Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.

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

OMB No 1545-0052

2015

Open to Public Inspection

For calendar year 2015 or tax year beginning SEP 1, 2015 , and ending AUG 31, 2016

Name of foundation
THE STOLZER FAMILY FOUNDATION, INC.
P SIANA C/O PORZIO, BROMBERG & NEWMAN

A Employer identification number
31-1479510

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
PO BOX 1997, 100 SOUTHGATE PKWY

B Telephone number
973-538-4006

City or town, state or province, country, and ZIP or foreign postal code
MORRISTOWN, NJ 07962-1997

C If exemption application is pending, check here ▶☐

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

D 1 Foreign organizations, check here ▶☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 2,446,055.

J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis)*

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

		(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				
4	Dividends and interest from securities	99,574.	99,574.		STATEMENT 2
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	<107,683.>			STATEMENT 1
b	Gross sales price for all assets on line 6a 1,589,036.				
7	Capital gain net income (from Part IV, line 2)		0.		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less Cost of goods sold				
c	Gross profit or (loss)				
11	Other income				
12	**Total** Add lines 1 through 11	<8,109.>	99,574.		
Operating and Administrative Expenses					
13	Compensation of officers, directors, trustees, etc	0.	0.		0.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees				
b	Accounting fees				
c	Other professional fees				
17	Interest				
18	Taxes STMT 3	4,669.	17.		0.
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses STMT 4	14,951.	14,938.		13.
24	**Total operating and administrative expenses** Add lines 13 through 23	19,620.	14,955.		13.
25	Contributions, gifts, grants paid	86,500.			86,500.
26	**Total expenses and disbursements** Add lines 24 and 25	106,120.	14,955.		86,513.
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	<114,229.>			
b	**Net investment income** (if negative, enter -0-)		84,619.		
c	**Adjusted net income** (if negative, enter -0-)			N/A	

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Form **990-PF** (2015)

THE STOLZER FAMILY FOUNDATION, INC.

P SIANA C/O PORZIO, BROMBERG & NEWMAN 31-1479510

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		1.	1.
	2	Savings and temporary cash investments	118,209.	139,268.	139,268.
	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	330.	610.	610.
	10a	Investments - U S. and state government obligations			
	b	Investments - corporate stock STMT 5	1,107,487.	817,882.	962,069.
	c	Investments - corporate bonds			
	11	Investments - land, buildings, and equipment basis ▶			
		Less accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 6	1,186,444.	1,341,847.	1,344,107.
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	2,412,470.	2,299,608.	2,446,055.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31			
	27	Capital stock, trust principal, or current funds	2,320,823.	2,412,470.	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds	91,647.	<112,862.>	
	30	**Total net assets or fund balances**	2,412,470.	2,299,608.	
	31	**Total liabilities and net assets/fund balances**	2,412,470.	2,299,608.	

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	2,412,470.
2	Enter amount from Part I, line 27a	2	<114,229.>
3	Other increases not included in line 2 (itemize) ▶ AMORTIZATION BASIS ADJUSTMENT	3	1,367.
4	Add lines 1, 2, and 3	4	2,299,608.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	2,299,608.

THE STOLZER FAMILY FOUNDATION, INC.
Form 990-PF (2015) P SIANA C/O PORZIO, BROMBERG & NEWMAN 31-1479510

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	SEE ATTACHED	P		
b	SEE ATTACHED	P		
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	874,864.		933,430.	<58,566.>
b	714,172.		761,588.	<47,416.>
c				
d				
e				

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

	(i) F.M V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col (k), but not less than -0-) or Losses (from col. (h))
a				<58,566.>
b				<47,416.>
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 <105,982.>

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	111,358.	2,527,185.	.044064
2013	113,523.	2,357,742.	.048149
2012	79,663.	2,024,761.	.039344
2011	76,785.	1,797,876.	.042709
2010	63,164.	1,676,844.	.037668

2	**Total** of line 1, column (d)	2	.211934
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	.042387
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	2,309,693.
5	Multiply line 4 by line 3	5	97,901.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	846.
7	Add lines 5 and 6	7	98,747.
8	Enter qualifying distributions from Part XII, line 4	8	86,513.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter. ________ (attach copy of letter if necessary-see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	1,692.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	0.
3	Add lines 1 and 2			3	1,692.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	0.
5	**Tax based on investment income** Subtract line 4 from line 3 If zero or less, enter -0-			5	1,692.
6	Credits/Payments.				
a	2015 estimated tax payments and 2014 overpayment credited to 2015	6a	3,650.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments. Add lines 6a through 6d			7	3,650.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	
9	**Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	1,958.
11	Enter the amount of line 10 to be **Credited to 2016 estimated tax** ▶		1,958. **Refunded** ▶	11	0.

Part VII-A Statements Regarding Activities

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

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

		Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ PORZIO, BROMBERG & NEWMAN, P.C. Telephone no. ▶973-538-4006

Located at ▶100 SOUTHGATE PKWAY., PO BOX 1997, MORRISTOWN, NJ ZIP+4 ▶07962-1997

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

		Yes	No
16 At any time during calendar year 2015, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶			

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

		Yes	No
File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
1a During the year did the foundation (either directly or indirectly)			
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
(6) Agree to pay money or property to a government official? (**Exception** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A	1b		
Organizations relying on a current notice regarding disaster assistance check here ▶☐			
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2015?	1c		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ Yes ☒ No			
If "Yes," list the years ▶ ____, ____, ____, ____			
b Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A	2b		
c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____			
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b If "Yes," did it have excess business holdings in 2015 as a result of (**1**) any purchase by the foundation or disqualified persons after May 26, 1969, (**2**) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (**3**) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015.)* N/A	3b		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?	4b		X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? N/A **5b**

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

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

If "Yes," attach the statement required by Regulations section 53 4945-5(d)

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: 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
IRA G. STOLZER 13929 CANTERBURY CIRCLE LEAWOOD, KS 66224	PRESIDENT/TRUSTEE 0.00	0.	0.	0.
LESLIE J. LOGEL 53 EASTWOOD BLVD. MANALAPAN, NJ 07726	VICE PRESIDENT/TRUSTEE 0.00	0.	0.	0.
RONNIE H. FORREST 4335 E. DYNAMITE BLVD. CAVE CREEK, AZ 85331	SECTY/TREASURER/TRUSTEE 0.00	0.	0.	0.

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
N/A	0.00	0.	0.	0.

Total number of other employees paid over $50,000 ▶ 0

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
N/A		0.

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	0.
2 N/A	0.
3 N/A	0.
4 N/A	0.

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	0.
2 N/A	0.
All other program-related investments See instructions. 3 N/A	0.
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes:		
a	Average monthly fair market value of securities	1a	2,192,718.
b	Average of monthly cash balances	1b	152,148.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	2,344,866.
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	2,344,866.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	35,173.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,309,693.
6	**Minimum investment return** Enter 5% of line 5	6	115,485.

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	115,485.
2a	Tax on investment income for 2015 from Part VI, line 5 2a 1,692.		
b	Income tax for 2015 (This does not include the tax from Part VI) 2b		
c	Add lines 2a and 2b	2c	1,692.
3	Distributable amount before adjustments Subtract line 2c from line 1	3	113,793.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	113,793.
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	113,793.

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	86,513.
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	86,513.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions** Subtract line 5 from line 4	6	86,513.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2014	(c) 2014	(d) 2015
1 Distributable amount for 2015 from Part XI, line 7				113,793.
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only			84,230.	
b Total for prior years ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2015:				
a From 2010				
b From 2011				
c From 2012				
d From 2013				
e From 2014				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ $ 86,513.				
a Applied to 2014, but not more than line 2a			84,230.	
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				2,283.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2015 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount - see instr.			0.	
f Undistributed income for 2015 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2016				111,510.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2010 not applied on line 5 or line 7	0.			
9 **Excess distributions carryover to 2016** Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2011				
b Excess from 2012				
c Excess from 2013				
d Excess from 2014				
e Excess from 2015				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2015, enter the date of the ruling ▶

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			
	(a) 2015	(b) 2014	(c) 2013	(d) 2012	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon. a "Assets" alternative test - enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV **Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year-see instructions.)**

1 **Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than $5,000) (See section 507(d)(2))

IRA G. STOLZER

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

N/A

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

NONE

c Any submission deadlines

NONE

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

NONE

Part XV **Supplementary Information** (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE ATTACHED SCHEDULE	NONE	PC	GENERAL SUPPORT	86,500.
Total			▶ 3a	86,500.
b *Approved for future payment* NONE				
Total			▶ 3b	0.

Form **990-PF** (2015)

The Stolzer Family Foundation, Inc.
Charitable Distributions
FYE 8/31/16

Spectrum for Living	10,000.00
Spectrum for Living-Endowment	5,000.00
PrimeLife Enrichment, Inc.	1,000.00
Eastern Division American Cancer Society	3,000.00
Operation Smile	5,000.00
Univ of Kansas Hospital - Ctr for Advanced Hear	2,500.00
Akindale Thoroughbred Rescue	2,500.00
Jewish Federation of South Palm Beach County	5,000.00
St Jude Childrens Research Hospital	2,500.00
Metropolitan Museum of Art	1,000.00
Penn State - Wettstone Initiative	8,000.00
Jewish Fed of Greater Kansas City	14,000.00
Temple Congregation B'nai Jehudah	9,000.00
PKD Foundation	2,500.00
Jewish Community of Greater Kansas City	2,500.00
Animal Rescue Corps	1,500.00
Stepping Stone Museum for Children	1,500.00
Living Water International	1,500 00
Susan G. Komen Foundation	500.00
Prostate Cancer Foundation	500.00
ASPCA	500.00
Animal Rescue League of Boston	750 00
Shriner's Hospital for Children	750.00
Johns Hopkins Univ Fund	2,500.00
Children's Hospital of Philadelphia	1,500 00
The Smile Train	750.00
TARA 4 BPD	750 00
Total Charitable Distributions	$86,500.00

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	99,574.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	<107,683.>	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		0.		<8,109.>	0.

13 Total Add line 12, columns (b), (d), and (e) 13 <8,109.>

(See worksheet in line 13 instructions to verify calculations.)

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

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

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions.			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

1/12/17 PRESIDENT

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name: PHILIP J. SIANA
Preparer's signature: PHILIP J. SIANA
Date: 1/10/17
Check ☐ if self-employed
PTIN: P01380624
Firm's name ▶ PORZIO, BROMBERG & NEWMAN, P.C.
Firm's EIN ▶ 22-2005150
Firm's address ▶ 100 SOUTHGATE PKWAY, PO BOX 1997
MORRISTOWN, NJ 07962-1997
Phone no 973-538-4006

Form **990-PF** (2015)

523622
11-24-15

FORM 990-PF GAIN OR (LOSS) FROM SALE OF ASSETS STATEMENT 1

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
SEE ATTACHED	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
874,864.	933,430.	0.	0.	<58,566.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
SEE ATTACHED	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
714,172.	763,289.	0.	0.	<49,117.>

CAPITAL GAINS DIVIDENDS FROM PART IV	0.
TOTAL TO FORM 990-PF, PART I, LINE 6A	<107,683.>

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
SCHWAB ACCRUED INTEREST PAID	<4,330.>	0.	<4,330.>	<4,330.>	
SCHWAB- DIVIDENDS	43,484.	0.	43,484.	43,484.	
SCHWAB- INTEREST	60,420.	0.	60,420.	60,420.	
TO PART I, LINE 4	99,574.	0.	99,574.	99,574.	

FORM 990-PF TAXES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
UNITED STATES TREASURY-REFUND	4,652.	0.		0.
FOREIGN TAX W/H	17.	17.		0.
TO FORM 990-PF, PG 1, LN 18	4,669.	17.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BROKER FEES, BANK S/C	113.	113.		0.
INVESTMENT MANAGEMENT FEES	14,813.	14,813.		0.
NJ ANNUAL REPORT	25.	12.		13.
TO FORM 990-PF, PG 1, LN 23	14,951.	14,938.		13.

FORM 990-PF CORPORATE STOCK STATEMENT 5

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	817,882.	962,069.
TOTAL TO FORM 990-PF, PART II, LINE 10B	817,882.	962,069.

FORM 990-PF OTHER INVESTMENTS STATEMENT 6

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	COST	908,408.	901,499.
SEE ATTACHED SCHEDULE	COST	437,086.	447,979.
SEE ATTACHED SCHEDULE	COST	<3,647.>	<5,371.>
TOTAL TO FORM 990-PF, PART II, LINE 13		1,341,847.	1,344,107.

charles SCHWAB

4378-6750 THE STOLZER FAMILY FOUNDATION
Charity Nonprof 13929 CANTERBURY CIRCLE
LEAWOOD KS

Total Known Realized Gain/(Loss) $/% **($115,929.46)/(6.78%)**	Total Known Short-Term Gain/(Loss) **($58,566.22)**	Total Known Long-Term Gain/(Loss) **($57,363.24)**
Total Known Proceeds **$1,589,035.97**	Total Known Cost Basis **$1,704,965.43**	

Cost Basis - Realized Gain/(Loss) - Filtered by: From 09/01/2015 Through 08/31/2016 **Results: 139**

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1] BOOK
✓	000416L54	A B C CA USD 0%32SCH IMPT DUE 08/01/32NATIONAL PUBLIC FINA	09/23/2015	03/12/2014	10,000 00000	$5,071 30	$4,156 79		$914 51	$914 51	22.00%	1,223.90 ✓
✓ ⊟	001546AR1	AK STEEL CORPORA 8 75XXX**CALLED** @104 375 EFF 07/20/2016	07/20/2016	Hide Lots	40,000.00000	$41,750 00	$41,768 53		($18 53)	($18 53)	(0 04%)	(1,038.00) ✓
			07/20/2016	11/19/2014	8,000 00000	$8,350 00	$8,385 28		($35 28)	($35 28)	(0 42%)	(272.00) ✓
			07/20/2016	12/04/2014	16,000 00000	$16,700 00	$16,723 39		($23 39)	($23 39)	(0 14%)	(456.00) ✓
			07/20/2016	01/20/2015	5,000 00000	$5,218 75	$5,210 41		$8.34	$8 34	0 16%	(207.50) ✓
			07/20/2016	01/28/2015	9,000 00000	$9,393 75	$9,359 39		$34 36	$34.36	0 37%	(159.75) ✓
			07/20/2016	05/06/2015	2,000 00000	$2,087.50	$2,090 06		($2 56)	($2 56)	(0 12%)	(42.77) ✓
✓	07325NAD4	BAYVIEW FINL S 1.1085%44REMIC DUE 08/28/44-04D-	03/14/2016	07/06/2012	15,000 00000	$13,391 62	$12,056 29		$1,335.33	$1,335 33	11.08%	✓
✓	12669FRF2	CWMBS INC 5 25%34REMIC DUE 05/25/34-044-	12/29/2015	02/15/2013	1,000.00000	$1,000 00	$1,003 50		($3 50)	($3 50)	(0 35%)	✓
✓	12669FZK2	CWMBS INC 5 5%34ABS-SPCL DUE 07/25/34-048-	08/26/2016	08/27/2013	1,000 00000	$1,000 00	$1,000 00		$0 00	$0 00	0 00%	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1] BOOK
✓ 12669FZK2	CWMBS INC 5 5%34REMIC DUE 07/25/34-048-	01/29/2016	08/27/2013	1,000 00000	$1,000 00	$1,000 00		$0 00	$0 00	0 00%	✓
✓ 12669FZP1	CWMBS INC 5 75%34REMIC DUE 07/25/34-048-	12/29/2015	05/07/2013	1,000 00000	$1,000 00	$1,009 75		($9 75)	($9 75)	(0 97%)	✓
✓ 12669FZP1	CWMBS INC 5 75%34REMIC DUE 07/25/34-048-	09/29/2015	05/07/2013	1,000 00000	$1,000.00	$1,009 75		($9 75)	($9 75)	(0 97%)	✓
✓ 12669FZP1	CWMBS INC 5 75%34REMIC DUE 07/25/34-048-	12/02/2015	05/07/2013	1,000 00000	$1,000 00	$1,009.75		($9 75)	($9 75)	(0 97%)	✓
✓ 12669FZP1	CWMBS INC 5 75%34REMIC DUE 07/25/34-048-	10/27/2015	05/07/2013	1,000.00000	$1,000.00	$1,009 75		($9 75)	($9 75)	(0 97%)	✓
✓ 18911MAD3	CLOUD PEAK ENERGY 8 5%19 DUE 12/15/19	12/11/2015	12/09/2014	7,000 00000	$3,671.50	$7,254 62		($3,583.12)	($3,583 12)	(49 39%)	(3,636.50) ✓
18911MAD3	CLOUD PEAK ENERGY 8 5%19 DUE 12/15/19	06/30/2016	12/09/2014	6,000 00000	$2,652 66	$6,191 58		($3,538 92)	($3,538 92)	(57.16%	(3,611.34) ✓
✓ 276509BZ8	EASTERN IL UNIV C 5 8%22COPS EDUC DUE 04/01/22XTRO TAXBL	07/12/2016	06/02/2015	15,000 00000	$11,475.49	$14,757 15		($3,281.66)	($3,281 66)	(22 24%)	✓
✓ 369604BN2	GENERAL ELECTRIC VAR 99 DUE 12/31/99	12/07/2015	08/13/2012	921 50000	$816.79	$799 03		$17.76	$17.76	2.22%	✓
✓ ⊟ 384313AD4	GRAFTECH INTERN 6.375%20 DUE 11/15/20	07/05/2016	Hide Lots	26,000 00000	$19,627 83	$26,450.37		($6,822 54)	($6,822 54)	(25 79%)	(6908.42) ✓
		07/05/2016	06/27/2014	21,000 00000	$15,853 25	$21,685 87		($5,832 62)	($5,832.62)	(26 90%)	(5918 50) ✓
		07/05/2016	05/26/2015	5,000 00000	$3,774 58	$4,764 50		($989 92)	($989 92)	(20 78%)	(989 92) ✓
✓ 472430CK1	JEFFERSON CA SD 0%26SCH IMPT DUE 08/01/26OID	04/05/2016	06/21/2013	15,000 00000	$10,851 00	$9,061 80		$1,789 20	$1,789.20	19 74%	3030.45 ✓
✓ 639365AF2	NAVIOS MARITIM 8 125%19F DUE 02/15/19NAVIOS MARITIME HLDG	08/25/2016	07/24/2014	3,000.00000	$1,700.00	$3,072.72		($1,372 72)	($1,372 72)	(44 67%)	(1425.25) ✓
✓ 639365AF2	NAVIOS MARITIM 8 125%19F DUE 02/15/19NAVIOS MARITIME HLDG	08/24/2016	07/24/2014	8,000 00000	$4,550 00	$8,194.10		($3,644 10)	($3,644 10)	(44 47%)	(3784 00) ✓
✓ 74348TAD4	PROSPECT CAPITAL 5 5%16CONV BONDS DUE 08/15/16	08/15/2016	06/14/2012	10,000 00000	$10,000 00	$10,000 00		$0.00	$0 00	0 00%	129 00 ✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
745277QE6	PR MUN FIN AGY 5%18DB UTX DUE 08/01/18CIFG ASSURANCE NORTH	01/11/2016	10/19/2015	5,000 00000	$4,921 25	$5,000 56	($79 31)		($79 31)	(1 59%)	(81.95) ✓
758582CE8	REEVES CNTY TX C 4 25%15COPS CFAC DUE 12/01/15OID XTRO TAXBL	09/01/2015	03/12/2012	5,000.00000	$5,000.00	$4,993.39		$6 61	$6.61	0 13%	167 03 ✓
76111XTQ6	RESIDENTIAL FDG 5 25%35ABS-SPCL DUE 03/25/35-05S2-	06/28/2016	11/02/2012	1,000.00000	$1,000 00	$1,001 00		($1.00)	($1 00)	(0.10%)	✓
76111XTQ6	RESIDENTIAL FDG 5 25%35ABS-SPCL DUE 03/25/35-05S2-	07/26/2016	11/02/2012	1,000.00000	$1,000 00	$1,001 00		($1 00)	($1 00)	(0 10%)	✓
⊟ 897050AB6	TRONOX FINANCE 6 375%20 DUE 08/15/20	06/23/2016	Hide Lots	26,000 00000	$19,237 79	$20,083 22	($845 43)		($845 43)	(4 21%)	(463.76) ✓
		06/23/2016	07/27/2015	12,000 00000	$8,878.98	$9,724 80	($845 82)		($845 82)	(8 70%)	✓
		06/23/2016	07/30/2015	3,000 00000	$2,219 74	$2,439 00	($219.26)		($219 26)	(8 99%)	✓
		06/23/2016	09/24/2015	11,000 00000	$8,139 07	$7,919 42	$219 65		$219 65	2.77%	✓
⊟ ACM	AECOM	02/08/2016	Hide Lots	700 00000	$16,726.97	$19,205 10	($1,568 69)	($909 44)	($2,478 13)	(12.90%)	✓
		02/08/2016	01/21/2015	400 00000	$9,558 27	$10,467 71		($909 44)	($909 44)	(8 69%)	✓
		02/08/2016	03/09/2015	300 00000	$7,168 70	$8,737 39	($1,568 69)		($1,568.69)	(17 95%)	✓
ACM 09/18/2015 32 50 C	CALL AECOM $32 5 EXP 09/18/15	09/18/2015	07/22/2015	(7 00000)	$904 82	$0 00	$904 82		$904.82	100 00%	✓
ACM 12/18/2015 30 00 C	CALL AECOM $30 EXP 12/18/15	12/18/2015	10/05/2015	(7 00000)	$799.86	$0 00	$799 86		$799 86	100 00%	✓
ADM 07/15/2016 44 00 C	CALL ARCHER-DANIELS-MIDL$44 EXP 07/15/16	07/15/2016	06/03/2016	(6 00000)	$663 58	$0 00	$663 58		$663.58	100.00%	✓
ADM 09/18/2015 55 00 C	CALL ARCHER-DANIELS-MIDL$55 EXP 09/18/15	09/18/2015	06/19/2015	(3 00000)	$188 00	$0.00	$188 00		$188 00	100.00%	✓
AKZOF	AKZO NOBEL N V ORD F	04/12/2016	02/10/2015	58 00000	$3,850.58	$4,055 03		($204 45)	($204 45)	(5.04%)	✓
⊟ ANTM	ANTHEM INC	02/03/2016	Hide Lots	153 00000	$19,314 59	$11,319 43	($522 14)	$8,517.30	$7,995 16	70 63%	✓
		02/03/2016	08/10/2011	50 00000	$6,311 96	$2,926 45		$3,385 51	$3,385.51	115 69%	✓
		02/03/2016	03/05/2012	25 00000	$3,155.98	$1,631 72		$1,524 26	$1,524.26	93 41%	✓
		02/03/2016	07/26/2012	36 00000	$4,544 60	$1,917 21		$2,627.39	$2,627 39	137.04%	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		02/03/2016	12/27/2012	15 00000	$1,893 59	$913.45		$980 14	$980 14	107.30%	✓
		02/03/2016	09/25/2015	27 00000	$3,408 46	$3,930 60	($522 14)		($522 14)	(13 28%)	✓
✓ ARW	ARROW ELECTRONICS	03/09/2016	06/10/2014	142 00000	$8,528 35	$8,561 18		($32 83)	($32 83)	(0 38%)	✓
✓ ⊟ AU	ANGLOGOLD ASHANTI FADR 1 ADR REPS 1 ORD SHS	02/23/2016	Hide Lots	100 00000	$1,183.07	$1,499.95		($316 88)	($316 88)	(21 13%)	✓
		02/23/2016	08/06/2013	24 00000	$283 94	$291 67		($7 73)	($7 73)	(2 65%)	✓
		02/23/2016	05/27/2014	76 00000	$899.13	$1,208 28		($309.15)	($309 15)	(25 59%)	✓
✓ ⊟ AVT	AVNET INC	03/09/2016	Hide Lots	73 00000	$3,114 85	$3,099 60		$15 25	$15 25	0 49%	✓
		03/09/2016	04/28/2014	30 00000	$1,280 08	$1,286 17	42.87	($6 09)	($6 09)	(0 47%)	✓
		03/09/2016	09/25/2014	43 00000	$1,834 77	$1,813 43	42.17	$21 34	$21 34	1 18%	✓
✓ AWF	ALLIANCEBERNSTEIN GLBL H	06/24/2016	06/12/2013	1,273 00000	$15,578 60	$18,245 44		($2,666 84)	($2,666.84)	(14 62%)	✓
✓ ⊟ BAC	BANK OF AMERICA CORP	08/30/2016	Hide Lots	700.00000	$11,276 06	$10,685 32		$590.74	$590 74	5.53%	✓
		08/30/2016	04/28/2014	500 00000	$8,054 33	$7,570 77	15.14	$483 56	$483 56	6 39%	✓
		08/30/2016	07/01/2014	200 00000	$3,221.73	$3,114 55	15.51	$107 18	$107.18	3 44%	✓
✓ BK 09/18/2015 45 00 C	CALL BANK OF NY MELLON C$45 EXP 09/18/15	09/18/2015	06/09/2015	(5 00000)	$415 95	$0 00	$415 95		$415 95	100 00%	✓
✓ BMY 07/15/2016 75 00 C	CALL BRISTOL-MYERS SQUIB$75 EXP 07/15/16	07/14/2016	07/14/2016	(4 00000)	$413 90	$669 61	($255 71)		($255 71)	(61 78%)	✓
✓ BMY 08/19/2016 77 50 C	CALL BRISTOL-MYERS SQUIB$77 5 EXP 08/19/16	08/19/2016	07/13/2016	(4 00000)	$580 18	$0 00	$580.18		$580 18	100 00%	✓
✓ BWP 09/18/2015 15 00 C	CALL BOARDWALK PIPELINE $15 EXP 09/18/15	09/18/2015	06/19/2015	(8 00000)	$660.26	$0 00	$660 26		$660 26	100.00%	✓
✓ ⊟ C	CITIGROUP INC	01/14/2016	Hide Lots	448 00000	$20,297.09	$20,940 71		($643 62)	($643 62)	(3.07%)	✓
		01/14/2016	12/27/2012	143 00000	$6,478 76	$5,551 34		$927.42	$927 42	16.71%	✓
		01/14/2016	05/13/2013	19 00000	$860 81	$938.60		($77 79)	($77.79)	(8 29%)	✓
		01/14/2016	08/06/2013	38 00000	$1,721.63	$1,974 23		($252 60)	($252 60)	(12 79%)	✓
		01/14/2016	10/14/2013	20.00000	$906 12	$1,005 95		($99 83)	($99 83)	(9 92%)	✓
		01/14/2016	11/08/2013	180 00000	$8,155 08	$8,992 57		($837 49)	($837 49)	(9 31%)	✓
		01/14/2016	09/09/2014	48 00000	$2,174 69	$2,478 02		($303 33)	($303 33)	(12 24%)	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
CMI	CUMMINS INC	08/19/2016	10/27/2015	17 00000	$2,124 65	$1,744 91	$379 74		$379 74	21 76%	
⊟ CMI	CUMMINS INC	08/17/2016	Hide Lots	200 00000	$25,284 49	$24,154.17	$2,116 45	($986 13)	$1,130.32	4 68%	
		08/17/2016	02/05/2015	74 00000	$9,355 27	$10,123 09		($767 82)	($767 82)	(7 58%)	
		08/17/2016	04/28/2015	12 00000	$1,517 07	$1,634 34		($117 27)	($117 27)	(7.18%)	
		08/17/2016	07/29/2015	25.00000	$3,160 56	$3,261 60		($101 04)	($101 04)	(3 10%)	
		08/17/2016	10/27/2015	89 00000	$11,251 59	$9,135.14	$2,116 45		$2,116 45	23 17%	
⊟ COP	CONOCOPHILLIPS	02/24/2016	Hide Lots	400 00000	$12,863 85	$22,279 17	($1,739 56)	($7,675 76)	($9,415 32)	(42 26%)	
		02/24/2016	05/05/2010	126.00000	$4,052.11	$5,488 96		($1,436 85)	($1,436 85)	(26 18%)	
		02/24/2016	07/02/2010	33 00000	$1,061 28	$1,240 90		($179 62)	($179 62)	(14 47%)	
		02/24/2016	05/23/2012	41 00000	$1,318 54	$2,117 87		($799 33)	($799 33)	(37 74%)	
		02/24/2016	01/14/2014	133 00000	$4,277.23	$9,035 59		($4,758 36)	($4,758 36)	(52 66%)	
		02/24/2016	02/20/2014	15.00000	$482 39	$983 99		($501 60)	($501 60)	(50 98%)	
		02/24/2016	05/18/2015	52 00000	$1,672 30	$3,411 86	($1,739 56)		($1,739 56)	(50 99%)	
⊟ DHI	D R HORTON CO	09/18/2015	Hide Lots	300 00000	$8,472 71	$5,599 12		$2,873 59	$2,873 59	51.32%	
		09/18/2015	08/14/2013	77 00000	$2,174 66	$1,410 09		$764 57	$764.57	54 22%	
		09/18/2015	10/04/2013	123 00000	$3,473 81	$2,288 79		$1,185.02	$1,185 02	51 77%	
		09/18/2015	10/16/2013	24 00000	$677 82	$426 77		$251 05	$251 05	58.83%	
		09/18/2015	12/18/2013	76 00000	$2,146.42	$1,473 47		$672 95	$672 95	45.67%	
DHI 01/15/2016 34 00 C	CALL D R HORTON CO $34 EXP 01/15/16	01/15/2016	12/04/2015	(3 00000)	$217.98	$0.00	$217 98		$217.98	100 00%	
DHI 11/20/2015 32 00 C	CALL D R HORTON CO $32 EXP 11/20/15	11/23/2015	11/23/2015	(3 00000)	$373 97	$90 54	$283 43		$283 43	75 79%	
⊟ DRWI	DRAGONWAVE INC F	11/19/2015	Hide Lots	2,740 00000	$278.37	$8,214.43		($7,936 06)	($7,936 06)	(96 61%)	
		11/19/2015	08/09/2011	323 00000	$32 82	$1,260 99		($1,228 17)	($1,228 17)	(97 40%)	
		11/19/2015	08/10/2011	397 00000	$40 33	$1,450.50		($1,410 17)	($1,410 17)	(97 22%)	
		11/19/2015	02/10/2012	524 00000	$53.24	$2,207 86		($2.154 62)	($2,154 62)	(97 59%)	
		11/19/2015	05/04/2012	344 00000	$34 95	$1,085.81		($1,050 86)	($1,050 86)	(96 78%)	
		11/19/2015	11/19/2012	1,152 00000	$117 03	$2,209 27		($2.092 24)	($2,092 24)	(94 70%)	
⊟ ESRX	EXPRESS SCRIPTS HLDG	02/23/2016	Hide Lots	300 00000	$20,552 39	$25,554 46	($5,002 07)		($5,002 07)	(19 57%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis3	Short Term	Long Term	Total	Total %	Notes1
		02/23/2016	03/05/2015	122 00000	$8,357.98	$10,300 41	($1,942 43)		($1,942 43)	(18.86%)	✓
		02/23/2016	03/30/2015	32.00000	$2,192 25	$2,712.61	($520 36)		($520 36)	(19 18%)	✓
		02/23/2016	06/01/2015	146.00000	$10,002 16	$12,541 44	($2,539 28)		($2,539 28)	(20.25%)	✓
✓ ESRX 12/18/2015 87 50 C	CALL EXPRESS SCRIPTS HLD$87 5 EXP 12/18/15	12/18/2015	10/07/2015	(3 00000)	$459.97	$0 00	$459 97		$459 97	100 00%	✓
✓ ⊟ GCI	GANNETT SPINCO INC	09/30/2015	Hide Lots	150 00000	$2,165 56	$1,293 72		$871 84	$871 84	67 39%	✓
		09/30/2015	05/16/2013	39 00000	$563 05	$299 57		$263 48	$263 48	87 95%	✓
		09/30/2015	06/03/2013	61 00000	$880.66	$471.61		$409 05	$409 05	86.73%	✓
		09/30/2015	03/12/2014	50 00000	$721 85	$522 54		$199 31	$199 31	38 14%	✓
✓ ⊟ GCI	GANNETT SPINCO INC	10/08/2015	Hide Lots	500 00000	$7,546 06	$4,343 77	$215.32	$2,986 97	$3,202.29	73 72%	✓
		10/08/2015	05/26/2011	11 00000	$166 01	$56 32		$109 69	$109 69	194 76%	✓
		10/08/2015	08/04/2011	47 50000	$716 88	$198 84		$518 04	$518 04	260 53%	✓
		10/08/2015	08/05/2011	63 00000	$950.80	$243 37		$707.43	$707.43	290 68%	✓
		10/08/2015	02/24/2012	8 50000	$128 28	$47 53		$80 75	$80 75	169 89%	✓
		10/08/2015	02/28/2012	92 50000	$1,396 02	$511.99		$884 03	$884 03	172 67%	✓
		10/08/2015	03/07/2012	47 50000	$716 88	$252.18		$464 70	$464 70	184 27%	✓
		10/08/2015	05/16/2013	30 00000	$452 76	$230.43		$222 33	$222 33	96 48%	✓
		10/08/2015	06/23/2015	200 00000	$3,018 43	$2,803 11	$215 32		$215 32	7 68%	✓
✓ ⊟ GLBL	TERRAFORM GLOBAL INC CLASS A	11/18/2015	Hide Lots	4,100 00000	$21,516 88	$34,018 24	($12,501 36)		($12,501 36)	(36 75%)	✓
		11/18/2015	08/06/2015	900 00000	$4,723 22	$10,897.87	($6,174 65)		($6,174 65)	(56 66%)	✓
		11/18/2015	08/12/2015	400 00000	$2,099.21	$3,643.03	($1,543 82)		($1,543 82)	(42 38%)	✓
		11/18/2015	08/21/2015	100 00000	$524 80	$949 52	($424 72)		($424 72)	(44 73%)	✓
		11/18/2015	09/30/2015	1,083.00000	$5,683 60	$7,308 69	($1,625 09)		($1,625 09)	(22 24%)	✓
		11/18/2015	11/11/2015	1,617 00000	$8,486 05	$11,219 13	($2,733 08)		($2,733 08)	(24 36%)	✓
✓ ⊟ GM	GENERAL MOTORS CO	12/18/2015	Hide Lots	500 00000	$16,959.84	$15,742 84	$1,217 00		$1,217.00	7 73%	✓
		12/18/2015	09/21/2015	400 00000	$13,567 87	$12,250 91	$1,316 96		$1,316 96	10 75%	✓
		12/18/2015	10/21/2015	100 00000	$3,391 97	$3,491 93	($99 96)		($99 96)	(2.86%)	✓
✓ ⊟ GPT	GRAMMERCY PPTY TRUST	05/17/2016	Hide Lots	2,041 00000	$18,134 73	$15,236 25		$2,898 48	$2,898.48	19 02%	✓
		05/17/2016	09/12/2014	291 00000	$2,585 60	$2,223 02		$362.58	$362 58	16 31%	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis	Short Term	Long Term	Total	Total %	Notes[1]
		05/17/2016	09/26/2014	1,609 00000	$14,296 31	$11,946 79		$2,349 52	$2,349 52	19 67%	✓
		05/17/2016	05/14/2015	141 00000	$1,252 82	$1,066 44		$186 38	$186 38	17 48%	✓
✓ ⊟ GREK	GLOBAL X FTSE GREECE 20 ETF	11/19/2015	Hide Lots	900 00000	$8,527 30	$19,962 71	($315 22)	($11,120 19)	($11,435.41)	(57.28%)	✓
		11/19/2015	02/19/2014	713 00000	$6,755.52	$16,754 61		($9,999 09)	($9,999 09)	(59 68%)	✓
		11/19/2015	05/09/2014	87 00000	$824.30	$1,945 40		($1,121 10)	($1,121 10)	(57.63%)	✓
		11/19/2015	03/03/2015	100 00000	$947 48	$1,262.70	($315 22)		($315 22)	(24 96%)	✓
✓ INTC 11/20/2015 34 50 C	CALL INTEL CORP $34 5 EXP 11/20/15	11/23/2015	11/23/2015	(7.00000)	$240.87	$111 72	$129 15		$129 15	53 62%	✓
✓ KBH	KB HOME	01/26/2016	09/22/2015	600 00000	$6,084 66	$8,500.93	($2,416 27)		($2,416 27)	(28.42%)	✓
✓ KBH 01/15/2016 15 00 C	CALL KB HOME $15 EXP 01/15/16	01/15/2016	09/22/2015	(6 00000)	$531 87	$0 00	$531 87		$531 87	100 00%	✓
✓ ⊟ LEA	LEAR CORPORATION	08/30/2016	Hide Lots	138 00000	$15,972 58	$12,103 99		$3,868 59	$3,868 59	31 96%	✓
		08/30/2016	12/18/2013	17.00000	$1,967.64	$1,354 60	79.68	$613 04	$613 04	45 26%	✓
		08/30/2016	01/15/2014	25 00000	$2,893 58	$1,988 39	79 54	$905 19	$905 19	45 52%	✓
		08/30/2016	09/26/2014	55 00000	$6,365 88	$5,053 07	91.87	$1,312 81	$1,312 81	25 98%	✓
		08/30/2016	09/29/2014	41 00000	$4,745 48	$3,707 93	90.44	$1,037 55	$1,037.55	27.98%	✓
✓ ⊟ LEA	LEAR CORPORATION	03/09/2016	Hide Lots	45.00000	$4,838 26	$4,283 49		$554 77	$554 77	12 95%	✓
		03/09/2016	09/22/2014	43 00000	$4,623.23	$4,099 74		$523.49	$523 49	12 77%	✓
		03/09/2016	09/26/2014	2.00000	$215 03	$183.75		$31 28	$31 28	17 02%	✓
✓ LEA 01/15/2016 130 00 C	CALL LEAR CORPORATION $130 EXP 01/15/16	01/15/2016	12/22/2015	(3 00000)	$292 97	$0 00	$292 97		$292 97	100 00%	✓
✓ LEA 08/19/2016 115 00 C	CALL LEAR CORPORATION $115 EXP 08/19/16	08/19/2016	07/29/2016	(2 00000)	$473 99	$0 00	$473 99		$473 99	100 00%	✓
✓ LEA 09/18/2015 115 00 C	CALL LEAR CORPORATION $115 EXP 09/18/15	09/18/2015	06/19/2015	(1 00000)	$512 03	$0 00	$512 03		$512 03	100 00%	✓
✓ LEA 12/18/2015 115 00 C	CALL LEAR CORPORATION $115 EXP 12/18/15	12/14/2015	12/14/2015	(1 00000)	$335 02	$784.97	($449 95)		($449 95)	(134 31%)	✓
✓ ⊟ LMT	LOCKHEED MARTIN CORP EXCHANGE OFFER EXP 08/16/16	08/15/2016	Hide Lots	100 00000	$26,270 32	$21,721 68	$4,548 64		$4,548 64	20 94%	✓
		08/15/2016	01/07/2016	72 00000	$18,914 63	$15,398.73	$3,515.90		$3,515 90	22 83%	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		08/15/2016	04/14/2016	28 00000	$7,355 69	$6,322 95	$1,032.74		$1,032 74	16 33%	✓
✓ LMT 07/15/2016 245 00 C	CALL LOCKHEED MARTIN COR$245 EXP 07/15/16	07/14/2016	07/14/2016	(1 00000)	$170 04	$1,128 96	($958 92)		($958 92)	(563 94%)	✓
✓ ⊟ LUK	LEUCADIA NATIONAL CO	11/20/2015	Hide Lots	546 00000	$9,823 78	$12,978 87	($3,155 09)		($3,155 09)	(24 31%)	✓
		11/20/2015	11/26/2014	500 00000	$8,996 14	$11,891.40	($2,895 26)		($2,895 26)	(24 35%)	✓
		11/20/2015	01/26/2015	46.00000	$827 64	$1,087 47	($259 83)		($259 83)	(23 89%)	✓
✓ MS+E	MORGAN STANL 7 125% PFDPFD	06/24/2016	09/24/2013	1,000 00000	$30,161 89	$25,000 00		$5,161.89	$5,161.89	20.65%	5146.89 ✓
✓ MSFT	MICROSOFT CORP	08/30/2016	04/07/2016	82 00000	$4,735.58	$4,467.63 54.48 ✓	$267.95		$267 95 ✓	6 00%	✓
✓ ⊟ MSFT	MICROSOFT CORP	11/16/2015	Hide Lots	500 00000	$24,916 34	$15,435 88		$9,480 46	$9,480 46	61 42%	✓
		11/16/2015	04/27/2012	118 00000	$5,880 25	$3,788 02		$2,092 23	$2,092 23	55 23%	✓
		11/16/2015	05/23/2012	137 00000	$6,827 09	$3,958 53		$2,868 56	$2,868 56	72 47%	✓
		11/16/2015	09/03/2013	245 00000	$12,209 00	$7,689 33		$4,519 67	$4,519 67	58 78%	✓
✓ ⊟ MSFT	MICROSOFT CORP	12/18/2015	Hide Lots	100 00000	$4,977 11	$2,802 18		$2,174 93	$2,174 93	77.62%	✓
		12/18/2015	06/10/2010	5 00000	$248 86	$124 75		$124 11	$124 11	99 49%	✓
		12/18/2015	05/23/2012	48 00000	$2,389 01	$1,386 93		$1,002 08	$1,002 08	72 25%	✓
		12/18/2015	11/29/2012	47 00000	$2,339 24	$1,290 50		$1,048 74	$1,048.74	81 27%	✓
✓ ⊟ MSFT 05/20/2016 55 00 C	CALL MICROSOFT CORP $55 EXP 05/20/16	05/20/2016	Hide Lots	(4 00000)	$723 98	$0.00	$723 98		$723 98	100 00%	✓
		05/20/2016	02/17/2016	(2 00000)	$349 99	$0.00	$349 99		$349 99	100 00%	✓
		05/20/2016	04/08/2016	(2 00000)	$373 99	$0 00	$373 99		$373 99	100 00%	✓
✓ MURGF	MUENCHENER RUECKVE ORDF	06/14/2016	06/05/2015	8 00000	$1,330 28	$1,485.23		($154 95)	($154 95)	(10 43%)	✓
✓ ⊟ NEM	NEWMONT MINING CORP	02/24/2016	Hide Lots	286 00000	$7,499 11	$12,972.73		($5,473 62)	($5,473 62)	(42 19%)	✓
		02/24/2016	11/07/2012	112.00000	$2,936 71	$5,426 57		($2,489 86)	($2,489 86)	(45 88%)	✓
		02/24/2016	11/26/2012	116 00000	$3,041 60	$5,448 03		($2,406 43)	($2,406.43)	(44 17%)	✓
		02/24/2016	12/19/2012	25 00000	$655 52	$1,111 66		($456 14)	($456 14)	(41 03%)	✓
		02/24/2016	08/01/2013	33 00000	$865 28	$986 47		($121 19)	($121 19)	(12 29%)	✓
✓ NSC 01/15/2016 90 00 C	CALL NORFOLK SOUTHERN CO$90 EXP 01/15/16	01/15/2016	11/09/2015	(1 00000)	$353 47	$0 00	$353 47		$353 47	100 00%	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis³	Short Term	Long Term	Total	Total %	Notes¹
NSC 05/20/2016 92 50 C	CALL NORFOLK SOUTHERN CO$92 5 EXP 05/20/16	05/20/2016	04/22/2016	(2 00000)	$214.00	$0 00	$214.00		$214 00	100 00%	
⊟ NSS	NUSTAR LOGISTI 7 625%PFD DUE 01/15/43SUBJ TO XTRO REDEMPTION	06/24/2016	Hide Lots	755.00000	$18,843 22	$19,912 00		($1,068 78)	($1,068 78)	(5 37%)	
		06/24/2016	01/25/2013	430 00000	$10,731 90	$11,138 29		($406 39)	($406 39)	(3.65%)	
		06/24/2016	08/21/2014	325 00000	$8,111 32	$8,773 71		($662 39)	($662 39)	(7 55%)	
⊟ NVDA	NVIDIA CORP	10/16/2015	Hide Lots	400 00000	$9,838 81	$4,888 86		$4,949 95	$4,949 95	101 25%	
		10/16/2015	01/25/2013	50 00000	$1,229 85	$608 24	12.1648	$621 61	$621 61	102 20%	
		10/16/2015	04/01/2013	350 00000	$8,608 96	$4,280.62	12 2303	$4,328 34	$4,328 34	101 11%	
NVDA	NVIDIA CORP	07/19/2016	01/25/2013	56 00000	$2,985 94	$681 23	12.1648	$2,304 71	$2,304 71	338 32%	
NVDA 01/15/2016 33 00 C	CALL NVIDIA CORP $33 EXP 01/15/16	01/15/2016	11/06/2015	(3 00000)	$265 01	$0 00	$265 01		$265.01	100.00%	
NVDA 05/20/2016 38 00 C	CALL NVIDIA CORP $38 EXP 05/20/16	05/18/2016	05/18/2016	(6 00000)	$589 90	$2,715 25	($2,125.35)		($2,125 35)	(360 29%)	
NVDA 06/17/2016 43 00 C	CALL NVIDIA CORP $43 EXP 06/17/16	06/15/2016	06/15/2016	(6 00000)	$746 37	$2,458 99	($1,712 62)		($1,712 62)	(229 46%)	
NVDA 07/15/2016 47 00 C	CALL NVIDIA CORP $47 EXP 07/15/16	07/13/2016	07/13/2016	(6 00000)	$1,028 79	$3,505 45	($2,476 66)		($2,476 66)	(240 74%)	
NVDA 08/19/2016 50 00 C	CALL NVIDIA CORP $50 EXP 08/19/16	08/04/2016	08/04/2016	(6 00000)	$2,676 89	$3,988.09	($1,311 20)		($1,311 20)	(48 98%)	
⊟ OI	OWENS ILLINOIS INC	11/17/2015	Hide Lots	1,346 00000	$24,974 77	$33,306 24	($2,133 23)	($6,198 24)	($8,331 47)	(25 01%)	
		11/17/2015	10/23/2014	500 00000	$9,277 40	$12,846 35		($3,568 95)	($3,568 95)	(27 78%)	
		11/17/2015	10/29/2014	500 00000	$9,277 41	$11,906 70		($2,629 29)	($2,629.29)	(22.08%)	
		11/17/2015	01/20/2015	46.00000	$853 52	$1,077 42	($223 90)		($223 90)	(20 78%)	
		11/17/2015	05/22/2015	300 00000	$5,566 44	$7,475 77	($1,909 33)		($1,909 33)	(25 54%)	
OI 02/19/2016 24 00 C	CALL OWENS ILLINOIS INC $24 EXP 02/19/16	11/18/2015	11/18/2015	(5 00000)	$440 91	$134 08	$306 83		$306 83	69 59%	
ORBK	ORBOTECH LTD F	02/10/2016	01/27/2015	1,200 00000	$24,177 72	$18,559 51		$5,618 21	$5,618 21	30 27%	
OVTI	OMNIVISION TECHNOLOG	10/07/2015	08/24/2015	339.00000	$9,673 56	$7,564 61	$2,108 95		$2,108 95	27 88%	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
OVTI	OMNIVISION TECHNOLOG	10/06/2015	08/24/2015	279 00000	$7,777 69	$6,225 74	$1,551.95		$1,551 95	24 93%	✓
OXLCN	OXFORD LANE CA 8 125%PFD DUE 06/30/24SUBJ TO XTRO REDEMPTION	06/24/2016	05/30/2014	500 00000	$12,501 28	$12,510 00		($8 72)	($8 72)	(0 07%)	1.28 ✓
⊟ PSEC	PROSPECT CAPITAL CO	11/20/2015	Hide Lots	2,245 00000	$16,605 54	$16,316.49	$289.05		$289 05	1 77%	✓
		11/20/2015	08/20/2015	1,600 00000	$11,834.69	$11,527 19	$307 50		$307 50	2 67%	✓
		11/20/2015	09/28/2015	131 00000	$968 96	$971 66	($2 70)		($2 70)	(0 28%)	✓
		11/20/2015	11/03/2015	514 00000	$3,801 89	$3,817.64	($15 75)		($15 75)	(0 41%)	✓
PSX 12/18/2015 95 00 C	CALL PHILLIPS 66 $95 EXP 12/18/15	12/18/2015	11/02/2015	(1 00000)	$120.03	$0 00	$120.03		$120 03	100 00%	✓
RMR	R M R GROUP INC CLASS A	12/18/2015	12/15/2015	9.00000	$135 00	$107 01	$27 99		$27 99	26 16%	✓
RMR	R M R GROUP INC CLASS A	12/15/2015	12/15/2015	0 03040	$0.41	$0 36	$0.05		$0 05	13 89%	✓
⊟ RWT	REDWOOD TRUST INC REIT	11/19/2015	Hide Lots	900 00000	$11,973 07	$14,742 07	($196.06)	($2,572 94)	($2,769 00)	(18 78%)	✓
		11/19/2015	10/02/2014	800 00000	$10,642.73	$13,215 67		($2,572 94)	($2,572 94)	(19 47%)	✓
		11/19/2015	08/18/2015	100 00000	$1,330 34	$1,526 40	($196 06)		($196 06)	(12 84%)	✓
⊟ SCHE	SCHWAB EMERGING MARKETS EQUITY ETF	06/28/2016	Hide Lots	1,687.00000	$34,481.70	$44,167.49		($9,685 79)	($9,685 79)	(21 93%)	✓
		06/28/2016	11/12/2010	34.00000	$694 95	$958 80		($263 85)	($263 85)	(27 52%)	✓
		06/28/2016	11/16/2010	35 00000	$715.39	$958 50		($243 11)	($243 11)	(25 36%)	✓
		06/28/2016	05/14/2013	709 00000	$14,491 72	$18,654 14		($4,162 42)	($4,162 42)	(22 31%)	✓
		06/28/2016	05/15/2013	308 00000	$6,295.41	$8,029 38		($1,733 97)	($1,733.97)	(21 60%)	✓
		06/28/2016	05/22/2013	171 00000	$3,495.18	$4,499 90		($1,004 72)	($1,004 72)	(22 33%)	✓
		06/28/2016	05/22/2013	157 00000	$3,209 03	$4,067 63		($858 60)	($858 60)	(21.11%)	✓
		06/28/2016	05/23/2013	273 00000	$5,580 02	$6,999 14		($1,419 12)	($1,419 12)	(20 28%)	✓
⊟ SCHE	SCHWAB EMERGING MARKETS EQUITY ETF	07/22/2016	Hide Lots	1,335.00000	$29,618 59	$33,655.61		($4,037 02)	($4,037.02)	(12 00%)	✓
		07/22/2016	10/12/2012	178 00000	$3,949 15	$4,459 61		($510 46)	($510.46)	(11 45%)	✓
		07/22/2016	05/23/2013	439 00000	$9,739 75	$11,255 04		($1,515 29)	($1,515 29)	(13 46%)	✓
		07/22/2016	05/24/2013	196 00000	$4,348 50	$4,980.36		($631 86)	($631 86)	(12 69%)	✓
		07/22/2016	05/31/2013	395 00000	$8,763 54	$9,770 08		($1,006 54)	($1,006 54)	(10 30%)	✓

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis³	Short Term	Long Term	Total	Total %	Notes¹
			07/22/2016	11/20/2013	127 00000	$2,817.65	$3,190 52		($372 87)	($372 87)	(11 69%)	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	02/02/2016	Hide Lots	1,022 00000	$23,027 84	$23,440 99	($413 15)		($413 15)	(1 76%)	✓
			02/02/2016	01/22/2016	930 00000	$20,954.88	$21,339 84 22.95	($384 96)		($384 96)	(1 80%)	✓
			02/02/2016	01/28/2016	92 00000	$2,072.96	$2,101 15 22.84	($28.19)		($28 19)	(1 34%)	✓
✓	SDS	PROSHARES ULTRASHORT S&P500 ETF	02/11/2016	02/10/2016	1,895 00000	$46,439 33	$44,476.45	$1,962 88		$1,962 88	4 41%	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	01/27/2016	Hide Lots	1,038 00000	$24,082 90	$24,076 57	$6 33		$6 33	0.03%	✓
			01/27/2016	01/21/2016	981 00000	$22,760 43	$22,768 64	($8 21)		($8 21)	(0 04%)	✓
			01/27/2016	01/22/2016	57 00000	$1,322 47	$1,307 93	$14 54		$14 54	1 11%	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	02/03/2016	Hide Lots	1,038 00000	$23,969 24	$23,699 53	$269 71		$269 71	1 14%	✓
			02/03/2016	01/26/2016	92 00000	$2,124 44	$2,094 19	$30 25		$30 25	1 44%	✓
			02/03/2016	01/28/2016	946.00000	$21,844 80	$21,605.34	$239.46		$239 46	1 11%	✓
✓	SDS	PROSHARES ULTRASHORT S&P500 ETF	03/15/2016	02/12/2016	2,423 00000	$48,261.25	$57,561 17	($9,299 92)		($9,299 92)	(16 16%)	✓
✓	SDS	PROSHARES ULTRASHORT S&P500 ETF	02/08/2016	01/29/2016	1,022.00000	$24,467 50	$22,418.24	$2,049 26		$2,049 26	9.14%	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	02/05/2016	Hide Lots	1,984 00000	$45,874 18	$44,843.90	$1,030 28		$1,030 28	2 30%	✓
			02/05/2016	01/26/2016	946 00000	$21,873 47	$21,533.72	$339 75		$339 75	1 58%	✓
			02/05/2016	02/03/2016	1,038.00000	$24,000.71	$23,310 18	$690 53		$690 53	2 96%	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	03/21/2016	Hide Lots	3,197.00000	$61,188 93	$72,246.89	($11,057 96)		($11,057.96)	(15 31%)	✓
			03/21/2016	02/12/2016	1,218.00000	$23,311 89	$28,935 00	($5,623 11)		($5,623 11)	(19.43%)	✓
			03/21/2016	02/17/2016	1,979 00000	$37,877.04	$43,311 89	($5,434 85)		($5,434 85)	(12 55%)	✓
✓	SDS	PROSHARES ULTRASHORT S&P500 ETF	09/09/2015	09/02/2015	1,454.00000	$33,214 34	$33,376 36	($162 02)		($162 02)	(0 49%)	✓
✓ ⊟	SDS	PROSHARES ULTRASHORT S&P500 ETF	03/22/2016	Hide Lots	3,104 00000	$59,465 80	$64,674 56	($5,208 76)		($5,208 76)	(8 05%)	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		03/22/2016	02/17/2016	350 00000	$6,705 23	$7,660 01	($954 78)		($954 78)	(12 46%)	
		03/22/2016	03/01/2016	2,754 00000	$52,760.57	$57,014 55	($4,253 98)		($4,253 98)	(7 46%)	
⊟ SDS	PROSHARES ULTRASHORT S&P500 ETF	09/01/2015	Hide Lots	2,397 00000	$56,411.79	$55,005.17	$1,406 62		$1,406.62	2 56%	
		09/01/2015	08/25/2015	1,580 00000	$37,184.24	$36,916.01	$268 23		$268 23	0 73%	
		09/01/2015	08/27/2015	817 00000	$19,227 55	$18,089 16	$1,138 39		$1,138 39	6 29%	
SDS	PROSHARES ULTRASHORT S&P500 ETF	09/18/2015	09/08/2015	1,398 00000	$31,199 57	$31,325 39	($125 82)		($125 82)	(0 40%)	
SDS	PROSHARES ULTRASHORT S&P500 ETF	01/15/2016	01/14/2016	1,058 00000	$24,616.50	$23,580 24	$1,036 26		$1,036 26	4 39%	
SDS	PROSHARES ULTRASHORT S&P500 ETF	01/07/2016	10/02/2015	1,597 00000	$34,077.11	$36,018.90	($1,941 79)		($1,941.79)	(5 39%)	
⊟ SDS	PROSHARES ULTRASHORT S&P500 ETF	09/22/2015	Hide Lots	1,759 00000	$40,043 44	$38,360 91	$1,682 53		$1,682 53	4.39%	
		09/22/2015	09/08/2015	361.00000	$8,218.12	$8,089.03	$129 09		$129.09	1 60%	
		09/22/2015	09/16/2015	1,398 00000	$31,825.32	$30,271.88	$1,553 44		$1,553 44	5 13%	
SKYW	SKYWEST INC	06/30/2016	05/28/2015	900.00000	$23,642.89	$13,283 77		$10,359 12	$10,359 12	77 98%	
SKYW 01/15/2016 20 00 C	CALL SKYWEST INC $20 EXP 01/15/16	01/15/2016	10/12/2015	(9 00000)	$1,293 80	$0 00	$1,293 80		$1,293 80	100 00%	
SOHU	SOHU COM INC F	10/26/2015	04/30/2014	100 00000	$4,845 96	$5,474 95		($628 99)	($628 99)	(11.49%)	
⊟ STM	STMICROELECTRONICS FADR 1 ADR REPS 1 ORD SHS	01/11/2016	Hide Lots	2,900.00000	$17,906 92	$19,145 57		($1,238 65)	($1,238 65)	(6 47%)	
		01/11/2016	10/21/2014	992.00000	$6,125 40	$6,772 97		($647 57)	($647 57)	(9 56%)	
		01/11/2016	10/29/2014	1,908.00000	$11,781 52	$12,372 60		($591 08)	($591.08)	(4.78%)	
STM	STMICROELECTRONICS FADR 1 ADR REPS 1 ORD SHS	09/03/2015	10/21/2014	800 00000	$5,811 10	$5,462.08	$349 02		$349 02	6 39%	
SUNE	SUNEDISON INC	11/11/2015	10/09/2014	700 00000	$3,361 98	$11,943.95		($8,581 97)	($8,581 97)	(71 85%)	
⊟ TDC	TERADATA CORP	11/06/2015	Hide Lots	264 00000	$7,388.32	$11,165 59		($3,777 27)	($3,777 27)	(33 83%)	
		11/06/2015	11/05/2013	100.00000	$2,798 61	$4,253 95		($1,455 34)	($1,455.34)	(34 21%)	
		11/06/2015	12/09/2013	164 00000	$4,589 71	$6,911 64		($2,321 93)	($2,321 93)	(33 59%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis³	Short Term	Long Term	Total	Total %	Notes¹
⊟	TDS	TELEPHONE & DATA SYS	01/26/2016	Hide Lots	700 00000	$15,858.15	$17,202.06	($560 23)	($783 68)	($1,343 91)	(7 81%)	✓
			01/26/2016	08/26/2014	204 00000	$4,621 52	$5,269 33		($647 81)	($647 81)	(12.29%)	✓
			01/26/2016	08/28/2014	41 00000	$928.83	$1,064 70		($135 87)	($135 87)	(12 76%)	✓
			01/26/2016	01/29/2015	336 00000	$7,611 91	$7,841 41	($229 50)		($229 50)	(2 93%)	✓
			01/26/2016	02/26/2015	119 00000	$2,695 89	$3,026 62	($330 73)		($330 73)	(10 93%)	✓
⊟	TERP	TERRAFORM POWER INC CLASS A	11/18/2015	Hide Lots	1,457 00000	$13,436.72	$24,371.31	($10,934.59)		($10,934.59)	(44 87%)	✓
			11/18/2015	09/23/2015	625.00000	$5,763 86	$11,201.33	($5,437 47)		($5,437 47)	(48.54%)	✓
			11/18/2015	09/24/2015	575 00000	$5,302 75	$9,623.30	($4,320 55)		($4,320 55)	(44 90%)	✓
			11/18/2015	11/11/2015	257 00000	$2,370 11	$3,546.68	($1,176 57)		($1,176 57)	(33.17%)	✓
⊟	TEX	TEREX CORP	06/10/2016	Hide Lots	500 00000	$10,505 97	$15,223 36		($4,717 39)	($4,717 39)	(30 99%)	✓
			06/10/2016	04/23/2014	144 00000	$3,025 72	$6,206 32		($3,180 60)	($3,180 60)	(51 25%)	✓
			06/10/2016	10/10/2014	56 00000	$1,176.67	$1,530 44		($353 77)	($353 77)	(23 12%)	✓
			06/10/2016	01/09/2015	300 00000	$6,303.58	$7,486 60		($1,183 02)	($1,183 02)	(15 80%)	✓
⊟	TEX	TEREX CORP	01/26/2016	Hide Lots	718 00000	$15,095 12	$16,849 92	($518 56)	($1,236 24)	($1,754 80)	(10 41%)	✓
			01/26/2016	04/23/2014	56 00000	$1,177 33	$2,413 57		($1,236 24)	($1,236 24)	(51 22%)	✓
			01/26/2016	01/27/2015	200 00000	$4,204 77	$4,500.17	($295 40)		($295.40)	(6 56%)	✓
			01/26/2016	08/25/2015	462.00000	$9,713.02	$9,936.18	($223 16)		($223 16)	(2 25%)	✓
⊟	TGI	TRIUMPH GROUP INC	11/20/2015	Hide Lots	75 00000	$2,966.89	$4,620 45	($619 99)	($1,033.57)	($1,653 56)	(35 79%)	✓
			11/20/2015	03/24/2014	46 00000	$1,819.69	$2,853 26		($1,033 57)	($1,033 57)	(36 22%)	✓
			11/20/2015	01/20/2015	29 00000	$1,147 20	$1,767 19	($619 99)		($619 99)	(35 08%)	✓
	TGNA 01/15/2016 27 00 C	CALL TEGNA INC $27 EXP 01/15/16	01/15/2016	10/08/2015	(7 00000)	$1,044 85	$0 00	$1,044.85		$1,044.85	100.00%	✓
	TGNA1 10/16/2015 38 00 C	CALL TEGNA INC $38 ADJ EXP 10/16/15REPS 100 TGNA+50 GCI	10/09/2015	10/09/2015	(4 00000)	$551 97	$31 06	$520 91		$520 91	94 37%	✓
⊟	TOSBF	TOSHIBA CORP LTD ORD F	11/11/2015	Hide Lots	3,700 00000	$9,304 32	$15,029 97	($539 45)	($5,186 20)	($5,725.65)	(38.09%)	✓
			11/11/2015	04/23/2014	3,094 00000	$7,780 42	$12,966 62		($5,186 20)	($5,186 20)	(40 00%)	✓
			11/11/2015	05/20/2015	606.00000	$1,523 90	$2,063.35	($539 45)		($539 45)	(26 14%)	✓
⊟	TPUB	TRIBUNE PUBLISHNG CO	11/24/2015	Hide Lots	1,774 00000	$14,037.68	$31,278 90	($10,177 75)	($7,063 47)	($17,241 22)	(55 12%)	✓

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		11/24/2015	10/14/2014	700 00000	$5,539 11	$12,602.58		($7,063 47)	($7,063 47)	(56 05%)	✓
		11/24/2015	01/21/2015	500 00000	$3,956 51	$9,779 25	($5,822 74)		($5,822 74)	(59 54%)	✓
		11/24/2015	03/04/2015	100.00000	$791 30	$1,845.14	($1,053 84)		($1,053 84)	(57 11%)	✓
		11/24/2015	06/11/2015	400 00000	$3,165.20	$6,143 83	($2,978 63)		($2,978.63)	(48 48%)	✓
		11/24/2015	08/11/2015	74 00000	$585 56	$908 10	($322 54)		($322 54)	(35 52%)	✓
✓ ⊟ TRN	TRINITY INDUSTRIES	12/07/2015	Hide Lots	1,000.00000	$24,487 90	$18,174.85	($26 49)	$6,339 54	$6,313.05	34 74%	✓
		12/07/2015	05/17/2012	246 00000	$6,024 02	$3,038.51 12 35		$2,985 51	$2,985 51	98 26%	✓
		12/07/2015	07/25/2012	94 00000	$2,301 86	$1,075 67 11 44		$1,226 19	$1,226 19	113 99%	✓
		12/07/2015	05/24/2013	192.00000	$4,701 68	$3,964.65 20.65		$737 03	$737 03	18.59%	✓
		12/07/2015	06/20/2013	116 00000	$2,840 60	$2,145 08 18.49		$695 52	$695 52	32 42%	✓
		12/07/2015	07/02/2013	112 00000	$2,742 64	$2,047 35 18.28		$695 29	$695 29	33 96%	✓
		12/07/2015	01/14/2015	240 00000	$5,877 10	$5,903.59 24 60	($26 49)		($26 49)	(0 45%)	✓
✓ ⊟ VLKAY	VOLKSWAGEN A G FADR 1 ADR REPS 0 2 ORD SHS	09/21/2015	Hide Lots	468 00000	$13,969 01	$20,463 88	($868.61)	($5,626 26)	($6,494 87)	(31 74%)	✓
		09/21/2015	07/16/2013	316.00000	$9,432.07	$13,424.32		($3,992 25)	($3,992 25)	(29 74%)	✓
		09/21/2015	07/28/2014	94 00000	$2,805 74	$4,439.75		($1,634 01)	($1,634 01)	(36 80%)	✓
		09/21/2015	12/03/2014	58 00000	$1,731 20	$2,599.81	($868 61)		($868 61)	(33 41%)	✓
✓ VLKAY	VOLKSWAGEN A G FADR 1 ADR REPS 0 2 ORD SHS	10/09/2015	07/16/2013	232.00000	$6,583 33	$9,855.83		($3,272.50)	($3,272 50)	(33.20%)	✓
✓ VNM	MARKET VECTORS VIETNAM TC ETF	11/19/2015	02/23/2015	866.00000	$14,219 43	$16,884.26	($2,664.83)		($2,664 83)	(15 78%)	✓
✓ ⊟ VOD	VODAFONE GROUP FADR 1 ADR REPS 10 ORD SHS	07/22/2016	Hide Lots	715 00000	$22,414 68	$31,106 06		($8,691.38)	($8,691 38)	(27 94%)	✓
		07/22/2016	01/09/2012	106 90909	$3,351.51	$5,417 81		($2,066 30)	($2,066 30)	(38 14%)	✓
		07/22/2016	09/11/2012	103 09091	$3,231 82	$5,378 99		($2,147 17)	($2,147.17)	(39 92%)	✓
		07/22/2016	12/19/2012	31 09091	$974 68	$1,459 43		($484 75)	($484 75)	(33 22%)	✓
		07/22/2016	09/03/2013	76 90909	$2,411.04	$4,511.95		($2,100 91)	($2,100 91)	(46 56%)	✓
		07/22/2016	03/11/2014	245 00000	$7,680 55	$9,278.26		($1,597 71)	($1,597.71)	(17 22%)	✓
		07/22/2016	09/08/2014	152 00000	$4,765 08	$5,059 62		($294 54)	($294 54)	(5 82%)	✓
✓ WMT 07/15/2016 72 50 C	CALL WAL-MART STORES INC$72 5 EXP 07/15/16	07/13/2016	07/13/2016	(3 00000)	$203 72	$286 00	($82 28)		($82 28)	(40 39%)	✓

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
WMT 08/19/2016 75 00 C	CALL WAL-MART STORES INC$75 EXP 08/19/16	08/19/2016	07/12/2016	(3 00000)	$232 99	$0 00	$232 99		$232 99	100.00%	
WOR	WORTHINGTON INDS INC	06/10/2016	05/26/2015	500.00000	$18,231.58	$13,388 65		$4,842 93	$4,842 93	36.17%	
WOR 12/18/2015 30 00 C	CALL WORTHINGTON INDS IN$30 EXP 12/18/15	12/18/2015	06/26/2015	(5 00000)	$1,540 93	$0 00	$1,540 93		$1,540.93	100 00%	
WYN 01/15/2016 80 00 C	CALL WYNDHAM WORLDWIDE C$80 EXP 01/15/16	01/15/2016	12/04/2015	(2 00000)	$154 00	$0 00	$154 00		$154 00	100.00%	

Disclosures

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

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

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

Footnotes apply where indicated on the data view.

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

Not Tracked: Indicates original cost basis is not available.

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

(0307-0369)

Consolidation of Securities Account - 08/31/16

No Shares	Description	Current Book Value	Current Price	Market Value
645 00	Archer-Daniels Midland Co	23,539 78	43.76	28,225 20
1,400.00	Anglogold Ashanti ADR	15,701.61	16.09	22,526 00
219 00	Apple Inc	19,919 03	106 10	23,235 90
400 00	Arrow Electronics Inc	14,406.32	65 83	26,332 00
146.00	Astrazeneca PLC	3,286.47	32.81	4,790 26
469 00	A T & T	16,054 66	40 88	19,172 72
527.00	Avnet	16,945 95	41.68	21,965 36
1,700 00	Bank of America	20,089 38	16 14	27,438.00
600 00	Bank of NY Mellon	20,133 16	41 67	25,002 00
416.00	Bristol-Myers Squibb	18,839.80	57 39	23,874 24
100 00	Cigna Corp	13,008.61	128 26	12,826 00
500 00	Conagra Foods Inc	22,244 10	46.61	23,305.00
1,100.00	Corning Inc	17,215.38	22 69	24,959 00
1,000 00	D R Horton Co	22,940.23	32 06	32,060 00
500 00	Domtar Corp New	19,131 95	37 32	18,660.00
281.00	Duke Energy Corp	21,248 98	79 66	22,384 46
854 00	Flir Systems Inc	19,371 84	30 83	26,328 82
1,530.00	Ford Motor Co new	20,198 50	12 60	19,278 00
946.00	Gannett Co (Tegna Inc)	18,970 27	20 26	19,165 96
767 00	Intel Corp	24,535.33	35 89	27,527 63
500 00	Johnson & Johnson-Donated	12,561 56	119 34	59,670 00
137 00	Lear Corporation	8,243 65	116 29	15,931.73
73 00	Lockheed Martin Corp	18,840 93	242 97	17,736 81
340.00	Microsoft	18,151 87	57 46	19,536 40
6,394 00	MS Emerging Mkts Debt	65,327.07	9 84	62,916 96
3,100 00	MS Emerging Mkts Debt -EDD	40,915.45	7 95	24,645 00
659.00	Newmont Mining Corp	20,057 48	38 24	25,200 16
276 00	Norfolk Southern Corp	18,641.49	93 90	25,916 40
242 00	Novartis AG	17,512 08	78.77	19,062 34
600 00	Nvidia Corp	29,058 10	61.34	36,804 00
262 00	Phillips 66	17,412 48	78.45	20,553 90
950 00	Public Storage 4 95% due 7/13/99	23,757 53	25 42	24,149 00
219 00	Randgold Res Ltd	23,837.66	93 65	20,509 35
238 00	Siemens AG	23,866 37	119 58	28,458 85
550 00	Southwest Airlines	21,522 60	36 88	20,284.00
449 00	Twitter Inc	11,299 68	19 21	8,625 29
376 00	Walmart	25,288.47	71 44	26,861 44
1,900 00	Western Asset Emerg Mkts	33,276 21	16 55	31,445 00
349 00	Wyndham Worldwide	20,530 18	70 79	24,705 71
		817,882 21		962,068 89
800 00	Boardwalk Pipeline Ptnrs BWP	12,127 27	16 23	12,984 00
1,500 00	Grammercy Property	11,137 47	9 68	14,520 00
544 00	Hospitality PPTYS Trust	14,537 86	30 49	16,586 56
3,715 00	ISHARES Gold Trust	47,252 87	12 60	46,809 00
764 00	ISHS MSCI Brazil	28,199 02	33 52	25,609 28
616 00	Ishares MSCI Chile ECH	24,848 26	36 52	22,496 32
825 00	ISHARES MSCI India Index	24,062 05	29 56	24,387 00

424.00	Ishares MSCI South Africa	20,521 68	52 53	22,272 72
1,400.00	Lexington Realty Tr	11,793 17	10 79	15,106.00
1,290 00	Vaneck Vectors Russia	26,550 37	18 12	23,374 80
400 00	Omega Hlthcare Invts	14,298.29	36 20	14,480.00
1,387 00	Schwab Emg MKT EQ ETF	32,859 97	22 57	31,304 59
500 00	SPDR S&P Biotech	28,074 65	60.09	30,045 00
533.00	Vanguard FTSE Emerging Mkts	20,300 86	37.33	19,896 89
4,514.00	Schwab Intl Eq ETF	120,521 99	28 38	128,107 32
		437,085.78		447,979.48
(6 00)	CALL - Nividia Corp $55	(2,275 86)	6 65	(3,990 00)
(2 00)	CALL - Norfolk Southern Co $92 5	(753 98)	3 80	(760 00)
(5 00)	CALL - Conagra Foods $47	(611 77)	1 24	(620 85)
		(3,646 61)		(5,370 85)
10,000 00	Amkor Technologies 6 625%	9,853.00	102 75	10,275 00
7,000 00	Anglogold 5 125%	7,112 70	104 00	7,280 00
15,000 00	Anglogold 5 125% TAC5	12,670 50	104 00	15,600 00
10,000 00	Bank of America 5 5%	4,150.14	100.35	3,818 71
5,000.00	Beaver Cnty PA 4 179% due 11/15/31	5,290 85	105 34	5,267 10
24,000 00	Block Financial 5 25% due 10/1/25	25,283 09	108 63	26,072.23
13,000 00	CBRE Services 5 25% due 3/15/25	14,021 08	108.50	14,105 00
40,000 00	Citigroup Inc Flt perp bonds	39,706 55	104 00	41,600 00
23,000.00	Citigroup Inc 6 125%	23,182 50	104 50	24,035 00
28,000 00	Continental Air 9 798%	13,689 39	110 75	12,897.49
15,000 00	Cooper Tire & Rubber 8%19	16,537.50	113 75	17,062 50
113,000 00	Countrywide Home 5 25%GFN6	2,209 62	101 06	2,073 61
7,000.00	Countrywide 5 25%FRF2	7,024 50	103 13	7,219 39
10,000 00	Countrywide Home 5 75%	10,097 50	101.51	10,151 40
7,000 00	Countrywide Home 5 5%	7,000 00	100 94	7,065 73
12,000.00	CS First Boston 6%	5,111 65	105 25	5,373 42
5,000.00	Danville-Pittsyl 4 75%	4,953 75	106 48	5,324 20
23,000.00	Earthlink Inc 7 375%	23,958 75	104 63	24,063 75
28,000.00	Expedia Inc 4 5% due 8/15/24	27,433 82	104 69	29,312 67
200,000.00	GSR Mtg Loan Tr Var 2035	10,644 18	92 96	11,653 04
15,000 00	Garza Cnty TX PU 7 2%	15,223 85	98.36	14,754 30
19,000 00	Gap Inc 5 95% DUE 4/12/21	20,268 74	108 31	20,578 25
8,000 00	General Electric Var 99 due 12/31/99 369604BM4	7,846 95	107 25	8,580 00
5,000 00	General Electric due 12/31/99 369622SP1	4,337 47	107 25	5,362 50
17,000 00	Graftech Intern 6 375%20	12,331 39	77 13	13,111 25
10,000 00	Huntington Pk 5 757% due 8/1/25	9,682 30	102 45	10,244 60
30,000 00	Hudbay Minerals 9 5% due 10/1/20	30,698 82	100 00	30,000 00
22,000 00	Icahn Enterpris 4 875% due 3/15/19	21,755 56	99 00	21,780 00
5,000 00	Ingram Micro Inc 5%	4,991 50	104 44	5,222 21
17,000 00	JP Morgan Chase Var 99 due 12/31/99	17,150 88	102 00	17,340 00
10,000 00	Kinross Gold Notes 5 125%	10,142 50	102 88	10,287 50
13,000.00	Kohls Corp 4 75% due 12/15/23	13,415 20	108 16	14,061 13
14,000 00	Kohls Corp 4% due 11/1/21	14,093 59	105 98	14,837 75
35,000 00	LSB Industries 7 75%19 AL8	37,147 50	102 88	36,006 25
20,000 00	Mattoon Cmty Uni 8 95%33 die 12/1/33	24,136 40	121 79	24,357 80
20,000 00	Morgan Stanley Var 2025 NOTES	20,025 00	101 95	20,389 60
10,000 00	Morgan Stanley Var 2027	9,825 00	103 63	10,363 30

23,000 00	Nationstar MTG 6.5%18	23,318 75	99 75	22,942 50
18,000 00	Navios Maritme 8 125%19F .	18,686 57	56 75	10,215 00
23,000 00	Northwest Air 7 027%	17,912 92	113 25	18,533 77
3,000.00	Omnova Solution 7 875%	3,180.47	100 75	3,022 50
5,000.00	PR Comwlth 5 25%	5,030 10	100 23	5,011 30
5,000 00	Reeves County TX 6 375%	4,988 50	102 53	5,126 40
14,000 00	IndyMac-Residential Asset 5 2%	13,925 00	100 44	14,061.74
6,000 00	Residential FDG 5 25%	6,005 97	101 15	6,068 88
15,000 00	San Bernardino 8.253%	15,445 00	132.22	19,833.00
5,000 00	Santa Fe Springs 5 35%	4,900 00	100.00	5,000 00
22,000.00	Sprint Nextel Co 11 5%21	28,913 75	112.50	24,750 00
31,000 00	Thompson Creek 9 75%	32,412 68	103.25	32,007 50
17,000.00	Tutor Perini Co 7.625%18AB4	17,788 46	100 63	17,106 25
3,000 00	United Airlines 9.558%	1,053 40	108 50	985 08
24,000 00	United CMNTYS Bks 6%	24,018 00	100 13	24,030 72
15,000.00	US Airways Grp 6.125%	15,588 75	104 00	15,600.00
7,000 00	Walgreens Boots 4 5% due 11/8/34	7,614 25	109 25	7,647 65
4,000 00	Wash Post Co 7 25% due 2/1/19	4,255 00	109.85	4,393.84
20,000 00	Wells Fargo & Co Var due 12/31/99	20,351 84	110 50	22,100.00
21,000.00	WestRock Co 8.2% due 1/15/30	29,048 04	137 70	28,916.35
5,000.00	West TX Detenton 5.9% due 11/01/22	5,010 00	104 32	5,216 15
15,000.00	Whole Foods Market 5.2% due 12/3/25	15,774 30	108 75	16,311 75
20,000 00	Willacy Cnty Tex 7 8% due 12/1/28	20,157 58	18 00	3,599 20
30,000.00	Zions Bancorp Var Perp	30,025 00	104.98	31,493 10
		908,408 05		901,499 36
TOTALS		2,159,729 43		2,306,176.88
	Total Securities, Bonds, Other Assets	2,159,729 43		2,306,176 88