01/2015	1,000 00	38,532	40,256	0	(1,724)	
IVZ INVESCO PLC	12/03/2014	07/01/2015	200 00	7,706	8,103	0	(397)	
IVZ INVESCO PLC	12/26/2014	07/01/2015	300 00	11,560	11,981	0	(421)	
AMTD TD Ameritrade Holding Cp	02/26/2015	07/01/2015	1,000 00	37,985	35,852	0	2,133	
AMTD TD Ameritrade Holding Cp	03/02/2015	07/01/2015	500 00	18,992	18,315	0	677	
UTX United Technologies Corp	11/28/2014	07/01/2015	100 00	11,367	11,087	0	280	
VCSH Short-Term Corp Bd Idx ETF	09/18/2014	07/01/2015	500 00	39,704	39,948	0	(244)	
VCSH Short-Term Corp Bd Idx ETF	11/04/2014	07/01/2015	250 00	19,852	20,036	0	(184)	
VCSH Short-Term Corp Bd Idx ETF	11/19/2014	07/01/2015	150 00	11,911	11,995	0	(84)	
WBA Walgreen Boots Alliance Inc	12/03/2014	07/01/2015	100 00	8,664	6,904	0	1,760	
WBA Walgreen Boots Alliance Inc	12/04/2014	07/01/2015	400 00	34,655	26,997	0	7,658	
ERC Wells Fargo Advantage Multi-	09/02/2014	07/01/2015	20 00	257	293	0	(36)	
ERC Wells Fargo Advantage Multi-	10/01/2014	07/01/2015	21 00	270	294	0	(24)	
ERC Wells Fargo Advantage Multi-	11/03/2014	07/01/2015	21 00	270	299	0	(29)	
ERC Wells Fargo Advantage Multi-	12/01/2014	07/01/2015	22 00	283	305	0	(22)	
ERC Wells Fargo Advantage Multi-	01/02/2015	07/01/2015	21 00	270	287	0	(17)	
ERC Wells Fargo Advantage Multi-	02/02/2015	07/01/2015	22 00	283	299	0	(16)	
ERC Wells Fargo Advantage Multi-	03/02/2015	07/01/2015	22 00	283	301	0	(18)	
ERC Wells Fargo Advantage Multi-	04/01/2015	07/01/2015	22 00	283	296	0	(13)	
ERC Wells Fargo Advantage Multi-	05/01/2015	07/01/2015	22 00	283	300	0	(17)	
ERC Wells Fargo Advantage Multi-	06/01/2015	07/01/2015	23 00	296	305	0	(9)	
SBUX Starbucks Cp	03/23/2015	07/01/2015	300 00	16,399	14,138	0	2,261	
HEDJ Intl Hedged Equity Wisdomtre	04/23/2015	07/01/2015	500 00	32,317	33,419	0	(1,102)	
QUEST1 3020 Quest Diagnostics 4 75% 1/3C	12/16/2014	07/01/2015	25,000 00	27,592	26,994	0	598	
ASSURE D724 Assured Qty US Holdings 5 0%	09/23/2014	07/01/2015	25,000 00	25,802	25,851	0	(49)	
FSINV71 519 FS Investment Corp 4 00% 7/15	08/27/2014	07/01/2015	50,000 00	51,449	50,709	0	740	
DIAMON D519 Diamond Offshore 5 875% 05	02/19/2015	07/01/2015	50,000 00	56,117	56,009	0	108	
FAMDOL L221 Family Dollar Stores Inc 5 0%	02/19/2015	07/01/2015	25,000 00	26,438	26,723	0	(285)	
KLA1101 24 KLA-Tencor 4 65% 11/01/24	11/19/2014	07/01/2015	40,000 00	40,069	40,518	0	(449)	
NABOR S0920 Nabors Industries Inc 5 00% 5	04/08/2015	07/01/2015	25,000 00	26,188	25,123	0	1,065	
NEWMO NT119 Newmont Mining 5 125% 10/1	03/26/2015	07/01/2015	50,000 00	54,722	56,378	0	(1,656)	
ACP Avenue Income Credit Strateg	06/30/2015	07/08/2015	27 00	367	386	0	(19)	
LDP Cohen & Steers Ltd Duration I	06/30/2015	07/08/2015	14 00	303	321	0	(18)	
ERC Wells Fargo Advantage Multi-	07/01/2015	07/08/2015	24 00	287	307	0	(20)	
UNH Unitedhealth Group Incorpora	07/15/2013	03/13/2015	400 00	39,999	27,317	0		12,682
UNH Unitedhealth Group Incorpora	08/06/2013	03/13/2015	300 00	29,999	21,950	0		8,049
PSPFD5 20% Public Storage 5 20% Pffd	01/17/2013	03/16/2015	500 00	12,204	12,500	0		(296)
PSPFD5 20% Public Storage 5 20% Pffd	02/27/2013	03/16/2015	795 00	19,405	19,890	0		(485)

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HERMAN GOLDMAN FOUNDATION (UBS)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
PSPFD5 20% Public Storage 5 20% Pfd	02/27/2013	03/24/2015	205 00	4,883	5,129	0		(246)
KRFT Kraft Foods Group Inc	01/24/2013	04/10/2015	300 00	19,500	14,053	0		5,447
KRFT Kraft Foods Group Inc	01/29/2013	04/10/2015	100 00	6,500	4,690	0		1,810
AEG6 37 5 Aegon NV 6 375 Pfd	12/31/2012	07/01/2015	1,000 00	25,236	25,256	0		(20)
AEG6 37 5 Aegon NV 6 375 Pfd	07/02/2013	07/01/2015	100 00	2,524	2,485	0		39
ACP Avenue Income Credit Strateg	06/30/2014	07/01/2015	3,000 00	43,642	53,651	0		(10,009)
CSCO Cisco Systems Inc	01/11/2013	07/01/2015	200 00	5,643	4,037	0		1,606
CSCO Cisco Systems Inc	01/17/2013	07/01/2015	1,000 00	28,214	20,780	0		7,434
CSCO Cisco Systems Inc	01/24/2013	07/01/2015	500 00	14,107	10,488	0		3,619
CSCO Cisco Systems Inc	02/26/2013	07/01/2015	500 00	14,107	10,358	0		3,749
CSCO Cisco Systems Inc	02/27/2013	07/01/2015	500 00	14,107	10,418	0		3,689
CSCO Cisco Systems Inc	07/05/2013	07/01/2015	300 00	8,464	7,394	0		1,070
LDP Cohen & Steers Ltd Duration F	06/26/2014	07/01/2015	2,000 00	46,160	50,380	0		(4,220)
DBLOPP Doubleline Opportunistic Cred	01/07/2013	07/01/2015	1,000 00	23,078	26,914	0		(3,836)
DBLOPP Doubleline Opportunistic Cred	01/11/2013	07/01/2015	1,000 00	23,078	26,923	0		(3,845)
EVV Eaton Vance Limited Duration	06/25/2014	07/01/2015	100 00	1,364	1,560	0		(196)
EVV Eaton Vance Limited Duration	06/25/2014	07/01/2015	3,900 00	53,195	60,868	0		(7,673)
EMR Emerson Electric Co	01/08/2013	07/01/2015	200 00	11,336	11,090	0		246
EMR Emerson Electric Co	01/14/2013	07/01/2015	300 00	17,004	16,484	0		520
EMR Emerson Electric Co	01/24/2013	07/01/2015	500 00	28,340	27,864	0		476
GIS Gen Mills Inc	01/08/2013	07/01/2015	200 00	11,349	8,269	0		3,080
GIS Gen Mills Inc	01/15/2013	07/01/2015	300 00	17,023	12,432	0		4,591
GIS Gen Mills Inc	01/24/2013	07/01/2015	500 00	28,372	20,602	0		7,770
GIS Gen Mills Inc	01/29/2013	07/01/2015	200 00	11,349	8,354	0		2,995
AFL Aflac Inc	05/23/2013	07/01/2015	500 00	31,781	27,894	0		3,887
AFL Aflac Inc	07/02/2013	07/01/2015	500 00	31,781	28,968	0		2,813
IBBOXIN VGR Ishares Iboxx Inv Grade Corp	01/25/2013	07/01/2015	400 00	45,982	48,282	0		(2,300)
IBBOXIN VGR Ishares Iboxx Inv Grade Corp	06/18/2014	07/01/2015	100 00	11,496	11,846	0		(350)
HYG Ishares Iboxx Hy Bd	01/06/2014	07/01/2015	800 00	71,295	74,360	0		(3,065)
KRFT Kraft Foods Group Inc	01/29/2013	07/01/2015	400 00	34,871	18,759	0		16,112
MSFT Microsoft Corporation	02/24/2014	07/01/2015	500 00	22,772	18,833	0		3,939
MSFT Microsoft Corporation	04/03/2014	07/01/2015	200 00	9,109	8,267	0		842
MON Monsanto Company	02/28/2014	07/01/2015	200 00	21,231	21,853	0		(622)
MON Monsanto Company	03/07/2014	07/01/2015	200 00	21,231	22,511	0		(1,280)
OXY Occidental Petroleum Cp	02/26/2013	07/01/2015	300 00	23,307	24,132	0		(825)
OXY Occidental Petroleum Cp	10/24/2013	07/01/2015	200 00	15,538	18,798	0		(3,260)
OXY Occidental Petroleum Cp	01/08/2013	07/01/2015	100 00	7,769	7,622	0		147
OXY Occidental Petroleum Cp	01/14/2013	07/01/2015	200 00	15,538	15,857	0		(319)
PHM Pultegroup	06/25/2014	07/01/2015	1,500 00	30,705	29,430	0		1,275
PBE Dynamic Biotech & Genome F	02/28/2014	07/01/2015	500 00	29,223	23,204	0		6,019
UTX United Technologies Corp	01/29/2013	07/01/2015	300 00	34,100	26,675	0		7,425
UTX United Technologies Corp	02/03/2014	07/01/2015	200 00	22,734	22,614	0		120
WFC Wells Fargo & Co	01/11/2013	07/01/2015	500 00	28,727	17,279	0		11,448

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November 11, 2016

Realized Gains/Losses Fiscal year ending 02/29/2016

HERMAN GOLDMAN FOUNDATION (UBS)

Security	Buy Date	Sell Date	Shares Sold	Proceeds	Cost Basis	Adjustment	Short-term	Long-term
WFC Wells Fargo & Co	01/24/2013	07/01/2015	500 00	28,727	17,398	0		11,329
WFC Wells Fargo & Co	02/27/2013	07/01/2015	500 00	28,727	17,793	0		10,934
WFC Wells Fargo & Co	04/03/2014	07/01/2015	100 00	5,745	4,972	0		773
ERC Wells Fargo Advantage Multi-	06/25/2014	07/01/2015	3,000 00	38,555	44,730	0		(6,175)
GECAPL 0518 GE Capital 5 25% 05/15/18	01/14/2013	07/01/2015	67,000 00	73,380	76,407	0		(3,027)

		Proceeds	Cost Basis	Adjustment	Gain/(Loss)
Short-term:	Gains	1,176,119	1,085,926	0	90,193
	Losses	840,961	883,530	0	(42,569)
	Net	2,017,080	1,969,456	0	47,624
Long-term:	Gains	654,708	508,773	0	145,935
	Losses	589,798	641,847	0	(52,049)
	Net	1,244,506	1,150,620	0	93,886
Totals		3,261,586	3,120,076	0	141,510

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Herman Goldman Foundation
Analysis of Information Entered on Form 990-PF for F/Y/E 2/29/16

Line No.	Description	Column (a)	Column (b)	Column (d)
		Accrual Basis	Cash Basis	
		%	%	
3	Miscellaneous Income	5,017	100%	5,017
4	Dividends & Interest	415,291	100%	415,291
6	Realized Gain/Loss	333,138	100%	333,138
11	Federal Excise Tax Adj (Shown as Other Income)	40,014		
11	Unrealized Gain/Loss (See Below)	(2,421,847)	N/A	
12	Total	(1,628,387)	N/A	753,446
13	Compensation of Officers & Directors	168,000	33.33%	56,000
14	Other Employee Salaries	186,294	15.00%	27,944
15	Pensions	16,900	15.00%	2,535
16b	Legal Fees & Disbursements	-	50.00%	-
16b	Accounting & Tax Preparation	31,750	50.00%	15,875
16b	Review Service	8,000	50.00%	4,000
16b	Pension Plan Administration	3,355	50.00%	1,678
16c	Investment Fees	157,390	100.00%	157,390
15	Payroll Taxes	14,589	15.00%	2,188
19	Depreciation & Amortization	4,179		
20	Occupancy	40,670	15.00%	6,101
21	Travel, Conferences & Meetings	22,633	33.33%	7,544
23	Telephone & Answering Service	1,475	50.00%	737
23	Equipment, Supplies & Leasing	12,627	50.00%	6,314
23	Miscellaneous Expenses	2,902	50.00%	1,451
23	Insurance Premiums	19,958	50.00%	9,979
X	Rounding			1
24	Total Operating & Administrative Expenses	690,722	299,736	364,982
25	Contributions Authorized/Paid	886,500		858,000
26	Total Expenses & Disbursements	1,577,222		1,222,982
27a	Excess of Revenue over Expenses	(3,205,609)		
	Add Back Unrealized Loss (Shown on Schedule III)	2,421,847		
27a	Excess of Revenue over Expenses	(783,762)		
27b	Net Investment Income		453,710	
	Tax @ 1%		4,537	
	Carryover Credit from FYE 2/28/15		16,319	
	Estimate Paid		-	
	Extension Payment		-	
	Total Credits & Payments		16,319	
	Overpayment Credit to 2/28/17		11,782	

**HERMAN GOLDMAN FOUNDATION
PROGRAM GRANT COMMITMENTS AND PAYMENTS
AS OF FEBRUARY 28, 2015**

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 4/16/14			
Alzheimer's Association, NYC Chapter	30,000	30,000	
American Friends of Bar-Ilan University	5,000	5,000	
American Museum of Natural History	10,000	10,000	
Animal Rescue Fund of the Hamptons	10,000	10,000	
Chamber Orchestra of New York	3,000	3,000	
Dickinson College -- Herman M. and Mary Brauner Memorial Scholarship Fund	12,500	12,500	
Hobart and William Smith Colleges	20,000	20,000	
The Museum of Modern Art	12,500	12,500	
New York City Center	7,500	7,500	
New York Philharmonic	14,000	14,000	
New York Shakespeare Festival	20,000	20,000	
Pollock-Krasner House and Study Center	1,000	1,000	
Symphony Space	7,000	7,000	
Temple Sharey Tefilo-Israel	4,000	4,000	
University Settlement Society of New York	5,000	5,000	
Vassar College	10,000	10,000	
Vivian Beaumont Theater/Lincoln Center Theater	5,000	5,000	
World Federalist Movement-Institute for Global Policy	10,000	10,000	
Awards of 5/21/14			
Blamadon Center for the Arts	5,000	5,000	
Brooklyn Historical Society (general support)	20,000	20,000	
Brooklyn Historical Society (campaign initiatives)	15,000	15,000	
Eaglebrook School	2,500	2,500	
Friends of Chabad Vocational Schools, Inc	5,000	5,000	
GiGi's Playhouse	3,000	3,000	
Little Sisters of the Assumption Family Health Service	5,000	5,000	
The New York Botanical Garden	10,000	10,000	
Touro College Law Center	5,000	5,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Award of 6/18/14			
Harvard Law School	5,000	5,000	
The Hotchkiss School	5,000	5,000	
New York Shakespeare Festival	13,000	13,000	
Awards of 7/16/14			
Alvin Ailey American Dance Theater	6,500	6,500	
Barrington Stage Company	2,500	2,500	
Bridges to Community	10,000	10,000	
Brooklyn Youth Chorus Academy	2,500	2,500	
Bucknell University	20,000	20,000	
Chatham County Literacy Council	5,000	5,000	
Columbia Law School	10,000	10,000	
Lincoln Center Business Council	10,000	10,000	
Minds Matter of NYC, Inc.	5,000	5,000	
New York Public Radio WQXR	5,000	5,000	
Rebuilding Together Long Island	7,500	7,500	
University of Maryland College Park Foundation	6,000	6,000	
Westchester Children's Association	10,000	10,000	
Women In Need, Inc	5,000	5,000	
World Ocean School	10,000	10,000	
Awards of 8/20/14			
Brooklyn Center for the Performing Arts at Brooklyn College	5,000	5,000	
Gurwin Jewish Healthcare Foundation	5,000	5,000	
New York Shakespeare Festival	8,000	8,000	
Pelham Children's Center	5,000	5,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 9/17/14			
Brooklyn Botanic Garden	2,500	2,500	
New York Shakespeare Festival	1,000	1,000	
Trichotillomania Learning Center	15,000	15,000	
Awards of 10/15/14			
Child Abuse Prevention Services	7,000	7,000	
The John Hart Hunter Educational Foundation, Inc.	35,000	35,000	
Options for Community Living, Inc.	5,000	5,000	
Awards of 11/19/14			
Artists Space	5,000	5,000	
The Bridge, Inc.	22,500	22,500	
Crohn's & Colitis Foundation of America/Greater New York Chapter	10,000	10,000	
DOROT	10,000	10,000	
Fine Arts Work Center in Provincetown	5,000	5,000	
Four Nations	2,000	2,000	
Heights and Hills	2,500	2,500	
International Fibrodysplasia Ossificans			
Progressiva Association	5,000	5,000	
JBI International	5,000	5,000	
Jewish Home Lifecare	25,000	25,000	
The Metropolitan Museum of Art	10,000	10,000	
My Future-Money Management Workshops, Inc.	5,000	5,000	
M'Yad L'Yad - Long Island's Helping Hands	5,000	5,000	
National Jewish Health	5,000	5,000	
Primary Stages	3,000	3,000	
The Rockefeller University	2,500	2,500	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 11/19/14			
Signature Theatre Company	8,500	8,500	
Theatre Development Fund	1,500	1,500	
United Way of Chatham County	6,000	6,000	
Awards of 12/17/14			
Aplastic Anemia & MDS International Foundation	7,500		7,500
Chabad Lubavitch of Riverdale	5,000	5,000	
Jewish Federation of Durham-Chapel Hill	5,000		5,000
John Taylor Babbitt Foundation	5,000		5,000
Legal Services NYC-Bronx	5,000		5,000
Playmakers Repertory Company	7,500		7,500
Williams College	7,500	7,500	
WNET	5,000		5,000
Awards of 1/21/15			
American Academy in Rome	4,000		4,000
National Coalition Against Censorship	5,000		5,000
Roundabout Theatre Company	8,000		8,000
Awards of 2/18/15			
Association of Community Employment Programs for the Homeless	2,000		2,000
Bates College	10,000		10,000
Broadway Cares/Equity Fights Aids	25,000		25,000
Brooklyn Community Foundation/Hope Reichbach Memorial Fund	3,500		3,500
The Bryant Library/The Friends of Bryant Library	2,000		2,000
Central Park Conservancy	1,750		1,750
Doctors Without Borders, USA	4,000		4,000

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 2/18/15			
The Early Alzheimer's Foundation-The Memory Tree	2,000		2,000
Friedreich's Ataxia Research Alliance	7,500		7,500
Georgetown Day School	3,000		3,000
The Greater New York Affiliate of Susan G. Komen for the Cure	3,000		3,000
Heather on Earth Music Foundation	5,000		5,000
The IDEAL School & Academy	6,000		6,000
Literacy for Incarcerated Teens	6,000		6,000
Mount Sinai Beth Israel Medical Center	10,000		10,000
Mount Sinai School of Medicine - Palliative Care Program	5,000		5,000
The Nature Conservancy on Long Island	1,750		1,750
New Rochelle Fund for Educational Excellence	2,500		2,500
New Rochelle Humane Society	10,000		10,000
New Rochelle YMCA	10,000		10,000
The New York Foundling	4,000		4,000
New York Shakespeare Festival/The Public	8,000		8,000
New York University School of Law	5,000		5,000
The Parrish Art Museum	2,500		2,500
St. Bernard Project	7,500		7,500
St. Francis de Sales School for the Deaf	10,000		10,000
San Francisco Lesbian Gay Bisexual Transgender Community Center	4,500		4,500
Sidwell Friends School	3,000		3,000
Special Olympics New York	5,000		5,000
Tick-Borne Disease Alliance	1,500		1,500
Union College	5,000		5,000
University Settlement Society of New York	4,000		4,000
TOTALS	866,500	634,500	232,000
Unpaid Grants from Prior Fiscal Year			-
Unpaid Grants as of February 28, 2015			<u>232,000</u>

**HERMAN GOLDMAN FOUNDATION
PROGRAM GRANT COMMITMENTS AND PAYMENTS
AS OF FEBRUARY 29, 2016**

NOTE: There were no grants authorized in September.

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 3/18/15			
Community Mainstream Associates	5,000	5,000	
Read to Grow	2,500	2,500	
Temple Sinai of Roslyn	10,000	10,000	
Awards of 4/15/15			
American Friends of Bar-Ilan University	5,000	5,000	
American Museum of Natural History	10,000	10,000	
Be Loud! Sophie Foundation	5,000	5,000	
Brooklyn Historical Society (general support)	20,000	20,000	
Brooklyn Historical Society (Campaign initiatives)	15,000	15,000	
Brooklyn Youth Chorus Academy	2,500	2,500	
Chamber Orchestra of New York	3,000	3,000	
Dickinson College - The Herman M. and Mary Brauner Memorial Scholarship Fund	12,500	12,500	
Gingold Theatrical Group	5,000	5,000	
The Horse Shelter	5,000	5,000	
The Horticultural Society of New York	4,000	4,000	
The Museum of Modern Art	12,000	12,000	
The New York Botanical Garden	10,000	10,000	
New York City Center	7,500	7,500	
New York Philharmonic	14,000	14,000	
New York Shakespeare Festival	21,000	21,000	
Pelham Children's Center	5,000	5,000	
Pollock-Krasner House and Study Center	1,000	1,000	
Symphony Space	3,500	3,500	
Temple Sharey Tefilo-Israel	3,000	3,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Touro Law Center	5,000	5,000	
Venture House, Inc.	5,000	5,000	
Vivian Beaumont Theater/Lincoln Center Theater	5,000	5,000	
World Ocean School	10,000	10,000	
Awards of 5/20/15			
Academy for Jewish Religion	2,000	2,000	
Alzheimer's Association, New York City Chapter	30,000	30,000	
Blamadon Center for the Arts	5,000	5,000	
Eaglebrook School	2,500	2,500	
Harvard Law School	5,000	5,000	
Hobart and William Smith Colleges	20,000	20,000	
The Hotchkiss School	5,000	5,000	
New York Shakespeare Festival	13,000	13,000	
Rebuilding Together Long Island	10,000	10,000	
Awards of 7/15/15			
Alvin Ailey American Dance Theater	6,500	6,500	
Bucknell University	10,000	10,000	
Chatham County Literacy Council	5,000	5,000	
Columbia Law School	10,000	10,000	
Federation of Mental Health Centers	5,000	5,000	
Jazz Foundation of North Carolina, Inc.	10,000	10,000	
Lincoln Center Business Council	10,000	10,000	
The Metropolitan Museum of Art	15,000	15,000	
National Council of Jewish Women	10,000	10,000	
Westchester Children's Association	10,000	10,000	
Wildlife Conservation Society (Bronx Zoo)	2,000	2,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 8/19/15			
Brooklyn Book Festival	2,500	2,500	
My Sisters' Place	10,000	10,000	
New York Shakespeare Festival	10,000	10,000	
Trichotillomania Learning Center	20,000	20,000	
Awards of 10/21/15			
The Bridge	22,500	22,500	
The Bryant Library	1,000	1,000	
Cancer Research & Treatment Fund	5,000	5,000	
Child Abuse Prevention Services	7,000	7,000	
Cradle of Aviation Museum	2,000	2,000	
Fine Arts Work Center in Provincetown	5,000	5,000	
The John Hart Hunter Educational Foundation, Inc	35,000	35,000	
University of Maryland College Park Foundation	6,000	6,000	
Awards of 11/18/15			
Barrington Stage Company	2,500	2,500	
Broadway Cares/Equity Fights Aids, Inc.	1,500	1,500	
Brooklyn Botanic Garden	2,500	2,500	
Chabad Lubavitch of Riverdale	5,000	5,000	
DOROT	10,000	10,000	
Gunwin Jewish Healthcare Foundation	5,000	5,000	
Jewish Home Lifecare	25,000	25,000	
Legal Services NYC-Bronx	15,000	15,000	
National Jewish Health	10,000	10,000	
Planned Parenthood of New York City	5,000	5,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
The Rockefeller University	2,500	2,500	
Signature Theatre Company	10,000	10,000	
United Way of Chatham County	6,000	6,000	
Awards of 12/16/15			
Aplastic Anemia & MDS International Foundation, Inc.	7,500		7,500
JBH International	5,000		5,000
The Lend A Hand Project (formerly known as M'Yad L'Yad)	5,000		5,000
The Museum of Modern Art	2,000		2,000
Playmakers Repertory Company	7,500		7,500
Awards of 1/20/16			
John Taylor Babbitt Foundation	5,000		5,000
Bleuler Psychotherapy Center	10,000		10,000
Crohn's & Colitis Foundation of America/Greater New York Chapter	10,000		10,000
Fairfield University	2,500		2,500
Frost Valley YMCA	2,500		2,500
The IDEAL School & Academy	15,000		15,000
Mount Sinai Beth Israel Medical Center	10,000		10,000
National Coalition Against Censorship	5,000		5,000
Primary Stages	3,000		3,000
Raynaud Association	2,000		2,000
Roundabout Theatre Company, Inc.	8,000		8,000
Williams College	7,500	7,500	
Awards of 2/17/16			
Animal Rescue Fund of the Hamptons, Inc.	10,000		10,000
Artists Space	5,000		5,000
Bates College	10,000		10,000
BloomAgainBklyn	1,500		1,500

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Broadway Cares/Equity Fights Aids, Inc	25,000		25,000
Central Park Conservancy	1,750		1,750
Doctors Without Borders USA, Inc.	5,000		5,000
The Early Alzheimer's Foundation, Inc. -			
The Memory Tree	2,000		2,000
FJC/Hope Reichbach Fund	3,500		3,500
Friedreich's Ataxia Research Alliance	6,500		6,500
Furniture Sharehouse	7,000		7,000
Georgetown Day School	3,000		3,000
Gliding Stars	10,000		10,000
The Greater New York Affiliate of			
Susan G. Komen for the Cure	3,000		3,000
Heather on Earth Music Foundation	5,000		5,000
Heights and Hills	2,500		2,500
The Jewish Historical Society of North Jersey	5,000		5,000
Mount Sinai School of Medicine - Palliative Care Program	5,000		5,000
The Nature Conservancy on Long Island	1,750		1,750
New Rochelle Humane Society	10,000		10,000
Options for Community Living, Inc.	2,500		2,500
The Parrish Art Museum	2,500		2,500
Pelham Civic Association	6,000		6,000
St. Francis de Sales School for the Deaf	10,000		10,000
Sidwell Friends School	3,000		3,000
Special Olympics New York, Inc	5,000		5,000
Union College	4,000		4,000
University Settlement Society of New York	5,000		5,000
TOTALS	886,500	626,000	260,500
Unpaid Grants from Prior Fiscal Year			-
Unpaid Grants as of February 29, 2016			260,500

**HERMAN GOLDMAN FOUNDATION
PROGRAM GRANT COMMITMENTS AND PAYMENTS
AS OF FEBRUARY 29, 2016**

NOTE: There were no grants authorized in September.

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 3/18/15			
Community Mainstream Associates	5,000	5,000	
Read to Grow	2,500	2,500	
Temple Sinai of Roslyn	10,000	10,000	
Awards of 4/15/15			
American Friends of Bar-Ilan University	5,000	5,000	
American Museum of Natural History	10,000	10,000	
Be Loud! Sophie Foundation	5,000	5,000	
Brooklyn Historical Society (general support)	20,000	20,000	
Brooklyn Historical Society (Campaign initiatives)	15,000	15,000	
Brooklyn Youth Chorus Academy	2,500	2,500	
Chamber Orchestra of New York	3,000	3,000	
Dickinson College - The Herman M. and Mary Brauner Memorial Scholarship Fund	12,500	12,500	
Gingold Theatrical Group	5,000	5,000	
The Horse Shelter	5,000	5,000	
The Horticultural Society of New York	4,000	4,000	
The Museum of Modern Art	12,000	12,000	
The New York Botanical Garden	10,000	10,000	
New York City Center	7,500	7,500	
New York Philharmonic	14,000	14,000	
New York Shakespeare Festival	21,000	21,000	
Pelham Children's Center	5,000	5,000	
Pollock-Krasner House and Study Center	1,000	1,000	
Symphony Space	3,500	3,500	
Temple Sharey Tefilo-Israel	3,000	3,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Touro Law Center	5,000	5,000	
Venture House, Inc.	5,000	5,000	
Vivian Beaumont Theater/Lincoln Center Theater	5,000	5,000	
World Ocean School	10,000	10,000	
Awards of 5/20/15			
Academy for Jewish Religion	2,000	2,000	
Alzheimer's Association, New York City Chapter	30,000	30,000	
Blamadon Center for the Arts	5,000	5,000	
Eaglebrook School	2,500	2,500	
Harvard Law School	5,000	5,000	
Hobart and William Smith Colleges	20,000	20,000	
The Hotchkiss School	5,000	5,000	
New York Shakespeare Festival	13,000	13,000	
Rebuilding Together Long Island	10,000	10,000	
Awards of 7/15/15			
Alvin Ailey American Dance Theater	6,500	6,500	
Bucknell University	10,000	10,000	
Chatham County Literacy Council	5,000	5,000	
Columbia Law School	10,000	10,000	
Federation of Mental Health Centers	5,000	5,000	
Jazz Foundation of North Carolina, Inc.	10,000	10,000	
Lincoln Center Business Council	10,000	10,000	
The Metropolitan Museum of Art	15,000	15,000	
National Council of Jewish Women	10,000	10,000	
Westchester Children's Association	10,000	10,000	
Wildlife Conservation Society (Bronx Zoo)	2,000	2,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Awards of 8/19/15			
Brooklyn Book Festival	2,500	2,500	
My Sisters' Place	10,000	10,000	
New York Shakespeare Festival	10,000	10,000	
Trichotillomania Learning Center	20,000	20,000	
Awards of 10/21/15			
The Bridge	22,500	22,500	
The Bryant Library	1,000	1,000	
Cancer Research & Treatment Fund	5,000	5,000	
Child Abuse Prevention Services	7,000	7,000	
Cradle of Aviation Museum	2,000	2,000	
Fine Arts Work Center in Provincetown	5,000	5,000	
The John Hart Hunter Educational Foundation, Inc.	35,000	35,000	
University of Maryland College Park Foundation	6,000	6,000	
Awards of 11/18/15			
Barrington Stage Company	2,500	2,500	
Broadway Cares/Equity Fights Aids, Inc.	1,500	1,500	
Brooklyn Botanic Garden	2,500	2,500	
Chabad Lubavitch of Riverdale	5,000	5,000	
DOROT	10,000	10,000	
Gurwin Jewish Healthcare Foundation	5,000	5,000	
Jewish Home Lifecare	25,000	25,000	
Legal Services NYC-Bronx	15,000	15,000	
National Jewish Health	10,000	10,000	
Planned Parenthood of New York City	5,000	5,000	

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
The Rockefeller University	2,500	2,500	
Signature Theatre Company	10,000	10,000	
United Way of Chatham County	6,000	6,000	
Awards of 12/16/15			
Aplastic Anemia & MDS International Foundation, Inc.	7,500		7,500
JBH International	5,000		5,000
The Lend A Hand Project (formerly known as M'Yad L'Yad)	5,000		5,000
The Museum of Modern Art	2,000		2,000
Playmakers Repertory Company	7,500		7,500
Awards of 1/20/16			
John Taylor Babbitt Foundation	5,000		5,000
Bleuler Psychotherapy Center	10,000		10,000
Crohn's & Colitis Foundation of America/Greater New York Chapter	10,000		10,000
Fairfield University	2,500		2,500
Frost Valley YMCA	2,500		2,500
The IDEAL School & Academy	15,000		15,000
Mount Sinai Beth Israel Medical Center	10,000		10,000
National Coalition Against Censorship	5,000		5,000
Primary Stages	3,000		3,000
Raynaud Association	2,000		2,000
Roundabout Theatre Company, Inc.	8,000		8,000
Williams College	7,500	7,500	
Awards of 2/17/16			
Animal Rescue Fund of the Hamptons, Inc.	10,000		10,000
Artists Space	5,000		5,000
Bates College	10,000		10,000
BloomAgainBklyn	1,500		1,500

	<u>Grant Amount</u>	<u>Paid</u>	<u>Unpaid Balance</u>
Broadway Cares/Equity Fights Aids, Inc	25,000		25,000
Central Park Conservancy	1,750		1,750
Doctors Without Borders USA, Inc.	5,000		5,000
The Early Alzheimer's Foundation, Inc. - The Memory Tree	2,000		2,000
FJC/Hope Reichbach Fund	3,500		3,500
Friedreich's Ataxia Research Alliance	6,500		6,500
Furniture Sharehouse	7,000		7,000
Georgetown Day School	3,000		3,000
Gliding Stars	10,000		10,000
The Greater New York Affiliate of Susan G. Komen for the Cure	3,000		3,000
Heather on Earth Music Foundation	5,000		5,000
Heights and Hills	2,500		2,500
The Jewish Historical Society of North Jersey	5,000		5,000
Mount Sinai School of Medicine - Palliative Care Program	5,000		5,000
The Nature Conservancy on Long Island	1,750		1,750
New Rochelle Humane Society	10,000		10,000
Options for Community Living, Inc.	2,500		2,500
The Parrish Art Museum	2,500		2,500
Pelham Civic Association	6,000		6,000
St. Francis de Sales School for the Deaf	10,000		10,000
Sidwell Friends School	3,000		3,000
Special Olympics New York, Inc.	5,000		5,000
Union College	4,000		4,000
University Settlement Society of New York	5,000		5,000
TOTALS	886,500	626,000	260,500
Unpaid Grants from Prior Fiscal Year			-
Unpaid Grants as of February 29, 2016			260,500