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 OCT 1, 2015 , and ending SEP 30, 2016

Name of foundation: THE PHILEONA FOUNDATION

A Employer identification number: 41-1763225

Number and street (or P O box number if mail is not delivered to street address): 2950 DEAN PARKWAY — Room/suite: 2501

B Telephone number: (612)331-8493

City or town, state or province, country, and ZIP or foreign postal code: MINNEAPOLIS, MN 55416

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 22,408,342.

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

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	0.		N/A	
	2 Check ▶ [X] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	434,274.	434,274.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-146,336.			
	b Gross sales price for all assets on line 6a 18,617,508.				
	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	240,447.	32,042.		STATEMENT 2
	12 **Total.** Add lines 1 through 11	528,385.	466,316.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 3	85,794.	0.		85,794.
	b Accounting fees				
	c Other professional fees				
	17 Interest				
	18 Taxes STMT 4	10,218.	0.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 5	36,148.	36,123.		25.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	132,160.	36,123.		85,819.
	25 Contributions, gifts, grants paid	1,024,084.			1,024,084.
	26 **Total expenses and disbursements.** Add lines 24 and 25	1,156,244.	36,123.		1,109,903.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-627,859.			
	b **Net investment income** (if negative, enter -0-)		430,193.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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11-24-15 LHA **For Paperwork Reduction Act Notice, see instructions.**

Form **990-PF** (2015)

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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	1,235,408.	18,375,743.	18,375,743.
2 Savings and temporary cash investments			
3 Accounts receivable ▶			
Less: allowance for doubtful accounts ▶			
4 Pledges receivable ▶			
Less: allowance for doubtful accounts ▶			
5 Grants receivable			
6 Receivables due from officers, directors, trustees, and other disqualified persons			
7 Other notes and loans receivable ▶			
Less: allowance for doubtful accounts ▶			
8 Inventories for sale or use			
9 Prepaid expenses and deferred charges			
10a Investments - U.S. and state government obligations			
b Investments - corporate stock			
c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶			
12 Investments - mortgage loans			
13 Investments - other STMT 6	21,169,256.	3,202,562.	4,032,099.
14 Land, buildings, and equipment: basis ▶			
Less accumulated depreciation ▶			
15 Other assets (describe ▶ STATEMENT 7)	500.	500.	500.
16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	22,405,164.	21,578,805.	22,408,342.
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 ▶ OUTSTANDING CHECKS)	455,500.	257,000.	
23 **Total liabilities** (add lines 17 through 22)	455,500.	257,000.	
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	21,956,695.	21,328,836.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
29 Retained earnings, accumulated income, endowment, or other funds	-7,031.	-7,031.	
30 **Total net assets or fund balances**	21,949,664.	21,321,805.	
31 **Total liabilities and net assets/fund balances**	22,405,164.	21,578,805.	

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	21,949,664.
2 Enter amount from Part I, line 27a	2	-627,859.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	21,321,805.
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	21,321,805.

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	CHARLES SCHWAB - SEE ATTACHED	P	03/31/16	09/30/16
b	CHARLES SCHWAB - SEE ATTACHED	P	03/31/14	09/30/16
c	CAPITAL GAINS DIVIDENDS			
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	3,540,700.		3,830,852.	-290,152.
b	14,679,135.		14,932,992.	-253,857.
c	397,673.			397,673.
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				-290,152.
b				-253,857.
c				397,673.
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	-146,336.
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	889,256.	24,204,151.	.036740
2013	575,075.	22,136,471.	.025979
2012	422,092.	19,254,337.	.021922
2011	307,361.	6,655,039.	.046185
2010	343,326.	6,620,849.	.051855

2 **Total** of line 1, column (d)	2	.182681
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	.036536
4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	22,756,888.
5 Multiply line 4 by line 3	5	831,446.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	4,302.
7 Add lines 5 and 6	7	835,748.
8 Enter qualifying distributions from Part XII, line 4	8	1,109,903.

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 ▶ [X] and enter 1% of Part I, line 27b		1	4,302.
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	4,302.
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	4,302.
6 Credits/Payments:			
a 2015 estimated tax payments and 2014 overpayment credited to 2015	6a 264.		
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	264.
8 Enter any **penalty** for underpayment of estimated tax. Check here [X] if Form 2220 is attached		8	117.
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	4,155.
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	
11 Enter the amount of line 10 to be: **Credited to 2016 estimated tax** ▶	Refunded ▶	11	

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*	1b		X
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MN			
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 ▶ M.D. MILLER Telephone no. ▶ (612) 331-8493

Located at ▶ 2950 DEAN PARKWAY, SUITE 2501, MINNEAPOLIS, MN ZIP+4 ▶ 55416

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

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)?	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
SEE STATEMENT 8		0.	0.	0.

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

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

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

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

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

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

Total number of others receiving over $50,000 for professional services ▶ 0

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

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities		1a	9,499,558.
b	Average of monthly cash balances		1b	13,603,882.
c	Fair market value of all other assets		1c	
d	**Total** (add lines 1a, b, and c)		1d	23,103,440.
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	23,103,440.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	346,552.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	22,756,888.
6	**Minimum investment return.** Enter 5% of line 5		6	1,137,844.

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	1,137,844.
2a	Tax on investment income for 2015 from Part VI, line 5	2a 4,302.		
b	Income tax for 2015. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	4,302.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	1,133,542.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	1,133,542.
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	1,133,542.

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	1,109,903.
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	1,109,903.
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	4,302.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,105,601.

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				1,133,542.
2 Undistributed income, if any, as of the end of 2015				
a Enter amount for 2014 only			1,108,644.	
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 ▶$ 1,109,903.				
a Applied to 2014, but not more than line 2a			1,108,644.	
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				1,259.
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				1,132,283.
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).)

SEE STATEMENT 9

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

NONE

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

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

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ACHIEVE MINNEAPOLIS 111 3RD AVE S STE 5 MINNEAPOLIS, MN 55401	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
AMERICAN ASSOCIATION OF THE NATIONAL THEATER 268 WEST 44TH ST, 4TH FLOOR NEW YORK, NY 10036	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
ANIMAL FOLKS 1043 GRAND AVENUE #115 ST PAUL, MN 55105	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
ANN BANCROFT FOUNDATION 211 N 1ST STREET #480 MINNEAPOLIS, MN 55401	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	5,500.
APPALACHIAN TRAIL CONSERVANCY 799 WASHINGTON STREET HARPERS FARRY, WV 25425	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	15,000.
Total .. SEE CONTINUATION SHEET(S)			▶ 3a	1,024,084.
b Approved for future payment				
NONE				
Total ...			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	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	434,274.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			14	32,042.	
8 Gain or (loss) from sales of assets other than inventory			18	-146,336.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a FEDERAL TAX REFUNDS			01	208,405.	
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		528,385.	0.

13 Total. Add line 12, columns (b), (d), and (e) 13 528,385.

(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).
	N/A

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

Marshall Miller 12/5/16 ▶ CHAIRMAN

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
JOEL A. LEBEWITZ	Joel A. Lebewitz, CPA JOEL A. LEBEWITZ	11/11/16		P00051905
Firm's name ▶ LURIE, LLP			Firm's EIN ▶ 41-0721734	
Firm's address ▶ 2501 WAYZATA BOULEVARD MINNEAPOLIS, MN 55405			Phone no. (612)377-4404	

Form **990-PF** (2015)

523622 11-24-15

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
BE THE MATCH 500 NORTH 5TH STREET MINNEAPOLIS, MN 55401	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
BROADWAY CARES 165 WEST 46TH STREET STE 1300 NEW YORK, NY 10036	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,250.
BURLINGTON CITY ARTS 135 CHURCH ST BURLINGTON, VT 05401	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	5,000.
CAMP BOGGY CREEK 30500 BRANTLEY BRANCH RD EUSTIS, FL 32736	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
CHILDREN'S FOUNDATION 2049 CENTURY PARK E LOS ANGELES, CA 90067	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	20,000.
CORAL RESTORATION FOUNDATION 5 SEAGATE BLVD KEY LARGO, FL 33037	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	10,000.
DARK AND STORMY PRODUCTIONS 77 13TH AVE NE STUDIO 202 MINNEAPOLIS, MN 55413	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	4,000.
GREYWOLF PRESS 250 THIRD AVENUE NORTH SUITE 600 MINNEAPOLIS, MN 55401	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
GUTHRIE THEATRE 818 S 2ND ST MINNEAPOLIS, MN 55415	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	25,000.
HADASSAH FOUNDATION 40 WALL STREET NEW YORK, NY 10005	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	500.
Total from continuation sheets				999,084.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
HENNEPIN THEATRE TRUST 615 HENNEPIN AVE MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
HERZL CAMP 7204 W 27TH ST #226 ST LOUIS PARK, MN 55426	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
JEWISH FAMILY AND CHILDRENS SERVICE OF MPLS 13100 WAYZATA BLVD STE 200 MINNEAPOLIS, MN 55305	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
LAKE FOREST COLLEGE 555 N SHERIDAN RD LAKE FOREST, IL 60045	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
MAINSPRING ARTS COOPERATIVE 127 LAMOREE ROAD RHINEBECK, NY 12572	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	15,000.
MIDWAY CONTEMPORARY ART 527 SE 2ND AVE MINNEAPOLIS, MN 55414	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	4,500.
MINNEAPOLIS JEWISH FEDERATION 13100 WAYZATA BLVD STE 200 MINNEAPOLIS, MN 55305	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	200,000.
MINNESOTA PUBLIC RADIO 480 CEDAR ST ST PAUL, MN 55101	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
MISSION ANIMAL HOSPITAL 10100 VIKING DR STE 150 EDEN PRAIRIE, MN 55344	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	310,000.
NORTHSIDE ACHIEVEMENT ZONE 2123 W BROADWAY AVE STE 100 MINNEAPOLIS, MN 55411	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
Total from continuation sheets				

523631
04-01-15

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NOVA SOUTHEASTERN UNIVERSITY 3301 COLLEGE AVE FORT LAUDERDALE, FL 33314	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	95,000.
PAB'S PACKS 811 GLENWOOD AVENUE #370 MINNEAPOLIS, MN 55405	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
PLAYWRIGHT CENTER 5301 E FRANKLIN MINNEAPOLIS, MN 55406	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
SABES JEWISH COMMUNITY CENTER 4330 S CEDAR LAKE RD MINNEAPOLIS, MN 55416	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	500.
SEA TURTLE OVERSIGHT PROTECTION 3104 NE 9TH STREET FORT LAUDERDALE, FL 33304	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	10,000.
SECONDHAND HOUNDS 10100 VIKING DR STE 150 EDEN PRAIRIE, MN 55344	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
SOS CHILDREN'S VILLAGES 1383 LYONS ROAD COCONUT CREEK, FL 33073	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,500.
SPECIAL OPERATIONS WARRIOR PO BOX 89367 TAMPA, FL 33689	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,500.
TEMPLE ISRAEL 2324 EMERSON AVE S MINNEAPOLIS, MN 55405	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	200,000.
THE PINK AGENDA 60 EAST 56TH STREET, 8TH FLOOR NEW YORK, NY 10022	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	1,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE PUBLIC THEATER 425 LAFAYETTE ST NEW YORK, NY 10003	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	3,000.
THEATRE COMMUNICATION GROUP 520 EIGHTH AVE, 24TH FLOOR NEW YORK, NY 10018	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	6,500.
UNIVERSITY OF MINNESOTA FOUNDATION 200 OAK ST SE, STE 300 MINNEAPOLIS, MN 55455	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	500.
UNIVERSITY OF MINNESOTA SCHOOL OF VETERINARY MEDICINE 1365 GORTNER AVE MINNEAPOLIS, MN 55108	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	62,834.
WALKER ART CENTER 1750 HENNEPIN AVE MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITY	GENERAL CHARITABLE	2,500.
Total from continuation sheets				

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
CHARLES SCHWAB - DIVIDENDS	655,942.	397,673.	258,269.	258,269.	
CHARLES SCHWAB - INTEREST	79,064.	0.	79,064.	79,064.	
IRS	96,941.	0.	96,941.	96,941.	
TO PART I, LINE 4	831,947.	397,673.	434,274.	434,274.	

FORM 990-PF OTHER INCOME STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
K-1 - HATTERAS MULTI-STRATEGY FUND	32,042.	32,042.	
FEDERAL TAX REFUNDS	208,405.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	240,447.	32,042.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	85,794.	0.		85,794.
TO FM 990-PF, PG 1, LN 16A	85,794.	0.		85,794.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PAYMENTS & PENALTIES	10,218.	0.		0.
TO FORM 990-PF, PG 1, LN 18	10,218.	0.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MN FILING FEE	25.	0.		25.
INVESTMENT FEES	32,785.	32,785.		0.
PORTFOLIO DEDUCTION - K-1 - HATTERAS FUND	3,338.	3,338.		0.
TO FORM 990-PF, PG 1, LN 23	36,148.	36,123.		25.

FORM 990-PF OTHER INVESTMENTS STATEMENT 6

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SCHWAB	COST	3,202,562.	4,032,099.
TOTAL TO FORM 990-PF, PART II, LINE 13		3,202,562.	4,032,099.

FORM 990-PF OTHER ASSETS STATEMENT 7

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
DUE FROM DAVID MILLER	500.	500.	500.
TO FORM 990-PF, PART II, LINE 15	500.	500.	500.

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

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
M.D. MILLER 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	CHAIRMAN 1.00	0.	0.	0.
M.J. MILLER 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	DIRECTOR 1.00	0.	0.	0.
D.J. MILLER 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	DIRECTOR 1.00	0.	0.	0.
S.L. MILLER 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	DIRECTOR 1.00	0.	0.	0.
T. SLEDD 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	DIRECTOR 1.00	0.	0.	0.
S.D. MILLER 2950 DEAN PARKWAY MINNEAPOLIS, MN 55416	DIRECTOR 1.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF PART XV - LINE 1A LIST OF FOUNDATION MANAGERS STATEMENT 9

NAME OF MANAGER

M.D. MILLER
D.J. MILLER
S.L. MILLER
S.D. MILLER

Meristem
601 Carlson Parkway, Suite 800
Minnetonka, MN 55305

Realized Gains and Losses

From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074
Phileona

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Fed Farm Cr Bk 07/16/2019 1 625%	01/10/2013	10/22/2015	100,000 000	100,400 11	100,000 00		-400 11	-400 11
Fed Home Ln Bk 07/30/2019 1 00%	01/11/2013	10/30/2015	100,000 000	100,025 00	100,000 00		-25 00	-25 00
Aston/River Road Dividend All Cap -	04/24/2009	01/12/2016	12,481 184	93,113 03	133,793 83		40,680 80	40,680 80
Aston/River Road Dividend All Cap -	04/30/2009	01/12/2016	41 821	313 25	448 31		135 06	135 06
Aston/River Road Dividend All Cap -	05/01/2009	01/12/2016	5,999 823	45,000 00	64,315 96		19,315 96	19,315 96
Aston/River Road Dividend All Cap -	05/29/2009	01/12/2016	3,367 127	25,691 36	36,094 40		10,403 04	10,403 04
Aston/River Road Dividend All Cap -	09/30/2010	01/12/2016	108 839	1,077 51	1,166 71		89 20	89 20
Aston/River Road Dividend All Cap -	10/29/2010	01/12/2016	58 215	594 96	624 04		29 08	29 08
Aston/River Road Dividend All Cap -	11/30/2010	01/12/2016	121 988	1,241 84	1,307 67		65 83	65 83
Aston/River Road Dividend All Cap -	12/29/2010	01/12/2016	123 867	1,327 85	1,327 81		-0 04	-0 04
Aston/River Road Dividend All Cap -	01/31/2011	01/12/2016	37 354	400 81	400 42		-0 39	-0 39
Aston/River Road Dividend All Cap -	02/28/2011	01/12/2016	128 146	1,410 89	1,373 68		-37 21	-37 21
Aston/River Road Dividend All Cap -	03/31/2011	01/12/2016	126 593	1,396 32	1,357 03		-39 29	-39 29
Aston/River Road Dividend All Cap -	04/29/2011	01/12/2016	79 455	899 43	851 73		-47 70	-47 70
Aston/River Road Dividend All Cap -	05/31/2011	01/12/2016	126 473	1,430 41	1,355 74		-74 67	-74 67
Aston/River Road Dividend All Cap -	06/30/2011	01/12/2016	166 975	1,853 42	1,789 91		-63 51	-63 51
Aston/River Road Dividend All Cap -	07/29/2011	01/12/2016	31 243	336 49	334 91		-1 58	-1 58
Aston/River Road Dividend All Cap -	08/31/2011	01/12/2016	140 523	1,468 47	1,506 36		37 89	37 89
Aston/River Road Dividend All Cap -	09/30/2011	01/12/2016	98 652	975 67	1,057 51		81 84	81 84
Aston/River Road Dividend All Cap -	10/31/2011	01/12/2016	49 781	531 16	533 63		2 47	2 47
Aston/River Road Dividend All Cap -	11/30/2011	01/12/2016	176 786	1,905 75	1,895 09		-10 66	-10 66
Aston/River Road Dividend All Cap -	12/29/2011	01/12/2016	128 894	1,407 52	1,381 69		-25 83	-25 83
Aston/River Road Dividend All Cap -	12/29/2011	01/12/2016	304 934	3,329 88	3,268 78		-61 10	-61 10
Aston/River Road Dividend All Cap -	01/31/2012	01/12/2016	32 636	362 26	349 85		-12 41	-12 41
Aston/River Road Dividend All Cap -	02/29/2012	01/12/2016	149 959	1,688 54	1,607 51		-81 03	-81 03
Aston/River Road Dividend All Cap -	03/30/2012	01/12/2016	93 109	1,067 03	998 10		-68 93	-68 93
Aston/River Road Dividend All Cap -	04/30/2012	01/12/2016	68 969	786 25	739 33		-46 92	-46 92
Aston/River Road Dividend All Cap -	05/31/2012	01/12/2016	181 305	1,978 04	1,943 53		-34 51	-34 51
Aston/River Road Dividend All Cap -	06/29/2012	01/12/2016	131 202	1,489 14	1,406 44		-82 70	-82 70
Aston/River Road Dividend All Cap -	07/31/2012	01/12/2016	59 300	681 36	635 68		-45 68	-45 68
Aston/River Road Dividend All Cap -	08/31/2012	01/12/2016	173 361	2,012 72	1,858 37		-154 35	-154 35
Aston/River Road Dividend All Cap -	09/28/2012	01/12/2016	88 509	1,039 10	948 79		-90 31	-90 31
Aston/River Road Dividend All Cap -	10/31/2012	01/12/2016	121 820	1,420 42	1,305 87		-114 55	-114 55
Aston/River Road Dividend All Cap -	11/15/2012	01/12/2016	13,999 107	156,000 00	150,065 43		-5,934 57	-5,934 57
Aston/River Road Dividend All Cap -	11/30/2012	01/12/2016	216 301	2,491 79	2,318 67		-173 12	-173 12
Aston/River Road Dividend All Cap -	12/28/2012	01/12/2016	337 937	3,697 03	3,622 56		-74 47	-74 47
Aston/River Road Dividend All Cap -	12/28/2012	01/12/2016	579 155	6,335 96	6,208 33		-127 63	-127 63

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Aston/River Road Dividend All Cap -	12/28/2012	01/12/2016	1,974 079	21,596 42	21,161 43		-434 99	-434 99
Aston/River Road Dividend All Cap -	01/31/2013	01/12/2016	14 564	171 27	156 12		-15 15	-15 15
Aston/River Road Dividend All Cap -	02/15/2013	01/12/2016	13,050 213	156,000 00	139,893 62		-16,106 38	-16,106 38
Aston/River Road Dividend All Cap -	02/28/2013	01/12/2016	251 436	2,999 63	2,695 30		-304 33	-304 33
Aston/River Road Dividend All Cap -	03/28/2013	01/12/2016	44 134	554 32	473 10		-81 22	-81 22
Aston/River Road Dividend All Cap -	05/15/2013	01/12/2016	13,895 571	185,000 00	148,955 56		-36,044 44	-36,044 44
Aston/River Road Dividend All Cap -	05/31/2013	01/12/2016	309 231	4,004 54	3,314 85		-689 69	-689 69
Aston/River Road Dividend All Cap -	06/28/2013	01/12/2016	207 236	2,662 98	2,221 50		-441 48	-441 48
Aston/River Road Dividend All Cap -	08/15/2013	01/12/2016	14,064 643	185,000 00	150,767 95		-34,232 05	-34,232 05
Aston/River Road Dividend All Cap -	08/30/2013	01/12/2016	360 711	4,631 53	3,866 69		-764 84	-764 84
Aston/River Road Dividend All Cap -	09/30/2013	01/12/2016	167 821	2,237 06	1,798 98		-438 08	-438 08
Aston/River Road Dividend All Cap -	10/31/2013	01/12/2016	128 524	1,796 76	1,377 73		-419 03	-419 03
Aston/River Road Dividend All Cap -	11/18/2013	01/12/2016	13,079 919	185,000 00	140,212 06		-44,787 94	-44,787 94
Aston/River Road Dividend All Cap -	11/29/2013	01/12/2016	473 918	6,691 72	5,080 23		-1,611 49	-1,611 49
Aston/River Road Dividend All Cap -	12/30/2013	01/12/2016	343 439	4,632 99	3,681 55		-951 44	-951 44
Aston/River Road Dividend All Cap -	12/30/2013	01/12/2016	699 531	9,436 67	7,498 72		-1,937 95	-1,937 95
Aston/River Road Dividend All Cap -	12/30/2013	01/12/2016	6,662 714	89,880 01	71,421 91		-18,458 10	-18,458 10
Aston/River Road Dividend All Cap -	02/28/2014	01/12/2016	596 709	7,972 03	6,396 51		-1,575 52	-1,575 52
Aston/River Road Dividend All Cap -	03/31/2014	01/12/2016	363 234	4,896 39	3,893 74		-1,002 65	-1,002 65
Aston/River Road Dividend All Cap -	04/30/2014	01/12/2016	97 553	1,318 92	1,045 74		-273 18	-273 18
Aston/River Road Dividend All Cap -	05/30/2014	01/12/2016	499 027	6,821 70	5,349 39		-1,472 31	-1,472 31
Aston/River Road Dividend All Cap -	06/30/2014	01/12/2016	285 262	3,987 96	3,057 91		-930 05	-930 05
Aston/River Road Dividend All Cap -	07/31/2014	01/12/2016	380 312	5,179 85	4,076 80		-1,103 05	-1,103 05
Aston/River Road Dividend All Cap -	08/29/2014	01/12/2016	252 338	3,573 10	2,704 97		-868 13	-868 13
Aston/River Road Dividend All Cap -	09/30/2014	01/12/2016	661 943	9,114 96	7,095 79		-2,019 17	-2,019 17
Aston/River Road Dividend All Cap -	10/31/2014	01/12/2016	469 020	6,585 04	5,027 72		-1,557 32	-1,557 32
Aston/River Road Dividend All Cap -	11/28/2014	01/12/2016	268 134	3,850 40	2,874 30		-976 10	-976 10
Aston/River Road Dividend All Cap -	12/30/2014	01/12/2016	501 880	6,675 00	5,379 97		-1,295 03	-1,295 03
Aston/River Road Dividend All Cap -	12/30/2014	01/12/2016	11,707 850	155,714 41	125,503 97		-30,210 44	-30,210 44
Aston/River Road Dividend All Cap -	03/31/2015	01/12/2016	331 759	4,385 86	3,556 34	-829 52		-829 52
Aston/River Road Dividend All Cap -	04/30/2015	01/12/2016	116 569	1,548 04	1,249 58	-298 46		-298 46
Aston/River Road Dividend All Cap -	05/29/2015	01/12/2016	286 584	3,800 11	3,072 08	-728 03		-728 03
Aston/River Road Dividend All Cap -	06/30/2015	01/12/2016	371 850	4,744 81	3,986 10	-758 71		-758 71
Aston/River Road Dividend All Cap -	07/31/2015	01/12/2016	116 903	1,497 53	1,253 16	-244 37		-244 37
Aston/River Road Dividend All Cap -	08/31/2015	01/12/2016	339 450	4,114 14	3,638 78	-475 36		-475 36
Aston/River Road Dividend All Cap -	09/30/2015	01/12/2016	391 736	4,653 82	4,199 27	-454 55		-454 55
Aston/River Road Dividend All Cap -	10/30/2015	01/12/2016	122 471	1,550 48	1,312 85	-237 63		-237 63
Aston/River Road Dividend All Cap -	12/30/2015	01/12/2016	781 478	8,822 89	8,377 16	-445 73		-445 73
Aston/River Road Dividend All Cap -	12/30/2015	01/12/2016	15,124 284	170,753 17	162,126 95	-8,626 22		-8,626 22
			139,925 373	1,650,612 17	1,499,950 05	-13,098 58	-137,563 54	-150,662 12
Aurora Horizons Y	03/31/2014	01/12/2016	87,101 325	915,468 01	824,802 04		-90,665 97	-90,665 97
Aurora Horizons Y	12/22/2014	01/12/2016	298 382	3,043 50	2,825 52		-217 98	-217 98
Aurora Horizons Y	12/22/2014	01/12/2016	399 486	4,074 76	3,782 91		-291 85	-291 85
Aurora Horizons Y	12/22/2014	01/12/2016	1,494 325	15,242 12	14,150 44		-1,091 68	-1,091 68

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Aurora Horizons Y	12/21/2015	01/12/2016	2,286 066	21,831 93	21,647 80	-184 13		-184 13
			91,579 584	959,660 32	867,208 71	-184 13	-92,267 48	-92,451 61
Blackstone Alt Multi-Strategy	03/23/2015	01/12/2016	49,701 789	516,430 25	499,950 05	-16,480 20		-16,480 20
BMO Harris Bank 10/29/2025 2 125%	10/26/2015	01/12/2016	100,000 000	100,025 00	98,435 00	-1,590 00		-1,590 00
Fed Home Ln Bk 02/21/2020 0 75%	01/25/2013	01/12/2016	100,000 000	100,025 00	99,375 00		-650 00	-650 00
Fed Natl Mtg 12/27/2019 0 75%	12/11/2012	01/12/2016	100,000 000	100,025 00	99,635 00		-390 00	-390 00
Fed Natl Mtg 01/30/2020 1 00%	02/06/2013	01/12/2016	100,000 000	100,025 00	99,425 00		-600 00	-600 00
Goldman Sachs Strategic Income Instl	11/19/2013	01/12/2016	37,803 694	398,122 61	360,629 22		-37,493 39	-37,493 39
Goldman Sachs Strategic Income Instl	11/29/2013	01/12/2016	3 464	36 51	33 05		-3 46	-3 46
Goldman Sachs Strategic Income Instl	11/29/2013	01/12/2016	33 613	354 28	320 65		-33 63	-33 63
Goldman Sachs Strategic Income Instl	12/31/2013	01/12/2016	112 601	1,200 33	1,074 16		-126 17	-126 17
Goldman Sachs Strategic Income Instl	01/31/2014	01/12/2016	82 589	873 79	787 86		-85 93	-85 93
Goldman Sachs Strategic Income Instl	02/28/2014	01/12/2016	79 361	841 23	757 06		-84 17	-84 17
Goldman Sachs Strategic Income Instl	03/28/2014	01/12/2016	37,518 766	400,000 00	357,911 15		-42,088 85	-42,088 85
Goldman Sachs Strategic Income Instl	03/31/2014	01/12/2016	90 557	963 53	863 87		-99 66	-99 66
Goldman Sachs Strategic Income Instl	04/30/2014	01/12/2016	161 693	1,713 95	1,542 47		-171 48	-171 48
Goldman Sachs Strategic Income Instl	05/30/2014	01/12/2016	168 824	1,787 85	1,610 50		-177 35	-177 35
Goldman Sachs Strategic Income Instl	06/02/2014	01/12/2016	28,164 324	300,000 00	268,674 23		-31,325 77	-31,325 77
Goldman Sachs Strategic Income Instl	06/30/2014	01/12/2016	214 501	2,265 13	2,046 24		-218 89	-218 89
Goldman Sachs Strategic Income Instl	07/31/2014	01/12/2016	211 024	2,243 19	2,013 07		-230 12	-230 12
Goldman Sachs Strategic Income Instl	09/30/2014	01/12/2016	176 792	1,872 23	1,686 52		-185 71	-185 71
			104,821 803	1,112,274 63	999,950 05		-112,324 58	-112,324 58
Harding Loevner Global Equity - Inst	04/24/2009	01/12/2016	4,134 396	65,934 28	118,570 09		52,635 81	52,635 81
Harding Loevner Global Equity - Inst	05/01/2009	01/12/2016	3,281 781	53,125 00	94,118 00		40,993 00	40,993 00
Harding Loevner Global Equity - Inst	05/15/2009	01/12/2016	3,218 134	53,125 00	92,292 67		39,167 67	39,167 67
Harding Loevner Global Equity - Inst	05/22/2009	01/12/2016	264 788	4,487 69	7,593 84		3,106 15	3,106 15
Harding Loevner Global Equity - Inst	12/17/2010	01/12/2016	50 745	1,229 54	1,455 32		225 78	225 78
Harding Loevner Global Equity - Inst	12/17/2010	01/12/2016	133 816	3,242 36	3,837 70		595 34	595 34
Harding Loevner Global Equity - Inst	12/19/2011	01/12/2016	92 384	1,983 49	2,649 47		665 98	665 98
Harding Loevner Global Equity - Inst	12/19/2011	01/12/2016	207 656	4,458 38	5,955 35		1,496 97	1,496 97
Harding Loevner Global Equity - Inst	11/15/2012	01/12/2016	4,096 314	100,000 00	117,477 93		17,477 93	17,477 93
Harding Loevner Global Equity - Inst	12/20/2012	01/12/2016	110 465	2,886 46	3,168 02		281 56	281 56
Harding Loevner Global Equity - Inst	02/15/2013	01/12/2016	3,688 194	100,000 00	105,773 49		5,773 49	5,773 49
Harding Loevner Global Equity - Inst	05/15/2013	01/12/2016	4,583 776	130,000 00	131,457 83		1,457 83	1,457 83

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Harding Loevner Global Equity - Inst	08/15/2013	01/12/2016	4,621 268	130,000 00	132,533 07		2,533 07	2,533 07
Harding Loevner Global Equity - Inst	11/18/2013	01/12/2016	4,311 548	130,000 00	123,650 62		-6,349 38	-6,349 38
Harding Loevner Global Equity - Inst	12/20/2013	01/12/2016	3 223	97 83	92 44		-5 39	-5 39
Harding Loevner Global Equity - Inst	12/20/2013	01/12/2016	172 516	5,235 86	4,947 58		-288 28	-288 28
Harding Loevner Global Equity - Inst	12/20/2013	01/12/2016	185 500	5,629 94	5,319 94		-310 00	-310 00
Harding Loevner Global Equity - Inst	06/30/2014	01/12/2016	9,961 681	325,000 00	285,690 43		-39,309 57	-39,309 57
Harding Loevner Global Equity - Inst	12/19/2014	01/12/2016	193 814	6,101 27	5,558 38		-542 89	-542 89
Harding Loevner Global Equity - Inst	12/19/2014	01/12/2016	2,045 816	64,402 30	58,671 83		-5,730 47	-5,730 47
Harding Loevner Global Equity - Inst	12/18/2015	01/12/2016	214 392	6,526 09	6,148 53	-377 56		-377 56
Harding Loevner Global Equity - Inst	12/18/2015	01/12/2016	1,498 923	45,627 22	42,987 52	-2,639 70		-2,639 70
			47,071 130	1,239,092 71	1,349,950 05	-3,017 26	113,874 60	110,857 34
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 98	8,606 80		4,547 82	4,547 82
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 98	8,606 80		4,547 82	4,547 82
iShares S&P 100 Index	04/24/2009	01/12/2016	44 142	1,791 70	3,799 17		2,007 47	2,007 47
iShares S&P 100 Index	04/24/2009	01/12/2016	55 859	2,267 29	4,807 63		2,540 34	2,540 34
			100 000	4,058 99	8,606 80		4,547 81	4,547 81
iShares S&P 100 Index	04/24/2009	01/12/2016	44 142	1,791 69	3,799 17		2,007 48	2,007 48
iShares S&P 100 Index	04/24/2009	01/12/2016	55 859	2,267 28	4,807 63		2,540 35	2,540 35
			100 000	4,058 97	8,606 80		4,547 83	4,547 83
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 96	8,606 80		4,547 84	4,547 84
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 96	8,606 80		4,547 84	4,547 84
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 96	8,606 80		4,547 84	4,547 84
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 96	8,606 80		4,547 84	4,547 84
iShares S&P 100 Index	04/24/2009	01/12/2016	300 000	12,176 89	25,820 40		13,643 51	13,643 51
iShares S&P 100 Index	04/24/2009	01/12/2016	44 142	1,791 69	3,799 17		2,007 48	2,007 48
iShares S&P 100 Index	04/24/2009	01/12/2016	55 859	2,267 26	4,807 63		2,540 37	2,540 37
			100 000	4,058 95	8,606 80		4,547 85	4,547 85
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 95	8,606 80		4,547 85	4,547 85
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 94	8,606 80		4,547 86	4,547 86
iShares S&P 100 Index	04/24/2009	01/12/2016	44 142	1,791 68	3,799 17		2,007 49	2,007 49

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P 100 Index	04/24/2009	01/12/2016	55 859	2,267 26	4,807 63		2,540 37	2,540 37
			100 000	4,058 94	8,606 80		4,547 86	4,547 86
iShares S&P 100 Index	04/24/2009	01/12/2016	44 142	1,791 68	3,799 17		2,007 49	2,007 49
iShares S&P 100 Index	04/24/2009	01/12/2016	355 859	14,441 03	30,628 04		16,187 01	16,187 01
			400 000	16,232 71	34,427 21		18,194 50	18,194 50
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	300 000	12,174 25	25,820 40		13,646 15	13,646 15
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	200 000	8,116 17	17,213 60		9,097 43	9,097 43
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	200 000	8,116 17	17,213 60		9,097 43	9,097 43
iShares S&P 100 Index	04/24/2009	01/12/2016	500 000	20,290 42	43,034 01		22,743 59	22,743 59
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	300 000	12,174 25	25,820 40		13,646 15	13,646 15

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	200 000	8,116 17	17,213 60		9,097 43	9,097 43
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,058 08	8,606 80		4,548 72	4,548 72
iShares S&P 100 Index	04/24/2009	01/12/2016	260 000	10,551 02	22,375 09		11,824 07	11,824 07
iShares S&P 100 Index	04/24/2009	01/12/2016	500 000	20,290 42	43,043 96		22,753 54	22,753 54
iShares S&P 100 Index	05/01/2009	01/12/2016	200 000	8,138 66	17,213 60		9,074 94	9,074 94
iShares S&P 100 Index	04/24/2009	01/12/2016	55 859	2,267 29	4,807 63		2,540 34	2,540 34
iShares S&P 100 Index	04/24/2009	01/12/2016	100 000	4,059 08	8,606 80		4,547 72	4,547 72
iShares S&P 100 Index	04/24/2009	01/12/2016	200 000	8,117 98	17,213 60		9,095 62	9,095 62
iShares S&P 100 Index	05/01/2009	01/12/2016	244 142	9,934 93	21,012 78		11,077 85	11,077 85
			600 000	24,379 28	51,640 81		27,261 53	27,261 53
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 20	8,606 80		2,423 60	2,423 60
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 20	8,606 80		2,423 60	2,423 60
iShares S&P 100 Index	11/15/2012	01/12/2016	800 000	49,465 56	68,854 41		19,388 85	19,388 85
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 20	8,606 80		2,423 60	2,423 60
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 19	8,606 80		2,423 61	2,423 61
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 20	8,606 80		2,423 60	2,423 60
iShares S&P 100 Index	11/15/2012	01/12/2016	800 000	49,465 56	68,854 41		19,388 85	19,388 85
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 19	8,606 80		2,423 61	2,423 61
iShares S&P 100 Index	11/15/2012	01/12/2016	300 000	18,549 59	25,820 40		7,270 81	7,270 81
iShares S&P 100 Index	05/01/2009	01/12/2016	191 859	7,807 36	16,512 88		8,705 52	8,705 52
iShares S&P 100 Index	11/15/2012	01/12/2016	100 000	6,183 19	8,606 80		2,423 61	2,423 61
iShares S&P 100 Index	11/15/2012	01/12/2016	408 142	25,236 18	35,127 93		9,891 75	9,891 75
			700 000	39,226 73	60,247 61		21,020 88	21,020 88
iShares S&P 100 Index	11/15/2012	01/12/2016	23 859	1,475 22	2,053 45		578 23	578 23
iShares S&P 100 Index	12/27/2012	01/12/2016	103 412	6,659 54	8,900 47		2,240 93	2,240 93

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P 100 Index	02/15/2013	01/12/2016	72 730	5,006 86	6,259 68		1,252 82	1,252 82
			200 000	13,141 62	17,213 60		4,071 98	4,071 98
iShares S&P 100 Index	02/15/2013	01/12/2016	357 271	24,595 32	30,749 55		6,154 23	6,154 23
iShares S&P 100 Index	04/02/2013	01/12/2016	83 991	5,938 71	7,228 98		1,290 27	1,290 27
iShares S&P 100 Index	05/15/2013	01/12/2016	148 538	11,085 70	12,784 32		1,698 62	1,698 62
iShares S&P 100 Index	07/03/2013	01/12/2016	110 201	7,966 08	9,484 76		1,518 68	1,518 68
			700 000	49,585 81	60,247 61		10,661 80	10,661 80
iShares S&P 100 Index	02/15/2013	01/12/2016	600 000	41,305 37	51,640 81		10,335 44	10,335 44
iShares S&P 100 Index	02/15/2013	01/12/2016	100 000	6,884 23	8,606 80		1,722 57	1,722 57
iShares S&P 100 Index	02/15/2013	01/12/2016	100 000	6,884 23	8,606 80		1,722 57	1,722 57
iShares S&P 100 Index	02/15/2013	01/12/2016	100 000	6,884 23	8,606 80		1,722 57	1,722 57
iShares S&P 100 Index	02/15/2013	01/12/2016	400 000	27,536 91	34,427 21		6,890 30	6,890 30
iShares S&P 100 Index	02/15/2013	01/12/2016	600 000	41,305 36	51,640 81		10,335 45	10,335 45
iShares S&P 100 Index	02/15/2013	01/12/2016	300 000	20,652 68	25,820 40		5,167 72	5,167 72
iShares S&P 100 Index	02/15/2013	01/12/2016	100 000	6,884 23	8,606 80		1,722 57	1,722 57
iShares S&P 100 Index	05/15/2013	01/12/2016	200 000	14,926 47	17,215 60		2,289 13	2,289 13
iShares S&P 100 Index	05/15/2013	01/12/2016	300 000	22,389 70	25,823 40		3,433 70	3,433 70
iShares S&P 100 Index	05/15/2013	01/12/2016	100 000	7,463 23	8,607 80		1,144 57	1,144 57
iShares S&P 100 Index	05/15/2013	01/12/2016	100 000	7,463 23	8,607 80		1,144 57	1,144 57
iShares S&P 100 Index	05/15/2013	01/12/2016	100 000	7,463 23	8,606 80		1,143 57	1,143 57
iShares S&P 100 Index	05/15/2013	01/12/2016	100 000	7,463 23	8,607 80		1,144 57	1,144 57
iShares S&P 100 Index	05/15/2013	01/12/2016	400 000	29,852 94	34,427 21		4,574 27	4,574 27
iShares S&P 100 Index	05/15/2013	01/12/2016	300 000	22,389 70	25,820 40		3,430 70	3,430 70
iShares S&P 100 Index	05/15/2013	01/12/2016	100 000	7,463 23	8,606 80		1,143 57	1,143 57
iShares S&P 100 Index	05/15/2013	01/12/2016	400 000	29,852 94	34,427 21		4,574 27	4,574 27

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P 100 Index	08/15/2013	01/12/2016	1,400 000	104,693 89	120,509 21		15,815 32	15,815 32
iShares S&P 100 Index	05/15/2013	01/12/2016	436 463	32,574 22	37,569 82		4,995 60	4,995 60
iShares S&P 100 Index	08/15/2013	01/12/2016	963 538	72,054 64	82,939 39		10,884 75	10,884 75
			1,400 000	104,628 86	120,509 21		15,880 35	15,880 35
iShares S&P 100 Index	11/15/2013	01/12/2016	77 463	6,229 74	6,667 82		438 08	438 08
iShares S&P 100 Index	12/31/2013	01/12/2016	22 538	1,851 11	1,939 98		88 87	88 87
			100 000	8,080 85	8,607 80		526 95	526 95
iShares S&P 100 Index	11/15/2013	01/12/2016	100 000	8,042 26	8,607 80		565 54	565 54
iShares S&P 100 Index	11/15/2013	01/12/2016	100 000	8,042 26	8,607 80		565 54	565 54
iShares S&P 100 Index	11/15/2013	01/12/2016	200 000	16,084 52	17,215 60		1,131 08	1,131 08
iShares S&P 100 Index	11/15/2013	01/12/2016	100 000	8,042 26	8,607 80		565 54	565 54
iShares S&P 100 Index	11/15/2013	01/12/2016	300 000	24,126 78	25,823 40		1,696 62	1,696 62
iShares S&P 100 Index	11/15/2013	01/12/2016	141 000	11,339 58	12,137 00		797 42	797 42
iShares S&P 100 Index	11/15/2013	01/12/2016	178 000	14,315 22	15,321 89		1,006 67	1,006 67
iShares S&P 100 Index	11/15/2013	01/12/2016	100 000	8.042 26	8,607 80		565 54	565 54
iShares S&P 100 Index	11/15/2013	01/12/2016	100 000	8,042 26	8,607 80		565 54	565 54
iShares S&P 100 Index	08/15/2013	01/12/2016	306 463	22,917 68	26,379 68		3,462 00	3,462 00
iShares S&P 100 Index	11/15/2013	01/12/2016	1,093 538	87,945 12	94,129 53		6,184 41	6,184 41
			1,400 000	110,862 80	120,509 21		9,646 41	9,646 41
iShares S&P 100 Index	12/31/2013	01/12/2016	121 103	9,946 76	10,424 31		477 55	477 55
iShares S&P 100 Index	04/01/2014	01/12/2016	78 897	6,569 40	6,791 29		221 89	221 89
			200 000	16,516 16	17,215 60		699 44	699 44
iShares S&P 100 Index	07/01/2014	01/12/2016	114 541	9,961 80	9,859 45		-102 35	-102 35
iShares S&P 100 Index	10/01/2014	01/12/2016	80 714	7,066 71	6,947 74		-118 97	-118 97
iShares S&P 100 Index	10/02/2015	01/12/2016	90 745	7,615 14	7,811 12	195 98		195 98
			286 000	24,643 65	24,618 31	195 98	-221 32	-25 34
iShares S&P 100 Index	01/02/2015	01/12/2016	133 207	12,170 88	11,466 14		-704 74	-704 74

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P 100 Index	04/01/2015	01/12/2016	130 732	11,705 37	11,253 17	-452 20		-452 20
iShares S&P 100 Index	07/01/2015	01/12/2016	36 061	3,306 78	3,104 09	-202 69		-202 69
			300 000	27,183 03	25,823 40	-654 89	-704 74	-1,359 63
iShares S&P 100 Index	07/01/2015	01/12/2016	100 000	9,169 90	8,607 80	-562 10		-562 10
iShares S&P 100 Index	04/01/2014	01/12/2016	38 724	3,224 39	3,333 30		108 91	108 91
iShares S&P 100 Index	10/02/2015	01/12/2016	61 276	5,142 16	5,274 50	132 34		132 34
			100 000	8,366 55	8,607 80	132 34	108 91	241 25
iShares S&P 100 Index	04/01/2015	01/12/2016	7 955	712 30	684 71	-27 59		-27 59
iShares S&P 100 Index	01/04/2016	01/12/2016	92 045	8,221 15	7,922 09	-299 06		-299 06
			100 000	8,933 45	8,606 80	-326 65		-326 65
iShares S&P 100 Index	10/01/2014	01/12/2016	47 978	4,200 57	4,129 37		-71 20	-71 20
iShares S&P 100 Index	01/04/2016	01/12/2016	52 022	4,646 45	4,477 43	-169 02		-169 02
			100 000	8,847 02	8,606 80	-169 02	-71 20	-240 22
iShares S&P Smallcap 600	06/30/2014	01/12/2016	713 924	79,764 93	72,304 67		-7,460 26	-7,460 26
iShares S&P Smallcap 600	01/02/2015	01/12/2016	32 343	3,699 51	3,275 59		-423 92	-423 92
iShares S&P Smallcap 600	04/01/2015	01/12/2016	29 168	3,414 12	2,954 10	-460 02		-460 02
iShares S&P Smallcap 600	07/01/2015	01/12/2016	24 565	2,920 27	2,487 92	-432 35		-432 35
			800 000	89,798 83	81,022 28	-892 37	-7,884 18	-8,776 55
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,261 13		-2,084 37	-2,084 37
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,255 37		-2,090 13	-2,090 13
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,261 13		-2,084 37	-2,084 37
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 51	20,261 13		-2,084 38	-2,084 38
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,255 37		-2,090 13	-2,090 13
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 51	20,261 13		-2,084 38	-2,084 38
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,261 13		-2,084 37	-2,084 37
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 51	20,255 37		-2,090 14	-2,090 14
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,261 13		-2,084 37	-2,084 37

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 51	20,261 13		-2,084 38	-2,084 38
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,345 50	20,255 37		-2,090 13	-2,090 13
iShares S&P Smallcap 600	06/30/2014	01/12/2016	43 924	4,907 22	4,448 46		-458 76	-458 76
iShares S&P Smallcap 600	06/30/2014	01/12/2016	156 076	17,438 01	15,806 91		-1,631 10	-1,631 10
			200 000	22,345 23	20,255 37		-2,089 86	-2,089 86
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,344 22	20,261 13		-2,083 09	-2,083 09
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,344 22	20,255 37		-2,088 85	-2,088 85
iShares S&P Smallcap 600	06/30/2014	01/12/2016	125 000	13,965 14	12,663 21		-1,301 93	-1,301 93
iShares S&P Smallcap 600	06/30/2014	01/12/2016	16 076	1,796 05	1,629 31		-166 74	-166 74
iShares S&P Smallcap 600	06/30/2014	01/12/2016	33 000	3,686 47	3,344 52		-341 95	-341 95
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,172 11	10,134 88		-1,037 23	-1,037 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,171 11	10,134 88		-1,036 23	-1,036 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,171 11	10,134 88		-1,036 23	-1,036 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,171 11	10,134 88		-1,036 23	-1,036 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,171 11	10,134 88		-1,036 23	-1,036 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,171 11	10,134 88		-1,036 23	-1,036 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	100 000	11,170 11	10,134 88		-1,035 23	-1,035 23
iShares S&P Smallcap 600	06/30/2014	01/12/2016	110 000	12,288 22	11,148 37		-1,139 85	-1,139 85
iShares S&P Smallcap 600	06/30/2014	01/12/2016	112 000	12,511 64	11,351 07		-1,160 57	-1,160 57
iShares S&P Smallcap 600	06/30/2014	01/12/2016	187 924	20,991 11	19,045 86		-1,945 25	-1,945 25
iShares S&P Smallcap 600	06/30/2014	01/12/2016	189 000	21,113 40	19,154 94		-1,958 46	-1,958 46
iShares S&P Smallcap 600	06/30/2014	01/12/2016	200 000	22,344 22	20,269 77		-2,074 45	-2,074 45
iShares S&P Smallcap 600	06/30/2014	01/12/2016	233 000	26,026 13	23,614 29		-2,411 84	-2,411 84
iShares S&P Smallcap 600	06/30/2014	01/12/2016	444 000	49,599 73	44,998 89		-4,600 84	-4,600 84
iShares S&P Smallcap 600	06/30/2014	01/12/2016	475 000	53,067 53	48,140 73		-4,926 80	-4,926 80
			3,200 000	357,482 82	324,316 31		-33,166 51	-33,166 51
JP Morgan Chase Bank 04/30/2021 1 40%	05/15/2015	01/12/2016	100,000 000	99,775 30	98,725 00	-1,050 30		-1,050 30
Jpmorgan Chase Bk 09/19/2019 1 00%	09/12/2012	01/12/2016	100,000 000	100,025 00	97,860 00		-2,165 00	-2,165 00
Leuthold Global Fund	04/01/2011	01/12/2016	27,467 953	300,000 00	263,134 72		-36,865 28	-36,865 28

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Leuthold Global Fund	06/23/2011	01/12/2016	114 966	1,232 44	1,101 34		-131 10	-131 10
Leuthold Global Fund	09/22/2011	01/12/2016	46 778	451 41	448 12		-3 29	-3 29
Leuthold Global Fund	11/29/2011	01/12/2016	284 673	2,704 39	2,727 08		22 69	22 69
Leuthold Global Fund	12/29/2011	01/12/2016	200 211	1,914 02	1,917 96		3 94	3 94
Leuthold Global Fund	03/22/2012	01/12/2016	44 025	451 26	421 75		-29 51	-29 51
Leuthold Global Fund	06/21/2012	01/12/2016	109 317	1,059 28	1,047 23		-12 05	-12 05
Leuthold Global Fund	09/20/2012	01/12/2016	50 465	522 82	483 43		-39 39	-39 39
Leuthold Global Fund	11/16/2012	01/12/2016	6,158 057	62,000 00	58,992 34		-3,007 66	-3,007 66
Leuthold Global Fund	12/27/2012	01/12/2016	282 798	2,946 76	2,709 11		-237 65	-237 65
Leuthold Global Fund	02/15/2013	01/12/2016	5,662 710	62,000 00	54,247 06		-7,752 94	-7,752 94
Leuthold Global Fund	05/16/2013	01/12/2016	6,563 052	75,000 00	62,872 06		-12,127 94	-12,127 94
Leuthold Global Fund	06/20/2013	01/12/2016	131 749	1,441 33	1,262 12		-179 21	-179 21
Leuthold Global Fund	08/15/2013	01/12/2016	6,574 566	75,000 00	62,982 36		-12,017 64	-12,017 64
Leuthold Global Fund	11/18/2013	01/12/2016	6,199 342	75,000 00	59,387 83		-15,612 17	-15,612 17
Leuthold Global Fund	11/27/2013	01/12/2016	2,404 321	26,663 92	23,032 68		-3,631 24	-3,631 24
Leuthold Global Fund	11/27/2013	01/12/2016	3,516 646	38,999 60	33,688 41		-5,311 19	-5,311 19
Leuthold Global Fund	12/26/2013	01/12/2016	363 312	4,021 86	3,480 42		-541 44	-541 44
Leuthold Global Fund	03/20/2014	01/12/2016	157 532	1,781 69	1,509 11		-272 58	-272 58
Leuthold Global Fund	03/28/2014	01/12/2016	20,224 279	230,000 00	193,742 50		-36,257 50	-36,257 50
Leuthold Global Fund	06/03/2014	01/12/2016	29,833 764	350,000 00	285,798 48		-64,201 52	-64,201 52
Leuthold Global Fund	06/20/2014	01/12/2016	438 472	5,191 51	4,200 43		-991 08	-991 08
Leuthold Global Fund	06/30/2014	01/12/2016	27,421 945	325,000 00	262,693 98		-62,306 02	-62,306 02
Leuthold Global Fund	09/18/2014	01/12/2016	144 489	1,684 74	1,384 16		-300 58	-300 58
Leuthold Global Fund	11/20/2014	01/12/2016	2,863 633	29,638 60	27,432 74		-2,205 86	-2,205 86
Leuthold Global Fund	11/20/2014	01/12/2016	12,287 701	127,177 71	117,712 48		-9,465 23	-9,465 23
Leuthold Global Fund	12/18/2014	01/12/2016	464 102	4,780 25	4,445 96		-334 29	-334 29
Leuthold Global Fund	11/19/2015	01/12/2016	5,951 592	58,623 18	57,014 46	-1,608 72		-1,608 72
			165,962 450	1,865,286 77	1,589,870 32	-1,608 72	-273,807 73	-275,416 45
MainStay Epoch Global	04/24/2009	01/12/2016	1,216 764	13,071 12	19,808 08		6,736 96	6,736 96
MainStay Epoch Global	05/01/2009	01/12/2016	4,855 906	53,125 00	79,050 80		25,925 80	25,925 80
MainStay Epoch Global	05/08/2009	01/12/2016	2,330 881	26,480 40	37,945 13		11,464 73	11,464 73
MainStay Epoch Global	05/15/2009	01/12/2016	4,764 367	53,125 00	77,560 62		24,435 62	24,435 62
MainStay Epoch Global	09/29/2010	01/12/2016	208 931	2,954 28	3,401 26		446 98	446 98
MainStay Epoch Global	12/13/2010	01/12/2016	145 925	2,156 77	2,375 56		218 79	218 79
MainStay Epoch Global	03/30/2011	01/12/2016	209 309	3,256 85	3,407 41		150 56	150 56
MainStay Epoch Global	06/29/2011	01/12/2016	452 110	7,111 69	7,360 04		248 35	248 35
MainStay Epoch Global	09/29/2011	01/12/2016	228 944	3,294 51	3,727 05		432 54	432 54
MainStay Epoch Global	12/07/2011	01/12/2016	211 631	3,191 40	3,445 20		253 80	253 80
MainStay Epoch Global	03/30/2012	01/12/2016	203 647	3,235 95	3,315 23		79 28	79 28
MainStay Epoch Global	06/28/2012	01/12/2016	436 156	6,681 91	7,100 32		418 41	418 41
MainStay Epoch Global	09/27/2012	01/12/2016	229 044	3,744 87	3,728 68		-16 19	-16 19
MainStay Epoch Global	11/15/2012	01/12/2016	8,238 896	128,000 00	134,123 55		6,123 55	6,123 55
MainStay Epoch Global	12/11/2012	01/12/2016	256 877	4,194 80	4,181 78		-13 02	-13 02
MainStay Epoch Global	02/15/2013	01/12/2016	7,544 225	128,000 00	122,814 78		-5,185 22	-5,185 22
MainStay Epoch Global	03/28/2013	01/12/2016	482 841	8,401 44	7,860 32		-541 12	-541 12

Realized Gains and Losses

From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
MainStay Epoch Global	05/15/2013	01/12/2016	8,674 081	160,000 00	141,208 06		-18,791 94	-18,791 94
MainStay Epoch Global	06/27/2013	01/12/2016	721 852	12,603 53	11,751 25		-852 28	-852 28
MainStay Epoch Global	08/15/2013	01/12/2016	8,783 638	160,000 00	142,991 60		-17,008 40	-17,008 40
MainStay Epoch Global	09/27/2013	01/12/2016	350 478	6,497 86	5,705 54		-792 32	-792 32
MainStay Epoch Global	11/18/2013	01/12/2016	8,249 100	160,000 00	134,289 67		-25,710 33	-25,710 33
MainStay Epoch Global	12/09/2013	01/12/2016	158 578	3,020 91	2,581 54		-439 37	-439 37
MainStay Epoch Global	12/09/2013	01/12/2016	459 693	8,757 16	7,483 48		-1,273 68	-1,273 68
MainStay Epoch Global	03/28/2014	01/12/2016	547 808	10,901 37	8,917 93		-1,983 44	-1,983 44
MainStay Epoch Global	06/27/2014	01/12/2016	995 619	20,738 75	16,207 99		-4,530 76	-4,530 76
MainStay Epoch Global	09/29/2014	01/12/2016	472 222	9,486 94	7,687 44		-1,799 50	-1,799 50
MainStay Epoch Global	12/10/2014	01/12/2016	245 180	4,754 04	3,991 36		-762 68	-762 68
MainStay Epoch Global	12/10/2014	01/12/2016	1,144 293	22,187 84	18,628 30		-3,559 54	-3,559 54
MainStay Epoch Global	12/10/2014	01/12/2016	1,691 589	32,799 92	27,537 90		-5,262 02	-5,262 02
MainStay Epoch Global	03/31/2015	01/12/2016	556 271	10,741 60	9,055 71	-1,685 89		-1,685 89
MainStay Epoch Global	06/30/2015	01/12/2016	1,111 809	20,824 19	18,099 48	-2,724 71		-2,724 71
MainStay Epoch Global	09/30/2015	01/12/2016	636 411	11,270 83	10,360 33	-910 50		-910 50
MainStay Epoch Global	12/09/2015	01/12/2016	551 982	9,361 61	8,985 89	-375 72		-375 72
MainStay Epoch Global	12/09/2015	01/12/2016	5,114 514	86,742 16	83,260 77	-3,481 39		-3,481 39
			72,481 572	1,200,714 70	1,179,950 05	-9,178 21	-11,586 44	-20,764 65
Matthews Asian Growth & Income Fu	02/15/2013	01/12/2016	5,544 220	106,000 00	84,545 78		-21,454 22	-21,454 22
Matthews Asian Growth & Income Fu	02/15/2013	01/12/2016	33,184 284	634,201 62	506,038 93		-128,162 69	-128,162 69
Matthews Asian Growth & Income Fu	05/15/2013	01/12/2016	6,654 342	135,000 00	101,474 42		-33,525 58	-33,525 58
Matthews Asian Growth & Income Fu	08/15/2013	01/12/2016	7,087 713	135,000 00	108,083 04		-26,916 96	-26,916 96
Matthews Asian Growth & Income Fu	11/18/2013	01/12/2016	6,902 816	135,000 00	105,263 48		-29,736 52	-29,736 52
Matthews Asian Growth & Income Fu	03/28/2014	01/12/2016	4,688 583	88,821 05	71,497 86		-17,323 19	-17,323 19
Matthews Asian Growth & Income Fu	06/19/2014	01/12/2016	614 377	12,066 37	9,368 85		-2,697 52	-2,697 52
Matthews Asian Growth & Income Fu	06/30/2014	01/12/2016	12,700 714	250,000 00	193,677 69		-56,322 31	-56,322 31
			77,377 049	1,496,089 04	1,179,950 05		-316,138 99	-316,138 99
Metropolitan W Tot Rtn Bond	03/31/2015	01/12/2016	79,588 015	876,297 71	849,950 05	-26,347 66		-26,347 66
Steelpath MLP Alpha Fund	04/01/2011	01/12/2016	11,726 851	129,044 94	87,357 11		-41,687 83	-41,687 83
Steelpath MLP Alpha Fund	02/06/2013	01/12/2016	262 058	2,950 77	1,952 15		-998 62	-998 62
Steelpath MLP Alpha Fund	02/15/2013	01/12/2016	3,479 970	40,000 00	25,923 43		-14,076 57	-14,076 57
Steelpath MLP Alpha Fund	05/08/2013	01/12/2016	301 133	3,595 53	2,243 24		-1,352 29	-1,352 29
Steelpath MLP Alpha Fund	05/15/2013	01/12/2016	4,176 426	50,000 00	31,111 54		-18,888 46	-18,888 46
Steelpath MLP Alpha Fund	08/07/2013	01/12/2016	363 010	4,367 01	2,704 17		-1,662 84	-1,662 84
Steelpath MLP Alpha Fund	08/15/2013	01/12/2016	4,193 959	50,000 00	31,242 15		-18,757 85	-18,757 85
Steelpath MLP Alpha Fund	11/06/2013	01/12/2016	425 800	5,152 18	3,171 92		-1,980 26	-1,980 26
Steelpath MLP Alpha Fund	11/18/2013	01/12/2016	4,138 364	50,000 00	30,828 01		-19,171 99	-19,171 99
Steelpath MLP Alpha Fund	02/06/2014	01/12/2016	482 811	5,938 58	3,596 61		-2,341 97	-2,341 97
Steelpath MLP Alpha Fund	05/06/2014	01/12/2016	461 438	6,021 77	3,437 40		-2,584 37	-2,584 37
Steelpath MLP Alpha Fund	08/07/2014	01/12/2016	460 127	6,101 28	3,427 64		-2,673 64	-2,673 64
Steelpath MLP Alpha Fund	11/06/2014	01/12/2016	471 798	6,180 56	3,514 58		-2,665 98	-2,665 98

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Steelpath MLP Alpha Fund	02/06/2015	01/12/2016	504 988	6,261 85	3,761 82	-2,500 03		-2,500 03
Steelpath MLP Alpha Fund	03/23/2015	01/12/2016	41,284 067	500,000 00	307,538 38	-192,461 62		-192,461 62
Steelpath MLP Alpha Fund	05/06/2015	01/12/2016	1,092 703	13,462 10	8,139 90	-5,322 20		-5,322 20
			73,825 503	879,076 57	549,950 05	-200,283 85	-128,842 67	-329,126 52
Third Avenue Real Estate Value	04/24/2009	01/12/2016	1,104 418	16,256 14	29,581 45		13,325 31	13,325 31
Third Avenue Real Estate Value	05/01/2009	01/12/2016	1,349 800	20,000 00	36,153 91		16,153 91	16,153 91
Third Avenue Real Estate Value	05/08/2009	01/12/2016	1,239 904	20,000 00	33,210 39		13,210 39	13,210 39
Third Avenue Real Estate Value	05/15/2009	01/12/2016	1,315 099	20,000 00	35,224 46		15,224 46	15,224 46
Third Avenue Real Estate Value	05/22/2009	01/12/2016	1,269 087	20,000 00	33,992 05		13,992 05	13,992 05
Third Avenue Real Estate Value	05/29/2009	01/12/2016	139 994	2,353 58	3,749 69		1,396 11	1,396 11
Third Avenue Real Estate Value	12/21/2010	01/12/2016	435 624	9,919 15	11,668 04		1,748 89	1,748 89
Third Avenue Real Estate Value	12/18/2012	01/12/2016	82 874	2,085 93	2,219 75		133 82	133 82
Third Avenue Real Estate Value	12/18/2012	01/12/2016	397 171	9,996 79	10,638 08		641 29	641 29
Third Avenue Real Estate Value	12/18/2012	01/12/2016	528 257	13,296 24	14,149 18		852 94	852 94
Third Avenue Real Estate Value	12/18/2013	01/12/2016	57 149	1,623 61	1,530 71		-92 90	-92 90
Third Avenue Real Estate Value	12/18/2013	01/12/2016	115 556	3,282 94	3,095 13		-187 81	-187 81
Third Avenue Real Estate Value	12/18/2013	01/12/2016	130 341	3,702 98	3,491 14		-211 84	-211 84
Third Avenue Real Estate Value	12/09/2014	01/12/2016	201 354	6,346 69	5,393 19		-953 50	-953 50
Third Avenue Real Estate Value	12/09/2014	01/12/2016	248 293	7,826 21	6,650 44		-1,175 77	-1,175 77
Third Avenue Real Estate Value	12/08/2015	01/12/2016	51 101	1,484 47	1,368 73	-115 74		-115 74
Third Avenue Real Estate Value	12/08/2015	01/12/2016	93 761	2,723 75	2,511 36	-212 39		-212 39
Third Avenue Real Estate Value	12/08/2015	01/12/2016	572 057	16,618 25	15,322 35	-1,295 90		-1,295 90
			9,331 840	177,516 73	249,950 05	-1,624 03	74,057 35	72,433 32
Westwood Income Opportunity Inst	05/15/2009	01/12/2016	449 850	4,099 94	6,162 77		2,062 83	2,062 83
Westwood Income Opportunity Inst	05/22/2009	01/12/2016	2,488 464	22,704 80	34,090 96		11,386 16	11,386 16
Westwood Income Opportunity Inst	06/29/2009	01/12/2016	184 689	1,693 60	2,530 17		836 57	836 57
Westwood Income Opportunity Inst	09/29/2009	01/12/2016	186 756	1,813 40	2,558 48		745 08	745 08
Westwood Income Opportunity Inst	12/30/2009	01/12/2016	281 513	2,837 65	3,856 62		1,018 97	1,018 97
Westwood Income Opportunity Inst	02/10/2010	01/12/2016	12,031 098	120,000 00	164,821 20		44,821 20	44,821 20
Westwood Income Opportunity Inst	03/30/2010	01/12/2016	301 864	3,100 14	4,135 42		1,035 28	1,035 28
Westwood Income Opportunity Inst	06/29/2010	01/12/2016	298 726	3,044 02	4,092 43		1,048 41	1,048 41
Westwood Income Opportunity Inst	09/29/2010	01/12/2016	262 250	2,848 03	3,592 72		744 69	744 69
Westwood Income Opportunity Inst	12/30/2010	01/12/2016	168 487	1,866 84	2,308 20		441 36	441 36
Westwood Income Opportunity Inst	03/30/2011	01/12/2016	216 274	2,461 20	2,962 86		501 66	501 66
Westwood Income Opportunity Inst	04/01/2011	01/12/2016	10,853 770	124,000 00	148,692 28		24,692 28	24,692 28
Westwood Income Opportunity Inst	06/29/2011	01/12/2016	305 638	3,499 56	4,187 12		687 56	687 56
Westwood Income Opportunity Inst	09/29/2011	01/12/2016	314 620	3,423 07	4,310 16		887 09	887 09
Westwood Income Opportunity Inst	12/29/2011	01/12/2016	351 295	4,078 53	4,812 60		734 07	734 07
Westwood Income Opportunity Inst	03/29/2012	01/12/2016	295 673	3,539 21	4,050 60		511 39	511 39
Westwood Income Opportunity Inst	06/28/2012	01/12/2016	300 947	3,575 25	4,122 85		547 60	547 60
Westwood Income Opportunity Inst	09/27/2012	01/12/2016	148 820	1,851 32	2,038 77		187 45	187 45
Westwood Income Opportunity Inst	11/15/2012	01/12/2016	24,599 671	295,000 00	337,005 58		42,005 58	42,005 58
Westwood Income Opportunity Inst	12/28/2012	01/12/2016	348 471	4,240 89	4,773 91		533 02	533 02

Realized Gains and Losses
From 10/01/2015 to 09/30/2016

Phileona Foundation   Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Westwood Income Opportunity Inst	02/15/2013	01/12/2016	22,971 188	295,000 00	314,696 03		19,696 03	19,696 03
Westwood Income Opportunity Inst	03/27/2013	01/12/2016	432 859	5,713 74	5,930 00		216 26	216 26
Westwood Income Opportunity Inst	05/15/2013	01/12/2016	21,576 448	295,000 00	295,588 65		588 65	588 65
Westwood Income Opportunity Inst	06/27/2013	01/12/2016	463 268	6,170 73	6,346 58		175 85	175 85
Westwood Income Opportunity Inst	08/15/2013	01/12/2016	17,289 477	230,000 00	236,858 88		6,858 88	6,858 88
Westwood Income Opportunity Inst	09/27/2013	01/12/2016	471 627	6,291 51	6,461 10		169 59	169 59
Westwood Income Opportunity Inst	12/12/2013	01/12/2016	246 661	3,329 92	3,379 16		49 24	49 24
Westwood Income Opportunity Inst	12/30/2013	01/12/2016	209 043	2,891 06	2,863 81		-27 25	-27 25
Westwood Income Opportunity Inst	03/28/2014	01/12/2016	594 035	8,352 13	8,138 04		-214 09	-214 09
Westwood Income Opportunity Inst	06/27/2014	01/12/2016	461 242	6,794 10	6,318 83		-475 27	-475 27
Westwood Income Opportunity Inst	09/29/2014	01/12/2016	482 822	7,083 00	6,614 47		-468 53	-468 53
Westwood Income Opportunity Inst	12/22/2014	01/12/2016	362 772	5,376 28	4,969 83		-406 45	-406 45
Westwood Income Opportunity Inst	12/22/2014	01/12/2016	1,097 812	16,269 58	15,039 58		-1,230 00	-1,230 00
Westwood Income Opportunity Inst	12/30/2014	01/12/2016	784 125	11,589 37	10,742 19		-847 18	-847 18
Westwood Income Opportunity Inst	03/30/2015	01/12/2016	513 701	7,592 50	7,037 49	-555 01		-555 01
Westwood Income Opportunity Inst	06/29/2015	01/12/2016	503 730	7,304 08	6,900 90	-403 18		-403 18
Westwood Income Opportunity Inst	09/29/2015	01/12/2016	480 008	6,494 51	6,575 92	81 41		81 41
Westwood Income Opportunity Inst	12/18/2015	01/12/2016	298 535	4,146 65	4,089 81	-56 84		-56 84
Westwood Income Opportunity Inst	12/30/2015	01/12/2016	459 362	6,486 19	6,293 08	-193 11		-193 11
			124,087 591	1,541,562 80	1,699,950 05	-1,126 73	159,513 98	158,387 25
Amazon Com Inc 11/29/2017 1 20%	01/17/2013	01/13/2016	100,000 000	100,013 00	99,433 00		-580 00	-580 00
Anheuser-Busch 01/17/2023 2 625%	09/10/2015	01/13/2016	100,000 000	96,918 00	95,796 00	-1,122 00		-1,122 00
Burlington North 05/01/2017 5 65%	04/18/2013	01/13/2016	100,000 000	117,785 00	104,870 00		-12,915 00	-12,915 00
Caterpillar Fin 05/15/2019 1 90%	01/29/2013	01/13/2016	100,000 000	99,775 00	98,525 00		-1,250 00	-1,250 00
Costco Wholesale 12/15/2019 1 70%	12/03/2012	01/13/2016	100,000 000	100,717 00	100,244 00		-473 00	-473 00
Intel Corp 10/01/2016 1 95%	02/20/2013	01/13/2016	100,000 000	103,871 00	100,456 00		-3,415 00	-3,415 00
JP Morgan Chase 08/15/2017 2 00%	11/26/2012	01/13/2016	100,000 000	102,122 00	100,221 00		-1,901 00	-1,901 00
Starbucks Corp 12/05/2018 2 00%	05/12/2015	01/13/2016	110,000 000	112,355 90	110,855 00	-1,500 90		-1,500 90

Realized Gains and Losses

From 10/01/2015 to 09/30/2016

Phileona Foundation   Acct # GT - 074

Realized Gains and Losses in Non-Taxable or Tax Deferred Accounts

Security	Open Date	Close Date	Quantity	Cost Basis	Net Proceeds	Short Term Gains	Total Long Term Gains	Total Gains
Toyota Motor Credit Corp 01/10/2023 2 625%	04/24/2015	01/13/2016	100,000 000	102,378 00	98,600 00	-3,778 00		-3,778 00
Ann Arbor MI Cap Impvmt 05/01/2023 5 40%	05/06/2015	01/14/2016	100,000 000	113,145 00	109,965 00	-3,180 00		-3,180 00
Bexar Cnty TX Hospital 02/15/2022 3 952%	05/14/2015	01/14/2016	100,000 000	106,579 00	105,606 00	-973 00		-973 00
CO St Brd of Gov Univ Enterprise Sys 03/01/2024 3 281%	04/30/2015	01/14/2016	100,000 000	100,680 00	100,375 00	-305 00		-305 00
Farmington, MN ISD - Taxable 02/01/2021 3 05%	11/14/2013	01/14/2016	100,000 000	100,025 00	103,525 00		3,500 00	3,500 00
Honolulu City&Cnty GO - Taxable 11/01/2018 1 538%	04/23/2015	01/14/2016	100,000 000	100,495 00	99,850 00	-645 00		-645 00
Huntsville AL Taxable -Wts-Ser C 05/01/2024 2 878%	04/02/2015	01/14/2016	100,000 000	100,025 00	100,335 00	310 00		310 00
King Cnty WA Qual Energy Consv-Ta 12/01/2022 2 20%	04/01/2015	01/14/2016	100,000 000	99,023 00	97,850 00	-1,173 00		-1,173 00
Minnesota St GO 08/01/2025 2 98%	06/03/2015	01/14/2016	100,000 000	100,400 00	99,225 00	-1,175 00		-1,175 00
Oklahoma Capitol Imp 07/01/2022 4 392%	02/28/2014	01/14/2016	100,000 000	107,631 00	107,425 00		-206 00	-206 00
Virginia Port Auth-Taxable 07/01/2020 2 72%	01/30/2013	01/14/2016	100,000 000	105,460 00	101,773 00		-3,687 00	-3,687 00
Wilmington NC Storm Wtr 06/01/2021 2.50%	05/29/2015	01/14/2016	100,000 000	99,477 00	100,733 00	1,256 00		1,256 00
Hatteras Core Alt TEI Institutional	01/01/2010	04/30/2016	1,385 425	121,072 25	148,281 99		27,209 74	27,209 74
Hatteras Core Alt TEI Institutional	01/01/2010	07/29/2016	1,107 928	96,821 83	116,454 31		19,632 48	19,632 48
Short Term Gains				3,830,851 81	3,540,699 53	-290,152 28		
Total Long Term Gains				14,932,992 04	14,679,135 16		-253,856 88	
Total (Sales)				18,763,843 85	18,219,834 69	-290,152 28	-253,856 88	-544,009 16