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Form **990-PF**

# Return of Private Foundation

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

OMB No 1545-0052

**2016**Department of the Treasury  
Internal Revenue Service

◆ 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](http://www.irs.gov/form990pf).

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation <b>NORWOTOCK CHARITABLE TRUST</b>		A Employer identification number <b>04-6561597</b>
Number and street (or P O box number if mail is not delivered to street address) <b>2440 NORTH LAKEVIEW AVENUE, #15A</b>		B Telephone number (see instructions) <b>773-404-5566</b>
City or town, state or province, country, and ZIP or foreign postal code <b>CHICAGO IL 60614</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ◆ \$ <b>520,933</b>	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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)
1	Contributions, gifts, grants, etc., received (attach schedule)	25,079			
2	Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	3	3		
4	Dividends and interest from securities	10,732	10,732		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	194,873			
b	Gross sales price for all assets on line 6a	277,646			
7	Capital gain net income (from Part IV, line 2)		194,873		
8	Net short-term capital gain			0	
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	Total. Add lines 1 through 11	230,687	205,608	0	
13	Compensation of officers, directors, trustees, etc.	0			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule) Stmt 1	3,700			3,700
c	Other professional fees (attach schedule) Stmt 2	2,832	2,832		
17	Interest				
18	Taxes (attach schedule) (see instructions) Stmt 3	2,597	2,597		
19	Depreciation (attach schedule) and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses (att sch) Stmt 4	202	87		115
24	Total operating and administrative expenses. Add lines 13 through 23	9,331	5,516	0	3,815
25	Contributions, gifts, grants paid	256,724			256,724
26	Total expenses and disbursements. Add lines 24 and 25	266,055	5,516	0	260,539
27	Subtract line 26 from line 12				
a	Excess of revenue over expenses and disbursements	-35,368			
b	Net investment income (if negative, enter -0-)		200,092		
c	Adjusted net income (if negative, enter -0-)			0	

For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2016)

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<b>Part II Balance Sheets</b> 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
<b>Assets</b>	<b>1</b> Cash – non-interest-bearing			
	<b>2</b> Savings and temporary cash investments	<b>-8,516</b>	<b>7,561</b>	<b>7,561</b>
	<b>3</b> Accounts receivable ♦ Less: allowance for doubtful accounts ♦			
	<b>4</b> Pledges receivable ♦ Less: allowance for doubtful accounts ♦			
	<b>5</b> Grants receivable			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	<b>7</b> Other notes and loans receivable (attach schedule) ♦ Less: allowance for doubtful accounts ♦	<b>0</b>		
	<b>8</b> Inventories for sale or use			
	<b>9</b> Prepaid expenses and deferred charges			
	<b>10a</b> Investments – U.S. and state government obligations (attach schedule)			
	<b>b</b> Investments – corporate stock (attach schedule) <b>See Stmt 5</b>	<b>141,918</b>	<b>79,354</b>	<b>425,732</b>
	<b>c</b> Investments – corporate bonds (attach schedule) <b>See Stmt 6</b>	<b>35,778</b>	<b>64,898</b>	<b>64,111</b>
	<b>11</b> Investments – land, buildings, and equipment basis ♦ Less: accumulated depreciation (attach sch.) ♦			
	<b>12</b> Investments – mortgage loans			
	<b>13</b> Investments – other (attach schedule) <b>See Statement 7</b>	<b>40,303</b>	<b>23,052</b>	<b>23,529</b>
	<b>14</b> Land, buildings, and equipment basis ♦ Less: accumulated depreciation (attach sch.) ♦			
	<b>15</b> Other assets (describe ♦ )			
	<b>16</b> <b>Total assets</b> (to be completed by all filers – see the instructions. Also, see page 1, item I)	<b>209,483</b>	<b>174,865</b>	<b>520,933</b>
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses			
	<b>18</b> Grants payable			
	<b>19</b> Deferred revenue			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule)			
	<b>22</b> Other liabilities (describe ♦ )			
	<b>23</b> <b>Total liabilities</b> (add lines 17 through 22)	<b>0</b>	<b>0</b>	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> ♦ <input type="checkbox"/>			
	<b>24</b> Unrestricted			
	<b>25</b> Temporarily restricted			
	<b>26</b> Permanently restricted			
	<b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> ♦ <input checked="" type="checkbox"/>			
	<b>27</b> Capital stock, trust principal, or current funds			
	<b>28</b> Paid-in or capital surplus, or land, bldg, and equipment fund			
	<b>29</b> Retained earnings, accumulated income, endowment, or other funds	<b>209,483</b>	<b>174,865</b>	
	<b>30</b> <b>Total net assets or fund balances</b> (see instructions)	<b>209,483</b>	<b>174,865</b>	
	<b>31</b> <b>Total liabilities and net assets/fund balances</b> (see instructions)	<b>209,483</b>	<b>174,865</b>	

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> 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)	<b>1</b>	<b>209,483</b>
<b>2</b> Enter amount from Part I, line 27a	<b>2</b>	<b>-35,368</b>
<b>3</b> Other increases not included in line 2 (itemize) ♦ <b>See Statement 8</b>	<b>3</b>	<b>750</b>
<b>4</b> Add lines 1, 2, and 3	<b>4</b>	<b>174,865</b>
<b>5</b> Decreases not included in line 2 (itemize) ♦	<b>5</b>	
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	<b>6</b>	<b>174,865</b>

**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.)
<b>1a See Worksheet</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				

(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)
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

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

(i) FMV 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))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> Capital gain net income or (net capital loss)	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	<b>2</b>	<b>194,873</b>
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)	<div> <div>If gain, also enter in Part I, line 8, column (c) (see instructions)</div> <div>If (loss), enter -0- in Part I, line 8</div> </div>	<b>3</b>	

**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))
2015	197,370	561,563	0.351465
2014	136,725	669,647	0.204175
2013	437,028	743,322	0.587939
2012	80,630	750,863	0.107383
2011	141,487	778,082	0.181841

<b>2</b> Total of line 1, column (d)	<b>2</b>	<b>1.432803</b>
<b>3</b> 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	<b>3</b>	<b>0.286561</b>
<b>4</b> Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	<b>4</b>	<b>439,787</b>
<b>5</b> Multiply line 4 by line 3	<b>5</b>	<b>126,026</b>
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	<b>2,001</b>
<b>7</b> Add lines 5 and 6	<b>7</b>	<b>128,027</b>
<b>8</b> Enter qualifying distributions from Part XII, line 4	<b>8</b>	<b>260,539</b>

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)**

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter (attach copy of letter if necessary—see instructions)		
<b>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	<b>1</b>	<b>2,001</b>
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>	<b>0</b>
<b>3</b>	Add lines 1 and 2	<b>3</b>	<b>2,001</b>
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>	<b>0</b>
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	<b>5</b>	<b>2,001</b>
<b>6</b>	<b>Credits/Payments</b>		
<b>a</b>	2016 estimated tax payments and 2015 overpayment credited to 2016	<b>6a</b>	<b>715</b>
<b>b</b>	Exempt foreign organizations – tax withheld at source	<b>6b</b>	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	<b>3,000</b>
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>	
<b>7</b>	<b>Total credits and payments.</b> Add lines 6a through 6d	<b>7</b>	<b>3,715</b>
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	<b>8</b>	<b>2</b>
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	<b>9</b>	
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	<b>10</b>	<b>1,712</b>
<b>11</b>	Enter the amount of line 10 to be <b>Credited to 2017 estimated tax</b> <b>1,712</b> <b>Refunded</b>	<b>11</b>	

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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?		<b>X</b>
<b>b</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 <b>1a</b> or <b>1b</b> , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		<b>X</b>
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?		<b>X</b>
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <b>\$</b> _____ (2) On foundation managers <b>\$</b> _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <b>\$</b> _____		
<b>2</b> 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		<b>X</b>
<b>3</b> 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		<b>X</b>
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?		<b>X</b>
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?		
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		<b>X</b>
<b>6</b> 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?		<b>X</b>
<b>7</b> 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		<b>X</b>
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) <b>IL</b>		
<b>b</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		<b>X</b>
<b>9</b> 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 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		<b>X</b>
<b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		<b>X</b>

**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)		<b>X</b>
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)		<b>X</b>
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ♦ <b>NONE</b>	<b>X</b>	
14 The books are in care of ♦ <b>ADELE SIMMONS</b> <b>2440 NORTH LAKEVIEW AVENUE #15A</b> Located at ♦ <b>CHICAGO</b> IL ZIP+4 ♦ <b>60614</b> Telephone no ♦ <b>773-404-5566</b>		
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	<b>15</b>	
16 At any time during calendar year 2016, 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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ♦		<b>X</b>

**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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	<b>N/A</b>	<b>1b</b>
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 2016?	<b>N/A</b>	<b>1c</b>
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 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? If "Yes," list the years ♦ 20 , 20 , 20 , 20	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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)	<b>N/A</b>	<b>2b</b>
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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2016 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 2016)	<b>N/A</b>	<b>3b</b>
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		<b>X</b>
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 2016?		<b>X</b>

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

<b>5a</b> 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))?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(3) Provide a grant to an individual for travel, study, or other similar purposes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</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 <input checked="" type="checkbox"/>	<b>5b</b>		
Organizations relying on a current notice regarding disaster assistance check here				
<b>c</b> 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 <input type="checkbox"/> Yes <input type="checkbox"/> No			
If "Yes," attach the statement required by Regulations section 53.4945–5(d)				
<b>6a</b> Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		<b>6b</b>		<b>X</b>
If "Yes" to 6b, file Form 8870				
<b>7a</b> At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b> If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	N/A	<b>7b</b>		

**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
ADELE SMITH SIMMONS 2440 NORTH LAKEVIEW AVENUE #15A	CHICAGO IL 60614	TRUSTEE 0.00	0	0
ERICA S. SIMMONS 25 N PROSPECT AVENUE	MADISON WI 53726-3973	TRUSTEE 0.00	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

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 (see instructions). If none, enter "NONE."**

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

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
<b>1 N/A</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1 N/A</b>	
<b>2</b>	
All other program-related investments. See instructions.	
<b>3</b>	

**Total.** Add lines 1 through 3



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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities	<b>1a</b>	<b>428,730</b>
<b>b</b>	Average of monthly cash balances	<b>1b</b>	<b>17,754</b>
<b>c</b>	Fair market value of all other assets (see instructions)	<b>1c</b>	<b>0</b>
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	<b>446,484</b>
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	<b>0</b>
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	<b>0</b>
<b>3</b>	Subtract line 2 from line 1d	<b>3</b>	<b>446,484</b>
<b>4</b>	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	<b>4</b>	<b>6,697</b>
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	<b>439,787</b>
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	<b>21,989</b>

**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.)

<b>1</b>	Minimum investment return from Part X, line 6	<b>1</b>	<b>21,989</b>
<b>2a</b>	Tax on investment income for 2016 from Part VI, line 5	<b>2a</b>	<b>2,001</b>
<b>b</b>	Income tax for 2016 (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	<b>2,001</b>
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	<b>19,988</b>
<b>4</b>	Recoveries of amounts treated as qualifying distributions	<b>4</b>	
<b>5</b>	Add lines 3 and 4	<b>5</b>	<b>19,988</b>
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	
<b>7</b>	<b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	<b>19,988</b>

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc. — total from Part I, column (d), line 26	<b>1a</b>	<b>260,539</b>
<b>b</b>	Program-related investments — total from Part IX-B	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	<b>260,539</b>
<b>5</b>	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)	<b>5</b>	<b>2,001</b>
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	<b>258,538</b>

**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 2015	(c) 2015	(d) 2016
<b>1</b> Distributable amount for 2016 from Part XI, line 7				<b>19,988</b>
<b>2</b> Undistributed income, if any, as of the end of 2016				
<b>a</b> Enter amount for 2015 only				
<b>b</b> Total for prior years 20____, 20____, 20____				
<b>3</b> Excess distributions carryover, if any, to 2016				
<b>a</b> From 2011	<b>141,775</b>			
<b>b</b> From 2012	<b>43,352</b>			
<b>c</b> From 2013	<b>400,102</b>			
<b>d</b> From 2014	<b>104,668</b>			
<b>e</b> From 2015	<b>171,012</b>			
<b>f</b> Total of lines 3a through e	<b>860,909</b>			
<b>4</b> Qualifying distributions for 2016 from Part XII, line 4 ♦ \$ <b>260,539</b>				
<b>a</b> Applied to 2015, but not more than line 2a				
<b>b</b> Applied to undistributed income of prior years (Election required – see instructions)				
<b>c</b> Treated as distributions out of corpus (Election required – see instructions)				
<b>d</b> Applied to 2016 distributable amount				<b>19,988</b>
<b>e</b> Remaining amount distributed out of corpus	<b>240,551</b>			
<b>5</b> Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	<b>1,101,460</b>			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b				
<b>c</b> 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				
<b>d</b> Subtract line 6c from line 6b Taxable amount – see instructions				
<b>e</b> Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount – see instructions				
<b>f</b> Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				<b>0</b>
<b>7</b> 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)				
<b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	<b>141,775</b>			
<b>9</b> Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	<b>959,685</b>			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2012	<b>43,352</b>			
<b>b</b> Excess from 2013	<b>400,102</b>			
<b>c</b> Excess from 2014	<b>104,668</b>			
<b>d</b> Excess from 2015	<b>171,012</b>			
<b>e</b> Excess from 2016	<b>240,551</b>			

**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 2016, 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			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
<b>2a</b> Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
<b>b</b> 85% of line 2a					
<b>c</b> Qualifying distributions from Part XII, line 4 for each year listed					
<b>d</b> Amounts included in line 2c not used directly for active conduct of exempt activities					
<b>e</b> Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
<b>3</b> Complete 3a, b, or c for the alternative test relied upon					
<b>a</b> "Assets" alternative test – enter					
<b>(1)</b> Value of all assets					
<b>(2)</b> Value of assets qualifying under section 4942(j)(3)(B)(i)					
<b>b</b> "Endowment" alternative test – enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
<b>c</b> "Support" alternative test – enter					
<b>(1)</b> Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
<b>(2)</b> Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
<b>(3)</b> Largest amount of support from an exempt organization					
<b>(4)</b> 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) )  
**N/A**

**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  
**N/A**

**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  
**ADELE SIMMONS 773-404-5566**  
**2440 NORTH LAKEVIEW AVE #15A CHICAGO IL 60614**

**b** The form in which applications should be submitted and information and materials they should include  
**N/A**

**c** Any submission deadlines  
**N/A**

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

**Part XV** **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	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
Name and address (home or business)				
<b>a</b> Paid during the year <b>SEE ATTACHED STATEMENT</b>	NONE	501 (C) (3)	UNRESTRICTED	256,724
<b>Total</b>			◆ 3a	256,724
<b>b</b> Approved for future payment <b>N/A</b>				
<b>Total</b>			◆ 3b	



<b>Part XVII</b>	<b>Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations</b>
------------------	--

- 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
- (2)** Other assets
- b** Other transactions
- (1)** Sales of assets to a noncharitable exempt organization
- (2)** Purchases of assets from a noncharitable exempt organization
- (3)** Rental of facilities, equipment, or other assets
- (4)** Reimbursement arrangements
- (5)** Loans or loan guarantees
- (6)** Performance of services or membership or fundraising solicitations
- c** Sharing of facilities, equipment, mailing lists, other assets, or paid employees
- 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.

	Yes	No
1a(1)		<b>X</b>
1a(2)		<b>X</b>
1b(1)		<b>X</b>
1b(2)		<b>X</b>
1b(3)		<b>X</b>
1b(4)		<b>X</b>
1b(5)		<b>X</b>
1b(6)		<b>X</b>
1c		<b>X</b>

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

- b** If "Yes," complete the following schedule

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

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

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes

**Sign  
Here**

Signature of officer or trustee

Date \_\_\_\_\_

Title

**Paid**  
**Preparer**  
**Use Only**

Print/Type preparer's name

Preparer's signature

Date \_\_\_\_\_

Check ☐ if self-employed

**Robert G. Bernstein**

06/30/17

Firm's name ④ **Old Greenwich Financial, Inc.**

PTIN P00365707

Firm's address ④ **5214 N. Lakewood Ave**  
**Chicago, IL 60640**

Firm's EIN ④ **06-1546854**

Phone no **773-271-9551**

Form **990-PF** (2016)

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

OMB No 1545-0047

**2016**

◆ Attach to Form 990, Form 990-EZ, or Form 990-PF.

◆ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

Name of the organization

Employer identification number

**NORWOTTOCK CHARITABLE TRUST****04-6561597**

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33<sup>1</sup>/<sub>3</sub> % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 exclusively for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ► \$

**Caution:** An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization

**NORWOTTOCK CHARITABLE TRUST**

Employer identification number

**04-6561597****Part I Contributors** (See instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	<b>ADELE SIMMONS</b> <b>2440 NORTH LAKEVIEW AVENUE #15A</b> <b>CHICAGO IL 60614</b>	\$ <b>25,079</b>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input checked="" type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions )



Name of organization

**NORWOTTOCK CHARITABLE TRUST**

Employer identification number

**04-6561597****Part II Noncash Property** (See instructions) Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	3925 SHARES MARSH & MCLENNAN	\$ 268,786	12/16/16
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	

Form <b>990-PF</b>	<b>Capital Gains and Losses for Tax on Investment Income</b>	<b>2016</b>
For calendar year 2016, or tax year beginning _____, and ending _____		
Name <b>NORWOTOCK CHARITABLE TRUST</b>		Employer Identification Number <b>04-6561597</b>

(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) 1359.592 MAINSTAY MARKETFIELD FUND	P	Various	03/30/16
(2) 10 ABBVIE INC COM	P	07/15/08	04/08/16
(3) 10 ABBVIE INC COM	P	07/15/08	06/16/16
(4) 10 ABBVIE INC COM	P	07/15/08	06/20/16
(5) 10 ABBVIE INC COM	P	07/15/08	06/23/16
(6) 10 ABBVIE INC COM	P	07/15/08	07/01/16
(7) 10 AMERICAN TOWER CORP REIT	P	12/23/10	06/16/16
(8) 10 AMERICAN TOWER CORP REIT	P	12/23/10	06/20/16
(9) 10 AMERICAN TOWER CORP REIT	P	12/23/10	07/11/16
(10) 10 AMERICAN TOWER CORP REIT	P	12/23/10	09/12/16
(11) 10 COLGATE PALMOLIVE CO	P	07/24/06	06/20/16
(12) 10 COLGATE PALMOLIVE CO	P	07/24/06	09/22/16
(13) 260 COLGATE PALMOLIVE CO	P	Various	09/26/16
(14) 190 DANAHER CORP	P	06/27/03	11/02/16
(15) 0.115 DELL TECHNOLOGIES	P	07/22/09	09/07/16

(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)
(1) 19,306		20,100	-794
(2) 584		302	282
(3) 604		302	302
(4) 602		302	300
(5) 612		302	310
(6) 628		302	326
(7) 1,073		506	567
(8) 1,076		506	570
(9) 1,147		506	641
(10) 4,426		2,023	2,403
(11) 717		312	405
(12) 733		312	421
(13) 19,021		7,862	11,159
(14) 14,652		2,451	12,201
(15) 5		5	

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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
(1)			-794
(2)			282
(3)			302
(4)			300
(5)			310
(6)			326
(7)			567
(8)			570
(9)			641
(10)			2,403
(11)			405
(12)			421
(13)			11,159
(14)			12,201
(15)			

Form <b>990-PF</b>		<b>Capital Gains and Losses for Tax on Investment Income</b>		<b>2016</b>
Name <b>NORWOTOCK CHARITABLE TRUST</b>			Employer Identification Number <b>04-6561597</b>	
For calendar year 2016, or tax year beginning			, and ending	

(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) 1 DELL TECHNOLOGIES	P	07/22/09	10/13/16
(2) 165 WALT DISNEY CO	P	09/24/08	10/13/16
(3) 10 EMC CORP MASS	P	07/22/09	01/05/16
(4) 10 EMC CORP MASS	P	07/22/09	04/08/16
(5) 10 EMC CORP MASS	P	07/22/09	06/16/16
(6) 10 EMC CORP MASS	P	07/22/09	06/20/16
(7) 10 EMC CORP MASS	P	07/22/09	06/23/16
(8) 10 EMC CORP MASS	P	07/22/09	07/01/16
(9) 10 EMC CORP MASS	P	07/22/09	07/05/16
(10) 10 EMC CORP MASS	P	07/22/09	07/11/16
(11) 20 EMC CORP MASS	P	07/22/09	09/07/16
(12) 10 FORTIVE CORP	P	06/27/03	11/22/16
(13) 10 FORTIVE CORP	P	06/27/03	11/28/16
(14) 10 ISHARES CORE S&P SMALL CAP ETF	P	11/09/07	11/08/16
(15) 10 ISHARES CORE S&P SMALL CAP ETF	P	06/27/03	11/22/16

(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)
(1) 47		47	
(2) 14,973		5,287	9,686
(3) 257		144	113
(4) 257		144	113
(5) 276		144	132
(6) 277		144	133
(7) 278		144	134
(8) 274		144	130
(9) 273		144	129
(10) 275		144	131
(11) 241		91	150
(12) 552		84	468
(13) 555		84	471
(14) 1,186		658	528
(15) 1,333		367	966

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	
(1)			
(2)			9,686
(3)			113
(4)			113
(5)			132
(6)			133
(7)			134
(8)			130
(9)			129
(10)			131
(11)			150
(12)			468
(13)			471
(14)			528
(15)			966

Form <b>990-PF</b>		<b>Capital Gains and Losses for Tax on Investment Income</b>		<b>2016</b>
		For calendar year 2016, or tax year beginning _____, and ending _____		
Name <b>NORWOTOCK CHARITABLE TRUST</b>			Employer Identification Number <b>04-6561597</b>	
<b>(a)</b> 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>(b)</b> How acquired P-Purchase D-Donation	<b>(c)</b> Date acquired (mo., day, yr.)	<b>(d)</b> Date sold (mo., day, yr.)	
(1) 10 ISHARES CORE S&P SMALL CAP ETF	P	11/09/07	11/28/16	
(2) 10 ISHARES CORE S&P SMALL CAP ETF	P	06/27/03	12/08/16	
(3) 190 LOWES COMPANIES INC	P	03/24/10	10/24/16	
(4) 100 MARSH & MCLENNAN	P	02/19/86	01/05/16	
(5) 10 MCKESSON CORP	P	03/24/10	06/20/16	
(6) 10 MCKESSON CORP	P	03/24/10	09/22/16	
(7) 10 MCKESSON CORP	P	03/24/10	10/13/16	
(8) 10 MICROSOFT CORP	P	06/27/03	06/16/16	
(9) 10 MICROSOFT CORP	P	06/27/03	06/20/16	
(10) 10 MICROSOFT CORP	P	06/27/03	06/23/16	
(11) 10 MICROSOFT CORP	P	06/27/03	07/01/16	
(12) 10 MICROSOFT CORP	P	06/27/03	07/05/16	
(13) 10 MICROSOFT CORP	P	06/27/03	07/11/16	
(14) 10 MICROSOFT CORP	P	06/27/03	09/22/16	
(15) 10 ORACLE CORP	P	07/22/09	01/05/16	

(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)
(1) 1,343		658	685
(2) 1,401		367	1,034
(3) 13,535		4,649	8,886
(4) 5,429		2	5,427
(5) 1,794		642	1,152
(6) 1,680		642	1,038
(7) 11,297		4,493	6,804
(8) 499		258	241
(9) 502		258	244
(10) 519		258	261
(11) 512		258	254
(12) 509		258	251
(13) 526		258	268
(14) 579		258	321
(15) 359		218	141

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	
(1)			685
(2)			1,034
(3)			8,886
(4)			5,427
(5)			1,152
(6)			1,038
(7)			6,804
(8)			241
(9)			244
(10)			261
(11)			254
(12)			251
(13)			268
(14)			321
(15)			141

Form <b>990-PF</b>		<b>Capital Gains and Losses for Tax on Investment Income</b>		<b>2016</b>
		For calendar year 2016, or tax year beginning _____, and ending _____		
Name <b>NORWOTOCK CHARITABLE TRUST</b>			Employer Identification Number <b>04-6561597</b>	
<p>(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</p>	<p>(b) How acquired P-Purchase D-Donation</p>	<p>(c) Date acquired (mo., day, yr.)</p>	<p>(d) Date sold (mo., day, yr.)</p>	
(1) 10 ORACLE CORP	P	07/22/09	04/08/16	
(2) 10 ORACLE CORP	P	07/22/09	06/16/16	
(3) 10 PEPSICO INC	P	02/04/04	06/16/16	
(4) 10 PEPSICO INC	P	02/04/04	06/20/16	
(5) 10 PEPSICO INC	P	02/04/04	07/05/16	
(6) 50 PEPSICO INC	P	02/04/04	09/12/16	
(7) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	11/07/16	
(8) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	11/08/16	
(9) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	11/15/16	
(10) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	11/22/16	
(11) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	11/28/16	
(12) 100 SPDR S&P MIDCAP 400 ETF TR	P	10/28/03	12/08/16	
(13) 105 SCHLUMBERGER LTD NETHERLANDS ANT	P	12/23/03	10/28/16	
(14) 10 SEMPRA ENERGY	P	03/24/10	06/16/16	
(15) 10 SEMPRA ENERGY	P	03/24/10	06/20/16	

(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)
(1) 404		218	186
(2) 383		218	165
(3) 1,033		482	551
(4) 1,035		482	553
(5) 1,066		482	584
(6) 5,266		2,408	2,858
(7) 27,382		9,876	17,506
(8) 2,743		988	1,755
(9) 2,892		988	1,904
(10) 2,950		988	1,962
(11) 2,965		988	1,977
(12) 3,085		988	2,097
(13) 8,354		2,836	5,518
(14) 1,093		495	598
(15) 1,094		495	599

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	
(1)			186
(2)			165
(3)			551
(4)			553
(5)			584
(6)			2,858
(7)			17,506
(8)			1,755
(9)			1,904
(10)			1,962
(11)			1,977
(12)			2,097
(13)			5,518
(14)			598
(15)			599

Form <b>990-PF</b>		<b>Capital Gains and Losses for Tax on Investment Income</b>		<b>2016</b>
Name <b>NORWOTTOCK CHARITABLE TRUST</b>			For calendar year 2016, or tax year beginning _____, and ending _____	
			Employer Identification Number <b>04-6561597</b>	
(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)	<b>50 SEMPRA ENERGY</b>	<b>P</b>	<b>03/24/10</b>	<b>09/12/16</b>
(2)	<b>100 MARSH &amp; MCLENNAN</b>	<b>P</b>	<b>Various</b>	<b>12/15/16</b>
(3)	<b>125 MARSH &amp; MCLENNAN</b>	<b>P</b>	<b>Various</b>	<b>12/23/16</b>
(4)	<b>1000 MARSH &amp; MCLENNAN</b>	<b>P</b>	<b>Various</b>	<b>12/27/16</b>
(5)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>01/06/16</b>
(6)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>02/05/16</b>
(7)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>03/04/16</b>
(8)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>04/05/16</b>
(9)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>05/05/16</b>
(10)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>06/06/16</b>
(11)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>07/06/16</b>
(12)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>08/03/16</b>
(13)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>09/07/16</b>
(14)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>10/05/16</b>
(15)	<b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>11/03/16</b>

(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)
(1) <b>5,185</b>		<b>2,476</b>	<b>2,709</b>
(2) <b>6,857</b>		<b>2</b>	<b>6,855</b>
(3) <b>8,571</b>		<b>3</b>	<b>8,568</b>
(4) <b>68,361</b>		<b>20</b>	<b>68,341</b>
(5) <b>1</b>			<b>1</b>
(6) <b>1</b>			<b>1</b>
(7) <b>1</b>			<b>1</b>
(8) <b>2</b>			<b>2</b>
(9) <b>2</b>			<b>2</b>
(10) <b>2</b>			<b>2</b>
(11) <b>1</b>			<b>1</b>
(12) <b>2</b>			<b>2</b>
(13) <b>2</b>			<b>2</b>
(14) <b>2</b>			<b>2</b>
(15) <b>2</b>			<b>2</b>

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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
(1)			<b>2,709</b>
(2)			<b>6,855</b>
(3)			<b>8,568</b>
(4)			<b>68,341</b>
(5)			<b>1</b>
(6)			<b>1</b>
(7)			<b>1</b>
(8)			<b>2</b>
(9)			<b>2</b>
(10)			<b>2</b>
(11)			<b>1</b>
(12)			<b>2</b>
(13)			<b>2</b>
(14)			<b>2</b>
(15)			<b>2</b>

Form <b>990-PF</b>	<b>Capital Gains and Losses for Tax on Investment Income</b>	<b>2016</b>
For calendar year 2016, or tax year beginning _____, and ending _____		

Name <b>NORWOTTOCK CHARITABLE TRUST</b>	Employer Identification Number <b>04-6561597</b>
--	---

(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) <b>SPDR GOLD SHARES ETF</b>	<b>P</b>	<b>Various</b>	<b>12/05/16</b>
(2) <b>UBS</b>			
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

(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)
(1) <b>2</b>			<b>2</b>
(2) <b>183</b>			<b>183</b>
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

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) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
(1)			<b>2</b>
(2)			<b>183</b>
(3)			
(4)			
(5)			
(6)			
(7)			
(8)			
(9)			
(10)			
(11)			
(12)			
(13)			
(14)			
(15)			

## Federal Statements

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Statement 1 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
TAX PREPARATION FEES	\$ 3,700	\$	\$	\$ 3,700
Total	\$ 3,700	\$ 0	\$ 0	\$ 3,700

Statement 2 - Form 990-PF, Part I, Line 16c - Other Professional Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
INVESTMENT MANAGEMENT FEES	\$ 2,832	\$ 2,832	\$	\$
Total	\$ 2,832	\$ 2,832	\$ 0	\$ 0

Statement 3 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FOREIGN TAXES PAID	\$ 97	\$ 97	\$	\$
FEDERAL INCOME TAXES	2,500	2,500		
Total	\$ 2,597	\$ 2,597	\$ 0	\$ 0

Statement 4 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Expenses				
BANK CHARGES	87	87		115
FILING FEES	115			115
Total	\$ 202	\$ 87	\$ 0	\$ 115



# Federal Statements

## Statement 5 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
SEE ATTACHED STATEMENT	\$ 141,918	\$ 79,354	Cost	\$ 425,732
Total	\$ 141,918	\$ 79,354		\$ 425,732

## Statement 6 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

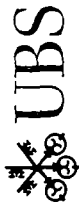
Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
SEE ATTACHED	\$ 35,778	\$ 64,898	Cost	\$ 64,111
Total	\$ 35,778	\$ 64,898		\$ 64,111

## Statement 7 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
NON TRADITIONAL-MUTUAL FUNDS	\$ 36,139	\$ 18,906	Cost	\$ 19,145
COMMODITIES	4,164	4,146	Cost	4,384
Total	\$ 40,303	\$ 23,052		\$ 23,529

**Federal Statements****Statement 8 - Form 990-PF, Part III, Line 3 - Other Increases**

Description	Amount
PRIOR PERIOD ADJUSTMENTS	\$ 750
Total	\$ 750



# Portfolio Management Program

December 2016

Account name: NORWOTOCK CHARITABLE TRUST  
Account number: [REDACTED]

Your Financial Advisor:  
PETER ERRETT VAN NICE, JR  
312-525-4500/800-621-0684

## Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

### Cash

### Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 30 (\$)	Price per share on Dec 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	0 00	13,335 51					
UBS BANK USA DEP ACCT	26,657 50	20,511 63					250,000 00
<b>Total</b>	<b>\$26,657.50</b>	<b>\$33,847.14</b>					

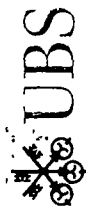
### Equities

#### Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
ABBVIE INC COM								
Symbol ABBV Exchange NYSE								
EAI \$26 Current yield 4 15%	Jul 15, 08	10 000	30 189	301 89	62 620	626 20	324 31	LT
AMERICAN TOWER CORP REIT								
Symbol AMT Exchange NYSE								
EAI \$23 Current yield 2 18%	Dec 23, 10	10 000	50 565	505 65	105 680	1,056 80	551 15	LT
AMGEN INC								
Symbol AMGN Exchange OTC								
EAI \$46 Current yield 3 15%	Dec 15, 08	10 000	57 845	578 45	146 210	1,462 10	883 65	LT
COLGATE PALMOLIVE CO								
Symbol CL Exchange NYSE								
EAI \$16 Current yield 2 44%	Jun 21, 06	10 000	30 164	301 64	65 440	654 40	352 76	LT

continued next page





Portfolio Management Program  
December 2016

Account name:  
Account number:

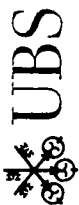
Your Financial Advisor:  
PETER ERRETT VAN NICE, JR  
312-525-4500/800-621-0684

NORWOTOCK CHARITABLE TRUST

Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
DANAHER CORP								
Symbol DHR Exchange NYSE								
EAI \$5 Current yield 0.64%	Jun 27, 03	10 000	12 897	128 97	77 840	778 40	649 43	LT
FORTIVE CORP								
Symbol FTV Exchange NYSE								
EAI \$22 Current yield 0.51%	Jun 27, 03	80 000	8 400	672 00	53 630	4,290 40	3,618 40	LT
INTEL CORP								
Symbol INTC Exchange OTC								
EAI \$624 Current yield 2.87%	Jan 8, 92	600 000	1 585	951 50	36 270	21,762 00	20,810 50	LT
LOWES COMPANIES INC								
Symbol LOW Exchange NYSE								
EAI \$14 Current yield 1.97%	Mar 24, 10	10 000	24 470	244 70	71 120	711 20	466 50	LT
MARSH & MCLENNAN COS INC								
Symbol MMC Exchange NYSE								
EAI \$4,760 Current yield 2.01%	Feb 19, 86	800 000	0 020	16 51	67 590	54,072 00	54,055 49	LT
Security total								
		2,700 000	---This information was unavailable---		67 590	182,493 00		
		3,500 000	0 021	16 51		236,565 00	54,055 49	
MCKESSON CORP								
Symbol MCK Exchange NYSE								
EAI \$11 Current yield 0.78%	Mar 24, 10	10 000	64 185	641 85	140 450	1,404 50	762 65	LT
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI \$16 Current yield 2.57%	Jun 27, 03	10 000	25 750	257 50	62 140	621 40	363 90	LT
MONDELEZ INTL INC								
Symbol MDLZ Exchange OTC								
EAI \$8 Current yield 1.80%	Dec 21, 11	10 000	24 291	242 91	44 330	443 30	200 39	LT
ORACLE CORP								
Symbol ORCL Exchange NYSE								
EAI \$6 Current yield 1.56%	Jul 22, 09	10 000	21 757	217 57	38 450	384 50	166 93	LT
PEPSICO INC								
Symbol PEP Exchange NYSE								
EAI \$30 Current yield 2.87%	Feb 4, 04	10 000	48 160	481 60	104 630	1,046 30	564 70	LT
PNC FINANCIAL SERVICES GROUP								
Symbol PNC Exchange NYSE								
EAI \$22 Current yield 1.88%	Jul 22, 09	10 000	36 917	369 17	116 960	1,169 60	800 43	LT

continued next page



Portfolio Management Program  
December 2016

Account name: NORWOTOCK CHARITABLE TRUST  
Account number: [REDACTED]

Your Financial Advisor:  
PETER ERRETT VAN NICE, JR  
312-525-4500/800-621-0684

Your assets • Equities • Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
SCHLUMBERGER LTD NETHERLANDS								
ANTILLES								
Symbol SLB Exchange NYSE								
EAI \$20 Current yield 2.38%	Earnings	10,000	27,010	270,10	83,950	839,50	569,40	
SEMPRA ENERGY								
Symbol SRE Exchange NYSE								
EAI \$30 Current yield 2.98%	Mar 24, 10	10,000	49,515	495,15	100,640	1,006,40	511,25	LT
UNITED TECHNOLOGIES CORP								
Symbol UTX Exchange NYSE								
EAI \$26 Current yield 2.37%	Jul 6, 06	10,000	64,262	642,62	109,620	1,096,20	453,58	LT
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange NYSE								
EAI \$16 Current yield 1.54%	Sep 24, 08	10,000	32,044	320,44	104,220	1,042,20	721,76	LT
<b>Total</b>				<b>\$7,640.22</b>		<b>\$276,960.40</b>	<b>\$86,827.18</b>	
<b>Total estimated annual income: \$5,721</b>								

Closed end funds & Exchange traded products

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.

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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 Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES CORE S&P SMALL-CAP ETF									
Symbol IJR									
Trade date Jun 27, 03	400,000	36,653	14,661,34	14,661,34	137,520	55,008,00	40,346,66		LT
Trade date Nov 9, 07	10,000	65,756	657,56	657,56	137,520	1,375,20	717,64		LT
Trade date May 7, 09	150,000	44,230	6,634,50	6,634,50	137,520	20,628,00	13,993,50		LT
EAI \$936 Current yield 1.22%									
Security total	560,000	39,203	21,953,40	21,953,40	77,011,20	55,057,80			

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Portfolio Management Program  
December 2016

Account name:  
Account number:

NORWOTOCK CHARITABLE TRUST

Your Financial Advisor:  
PETER ERRETT VAN NICE, JR  
312-525-4500/800-621-0684

Your assets • Equities • Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES RUSSELL 1000 GROWTH ETF									
Symbol: IWF									
Trade date Nov 14, 14	100 000	95 156	9,515 68	9,515 68	104 900	10,490 00	974 32	974 32	LT
EAI \$150 Current yield 1 43%									
ISHARES MSCI EAFE ETF									
Symbol: EFA									
Trade date Dec 23, 03	800 000	44 066	35,253 33	35,253 33	57 730	46,184 00	10,930 67	10,930 67	LT
EAI \$1.417 Current yield 3 07%									
SPDR S&P MIDCAP 400 ETF TR									
Symbol: MDY									
Trade date Oct 28, 03	50 000	98 760	4,938 00	4,938 00	301 730	15,086 50	10,148 50	10,148 50	LT
EAI \$197 Current yield 1 31%									
<b>Total</b>			<b>\$71,660.41</b>	<b>\$71,660.41</b>		<b>\$148,771.70</b>	<b>\$77,111.29</b>	<b>\$77,111.29</b>	
<b>Total estimated annual income: \$2,700</b>									

Fixed income

Closed end funds & Exchange traded products

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Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES INTER CREDIT BOND ETF									
Symbol: CIU									
Trade date May 8, 12	60 000	109 340	6,560 40	6,560 40	108 190	6,491 40	-69 00	-69 00	LT
EAI \$159 Current yield 2 45%									
ISHARES IBONDS DEC 2020 TERM CORPORATE ETF									

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Portfolio Management Program  
December 2016

Account name: NORWOTOCK CHARITABLE TRUST

Account number: [REDACTED]

Your Financial Advisor:  
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312-525-4500/800-621-0684

Your assets • Fixed income • Closed end funds & Exchange traded products (continued)

Holding	Symbol	IBDL	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Trade date Nov 28, 16	EAL	\$287	Current yield 2.28%	500 000	25 299	12,649 70	25.230	12,615 00	-34 70	-34 70	ST
ISHARES IBONDS DEC 2019											
TERM CORPORATE ETF											
Trade date Sep 26, 16	EAL	\$240	Current yield 1.93%	500 000	25 203	12,601 98	24 890	12,445 00	-156 98	-156 98	ST
<b>Total</b>											
<b>Total estimated annual income: \$686</b>											

**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.

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Holding	Symbol	IBDL	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
MANNING & NAPIER											
UNCONSTRAINED BOND FUND											
CLASS I											
Trade date Nov 9, 15	Symbol	MNCPX	860 297	9 297	7,998 37	7,998 37	9 280	7,983 55	-14 82		LT
Trade date Apr 8, 16	Symbol	MNCPX	270 563	9 239	2,500 00	2,500 00	9 280	2,510 82	10 82		ST
Total reinvested			37 977	9 228	350 47	350 47	9 280	352 43	1 96		
EAL \$265											
Current yield 2.44%											
Security total			1,168 837	9 282	10,498 37	10,848 84		10,846 80	-2 04	348 43	

**MFS EMERGING MARKETS**

**DEBT FUND CLASS I**

**Symbol MEDIX**



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Portfolio Management Program  
December 2016

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Account number:

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Your assets • Fixed income • Mutual funds (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Total reinvested	Jun 28, 11	445 283	14 690	6,541 21	6,541 21	14 370	6,398 71	-142 50		LT
EAI \$590 Current yield 4.85%		400 931	15 052		6,035 19	14 370	5,761 38	-273 81		
Security total		846 214	14 862	6,541 21	12,576 40		12,160 09	-416 31	5,618 88	
PRINCIPAL PREFERRED										
SECURITIES FUND										
Symbol: PPSPX										
Total reinvested	Jan 14, 14	803 725	9 953	8,000 00	8,000 00	9 880	7,940 80	-59 20		LT
EAI \$468 Current yield 4.90%		163 135	10 178		1,660 42	9 880	1,611 77	-48 65		
Security total		966 860	9 992	8,000 00	9,660 42		9,552 57	-107 85	1,552 57	
Total				\$25,039.58	\$33,085.66		\$32,559.46	-\$526.20	\$7,519.88	
Total estimated annual income: \$1,323										

Non-traditional

Mutual funds

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Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Total reinvested	Aug 3, 12	303 523	13 132	3,985 93	3,985 93	13 200	4,006 51	20 58		LT
	Sep 4, 12	190 817	13 101	2,500 00	2,500 00	13 200	2,518 79	18 79		LT
	Sep 26, 16	189 107	13 220	2,500 00	2,500 00	13 200	2,496 21	-3 79		ST
Security total		38 802	12 856		498 87 <sup>2</sup>		512 19	13 32		

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Portfolio Management Program  
December 2016

Account name:  
Account number

NORWOTOCK CHARITABLE TRUST

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## Your assets, Non-traditional, Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Security total	722 250	13 132	8,985 93	9,484 80		9,533 70	48 90	547 77	
CALAMOS MARKET									
NEUTRAL INCOME									
FUND CLASS I									
Symbol CMNIX									
Trade date Jul 27, 12	400 471	12 485	5,000 00	5,000 00	12 870	5,154 05	154 05		LT
Trade date Jan 22, 14	116 809	12 841	1,500 00	1,500 00	12 870	1,503 33	3 33		LT
Trade date Oct 15, 14	157 356	12 710	2,000 00	2,000 00	12 870	2,025 17	25 17		LT
Total reinvested	72 141	12 765		920 92	12 870	928 45	7 53		
EAL \$136 Current yield 1.42%									
Security total	746 776	12 615	8,500 00	9,420 92		9,611 00	190 08	1,111 00	
Total			\$17,485.93	\$18,905.72		\$19,144.70	\$238.98	\$1,658.77	
Total estimated annual income: \$136									

<sup>1</sup> Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

## Commodities

### Closed end funds & Exchange traded products

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Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
SPDR GOLD SHARES ETF									
Symbol GLD									
Trade date Mar 24, 10	40 000	103 644	4,145 79	4,145 79	109 610	4,384 40	238 61	238 61	LT



**Norwottock Charitable Trust**  
**EIN: 04-6561597**  
**2016 Form 990-PF, Page 11, Part XV, Line 3a**

Name	Paid Amount
Common School	500 00
Harris Theatre for Music & Dance	500 00
Shirley Heinze Land Trust	100 00
Voices for IL Children	100 00
Field Museum	1,000.00
A Better Balance	1,000 00
Lincoln Park Conservancy	300 00
Voices for Progress	500.00
Chicago Council on Global Affairs	10,000 00
Chicago Council on Global Affairs	1,500 00
Chicago Council on Global Affairs	850 00
Chicago Symphony Orchestra	3,500 00
Compassion & Choices	30 00
Environmental Law & Policy Center	650 00
Mother Jones	100 00
Tibet House	3,000 00
Global Fund for Women	250 00
Brushwood Center @ Ryerson Woods	290 00
Citizens United Foundation	250 00
Abraham Lincoln Presidential Library Fdtn	720 00
Chicago Council on Global Affairs	5,000 00
Kartemquin Films	500 00
Nuclear Energy Info Services	50.00
Openlands Project	208 00
Catalyst	250 00
Brushwood Center @ Ryerson Woods	1,000 00
Mother Jones	10,000 00
Mad Shak Dance Company	4,000 00
Chicago Council on Global Affairs	1,000 00
ecoAmerica	1,000 00
Northwestern Memorial Foundation	100 00
Mother Jones	10,000.00
Metropolitan Planning Council	430 00
Chicago Institute for Psychoanalysis	250 00
High Concept Laboratories	8,000.00
J Street	1,140 00
Adlai Stevenson Center on Democracy	1,000 00
Alliance For Justice	100 00
American Academy of Arts & Sciences	250 00
Arizona Center for Integrative Medicine	2,500 00
Art Institute	2,500 00
Better Government Association	250 00
Brushwood Center @ Ryerson Woods	1,000 00
Bulletin for Atomic Scientists	1,500 00
Center for International Policy	1,000 00
Center for Neighborhood Technology	250 00
CERES	5,000 00
Chicago History Museum	250 00
Chicago Public Library Foundation	100 00
Chicago Shakespeare Theater	250 00
Council on Foreign Relations	250 00
Delta Institute	250 00
Global Fund for Women	100 00
Grant Park Orchestra Association	150 00
Health & Medicine Policy Research Group	500 00

All recipients are Section 501(c)(3) organizations.

**Norwottock Charitable Trust**  
**EIN: 04-6561597**  
**2016 Form 990-PF, Page 11, Part XV, Line 3a**

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Name	Paid Amount
human Rights Watch	50 00
Interfaith Youth Core	100 00
International Crane Foundation	1,000 00
Kensington Conservancy	2,500 00
Lincoln Park Conservancy	250 00
Lincoln Park Zoo	150 00
Lyric Opera of Chicago	2,500 00
Metropolitan Opera	100 00
Nation	100 00
Newberry Library	1,000 00
Openlands Project	500 00
Peggy Notebaert Museum	1,000 00
Planned Parenthood of IL	250 00
Save the Dunes Conservation Fund	100 00
Chicago Council on Foreign Relations	5,000 00
Environmental Defense Fund	500 00
Field Museum	5,000 00
Gaples Institute	2,000 00
Global Justice Center	100 00
Harvard College Fund	100 00
National Geographic Society	1,000 00
The American Prospect	15,000 00
The Nature Conservancy	50 00
The Resurrection Project	1,000 00
Union of Concerned Scientists	5,000 00
university Club Foundarton	100 00
WBEZ-Chicago Public Radio	120 00
WFMT Fine Arts Station	250 00
Women's Global Education Project	500 00
World Resources Institute	250 00
WTTW Channel 11	250 00
Global Philanthropy Partnership	10,000 00
Global Philanthropy Partnership	15,000 00
Common School	5,000 00
University of Chicago	5,500 00
Better Government Association	100 00
Museum of Science & Industry	300 00
Northwestern Medicine	200 00
Tides Center-Palastine Solidarity Support	250 00
High Concept Laboratories	8,000 00
Synergos Institute	25,000 00
The American Prospect	1,285 65
Strategic Learning Initiatives	55,000 00
<b>TOTAL</b>	<b>256,723.65</b>