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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990-PF and its instructions is at *www.irs.gov/form990pf*.

OMB No 1545-0052

2015

Open to Public Inspection

For calendar year 2015, or tax year beginning 10-01-2015 , and ending 09-30-2016

Name of foundation
HUTTO-PATTERSON CHARITABLE FOUNDATI
FOUNDATION

A Employer identification number
95-4181302

Number and street (or P O box number if mail is not delivered to street address) Room/suite
13949 VENTURA BLVD SUITE 215

B Telephone number (see instructions)
(818) 921-3980

City or town, state or province, country, and ZIP or foreign postal code
SHERMAN OAKS, CA 91423

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐
E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 7,600,703

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

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

Part I Analysis of Revenue and Expenses

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	274,863	274,863		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	136,216			
	b	Gross sales price for all assets on line 6a 763,412				
	7	Capital gain net income (from Part IV, line 2)		136,216		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	-12,397			
	12	**Total.** Add lines 1 through 11	398,682	411,079		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	76,427	38,213		38,214
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	26,795	13,398		13,397
	c	Other professional fees (attach schedule)	57,321	57,321		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	16,917	15,033		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings	12,066	12,066		
	22	Printing and publications				
	23	Other expenses (attach schedule)	7,266	7,266		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	196,792	143,297		51,611
	25	Contributions, gifts, grants paid	1,014,333			1,014,333
	26	**Total expenses and disbursements.** Add lines 24 and 25	1,211,125	143,297		1,065,944
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-812,443			
	b	**Net investment income** (if negative, enter -0-)		267,782		
	c	**Adjusted net income** (if negative, enter -0-)				

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	871,022	295,630	295,630
	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 (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	5,083,410	4,869,232	7,305,073
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	5,954,432	5,164,862	7,600,703
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)		0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	5,954,432	5,164,862	
	30	**Total net assets or fund balances** (see instructions)	5,954,432	5,164,862	
	31	**Total liabilities and net assets/fund balances** (see instructions)	5,954,432	5,164,862	

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	5,954,432
2	Enter amount from Part I, line 27a	2	-812,443
3	Other increases not included in line 2 (itemize) ▶	3	22,873
4	Add lines 1, 2, and 3	4	5,164,862
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	5,164,862

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)
1 a	SHORT TERM (ATTACHMENT B)	P		
b	LONG TERM (ATTACHMENT B)	P		
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	87,709		86,410	1,299
b	675,703		540,786	134,917
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				1,299
b				134,917
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	136,216
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	1,299

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2014	949,373	8,549,220	0 111048
2013	1,318,149	9,980,676	0 132070
2012	1,116,103	9,426,222	0 118404
2011	1,182,922	8,579,856	0 137872
2010	495,538	9,974,737	0 049679

2	**Total** of line 1, column (d)	2	0 549073
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 109815
4	Enter the net value of noncharitable-use assets for 2015 from Part X, line 5	4	7,448,802
5	Multiply line 4 by line 3	5	817,990
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	2,678
7	Add lines 5 and 6	7	820,668
8	Enter qualifying distributions from Part XII, line 4	8	1,065,944

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

Part VI **Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b			1	2,678
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	
3	Add lines 1 and 2			3	2,678
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	2,678
6	Credits/Payments				
a	2015 estimated tax payments and 2014 overpayment credited to 2015	6a	4,533		
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	4,533
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	1,855
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 1,855 **Refunded** ▶			11	

Part VII-A **Statements Regarding Activities**

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

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

		Line	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		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶HW LLP Telephone no ▶(818) 921-3980

Located at ▶13949 VENTURA BLVD SUITE 215 SHERMAN OAKS CA ZIP+4 ▶91423

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 |

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

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

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

			Line	Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☑ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any**of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		1b		No
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2015?		1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015?	☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all**years listed, answer "No" and attach statement—see instructions)		2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2015 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2015)*		3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2015?		4b		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No			
	If "Yes," attach the statement required by Regulations section 53 4945–5(d)			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**		No
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
CATHERINE HUTTO GORDON PO BOX 80880 SAN MARINO, CA 91118	PRESIDENT 2 50	19,107	0	0
EILEEN C HUTTO PO BOX 80880 SAN MARINO, CA 91118	VICE PRESIDE 2 50	19,107	0	0
HARRY L HATHAWAY PO BOX 80880 SAN MARINO, CA 91118	TRUSTEE 2 50	19,107	0	0
DOUGLAS JOHNSON PO BOX 80880 SAN MARINO, CA 91118	EMERITUS TRU 2 50	19,106	0	0

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

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

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

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

Part X Minimum Investment Return

(All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	7,298,378
b	Average of monthly cash balances	1b	263,858
c	Fair market value of all other assets (see instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	7,562,236
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	7,562,236
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	113,434
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	7,448,802
6	**Minimum investment return.** Enter 5% of line 5	6	372,440

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	372,440
2a	Tax on investment income for 2015 from Part VI, line 5	2a	2,678		
b	Income tax for 2015 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	2,678
3	Distributable amount before adjustments Subtract line 2c from line 1			3	369,762
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	369,762
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	369,762

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	1,065,944
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,065,944
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	2,678
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,063,266

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					369,762
2 Undistributed income, if any, as of the end of 2015					
a Enter amount for 2014 only.					
b Total for prior years 20___ , 20___ , 20___					
3 Excess distributions carryover, if any, to 2015					
a From 2010.					
b From 2011.	763,677				
c From 2012.	652,424				
d From 2013.	833,945				
e From 2014.	530,974				
f **Total** of lines 3a through e.		2,781,020			
4 Qualifying distributions for 2015 from Part XII, line 4 ▶ $ 1,065,944					
a Applied to 2014, but not more than line 2a					
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).					
d Applied to 2015 distributable amount.					369,762
e Remaining amount distributed out of corpus		696,182			
5 Excess distributions carryover applied to 2015 *(If an amount appears in column (d), the same amount must be shown in column (a))*					
6 **Enter the net total of each column as indicated below:**					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		3,477,202			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.					
d Subtract line 6c from line 6b Taxable amount —see instructions					
e Undistributed income for 2014 Subtract line 4a from line 2a Taxable amount—see instructions					
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015					0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)					
8 Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a		3,477,202			
10 Analysis of line 9					
a Excess from 2011. . . .	763,677				
b Excess from 2012. . . .	652,424				
c Excess from 2013. . . .	833,945				
d Excess from 2014. . . .	530,974				
e Excess from 2015. . . .	696,182				

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
See Additional Data Table				
Total . . . . ▶ **3a**				1,014,333
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities. . .			14	274,863	
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.			1		
8 Gain or (loss) from sales of assets other than inventory					136,216
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory . .					
11 Other revenue a SEE ATTACHED LISTING	900099	-12,397			
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .		-12,397		274,863	136,216

13 Total. Add line 12, columns (b), (d), and (e). 13 398,682

(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) (See instructions)

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

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

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

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

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

******	2017-08-14	******
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
LOUIS N HAMEL CPA		2017-08-14		P00392169

Firm's name ▶ HW LLP

Firm's EIN ▶ 45-4205322

Firm's address ▶ 13949 VENTURA BOULEVARD SUITE 215 SHERMAN OAKS, CA 91423

Phone no (818) 921-3980

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
UOP SCHOOL OF DENTISTRY 155 5TH ST SAN FRANCISCO,CA 94103	NONE	PC	PEDIATRIC DENTISTRY CLINIC	100,000
ART CENTER COLLEGE OF DESIGN 1700 LINDA ST PASADENA,CA 91103	NONE	PC	ART PROGRAM	100,000
HOPE HAVEN WEST 1878 E HATCH RD MODESTO,CA 95351	NONE	PC	WHEELCHAIRS FOR THE DISABLED	100,000
CALTECH 551 S HILL AVENUE PASADENA,CA 91106	NONE	PC	AID CALTECH'S ONGOING OPERATIONS	6,000
GOOD SAMARITAN HOSPITAL 1225 WILSHIRE BLVD LOS ANGELES,CA 90017	NONE	PC	COMMUNITY PROGRAM	20,000
Total . . . . ▶ **3a**				1,014,333

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
USCUNITED FRIENDS OF THE CHILDREN 669 W 34TH ST 220 LOS ANGELES, CA 90089	NONE	PC	FOSTER CARE SUPPORT PROGRAM	62,500
USC OSTROW - MOBILE CLINIC 925 W 34TH ST LOS ANGELES, CA 90089	NONE	PC	PEDIATRIC DENTISTRY	150,000
USC SCHOOL OF SOCIAL WORK 669 W 34TH ST LOS ANGELES, CA 90089	NONE	PC	STUDENT SCHOLARSHIP IN MSW PROGRAM	150,000
MONROVIA SCHOOLS FOUNDATION PO BOX 2447 MONROVIA, CA 91017	NONE	PF	MUSIC PROGRAM	8,333
LIBRARY FOUNDATION OF LOS ANGELES 63 W FIFTH ST LOS ANGELES, CA 90071	NONE	PF	COMMUNITY PROGRAM	50,000
Total . . . . ▶ **3a**				1,014,333

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
PASADENA CITY COLLEGE 1570 E COLORADO BLVD PASADENA, CA 91106	NONE	PC	DEVELOPMENT OF THE CTR FOR THE ARTS	50,000
UC BERKELEY - HEWLETT CHALLENGE 2080 ADDISON ST BERKELEY, CA 94720	NONE	PC	FACULTY PROGRAM	30,000
UC BERKELEY - STEM 2080 ADDISON ST BERKLEY, CA 94720	NONE	PC	PROFESSIONAL DEVELOPMENT PROGRAM	50,000
UC BERKELEY - CONNECT PROGRAM 2080 ADDISON ST BERKELEY, CA 94720	NONE	PC	STUDENT PROGRAM	137,500
Total . . . . ▶ **3a**				1,014,333

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TY 2015 Accounting Fees Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI FOUNDATION

EIN: 95-4181302

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT ACCOUNTING FEES	26,795	13,398		13,397

TY 2015 Investments Corporate Stock Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI
FOUNDATION

EIN: 95-4181302

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COMMON STOCK (SEE ATT A)	4,547,304	7,035,690
MUTUAL FUNDS (SEE ATT A)	162,221	156,488
OTHER EQUITY INVESTMENTS (SEE ATT A)	110,907	62,820
PREFERRED SECURITIES (SEE ATT A)	48,800	50,075

TY 2015 Other Expenses Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI FOUNDATION

EIN: 95-4181302

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
MEMBERSHIP DUES	5,049	5,049		
MISCELLANEOUS EXPENSE	2,217	2,217		
REIMBURSEMENT EXPENSE				

TY 2015 Other Income Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI
FOUNDATION

EIN: 95-4181302

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
SEE ATTACHED LISTING	-12,397		

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TY 2015 Other Increases Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI FOUNDATION

EIN: 95-4181302

Description	Amount
ADJ FOR ACQ TO EQUITY METHOD OF INVEST	22,873

TY 2015 Other Professional Fees Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI
FOUNDATION

EIN: 95-4181302

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MANAGEMENT FEES	57,321	57,321		

TY 2015 Taxes Schedule

Name: HUTTO-PATTERSON CHARITABLE FOUNDATI FOUNDATION

EIN: 95-4181302

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD	14,998	14,998		
FEDERAL TAXES	1,884			
STATE TAXES	35	35		

Hutto Patterson Charitbale Foundation
Realized Gains and Losses
For the fiscal year ended September 30, 2016

Security Description	Quantity or Face Value	Purchase Date	Sale Date	Term	Sale Amount	Cost Basis	Gain (Loss)
Short term realized gains and losses							
SOUT32 LTD SPON ADR	400	5/18/2015	4/14/2016	ST	2355.95	3600	(1,244.05)
SHIRE PLC SPON ADR	0.840	6/3/2016	6/3/2016	ST	161.42	161.22	0.20
SHIRE PLC SPON ADR	177.000	6/30/2016	8/18/2016	ST	35,140.77	33,970.72	1,170.05
LABORATORY CORP AMER	200.000	6/14/2016	9/15/2016	ST	26,991.41	25,643.18	1,348.23
LIGAND PHARMACEUTICALS	200.000	6/14/2016	9/15/2016	ST	23,059.46	23,034.56	24.90
Total					87,709.01	86,409.68	1,299.33
Net short term realized gains and losses							1,299.33
Long term realized gains and losses							
AIR PROD & CHEMICAL INC	400.000	9/10/2012	10/22/2015	LT	54,879.55	33,825.46	21,054.09
ASTRAZENECA PLC SPON ADR	500.000	2/3/2012	10/22/2015	LT	15,491.71	12,018.82	3,472.89
ATMOS ENEROGY CORP	500.000	8/10/2010	10/22/2015	LT	30,281.04	14,656.10	15,624.94
BANK OF AMERICA CORP	2,000.000	9/28/2010	10/22/2015	LT	32,299.41	35,479.86	(3,180.45)
3M CO	200.000	3/18/2009	10/22/2019	LT	31,079.19	10,064.00	21,015.19
ABBVIE INC COM	300.000	4/9/2010	6/14/2016	LT	17,899.11	8,356.23	9,542.88
BAXALTA INC	1,200.000	VARIOUS	6/3/2016	LT	55,731.94	7,632.80	48,099.14
GLAXO SMITHKLINE PLC ADR	200.000	1/18/2012	6/14/2016	LT	7,982.47	9,189.24	(1,206.77)
KINDER MORGAN INC	452.000	11/28/2014	6/14/2016	LT	7,771.16	18,773.82	(11,002.66)
MERCK & CO INC NEW COM	500.000	1/19/1989	6/14/2016	LT	27,836.24	4,995.00	22,841.24
NOVARTIS AG SPON ADR	500.000	9/4/1997	6/14/2016	LT	38,316.66	12,616.56	25,700.10
PRIZER INC	500.000	1/19/2007	6/14/2016	LT	17,434.62	13,896.71	3,537.91
LILLY ELI & CO	300.000	12/7/2009	6/28/2016	LT	22,746.73	11,457.00	11,289.73
REALTY INCOME CORP MD SBI	1,500.000	3/5/2013	VARIOUS	LT	102,850.50	66,274.43	36,576.07
W P CAREY INC REIT	500.000	2/10/2012	6/28/2016	LT	33,956.96	22,121.31	11,835.65

Security Description	Quantity or Face Value	Purchase Date	Sale Date	Term	Sale Amount	Cost Basis	Gain (Loss)
CARLYLE GROUP LP SBI	2,000.000	12/4/2014	8/18/2016	LT	32,382.97	56,599.50	(24,216.53)
MARTIN MIDSTREAM PRTNRS	1,500.000	4/22/2015	8/18/2016	LT	31,859.16	54,656.20	(22,797.04)
MEDICAL PROPERTIES TRUST	3,000.000	3/18/2015	8/18/2016	LT	46,326.79	43,152.88	3,173.91
PETROCHINA CO LTD SPON	400.000	10/8/2013	8/18/2016	LT	27,682.04	45,498.16	(17,816.12)
STERICYCLE INC	500.000	5/25/2011	9/15/2016	LT	40,894.56	44,172.15	(3,277.59)
Total					675,702.81	525,436.23	150,266.58
Net long term realized gains and losses							150,266.58
Total realized gains and losses					763,411.82	611,845.91	151,565.91

HUTTO-PATTERSON CHARITABLE FOUNDATION
FEDRAL SUPPORTING SCHEDULE
FORM 990-T, TAX YEAR 2015
FEIN 95-4181302

STATEMENT 1 FORM 990-T, PART 1, LINE 5 - INCOME(LOSS) FROM PARTNERSHIPS

GROSS INCOME FROM PARTNERSHIPS

NAME	GROSS INCOME	GROSS DEDUCTIONS	INCOME (LOSS)
MARTIN MIDSTREAM PARTNERS, L P	(4,460)	32	(4,492)
THE CARLYLE GROUP L P	4,734	293	4,441
PLAINS ALL AMERICAN PIPELINE, L P	(7,751)	74	(7,825)
TOTAL GROSS INCOME	(7,477)	399	(7,876)

UNRELATED BUSINESS TAXABLE INCOME FROM PATNERSHIPS SCHEDULE K-1

	GROSS INCOME FROM UBT	GROSS DEDUCTIONS RELATED TO UBT	NET UBT INCOME (LOSS)
MARTIN MIDSTREAM PARTNERS, L P	(4,602)	-	(4,602)
THE CARLYLE GROUP L P	-	-	-
PLAINS ALL AMERICAN PIPELINE, L P	(7,795)	1	(7,796)
STMT 1, FORM 990-T, PART I, LINE-5 TOTAL NET UBS INCOME/(LOSS)	(12,397)	1	(12,398)

SUPPORTING STATEMENT
ADJUSTMENTS AND MODIFICATIONS TO STATEMENT 1

EXCLUDABLE INCOME

	INTEREST	DIVIDENDS	NET SHORT - TERM GAIN	NET LONT- TERM GAIN	NET SECTION 1231 GAIN	OTHER INCOME	GROSS DEDUCTIONS RELATED TO EXCLUDABLE INCOME	TOTAL
MARTIN MIDSTREAM PARTNERS, L P	62	-	-	-	(88)	168	(32)	110
THE CARLYLE GROUP L P	537	29	170	3,855	-	143	(293)	4,441
PLAINS ALL AMERICAN PIPELINE, L P	2	18	-	-	24		(73)	(29)
TOTAL ADJUSTMENTS AND MODIFICATION	601	47	170		(64)		(398)	4,522

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ABBOTT LABS								
Symbol. ABT Exchange NYSE								
EAI $1,040 Current yield 2 46%	Apr 9, 10	1,000 000	25 685	25,685 89	42 290	42,290 00	16,604 11	LT
ABBVIE INC COM								
Symbol ABBV Exchange NYSE								
EAI $2,736 Current yield 3 62%	Apr 9, 10	200 000	27 854	5,570 82	63 070	12,614 00	7,043 18	LT
	Feb 1, 13	1,000 000	37 512	37,512 00	63 070	63,070 00	25,558 00	LT
Security total		1,200 000	35 902	43,082 82		75,684 00	32,601 18	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
AEGON NV ADR N Y SHS								
NETHERLANDS ADR								
Symbol AEG Exchange NYSE								
EAI $3,486 Current yield 6 45%	Jan 25, 13	1,000 000	6 825	6,825 58	3 860	3,860 00	-2,965 58	LT
	Feb 15, 13	5,000 000	7 046	35,234 24	3 860	19,300 00	-15,934 24	LT
	Sep 5, 13	4,000 000	7 430	29,720 97	3 860	15,440 00	-14,280 97	LT
	Aug 18, 16	4,000 000	4 028	16,112 00	3 860	15,440 00	-672 00	ST
Security total		14,000 000	6 278	87,892 79		54,040 00	-33,852 79	
AIR PROD & CHEMICAL INC								
Symbol APD Exchange NYSE								
EAI $2,752 Current yield 2 29%	Sep 10, 12	100 000	84 563	8,456 37	150 340	15,034 00	6,577 63	LT
	Aug 8, 13	500 000	108 809	54,404 64	150 340	75,170 00	20,765.36	LT
	Oct 22, 15	200 000	136 832	27,366 48	150 340	30,068 00	2,701 52	ST
Security total		800 000	112 784	90,227 49		120,272.00	30,044 51	
ALLIANZ SE ADR								
Symbol AZSEY Exchange OTC								
EAI $2,448 Current yield 4 13%	Jan 19, 07	1,000 000	20 180	20,180 00	14 830	14,830 00	-5,350 00	LT
	Mar 18, 09	3,000 000	8 582	25,747 73	14 830	44,490 00	18,742 27	LT
Security total		4,000 000	11 482	45,927 73		59,320 00	13,392 27	
AMERICAN WATER WORKS CO INC								
NEW								
Symbol AWK Exchange NYSE								
EAI $1,500 Current yield 2 00%	Aug 18, 16	1,000 000	77 115	77,115 00	74 840	74,840 00	-2,275 00	ST
AQUA AMER INC								
Symbol WTR Exchange NYSE								
EAI $2,391 Current yield 2 51%	Feb 17, 10	3,125 000	13 800	43,125 00	30 480	95,250 00	52,125 00	LT
ASTRAZENECA PLC SPON ADR								
Symbol AZN Exchange NYSE								
EAI. $4,795 Current yield 4 17%	Feb 3, 12	1,500 000	24 037	36,056 47	32 860	49,290 00	13,233 53	LT
	Aug 17, 12	2,000 000	23 898	47,797 29	32 860	65,720 00	17,922 71	LT
Security total		3,500 000	23 958	83,853 76		115,010 00	31,156 24	
AT&T INC								
Symbol T Exchange NYSE								
EAI $3,840 Current yield 4 73%	Dec 29, 09	2,000 000	28 740	57,480 00	40 610	81,220 00	23,740 00	LT

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ATMOS ENERGY CORP								
Symbol ATO Exchange NYSE								
EAI: $4,200 Current yield 2 26%	Aug 10, 10	2,000 000	29 312	58,624 41	74 470	148,940 00	90,315 59	LT
	Jan 25, 12	500 000	32 907	16,453 96	74 470	37,235 00	20,781 04	LT
Security total		2,500 000	30 031	75,078 37		186,175 00	111,096 63	
BANK OF MONTREAL CANADA								
Symbol BMO Exchange NYSE								
EAI $3,987 Current yield 4 05%	Mar 23, 04	300 000	40 563	12,169 00	65 570	19,671 00	7,502 00	LT
	Mar 23, 04	200 000	40 570	8,114 00	65 570	13,114 00	5,000 00	LT
	Mar 30, 04	1,000 000	42 483	42,483 55	65 570	65,570 00	23,086 45	LT
Security total		1,500 000	41 844	62,766 55		98,355 00	35,588 45	
BANK OF NOVA SCOTIA CANADA CAD								
Symbol BNS Exchange NYSE								
EAI $3,411 Current yield 4 29%								
CAD Exchange rate 1 31425	Mar 23, 04	500 000	26 750	13,375 00	52 990	26,495 00	13,120 00	LT
	Mar 30, 04	600 000	27 890	16,734 00	52 990	31,794 00	15,060 00	LT
	Mar 30, 04	400 000	27 900	11,160 00	52 990	21,196 00	10,036 00	LT
Security total		1,500 000	27 513	41,269 00		79,485 00	38,216 00	
BANK OF AMER CORP								
Symbol BAC Exchange. NYSE								
EAI: $2,400 Current yield 1 92%	Sep 28, 10	407 000	17 739	7,220 15	15 650	6,369 55	-850 60	LT
	Sep 30, 11	7,593 000	11 855	90,019 82	15 650	118,830 45	28,810 63	LT
Security total		8,000 000	12 155	97,239 97		125,200 00	27,960 03	
BASF SE SPON ADR								
Symbol BASFY Exchange OTC								
EAI $3,650 Current yield 2 84%	Mar 18, 09	1,500 000	32 624	48,937 04	85 550	128,325 00	79,387 96	LT
BAXTER INTL INC								
Symbol BAX Exchange NYSE								
EAI $624 Current yield. 1 09%	Nov 7, 89	800 000	6 374	5,099 41	47 600	38,080 00	32,980 59	LT
	Dec 17, 91	400 000	10 791	4,316 79	47 600	19,040 00	14,723 21	LT
Security total		1,200 000	7 847	9,416 20		57,120 00	47,703 80	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
BAYER A G SPON ADR								
Symbol BAYRY Exchange OTC								
EAI $2,131 Current yield 2 08%	Jul 25, 06	500 000	49 971	24,985 88	100 500	50,250 00	25,264 12	LT
	Mar 29, 12	500 000	70 531	35,265 59	100 500	50,250 00	14,984 41	LT
	Earnings	19 000	108 458	2,060 72	100 500	1,909 50	-151 22	
Security total		1,019 000	61 150	62,312 19		102,409 50	40,097 31	
BHP BILLITON LTD SPON ADR								
Symbol BHP Exchange NYSE								
EAI $1,200 Current yield 1 73%	Aug 16, 06	1,000 000	43 832	43,832 47	34 650	34,650 00	-9,182 47	LT
	Aug 18, 16	1,000 000	32 267	32,267 80	34 650	34,650 00	2,382 20	ST
Security total		2,000 000	38 050	76,100 27		69,300 00	-6,800 27	
BNP PARIBAS SA ADR								
Symbol BNPQY Exchange OTC								
EAI $3,324 Current yield 4 28%	Apr 15, 09	2,000 000	25 490	50,980 00	25 890	51,780 00	800 00	LT
	May 22, 09	1,000 000	32 730	32,730 00	25 890	25,890 00	-6,840 00	LT
Security total		3,000 000	27 903	83,710 00		77,670 00	-6,040 00	
BRISTOL MYERS SQUIBB CO								
Symbol BMY Exchange NYSE								
EAI $3,040 Current yield 2 82%	May 3, 04	1,000 000	25 870	25,870 00	53 920	53,920 00	28,050 00	LT
	Dec 5, 07	1,000 000	29 850	29,850 00	53 920	53,920 00	24,070 00	LT
Security total		2,000 000	27 860	55,720 00		107,840 00	52,120 00	
CENTERPOINT ENERGY INC (HLDGS CO)								
Symbol CNP Exchange NYSE								
EAI $2,060 Current yield 4 43%	Dec 3, 15	2,000 000	16 517	33,034 60	23 230	46,460 00	13,425 40	ST
CHEVRON CORP								
Symbol CVX Exchange NYSE								
EAI $4,280 Current yield 4 16%	Mar 19, 04	1,000 000	45 060	45,060 00	102 920	102,920 00	57,860 00	LT
CISCO SYSTEMS INC								
Symbol CSCO Exchange. OTC								
EAI $2,080 Current yield 3 28%	Jan 14, 15	2,000 000	28 003	56,007 00	31 720	63,440 00	7,433 00	LT
CLOROX CO								
Symbol CLX Exchange. NYSE								
EAI $3,200 Current yield 2 56%	Sep 17, 12	1,000 000	70 826	70,826 27	125 180	125,180 00	54,353 73	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
COCA COLA CO COM								
Symbol KO Exchange NYSE								
EAI $1,400 Current yield 3 31%	Jan 12, 98	1,000 000	31 585	31,585 00	42 320	42,320 00	10,735 00	LT
COLGATE PALMOLIVE CO								
Symbol. CL Exchange NYSE								
EAI $3,120 Current yield. 2 10%	Nov 17, 03	600 000	26 540	15,924 00	74 140	44,484 00	28,560 00	LT
	Mar 19, 04	400 000	27 990	11,196 00	74 140	29,656 00	18,460 00	LT
	May 22, 09	1,000 000	32 830	32,830 00	74 140	74,140 00	41,310 00	LT
Security total		2,000 000	29 975	59,950 00		148,280 00	88,330 00	
COVANTA HLDG CORP								
Symbol CVA Exchange NYSE								
EAI $3,000 Current yield 6 50%	Oct 31, 14	3,000 000	21 446	64,340 40	15 390	46,170 00	-18,170 40	LT
DOW CHEMICAL								
Symbol DOW Exchange NYSE								
EAI $3,680 Current yield. 3 55%	Apr 9, 10	500 000	31 450	15,725 44	51 830	25,915 00	10,189 56	LT
	Aug 17, 12	1,500.000	30 590	45,885 89	51 830	77,745 00	31,859 11	LT
Security total		2,000 000	30 806	61,611 33		103,660 00	42,048 67	
DU PONT DE NEMOURS								
Symbol DD Exchange NYSE								
EAI $3,040 Current yield 2 27%	Dec 29, 09	1,000 000	32 750	32,750 12	66 970	66,970 00	34,219 88	LT
	Apr 7, 10	1,000 000	37 424	37,424 85	66 970	66,970 00	29,545 15	LT
Security total		2,000 000	35 087	70,174 97		133,940 00	63,765 03	
EXXON MOBIL CORP								
Symbol XOM Exchange NYSE								
EAI $4,500 Current yield 3 44%	Mar 30, 94	1,500 000	16 140	24,210 00	87 280	130,920 00	106,710 00	LT
GALLAGHER ARTHUR J & CO								
Symbol AJG Exchange NYSE								
EAI $3,040 Current yield 2 99%	Jan 19, 07	500 000	29 422	14,711 15	50 870	25,435 00	10,723 85	LT
	Apr 9, 10	1,500 000	24 920	37,380 00	50 870	76,305 00	38,925 00	LT
Security total		2,000 000	26 046	52,091 15		101,740 00	49,648 85	
GENL ELECTRIC CO								
Symbol GE Exchange NYSE								
EAI $5,520 Current yield 3 11%	Jan 19, 89	800 000	4 270	3,416 00	29 620	23,696 00	20,280 00	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 26, 08	2,600 000	37 300	96,980 00	29 620	77,012 00	-19,968 00	LT
	Jan 2, 09	2,600 000	36 046	93,721 92	29 620	77,012 00	-16,709 92	LT
Security total		6,000 000	32 353	194,117 92		177,720 00	-16,397 92	
GLAXO SMITHKLINE PLC ADR Symbol GSK Exchange NYSE EAI $3,931 Current yield 5 06%	Jan 18, 12	800 000	45 946	36,756 94	43 130	34,504 00	-2,252 94	LT
	Aug 8, 13	1,000 000	52 535	52,535 13	43 130	43,130 00	-9,405 13	LT
Security total		1,800.000	49 607	89,292 07		77,634 00	-11,658 07	
HONEYWELL INTL INC Symbol HON Exchange NYSE EAI $2,380 Current yield 2 04%	Apr 9, 10	1,000 000	46 480	46,480 74	116 590	116,590 00	70,109 26	LT
HSBC HOLDINGS PLC NEW GB SPON ADR Symbol HSBC Exchange NYSE EAI. $10,200 Current yield 6 78%	Aug 24, 04	500 000	77 330	38,665 00	37 610	18,805 00	-19,860 00	LT
	Jan 19, 07	500 000	93 670	46,835 25	37 610	18,805 00	-28,030 25	LT
	Apr 8, 09	1,250 000	18 490	23,112 50	37 610	47,012 50	23,900 00	LT
	Jul 1, 14	1,750 000	51 395	89,941 25	37 610	65,817 50	-24,123 75	LT
Security total		4,000 000	49 639	198,554 00		150,440 00	-48,114 00	
INTL BUSINESS MACH Symbol IBM Exchange NYSE EAI $2,800 Current yield 3 53%	Jul 7, 95	300 000	25 280	7,584 00	158 850	47,655 00	40,071 00	LT
	Feb 10, 98	200 000	49 440	9,888 00	158 850	31,770 00	21,882 00	LT
Security total		500 000	34 944	17,472 00		79,425 00	61,953 00	
JOHNSON & JOHNSON COM Symbol JNJ Exchange NYSE EAI. $3,200 Current yield 2 71%	Jan 29, 96	400 000	23 910	9,564 00	118 130	47,252 00	37,688 00	LT
	Jan 16, 97	600 000	26 390	15,834 00	118 130	70,878 00	55,044 00	LT
Security total		1,000 000	25 398	25,398 00		118,130 00	92,732 00	
JPMORGAN CHASE & CO Symbol JPM Exchange NYSE EAI $5,760 Current yield 2 88%	Mar 11, 09	600 000	35 810	21,486 00	66 590	39,954 00	18,468 00	LT
	Mar 18, 09	2,400 000	27 300	65,520 00	66 590	159,816 00	94,296 00	LT
Security total		3,000 000	29 002	87,006 00		199,770 00	112,764 00	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
KIMBERLY CLARK CORP								
Symbol KMB Exchange NYSE								
EAI $3,680 Current yield 2 92%	Jul 22, 10	1,000 000	61 120	61,120 43	126 140	126,140 00	65,019 57	LT
KINDER MORGAN INC								
Symbol KMI Exchange NYSE								
EAI $2,000 Current yield 2 16%	Nov 28, 14	2,226 384	41 534	92,472 86	23 130	51,496 26	-40,976 60	LT
	Nov 28, 14	1,773 616	41 535	73,667 14	23 130	41,023 74	-32,643 40	LT
Security total		4,000 000	41 535	166,140 00		92,520 00	-73,620 00	
LILLY ELI & CO								
Symbol LLY Exchange NYSE								
EAI $2,448 Current yield 2 54%	Dec 7, 09	1,200 000	38 190	45,828 00	80 260	96,312 00	50,484 00	LT
MANULIFE FINANCIAL CORP CAD								
Symbol MFC Exchange NYSE								
EAI $3,363 Current yield 3 97%								
CAD Exchange rate 1 31425	Apr 23, 14	4,000 000	18 796	75,186 00	14 110	56,440 00	-18,746 00	LT
	May 7, 14	2,000 000	18 874	37,749 00	14 110	28,220 00	-9,529 00	LT
Security total		6,000 000	18 823	112,935 00		84,660 00	-28,275 00	
MERCK & CO INC NEW COM								
Symbol MRK Exchange NYSE								
EAI $3,680 Current yield 2 95%	Jan 19, 89	2,000 000	9 990	19,980 00	62 410	124,820 00	104,840 00	LT
METLIFE INC								
Symbol MET Exchange NYSE								
EAI $3,200 Current yield 3 60%	Mar 21, 12	2,000 000	39 403	78,806 35	44 430	88,860 00	10,053 65	LT
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI $3,900 Current yield 2 71%	Jan 27, 14	2,500 000	36 659	91,649 40	57 600	144,000 00	52,350 60	LT
NATIONAL GRID PLC NEW SPON ADR								
Symbol NGG Exchange NYSE								
EAI $6,294 Current yield 4 43%	Oct 1, 10	2,000 000	43 320	86,640 10	71 110	142,220 00	55,579 90	LT
NESTLE S A SPONSORED ADR								
REPSTG REG SHS SWITZ ADR								
Symbol NSRGY Exchange OTC								
EAI $4,868 Current yield 2 46%	Jan 16, 97	500 000	10 930	5,465 00	79 020	39,510 00	34,045 00	LT
	Mar 19, 04	2,000 000	25 940	51,880 00	79 020	158,040 00	106,160 00	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		2,500 000	22 938	57,345 00		197,550 00	140,205 00	
NOVARTIS AG SPON ADR								
Symbol. NVS Exchange NYSE								
EAI $4,606 Current yield 2 92%	Jan 11, 06	500 000	55 160	27,580 00	78 960	39,480 00	11,900 00	LT
	Aug 28, 06	500 000	57 864	28,932 11	78 960	39,480 00	10,547 89	LT
	May 22, 09	1,000 000	40 980	40,980 00	78 960	78,960 00	37,980 00	LT
Security total		2,000 000	48 746	97,492 11		157,920 00	60,427 89	
OMEGA HEALTHCARE INVS INC								
Symbol OHI Exchange NYSE								
EAI $8,400 Current yield 6 77%	Aug 22, 13	2,500 000	28 082	70,205 21	35 450	88,625 00	18,419 79	LT
	Sep 24, 13	1,000 000	29 240	29,240 97	35 450	35,450 00	6,209 03	LT
Security total		3,500 000	28 413	99,446 18		124,075 00	24,628 82	
PFIZER INC								
Symbol PFE Exchange NYSE								
EAI $4,200 Current yield 3 54%	Jan 19, 07	500 000	27 793	13,896 71	33 870	16,935 00	3,038 29	LT
	Dec 5, 07	1,000 000	24 280	24,280 36	33 870	33,870.00	9,589.64	LT
	Oct 16, 09	985 000	17 520	17,257 20	33 870	33,361 95	16,104 75	LT
	Apr 7, 10	1,015 000	17 430	17,691 45	33 870	34,378 05	16,686 60	LT
Security total		3,500 000	20 893	73,125 72		118,545 00	45,419 28	
PROLOGIS INC COM								
Symbol PLD Exchange NYSE								
EAI $3,360 Current yield 3 14%	Feb 15, 11	1,339 000	35 168	47,090 88	53 540	71,690 06	24,599 18	LT
	Aug 8, 13	661.000	38 432	25,403 68	53 540	35,389 94	9,986 26	LT
Security total		2,000.000	36 247	72,494 56		107,080 00	34,585 44	
RAYTHEON CO NEW								
Symbol RTN Exchange. NYSE								
EAI $1,172 Current yield 2 15%	Feb 10, 98	400 000	23 762	9,504 97	136 130	54,452 00	44,947 03	LT
REALTY INCOME CORP MD SBI								
Symbol O Exchange NYSE								
EAI $7,272 Current yield 3 62%	Aug 8, 13	1,000.000	41 994	41,994 94	66 930	66,930 00	24,935 06	LT
	Jun 19, 14	2,000 000	43 432	86,864 38	66 930	133,860 00	46,995 62	LT
Security total		3,000 000	42 953	128,859 32		200,790 00	71,930 68	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
RIO TINTO PLC SPON ADR								
Symbol RIO Exchange NYSE								
EAI $1,513 Current yield 4 53%	Aug 18, 16	1,000 000	32 445	32,445 00	33 400	33,400 00	955 00	ST
ROCHE HLDG LTD SPONS ADR SWITZ								
ADR								
Symbol RHHBY Exchange OTC								
EAI $3,352 Current yield 2 71%	Apr 11, 08	800 000	22 765	18,212 00	30 970	24,776 00	6,564 00	LT
	Apr 9, 10	1,200 000	20 795	24,954 00	30 970	37,164 00	12,210 00	LT
	Oct 16, 13	1,000 000	34 319	34,319 47	30 970	30,970 00	-3,349 47	LT
	Apr 19, 16	1,000 000	33 090	33,090 00	30 970	30,970 00	-2,120 00	ST
Security total		4,000 000	27 644	110,575 47		123,880 00	13,304 53	
ROYAL BANK OF CANADA CAD								
Symbol RY Exchange. NYSE								
EAI $5,140 Current yield. 4 15%								
CAD Exchange rate 1 31425	Aug 17, 11	2,000 000	52 902	105,805 41	61 960	123,920 00	18,114 59	LT
ROYAL DUTCH SHELL PLC CL A								
SPON ADR								
Symbol RDS A Exchange NYSE								
EAI $9,588 Current yield 6 38%	May 22, 09	1,000 000	52 690	52,690 00	50 070	50,070 00	-2,620 00	LT
	Sep 24, 10	2,000 000	60 772	121,544 26	50 070	100,140 00	-21,404 26	LT
Security total		3,000 000	58 078	174,234 26		150,210 00	-24,024 26	
SEMPRA ENERGY								
Symbol SRE Exchange NYSE								
EAI $4,530 Current yield 2 82%	May 18, 05	1,500 000	32 280	48,420 00	107 190	160,785 00	112,365 00	LT
SOUTHERN CO								
Symbol SO Exchange NYSE								
EAI $6,720 Current yield 4 37%	Mar 19, 04	1,000 000	31 041	31,041 17	51 300	51,300 00	20,258 83	LT
	Mar 30, 04	600 000	30 970	18,582 00	51 300	30,780 00	12,198 00	LT
	Mar 30, 04	400 000	30 950	12,380 00	51 300	20,520 00	8,140 00	LT
	Sep 5, 13	1,000.000	41 373	41,373 03	51 300	51,300 00	9,926 97	LT
Security total		3,000 000	34 459	103,376 20		153,900 00	50,523 80	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
SWISS RE LTD SPON ADR								
Symbol SSREY Exchange OTC								
EAI $4,675 Current yield 4 30%	Dec 22, 11	2,800 000	12 365	34,623 39	22 640	63,392 00	28,768 61	LT
	Jan 25, 12	2,000 000	14 206	28,412 59	22 640	45,280 00	16,867 41	LT
Security total		4,800 000	13 132	63,035 98		108,672 00	45,636 02	
TEVA PHARMACEUTICALS IND LTD								
ISRAEL ADR								
Symbol TEVA Exchange OTC								
EAI $578 Current yield 2 51%	Apr 14, 16	500 000	55 833	27,916 60	46 010	23,005 00	-4,911 60	ST
TOTAL S A FRANCE SPON ADR								
Symbol TOT Exchange. NYSE								
EAI. $4,604 Current yield 4 83%	Sep 24, 10	2,000 000	51 631	103,262 57	47 700	95,400 00	-7,862 57	LT
W P CAREY INC REIT								
Symbol WPC Exchange. NYSE								
EAI $9,850 Current yield 6 11%	Feb 10, 12	1,500 000	44 242	66,363 92	64 530	96,795 00	30,431 08	LT
	Jun 19, 14	1,000 000	64 614	64,614 15	64 530	64,530 00	-84 15	LT
Security total		2,500 000	52 391	130,978 07		161,325 00	30,346 93	
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol. DIS Exchange NYSE								
EAI $2,840 Current yield 1 53%	Jan 19, 89	2,000 000	5 740	11,480 00	92 860	185,720 00	174,240 00	LT
3M CO								
Symbol MMM Exchange NYSE								
EAI. $3,552 Current yield. 2 52%	Mar 18, 09	800 000	50 320	40,256 00	176 230	140,984 00	100,728 00	LT
Total				**$4,547,304.22**		**$7,035,689.50**	**$2,488,385 28**	

Total estimated annual income. $239,531

Your assets › Equities (continued)

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
KINDER MORGAN INC								
9 750%								
DUE 10/26/18								
SER A								
Symbol. KMI PRA Exchange NYSE								
EAI. $4,875 Current yield 9 74%	Oct 28, 15	1,000 000	48 800	48,800 00	50 070	50,070 00	1,270 00	ST

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss, It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ADVISORY RESEARCH MLP &									
ENERGY INCOME FUND									
CLASS I									
Symbol INFIX									
Trade date Jul 6, 12	7,139 216	9 758	69,670 27	69,670 27	9 820	70,107 09	436 82		LT
Trade date Oct 17, 12	8,796 398	10 521	92,550 98	92,550 98	9 820	86,380 62	-6,170 36		LT
EAI $11,712 Current yield. 7 48%									
Security total	15,935 614	10 180	162,221 25	162,221 25		156,487 72	-5,733 54	-5,733 54	

Your assets › **Equities** (continued)

Other equity investments

Cost basis and gains and losses have not been adjusted automatically for return of capital payments
Restricted security values are estimated for informational purposes See *Important information about your statement* at the end of this document for additional information

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
PLAINS ALL AMER PIPELINE LP UNIT LTD PARTNERSHIP INT MLP Symbol PAA Exchange NYSE EAI. $5,600 Current yield 8 91%	Nov 21, 13	1,000 000	52 425	52,425 04	31 410	31,410 00	-21,015 04	LT
	May 7, 14	1,000 000	58 481	58,481 83	31 410	31,410 00	-27,071 83	LT
Security total		2,000 000	55 453	110,906 87		62,820 00	-48,086 87	

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ESCROW GENL MOTORS CORP DEFAULTED RATE 07 200% MATURES 01/15/11 CUSIP 370ESC880		125,000.000	---This information was unavailable---		------Price was unavailable------			

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Sep 30 ($)	Value on Sep 30 ($)	Unrealized gain or loss ($)	Holding period
ESCROW GENERAL MOTORS Exchange OTC		5,000 000	---This information was unavailable---		0 001	5 00		