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EXTENDED TO NOVEMBER 15, 2017

Return of Private Foundation

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

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

OMB No 1545-0052

2016

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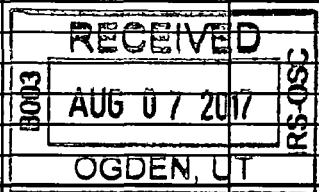
Form 990-PF

Department of the Treasury
Internal Revenue Service

For calendar year 2016 or tax year beginning

, and ending

Name of foundation THE LUCIUS N. LITTAUER FOUNDATION, INC.		A Employer identification number 13-1688027	
Number and street (or P O box number if mail is not delivered to street address) 220 FIFTH AVENUE 19TH FLOOR		Room/suite	B Telephone number 212-697-2677
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10001		C If exemption application is pending, check here ☐	
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 54,639,264.		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____			
Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(a) Revenue and expenses per books	(b) Net investment income
		(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		5,055,869.	N/A
2 Check ☐ if the foundation is not required to attach Sch. B			
3 Interest on savings and temporary cash investments		2,431.	2,431.
4 Dividends and interest from securities		1,382,935.	1,382,935.
5a Gross rents			
b Net rental income or (loss)			
6a Net gain or (loss) from sale of assets not on line 10		-11,042.	
b Gross sales price for all assets on line 6a 19,708,009.			
7 Capital gain net income (from Part IV, line 2)			1,906,883.
8 Net short-term capital gain			
9 Income modifications			
10a Gross sales less returns and allowances			
b Less Cost of goods sold			
c Gross profit or (loss)			
11 Other income			
12 Total. Add lines 1 through 11		6,430,193.	3,292,249.
13 Compensation of officers, directors, trustees, etc		0.	0.
14 Other employee salaries and wages		131,055.	0.
15 Pension plans, employee benefits			
16a Legal fees STMT 4		8,503.	0.
b Accounting fees STMT 5		59,450.	14,863.
c Other professional fees STMT 6		120,553.	120,553.
17 Interest			
18 Taxes STMT 7		40,179.	0.
19 Depreciation and depletion		12,031.	0.
20 Occupancy		62,063.	0.
21 Travel, conferences, and meetings		15,229.	0.
22 Printing and publications			
23 Other expenses STMT 8		59,113.	0.
24 Total operating and administrative expenses. Add lines 13 through 23		508,176.	135,416.
25 Contributions, gifts, grants paid		3,269,774.	
26 Total expenses and disbursements. Add lines 24 and 25		3,777,950.	135,416.
27 Subtract line 26 from line 12:			
a Excess of revenue over expenses and disbursements		2,652,243.	
b Net investment income (if negative, enter -0-)			3,156,833.
c Adjusted net income (if negative, enter -0-)			N/A



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a

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			151.	149.	149.
	2 Savings and temporary cash investments			1,875,242.	2,855,628.	2,855,628.
	3 Accounts receivable ▶ Less: allowance for doubtful accounts ▶					
	4 Pledges receivable ▶ Less: allowance for doubtful accounts ▶					
	5 Grants receivable					
	6 Receivables due from officers, directors, trustees, and other disqualified persons					
	7 Other notes and loans receivable ▶ Less: allowance for doubtful accounts ▶					
	8 Inventories for sale or use					
	9 Prepaid expenses and deferred charges					
	10a Investments - U.S. and state government obligations					
	b Investments - corporate stock	STMT 9		41,981,565.	43,664,875.	47,970,055.
	c Investments - corporate bonds					
	11 Investments - land, buildings, and equipment basis ▶ Less: accumulated depreciation ▶					
	12 Investments - mortgage loans					
	13 Investments - other	STMT 10		3,000,000.	3,000,000.	3,813,432.
	14 Land, buildings, and equipment: basis ▶ Less: accumulated depreciation	STMT 11 ▶ 41,742. 37,915.		14,368.	3,827.	0.
15 Other assets (describe ▶)						
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item i)			46,871,326.	49,524,479.	54,639,264.	
Liabilities	17 Accounts payable and accrued expenses					
	18 Grants payable					
	19 Deferred revenue					
	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable					
22 Other liabilities (describe ▶)	STATEMENT 12)		3,151.	4,061.		
23 Total liabilities (add lines 17 through 22)			3,151.	4,061.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐					
	24 Unrestricted					
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☒					
	27 Capital stock, trust principal, or current funds			20,952,398.	20,952,398.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds			25,915,777.	28,568,020.	
30 Total net assets or fund balances			46,868,175.	49,520,418.		
31 Total liabilities and net assets/fund balances			46,871,326.	49,524,479.		

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	46,868,175.
2 Enter amount from Part I, line 27a	2	2,652,243.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	49,520,418.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	49,520,418.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SEE ATTACHED STATEMENT C		P	VARIOUS	VARIOUS
b				
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 19,708,009.		17,801,126.	1,906,883.
b			
c			
d			
e			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			1,906,883.
b			
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	1,906,883.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	3,333,523.	46,504,743.	.071681
2014	2,943,203.	46,886,884.	.062772
2013	2,797,710.	42,135,203.	.066398
2012	2,607,004.	39,823,376.	.065464
2011	2,577,014.	40,281,636.	.063975

2 Total of line 1, column (d)	2	.330290
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	.066058
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	48,228,341.
5 Multiply line 4 by line 3	5	3,185,868.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	31,568.
7 Add lines 5 and 6	7	3,217,436.
8 Enter qualifying distributions from Part XII, line 4	8	3,600,503.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	31,568.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	31,568.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	31,568.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	36,388.	
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	36,388.	
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	4,820.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☒ 4,820. Refunded ☒	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) NY		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

N/A

STMT 13

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>LITTAUERFOUNDATION.ORG</u>	X	
14 The books are in care of ► <u>THOMAS H. ENGELHARDT, CPA</u> Telephone no. ► <u>212-503-8800</u> Located at ► <u>C/O MARKS PANETH - 685 THIRD AVE., NEW YORK, NY</u> ZIP+4 ► <u>10017</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	15	N/A
16 At any time during calendar year 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 ►		X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	
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?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 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 ►	☐ Yes ☒ 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.)	N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 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)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		X

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)

☒ Yes ☐ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b

X

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?**SEE STATEMENT 15**☒ 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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870

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

N/A

7b

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 14		0.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ALAN DIVACK - 552 RIVERSIDE DRIVE APT 1H, NEW YORK, NY 10027	PROGRAM OFFICER 40.00	131,055.	0.	0.

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

0

Form 990-PF (2016)

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	47,056,706.
b	Average of monthly cash balances	1b	1,906,077.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	48,962,783.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	48,962,783.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	734,442.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	48,228,341.
6	Minimum investment return. Enter 5% of line 5	6	2,411,417.

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	2,411,417.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	31,568.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	31,568.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	2,379,849.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	2,379,849.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	2,379,849.

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	3,600,503.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	3,600,503.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	31,568.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	3,568,935.

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
1 Distributable amount for 2016 from Part XI, line 7				2,379,849.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	616,652.			
b From 2012	837,273.			
c From 2013	724,328.			
d From 2014	695,687.			
e From 2015	1,101,226.			
f Total of lines 3a through e	3,975,166.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 3,600,503.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				2,379,849.
e Remaining amount distributed out of corpus	1,220,654.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	5,195,820.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	616,652.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	4,579,168.			
10 Analysis of line 9:				
a Excess from 2012	837,273.			
b Excess from 2013	724,328.			
c Excess from 2014	695,687.			
d Excess from 2015	1,101,226.			
e Excess from 2016	1,220,654.			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SEE ATTACHED STATEMENT B				3,269,774.
Total			3a	3,269,774.
b Approved for future payment				
NONE				
Total			3b	0.

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

- | | | |
|---|--------------|------------|
| 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 |
| | 1a(1) | |
| | 1a(2) | |
| | | |
| | 1b(1) | |
| | 1b(2) | |
| | 1b(3) | |
| | 1b(4) | |
| | 1b(5) | |
| | 1b(6) | |
| | 1c | |

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

[illegible]

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

☐ Yes ☒ No

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

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

**Sign
Here**

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

Signature of officer or trustee

July 31, 2017
Date

► PRESIDENT

May the IRS discuss this return with the preparer shown below (see instr.)?

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

ENGELHARDT, THOMAS
H.

Preparer's signature _____

Hans Engelhard

Date

דניאל/27

Check ☐ if
self-employed

PTIN

P00360933

Firm's name ► MARKS PANETH LLP

Firm's EIN ▶ 11-3518842

Firm's address ► 685 THIRD AVENUE
NEW YORK, NY 10017

Phone no. 212-503-8800

Form **990-PF** (2016)

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

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ 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.

OMB No 1545-0047

2016

Name of the organization

THE LUCIUS N. LITTAUER FOUNDATION, INC.

Employer identification number

13-1688027

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 foundation

Check 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 1/3% 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).

LHA 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	Employer identification number
THE LUCIUS N. LITTAUER FOUNDATION, INC.	13-1688027

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	TRUST U/W FOR VERA RICHARD WOOD C/O JP MORGAN 10 S DEARBORN ILI-0111 CHICAGO, IL 60603	\$ 4,987,326.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2	TRUST U/W HAROLD V RICHARD C/O JP MORGAN 10 S DEARBORN ILI-0111 CHICAGO, IL 60603	\$ 47,670.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
3	TRUST U/W FOR WALTER L RICHARD C/O JP MORGAN 10 S DEARBORN ILI-0111 CHICAGO, IL 60603	\$ 20,873.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization

Employer identification number

THE LUCIUS N. LITTAUER FOUNDATION, INC.

13-1688027

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
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization

Employer identification number

THE LUCIUS N. LITTAUER FOUNDATION, INC.**13-1688027**

Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this info once) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF	GAIN OR (LOSS) FROM SALE OF ASSETS	STATEMENT	1
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(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
SEE ATTACHED STATEMENT C		PURCHASED	VARIOUS	VARIOUS
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
19,708,009.	19,719,051.	0.	0.	-11,042.
CAPITAL GAINS DIVIDENDS FROM PART IV				0.
TOTAL TO FORM 990-PF, PART I, LINE 6A				-11,042.

FORM 990-PF	INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS	STATEMENT	2
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SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
JP MORGAN CHASE	2,431.	2,431.	
TOTAL TO PART I, LINE 3	2,431.	2,431.	

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	3
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
JP MORGAN CHASE	1,382,935.	0.	1,382,935.	1,382,935.	
TO PART I, LINE 4	1,382,935.	0.	1,382,935.	1,382,935.	

FORM 990-PF	LEGAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEE	8,503.	0.		8,503.
TO FM 990-PF, PG 1, LN 16A	8,503.	0.		8,503.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	59,450.	14,863.		44,587.
TO FORM 990-PF, PG 1, LN 16B	59,450.	14,863.		44,587.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT ADVISORY FEES	120,553.	120,553.		0.
TO FORM 990-PF, PG 1, LN 16C	120,553.	120,553.		0.

FORM 990-PF	TAXES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	30,000.	0.		0.
NYS ANNUAL FILING FEE	750.	0.		750.
PAYROLL TAXES	9,429.	0.		9,429.
TO FORM 990-PF, PG 1, LN 18	40,179.	0.		10,179.

FORM 990-PF	OTHER EXPENSES			STATEMENT	8
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
BOOKS & PERIODICALS	156.	0.		156.	
DUES & MEMBERSHIPS	4,350.	0.		4,350.	
INSURANCE	10,024.	0.		10,024.	
OFFICE SUPPLIES & EXPENSE	2,489.	0.		2,489.	
OFFICE MAINTENANCE	40,483.	0.		40,483.	
POSTAGE & DELIVERY	110.	0.		110.	
TELEPHONE & FACSIMILE	418.	0.		418.	
COMPUTER MAINTENANCE AND EXPENSE	1,083.	0.		1,083.	
TO FORM 990-PF, PG 1, LN 23	59,113.	0.		59,113.	

FORM 990-PF	CORPORATE STOCK		STATEMENT	9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
SEE STATEMENT A ATTACHED	43,664,875.	47,970,055.		
TOTAL TO FORM 990-PF, PART II, LINE 10B	43,664,875.	47,970,055.		

FORM 990-PF	OTHER INVESTMENTS		STATEMENT	10
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
SEE STATEMENT A ATTACHED	COST	3,000,000.	3,813,432.	
TOTAL TO FORM 990-PF, PART II, LINE 13		3,000,000.	3,813,432.	

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 11

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
COMPUTER	3,030.	2,768.	262.
DEFERRED SOFTWARE	6,100.	5,591.	509.
WEBSITE	24,750.	23,375.	1,375.
FURNITURE & FIXTURE	3,500.	2,639.	861.
COMPUTER	2,872.	2,536.	336.
COMPUTER	1,490.	1,006.	484.
TOTAL TO FM 990-PF, PART II, LN 14	41,742.	37,915.	3,827.

FORM 990-PF OTHER LIABILITIES STATEMENT 12

DESCRIPTION	BOY AMOUNT	EOY AMOUNT
PAYROLL TAX LIABILITIES	3,151.	4,061.
TOTAL TO FORM 990-PF, PART II, LINE 22	3,151.	4,061.

FORM 990-PF LIST OF SUBSTANTIAL CONTRIBUTORS STATEMENT 13
PART VII-A, LINE 10

NAME OF CONTRIBUTOR	ADDRESS
TRUST U/W FOR TRUMBALL RICHARD P68774002	C/O HAROLD RICHARD & JP MORGAN CHASE BANK 10 S DEARBORN IL1-0111 CHICAGO, IL 60603

FORM 990-PF

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

STATEMENT 14

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
HENRY A. LOWET 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 0.28	0.	0.	0.
CHARLES BERLIN 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 1.50	0.	0.	0.
GEORGE HARRIS 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 0.00	0.	0.	0.
PETER J. SOLOMON 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 0.25	0.	0.	0.
MARK A. BILSKI 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 1.00	0.	0.	0.
ROBERT D. FROST 220 FIFTH AVENUE, NEW YORK, NY 10001	PRESIDENT 10.00	0.	0.	0.
NOAH B. PERLMAN 220 FIFTH AVENUE, NEW YORK, NY 10001	SECRETARY 1.00	0.	0.	0.
GEULA R. SOLOMON 220 FIFTH AVENUE, NEW YORK, NY 10001	TREASURER, CHAIR OF AUDIT 0.25	0.	0.	0.
SARAH K. LEVY 220 FIFTH AVENUE, NEW YORK, NY 10001	DIRECTOR 0.50	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF

EXPENDITURE RESPONSIBILITY STATEMENT
PART VII-B, LINE 5C

STATEMENT 15

GRANTEE'S NAME

TO THE TOP WITH LAPTOPS, INC

GRANTEE'S ADDRESS15 DEER RUN
RYE BROOK, NY 10573

<u>GRANT AMOUNT</u>	<u>DATE OF GRANT</u>	<u>AMOUNT EXPENDED</u>
5,000.	02/26/16	

PURPOSE OF GRANT

TO PROVIDE STATE-OF-THE-ART LAPTOP COMPUTERS TO HIGH-ACHIEVING, FINANCIALLY CHALLENGED, COLLEGE BOUND HIGH SCHOOL SENIORS IN WESTCHESTER COUNTY.

AFTER ISSUING THE GRANT, THE FOUNDATION FOLLOWED UP WITH TO THE TOP WITH LAPTOPS, INC TO ENSURE THAT FUNDS HAVE BEEN APPROPRIATELY SPENT.

2016 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PF PAGE 1

990-PF

Asset No	Description	Date Acquired	Method	Life	Convention	Line No	Unadjusted Cost Or Basis	Bus % Excl	Section 179 Expense	Reduction in Basis	Basis For Depreciation	Beginning Accumulated Depreciation	Current Sec 179 Expense	Current Year Deduction	Ending Accumulated Depreciation
9	COMPUTER	08/01/13	200DE	5.00		HY17	3,030.			1,515.	1,515.	1,079.		174.	1,253.
13	COMPUTER	01/22/14	200DE	5.00		MQ17	2,872.			1,436.	1,436.	876.		224.	1,100.
14	COMPUTER	03/03/16	200DE	5.00		MQ19E	1,490.			745.	745.			1,006.	261.
	* 990-PF PG 1 TOTAL -						7,392.			3,696.	3,696.	1,955.		1,404.	2,614.
10	DEFERRED SOFTWARE	04/01/14	SL	3.00		16	6,100.				6,100.	3,558.		2,033.	5,591.
	* 990-PF PG 1 TOTAL -						6,100.				6,100.	3,558.		2,033.	5,591.
11	WEBSITE	03/01/14	SL	3.00		16	24,750.				24,750.	15,125.		8,250.	23,375.
	* 990-PF PG 1 TOTAL -						24,750.				24,750.	15,125.		8,250.	23,375.
12	FURNITURE & FIXTURE	10/30/14	200DE	7.00		MQ17	3,500.			1,750.	1,750.	545.		344.	889.
	* 990-PF PG 1 TOTAL -						3,500.			1,750.	1,750.	545.		344.	889.
	* GRAND TOTAL 990-PF PG 1 DEPR						41,742.			5,446.	36,296.	21,183.		12,031.	32,469.
	CURRENT YEAR ACTIVITY														
	BEGINNING BALANCE						40,252.			4,701.	35,551.	21,183.			32,208.
	ACQUISITIONS						1,490.			745.	745.	0.			261.
	DISPOSITIONS						0.			0.	0.	0.			0.
	ENDING BALANCE						41,742.			5,446.	36,296.	21,183.			32,469.
	ENDING ACCUM DEPR											37,915.			

628111 04-01-16

(D) - Asset disposed

* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

FORM 990-PF PAGE 1

[illegible]

* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

STATEMENT A
LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID #13-1688027
12/31/16

<u>Date</u>	<u>Quantity</u>	<u>Security</u>	<u>Total Cost</u>	<u>Market Value</u>
<u>Mutual Funds</u>				
06/11/15	61,993	AMG MANAGERS FAIRPOINTE MID CAP FUND CL I	\$ 2,579,267	\$ 2,585,108
08/28/12	36,443	ARTISAN INT'L VALUE FUND	1,073,780	1,181,111
08/27/15	131,390	BLACKROCK FDS HIGH YIELD	1,006,447	1,003,819
07/14/16	27,809	DEUTSCHE S-TRACS MSCI JAPAN HEDGE FD	903,590	1,035,051
08/27/15	77,713	DEUTSCHE X-TRACKERS MSCI EUROPE HDG EQ ETF	1,993,578	1,971,579
11/11/16	141,742	DODGE & COX INCOME FUND	1,935,000	1,926,273
04/05/12	58,780	DODGE & COX INTERNATLSTOCK FUND	1,996,680	2,239,531
04/11/12	255,429	DOUBLELINE TOTAL RETURN BD FUND CL I	2,856,809	2,712,654
10/28/16	12,811	ISHARES BARCLAYS TIPS BOND FUND	1,479,398	1,449,821
11/11/16	21,216	ISHARES MSCI ALL COUNTRY ASI	1,183,434	1,165,395
01/05/16	4,000	ISHARES RUSSELL 2000 INDEX FUND	439,056	539,400
01/05/16	37,774	ISHARES TR MSCI INDIA IDX	1,110,744	1,012,721
04/05/12	32,670	MATTHEWS PACIFIC TIGER INSTL FUND	750,000	748,153
01/05/16	44,338	NEUBERGER BERMAN EQUITY FDS GCHINA EQ INST	610,000	477,081
11/21/16	87,652	OAKMARK INTERNATIONAL #109	1,973,651	1,989,691
01/05/16	119,767	PARNASSUS EQTY INCOME FD	4,685,000	4,712,816
07/01/16	229,052	PIMCO HIGH YIELD INSTL #108	1,932,345	2,017,949
06/04/14	182,514	PRIMECAP ODYSSEY STOCK FUND	4,200,000	4,723,469
02/23/09	31,030	SPDR S&P 500 ETF	3,601,497	6,936,136
06/10/15	36,713	VANGUARD MID-CAP VIPERS	4,614,599	4,832,532
01/05/16	254,438	VANGUARD TOTAL BOND MKT INDEX FD - ADM	2,740,000	2,709,765
			<u>\$ 43,664,875</u>	<u>\$ 47,970,055</u>
<u>Hedge Funds</u>				
06/28/12	1,025	KLS DIVERSIFIED FUND LTD	\$ 1,500,000	\$ 1,810,588
10/01/14	1,176	MILLENNIUM INTERNATIONAL, LTD	1,000,000	1,217,222
06/28/12	2,249	SEG PARTNERS OFFSHORE INC, LTD	500,000	785,622
			<u>\$ 3,000,000</u>	<u>\$ 3,813,432</u>
<u>Total Investments in Marketable Securities</u>			<u>\$ 46,664,875</u>	<u>\$ 51,783,487</u>

**STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID#13-1688027**

From 1-1-16 to 12-31-16

If recipient is an individual,
show any relationship to any
foundation manager or
substantial contributor

Foundation
status of
recipient

NAME	ADDRESS						PURPOSE	AMOUNT
70 Faces Media Advocates for Children of New York	24 West 30th Street 4th Floor	New York	NY	10001	None	PC	General Operating Support for 70 Faces Media	\$ 50,000
Albert Einstein School of Medicine	151 W 30th Street, 5A	New York	NY	10001	None	PC	General Operating Support	25,000
Amenca-Israel Cultural Foundation	1300 Morris Park Avenue	Bronx	NY	10461	None	PC	Bronx HOPE	25,000
American Friends of the Jaffa Institute	1140 Broadway, Suite 304	New York	NY	10001	None	PC	Strengthening Israel's International Ties and Connecting New Generations with AICF's Newsletter and Israeli-Artist Network	7,500
American Jewish Joint Distribution Committee	Beit Teper, Tel Giborim 5, 3rd floor P O B 8216	Jaffa	IL	61081	None	PC	Welfare to Wellbeing employment program for women	10,000
American Society for the Protection of Nature in Israel	711 Third Avenue, 10th Floor	New York	NY	10017	None	PC	Support for the Inter-Agency Task Force on Israeli Arab Issues	10,000
American Support for Israel, Inc	28 Arrandale Ave	Great Neck,	NY	11024	None	PC	Promoting Urban Nature in Israel's Cities General Funds for the Interreligious Coordinating Council in Israel, a department of Rabbis for Human Rights as of January 2015	10,000
Association for Jewish Studies	PO Box 3263	Washington, DC	DC	20010	None	PC		15,000
Association of Jewish Libraries	15 W 16th Street	NY	NY	10011	None	PC	General Operating Support	15,000
AVODAH - The Jewish Service Corps	P O Box 1118	Teaneck	NJ	07666	None	PC	Conference travel support for Association of Jewish Libraries members living outside of continental United States	6,000
Bellevue Literary Press	45 West 36th Street, 8th Floor	New York	NY	10018	None	PC	General operating support	40,000
Bloomington School of Music	NYU School of Medicine 550 First Avenue OBV A 612	New York	NY	10016	None	PC	New Fiction and Nonfiction Titles	20,000
Blue Card, Inc	323 West 108th Street	New York	NY	10025	None	PC	Financial Aid and Scholarship Programs	5,000
Brandeis University	171 Madison Avenue Suite 1405 415 South Street	New York	NY	10016	None	PC	Financial Support for Needy Holocaust Survivors Subsidy towards the production costs of Polin Studies in Polish Jewry, volume 29	50,000
Brandeis University Bronx County Historical Society	MS035 415 South Street MS035	Waltham	MA	02453	None	PC	The Littauer Fellowship for Development and Conflict Transformation, Renewal Funds	7,500
Bronx River Alliance	3309 Bannbridge Avenue	Bronx	NY	10467	None	PC	Celebrating The Bronx Valedictorians General operating support for the Alliance's ongoing efforts to restore the Bronx River, strengthen communities, and provide a welcoming habitat for both people and wildlife	20,000
Brown RISD Hillel	1 Bronx River Parkway 80 Brown Street	Bronx	NY	10462	None	PC		5,000
CaringKind	360 Lexington Avenue, 4th Floor	Providence	RI	02906	None	PC	General operating support	7,500
		New York	NY	10017	None	PC	Palliative Care Working to Transform the Healthcare System	50,000

**STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.**

TAX ID#13-1688027

From 1-1-16 to 12-31-16

NAME	ADDRESS	City	State	Zip	Foundation status of recipient	Purpose	Amount

Center for an Urban Future	120 Wall Street, 20th Floor	New York	NY	10005	None	Center for an Urban Future requests general operating support that will enable the Center to maximize the impact of its research and undertake activities that will help spark policy changes for improving the lives of New York's most vulnerable residents	5,000
Clal - The National Jewish Center for Learning and Leadership	440 Park Avenue South 4th Floor	New York	NY	10016	None	Scientists in Synagogues	10,000
COJECO (Council of Jewish Emigre Community Organizations)	40 Exchange Place, Suite 1302	New York	NY	10005	None	General operating support for core programs and services	20,000
Commentary Magazine	561 7TH AVENUE, FL 16 341 W 38th St	NEW YORK	NY	10018	None	General operating support	10,000
Concerts in Motion	Suite 501 Cornell University	New York	NY	10018	None	Youth Outreach to Isolated Elders	15,000
Cornell Hillel	G-32 Anabel Taylor Hall	Ithaca	NY	14853	None	Cornell Hillel American Jewish Joint Distribution Committee (JDC) Service trip to Argentina	20,000
Dancing Classrooms	25 West 31st Street, 4th Floor	New York	NY	10001	None	General operating support for Dancing Classrooms multi-faceted arts education programs	7,500
Democracy Prep Public Schools	1767 Park Avenue 3rd Floor	New York	NY	10035	None	Alumni Relations program	10,000
Educational Alliance	197 East Broadway	New York	NY	10002	None	Project HELP (Health, Education, Leadership, and Prevention)	25,000
Eugenio Maria de Hostos Community College Foundation	500 Grand Concourse	Bronx	NY	10451	None	The Two Generation Student Retention and Degree Acceleration Program which enables student-parents to accelerate their time to degree attainment by simultaneously enrolling themselves and their school-aged children in summer academic offerings	50,000
Federal Drug Agents Foundation	400 Jericho Turnpike, Suite 226	Jericho	NY	11753	None	The education of inner city youth of the dangers of drugs and gangs, and to prepare the participants, ages 14 to 20, for a career in law enforcement	30,000
Footsteps Foundation Center	114 John Street, #930	New York	NY	10272	None	General Operating Support	10,000
	32 Old Slip, 24th Floor	New York	NY	10005	None	General Operating Support	6,000
Foundation for the Jewish Historical Museum in Amsterdam, Inc	44 South Bayles Avenue, Suite 210	Port Washington	NY	11050-3765	None	General operating support grant for 2016	10,000
Friends of the Gateway School	211 West 61st Street, 6th Floor	New York	NY	10023	None	General Operating Support for Student Financial Aid	50,000
Friends of Van Cortlandt Park	80 Van Cortlandt Park South Ste E1	Bronx	NY	10463	None	Van Cortlandt Adventures- free educational and stewardship programs in Van Cortlandt Park for school groups	7,000
Friends of Yad L'kashish/Lifeline for the Old	P O Box 494	Englewood	NJ	07631	None	Monthly Stipends for the Elderly	15,000
Global Kids, Inc	137 East 25th Street, 2nd Floor	New York	NY	10010	None	General Operating Support	15,000

**STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID#13-1688027**

From 1-1-16 to 12-31-16.

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Foundation
status of
recipient

NAME	ADDRESS	City	State	Zip	None	Foundation status of recipient	PURPOSE	AMOUNT
Governor's Committee on Scholastic Achievement	152 W 57th St 52nd Fl	New York	NY	10019	None	PC	CITY:Expeditions Connecting Inspiring and Trailblazing with Youth Opportunity and Action program to provide ALL New Yorkers with a suite of free tools and services they use to improve their city and lives	9,924
GrowNYC	100 Gold Street, Suite 3300	New York	NY	10038	None	PC	General operating support	25,000
Harmony Program Harold Grinspoon Foundation	1700 Broadway, 39th Floor	New York	NY	10019	None	PC		2,500
	67 Hunt Street, Suite 100	Agawam	MA	01001	None	PC	PJ Library in New York Expansion TEVA Transformative Jewish Education that Ignites the Passion to be "Guardians of the Earth"	25,000
Hazon Healthcare Chaplaincy Network	125 Maiden Lane, Suite 8B	New York	NY	10038	None	PC		25,000
	65 Broadway, 12th Floor	New York	NY	10006-	None	PC		10,000
	675 3RD Avenue			2503	None	PC		
Hebrew Free Loan Society	Suite 1905	NEW YORK	NY	10017	None	PC	General operating support	25,000
Henry Street Settlement	265 Henry St	New York	NY	10002	None	PC	Expanded Horizons College Success Program Community Engagement Initiative provide a unique and compelling platform for activism and voluntarism among American Jews on the issue of refugee protection and resettlement	10,000
HIAS Hillel Foundation of Cambridge, Inc	411 Fifth Avenue, suite 1006	New York	NY	10016	None	PC		20,000
Israel Guide Dog Center for the Blind	52 Mt Auburn St	Cambridge	MA	02138	None	PC	General operating support	25,000
	968 Easton Road, Suite H	Warrington	PA	18976	None	PC	General Operating Support, to be used primarily for the Service Companion Program and the Guide Dog Partnership	7,500
Israel Institute Jewish Agency for Israel	1250 Eye Street, NW	Washington	DC	20005	None	PC	Schusterman Visting Israeli Artist Program Support for Kfar Silver in Partnership with the Youth Villages initiative	7,500
North American Council Jewish Braille Institute of America (JBI)	633 Third Avenue, 21nd floor	New York	NY	10017	None	PC		150,000
	110 E 30th St	New York	NY	10016	None	PC	The JBI Library For The Lucius N Littauer Foundation Fund, which will be used for board discretionary grants	20,000
	575 Madison Ave, Suite 703	New York	NY	10022	None	PC	For The Lucius N Littauer Foundation Fund, which will be used for board discretionary grants	230,000
Jewish Communal Fund	575 Madison Ave, Suite 703	New York	NY	10022	None	PC		175,000
Jewish Communal Fund Jewish Community Center of Manhattan Jewish Family Service and Children's Center of Clifton-	334 Amsterdam Avenue	New York	NY	10023	None	PC	Jewish Journey Project	20,000
Passaic Jewish Federations of North America	925 Allwood Road	Clifton	NJ	07012	None	PC	Project Chizuk, vocational counseling program and Somaich Achim program for families in crisis	20,000
	25 Broadway, Suite 1700	New York	NY	10004	None	PC	Social Venture Fund for Jewish-Arab Equality and Shared Society General Operating Support	50,000
Jewish Labor Committee Jewish Student Press Service	140 West 31st Street, 3rd Floor	New York	NY	10001	None	PC		5,000
	125 Maiden Ln 8th floor	New York	NY	10038	None	PC	General operating support	15,000
Jewish Theological Seminary of America	3080 BROADWAY	NEW YORK	NY	10027	None	PC	Community-Based Learning programs	15,000

STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID#13-1688027

From 1-1-16 to 12-31-16

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NAME	ADDRESS				PURPOSE	AMOUNT
Jewish Theological Seminary of America	3080 BROADWAY	NEW YORK NY	10027	None	PC	Clinical Pastoral Education (CPE) in Prisons Program Care for Incarcerated and Returning Citizens by the Center for Pastoral Education 25,000
Jews for Racial & Economic Justice	330 7th Avenue, Suite 1901	New York NY	10001	None	PC	The "Carnig Majority" which provides an innovative model for connecting "aging in place" initiatives with wider care workforce development strategies, couched in the Jewish traditions of shalom bayit (peace in the home), worker justice, and fairness 10,000
J-Teen Leadership	701 Westchester Ave., Suite 203E	White Plains NY	10604	None	PC	General Operating Support 25,000
Knesseth Israel Synagogue	34 East Fulton Street	Gloversville NY	12078	None	PC	Knesseth Israel Synagogue for the George J. Doorman School Support for student scholarship fund of the Torah Academy in Beitlar Illit 3,000
Le zion Brna	1436 42nd Street 75 Maiden Lane	Brooklyn NY	1556	None	PC	Beitar Illit 7,500
Learning Leaders	Suite 801	New York NY	10038	None	PC	General Operating Support 25,000
Legal Aid Society	199 Water Street	New York NY	10038	None	PC	The Legal Aid Society's Civil Practice 25,000
Legal Information for Families Today	32 Court Street, Suite 1208	Brooklyn NY	11201-4407	None	PC	General operating support 10,000
Legal Outreach Inc	36-14 35th Street	Queens NY	11106	None	PC	General operating support for Summer Law Institute and College Bound Program 25,000
Lower East Side Tenement Museum	91 Orchard Street	New York NY	10002	None	PC	School Programs at the Tenement Museum 20,000
Machon Ora	565 Broadway 311 West 43rd Street	Passaic NJ	07055	None	PC	STEM Program 20,000
Manhattan Theatre Club	8th Floor	New York NY	10036	None	PC	Core program education initiatives 25,000
Mekong NYC	2471 University Avenue	Bronx NY	10468	None	PC	Mekong NYC is applying for general operation support 7,500
Moving Traditions	261 Old York Road, Suite 734	Jenkintown PA	19046	None	PC	General Operating Support Educational programs, including Adult Lifelong Learning program, K-12 and Family educational programs, and After Hours, a program for young adults in their 20s and 30s 10,000
Museum at Eldridge Street	12 Eldridge Street	New York NY	10002	None	PC	General operating support 20,000
Museum of the City of New York	1220 Fifth Avenue	New York NY	10029	None	PC	"Hebrew Studies" a scholarly journal devoted to the study of Hebrew language, literature and culture of all periods 25,000
National Association of Professors of Hebrew	907 Van Hise Hall	Madison WI	53706	None	PC	Hebrew language, literature and culture of all periods 5,000
National Museum of American Jewish History	101 South Independence Mall East	Philadelphia PA	19106	None	PC	The National Educators' Institute 15,000
Neighbors Together Corp	2094 Fulton Street	Brooklyn NY	11233	None	PC	General operating support for multi-faceted work to address hunger and poverty in Ocean Hill, Brownsville & Bedford-Stuyvesant neighborhoods 7,500
New Heights	2472 Broadway, PMB 112	New York NY	10035	None	PC	General Operating Support 5,000
New York Botanical Garden	2900 Southern Boulevard	Bronx NY	10458	None	PC	Professional Development Program for Teachers 25,000
New York Center for Law and Justice	2095 Broadway Suite 411	New York NY	10023	None	PC	The Americans with Disabilities Act Project 10,000
New York City Outward Bound Schools	29-46 Northern Boulevard 4th Floor	Long Island City NY	11101	None	PC	General operating support 50,000

STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID#13-1688027

From 1-1-16 to 12-31-16

NAME	ADDRESS	New York State Youth Leadership Council	New York	NY	10012	None	PC	General Operating Support	AMOUNT

If recipient is an individual, show any relationship to any foundation manager or substantial contributor

Foundation status of recipient

New York State Youth Leadership Council	339 Lafayette Street Suite 304	New York	NY	10012	None	PC	General Operating Support	5,000
New York University	433 First Avenue	New York	NY	10010	None	PC	Skirball-Wagner Dual Degree Program in Non-Profit Management	45,000
New York University	433 First Avenue	New York	NY	10010	None	PC	Scholarship Support for Post-Master's Advanced Certification in Palliative Care for Nurse Practitioners	20,000
New York University	433 First Avenue	New York	NY	10010	None	PC	Digitizing Der Forverts (The Forward)	100,000
New Yorkers for Parks NYC Coalition for Educational Justice (CEJ)	55 Broad Street, 23rd Floor	New York	NY	10004	None	PC	General Operating Support	10,000
Educational Justice (CEJ)	449 Troutman Street, Suite A	Brooklyn	NY	11237	None	PC	NYC Coalition for Educational Justice (CEJ) general support	10,000
NYU School of Medicine	25 West Fourth Street, Suite 202B	New York	NY	10012	None	PC	Training Tomorrow's Medical Education Leaders and Scholars	125,000
NYU Silver School of Social Work	1 Washington Square North	New York	NY	10003	None	PC	NYU Silver School of Social Work's Zelda Foster Studies Program in Palliative and End-of-Life Care MSW and Leadership Fellowships	50,000
Oxford University Press P E F Israel Endowment Funds	198 Madison Ave	New York	NY	10016-4314	None	PC	Studies in Contemporary Jewry, vol XXIX Published by Oxford University Press in conjunction with the Avraham Harman Institute of Contemporary Jewry at the Hebrew University of Jerusalem Request is for general operating support	5,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Polish Jewish Press Digitization Project, by the National Library of Israel	90,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Israel Center for Educational Innovation - Operating Support for an organization that aims to improve educational outcomes in elementary schools with high concentrations of Ethiopian-Israelis and other at-risk students	25,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Support for the Opportunity Fund, a project based at Sheatufim, which promotes civic service as a path to individual development for high-need populations in Israel	150,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Keren Kitta Support the two Kehilla projects Kehilaitenu and Kehilla Yachad B'Armon and the three youth-at-risk projects in City Center, Gilo and East Talpoyot, all serving immigrants from the FSU	10,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Support to the Association for the Advancement of the Residents of Eshkol, on behalf of Bikurim The Youth Village for the Performing Arts	10,000
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Support for the Society for the Advancement of Education, which runs Hachmey Lev Yeshiva High School, which provides education in secular subjects along with Torah studied to students from Ultra-Orthodox backgrounds	7,500
P E F Israel Endowment Funds	630 Third Avenue, Suite 1501	New York	NY	10017	None	PC	Project Support Advancing the Successful Implementation of the Israeli Government's Decision "922" to Equalize Budget Funding Mechanisms and Allocations for Arab Citizens	10,000
Philanthropy New York	1500 Broadway, 7th floor	New York	NY	10036	None	PC	membership dues	4,850

STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.
TAX ID#13-1688027

From 1-1-16 to 12-31-16

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NAME	ADDRESS						PURPOSE	AMOUNT
Project EZRA	465 Grand Street Fourth Floor	New York	NY	10002	None	PC	Helping Frail and Isolated Jewish Elderly on the Lower East Side	10,000
ProjectArt	601 West 26th Street, Suite 325	New York	NY	10001	None	PC	General Support for ProjectArt's after-school art programming	10,000
Ramapo for Children Research Foundation of CUNY - College Access Research & Action (CARA)	49 West 38th St., 5th Floor	City	NY	10018	None	PC	Building Capacity to Develop Effective Teachers	15,000
Rite of Summer Music Festival	CUNY Graduate Center 365 Fifth Avenue, 6203 04	New York	NY	10016	None	PC	General Operating Support for College Access Research & Action (CARA)	25,000
Sharsheret	PO Box 1024	New York	NY	10024	None	PC	Support for free, public classical contemporary summer music festival on Governors Island	5,000
Shefa School	1086 Teaneck Road, Suite 2G	Teaneck	NJ	07666	None	PC	General Operating Support	10,000
Southern Jewish Historical Society	40 East 29th Street	New York	NY	10016	None	PC	Operating support for the expansion of the Shefa School Funding publication costs for Southern Jewish History, and annual peer-reviewed journal	100,000
Tech-Career	P O Box 71601	Marretta	GA	30007	None	PC	General operating support to develop and expand technical career opportunities for young Ethiopian-Israelis	5,500
The Forward Association, Inc	P O Box 960059 Boston, MA 02196	Boston	MA	012196	None	PC	General Operating Support	25,000
The New York Immigration Coalition, Inc	125 Maiden Lane	New York	NY	10038	None	PC	General Operating Support	10,000
The Sefania Project To The Top with Laptops, Inc	131 W 33rd Street, Suite 610 174 Hudson Street Sixth Floor	New York	NY	10001	None	PC	Legal Initiatives Program Support	10,000
United Hospital Fund United Jewish Appeal - Federation of Jewish Philanthropies of New York Inc	15 Deer Run 1411 Broadway, 12th Floor	Rye Brook	NY	10573	None	NC	General operating support	20,000
United Jewish Appeal - Federation of Jewish Philanthropies of New York Inc	130 East 59th Street	New York	NY	10018	None	PC	General Operating Support	5,000
United Jewish Appeal - Federation of Jewish Philanthropies of New York Inc	130 East 59th Street	New York	NY	10022	None	PC	Support for 2016 Annual Campaign	125,000
United States Soccer Foundation	130 East 59th Street 1211 Connecticut Avenue NW, Suite 500	New York	NY	10022	None	PC	The Jeannette Solomon NORC Cultural Arts Programs	25,000
United Way of Fulton County	110-112 N Main Street P O Box 911 40 Worth Street, Suite 820	Washington	DC	20036-2701	None	PC	Creation of the UJA-Federation of New York Archives at the American Jewish Historical Society	100,000
Volunteers of Legal Service	New York, NY 10013	Gloversville	NY	12078	None	PC	Soccer for Success -- New York	5,000
		New York	NY	10013	None	PC	United Way Annual Community Campaign 2016-2017	5,000
					None	PC	Dream Not Deferred Project	10,000

STATEMENT B
GRANTS MADE
THE LUCIUS N. LITTAUER FOUNDATION, INC.

TAX ID#13-1688027

From 1-1-16 to 12-31-16

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NAME	ADDRESS				PURPOSE	AMOUNT
Wave Hill Young Women's Leadership Network	675 West 252nd Street 322 8th Avenue, 14th Floor	Bronx New York	NY NY	10471 10001	Wave Hill's teen empowerment internship programs Forest Project and Woodland Ecology Research Mentorship	25,000 25,000
Zamir Choral Foundation	475 Riverside Drive	New York	NY	10115	CollegeBound Initiative Expanding HaZamir Chapters Across the US and Israel	15,000
						<u>\$ 3,269,774.00</u>

STATEMENT C
 REALIZED GAINS AND LOSSES
 LUCIUS N. LITTAUER FOUNDATION, INC.
 TAX ID #13-1688027
 JP Morgan Chase Private Bank
 12/31/16

	Cost basis		Original cost for securities		Original Cost		securities	
	<u>Original cost for securities purchase /</u> <u>FMV at date of securities received</u>	<u>Original cost for securities</u> <u>purchase and received</u>	<u>Proceeds</u>	<u>Long Term</u>	<u>Short Term</u>	<u>Gain Or (Loss)</u>	<u>Gain Or (Loss)</u>	<u>Long Term</u>
Account No. A64881005	19,719,050.77	17,801,126.21	19,708,009.71	1,621,565.49	285,318.01	(296,479.86)	285,438.80	
TOTAL REALIZED GAIN ORIGINAL COST			1,906,883.50					
TOTAL REALIZED GAIN ORIGINAL COST (purchase) AND AT FAIR VALUE (MV at date of securities received)			(11,041.06)					

STATEMENT d(2)
 REALIZED GAIN AND LOSSES
 LUCIUS N LITTAUER FOUNDATION INC
 TAX ID #13-1688027
 JP Morgan Chase Private Bank Acct # A64881005
 From 01-01-16 Through 12-31-16

Stock received on or before 12/31/15

Open Date	Close Date	Quantity	Security	Cost Basis		Original cost for securities purchase			
				purchase / FMV at date of securities received	Original cost for securities purchase and received	(A) Proceeds	Gain Or (Loss) Short Term	Gain Or (Loss) Long Term	Cost basis at fair value for securities received
04/05/12	01/05/16	183654.73	HARBOUR HIGH YIELD BOND FUND	2,000,000.00	2,000,000.00	1,724,517.91		(275,482.09)	(275,482.09)
04/11/12	04/06/16	141237.11	NEUBERGER BERMAN MULTI CAP OPPORT FUND	1,463,216.47	1,463,216.47	2,143,979.35		680,762.88	680,762.88
05/03/12	11/11/16	28107.433	T ROWE PRICE INTL FDS NEW ASIA FD	450,000.00	450,000.00	444,097.44		(5,902.56)	(5,902.56)
05/24/12	01/05/16	36597.44	JPM VALUE ADVANTAGE FD - INSTL FUND	707,259.62	707,259.62	1,012,651.16		305,391.54	305,391.54
11/29/12	11/11/16	12618.011	T ROWE PRICE INTL FDS NEW ASIA FD	209,963.71	209,963.71	199,364.57		(10,599.14)	(10,599.14)
05/10/13	07/07/16	6321.998	OAKMARK INTERNATIONAL #109	151,348.63	151,348.63	117,399.50		(33,949.13)	(33,949.13)
08/05/13	07/07/16	39856.517	OAKMARK INTERNATIONAL #109	1,000,000.00	1,000,000.00	740,135.52		(259,864.48)	(259,864.48)
03/07/14	04/06/16	8716.199	BROWN ADV JAPAN ALPHA OPP	87,161.99	87,161.99	77,399.85		(9,762.14)	(9,762.14)
03/07/14	07/14/16	36283.801	BROWN ADV JAPAN ALPHA OPP	362,838.01	362,838.01	324,377.18		(38,460.83)	(38,460.83)
03/07/14	01/05/16	55126.792	JPM GLOBAL RES ENH INDEX FD - SEL	1,000,000.00	1,000,000.00	967,475.20		(32,524.80)	(32,524.80)
03/07/14	11/11/16	2292.848	T ROWE PRICE INTL FDS NEW ASIA FD	36,960.71	37,771.03	36,227.00		(1,544.03)	(733.71)
05/22/14	01/05/16	14225.415	JPM GLOBAL RES ENH INDEX FD - SEL	261,036.37	261,036.37	249,656.03		(11,380.34)	(11,380.34)
05/22/14	01/05/16	26558.074	JPM VALUE ADVANTAGE FD - INSTL FUND	750,000.00	750,000.00	734,861.91		(15,138.09)	(15,138.09)
09/19/14	11/11/16	515.888	T ROWE PRICE INTL FDS NEW ASIA FD	9,187.97	8,498.44	8,151.03		(347.41)	(1,036.94)
12/08/14	09/14/16	2044	SPDR S&P 500 ETF	424,800.02	424,800.02	435,298.32		10,498.30	10,498.30
06/10/15	04/06/16	1380	VANGUARD MID-CAP VIPERS	178,762.58	178,762.58	166,203.02		(12,559.56)	(12,559.56)
06/10/15	09/14/16	1550	VANGUARD MID-CAP VIPERS	200,784.05	200,784.05	195,468.71		(5,315.34)	(5,315.34)
06/11/15	04/06/16	4478	ASTON/FAIRPOINTE MID CAP - I	195,733.38	195,733.38	160,000.00		(35,733.38)	(35,733.38)
08/27/15	01/05/16	95371.669	BLACKROCK FDS HIGH YIELD	730,546.99	730,546.99	680,000.00		(50,546.99)	(50,546.99)
08/27/15	02/09/16	9530.792	BLACKROCK FDS HIGH YIELD	73,005.87	73,005.87	65,000.00		(8,005.87)	(8,005.87)
08/27/15	04/06/16	15215.554	BROWN ADV JAPAN ALPHA OPP	180,000.00	180,000.00	135,114.12		(44,885.88)	(44,885.88)
08/27/15	04/06/16	15573	DEUTSCHE X-TRACKERS MSCI EUROPE HDG EQ ET	404,455.73	404,455.73	378,806.51		(25,649.22)	(25,649.22)
08/27/15	12/02/16	19400	DEUTSCHE X-TRACKERS MSCI EUROPE HDG EQ ET	503,849.04	503,849.04	497,654.19		(6,194.85)	(6,194.85)
08/27/15	02/09/16	83416.583	JP MORGAN TR I MNG INCM INTL	834,999.99	834,999.99	835,000.00	0.01	0.01	0.01
08/27/15	07/01/16	64371.257	JP MORGAN TR I MNG INCM INTL	644,356.28	644,356.28	645,000.00	643.72	643.72	643.72
08/27/15	10/28/16	13051.321	JP MORGAN TR I MNG INCM INTL	130,643.72	130,643.72	130,774.24		130.52	130.52
12/22/15	01/05/16	89	ABBOTT LABS	3,958.72	3,819.86	3,818.47	(1.39)	(140.25)	(140.25)
12/22/15	01/05/16	400	ABBOTT LABS	17,792.00	17,167.92	17,161.68	(6.24)	(630.32)	(630.32)
12/22/15	01/05/16	44	ACCENTURE PLC IRELAND SHS CL A	4,565.44	3,546.32	4,484.62	938.30	(80.82)	(80.82)
12/22/15	01/05/16	200	ACCENTURE PLC IRELAND SHS CL A	20,752.00	16,119.62	20,384.62	4,265.00	(367.38)	(367.38)
12/22/15	01/05/16	84	AGE LIMITED	9,847.32	15,590.77	9,665.76	4,074.99	(18.56)	(18.56)
12/22/15	01/05/16	380	ACE LIMITED	44,547.40	25,294.34	43,726.05	18,431.71	(82.35)	(82.35)
12/22/15	01/05/16	7	ALPHABET INC CL A	5,569.91	1,999.82	5,321.69	3,321.87	(48.22)	(48.22)
12/22/15	01/05/16	35	ALPHABET INC CL A	26,849.55	9,999.09	26,608.43	16,609.34	(241.12)	(241.12)
12/22/15	01/05/16	7	ALPHABET INC CL C	5,250.00	1,993.43	5,194.15	3,200.72	(55.85)	(55.85)
12/22/15	01/05/16	35	ALPHABET INC CL C	26,250.00	9,967.15	25,970.74	16,003.59	(278.26)	(278.26)
12/22/15	01/05/16	34	AMAZON COM INC	22,547.10	5,754.27	21,380.07	15,625.80	(1,167.03)	(1,167.03)
12/22/15	01/05/16	153	AMAZON COM INC	102,788.25	26,237.71	97,467.98	71,235.27	(5,320.27)	(5,320.27)
12/22/15	01/05/16	53	ANADARKO PETROLEUM CORP	2,573.15	3,870.02	2,560.12	(1,309.90)	(13.03)	(13.03)
12/22/15	01/05/16	240	ANADARKO PETROLEUM CORP	11,852.00	17,524.60	11,592.97	(5,931.63)	(59.03)	(59.03)
12/22/15	01/05/16	369	APPLE INC	39,567.87	12,719.67	38,297.03	25,577.36	(1,270.84)	(1,270.84)
12/22/15	01/05/16	1645	APPLE INC	176,393.35	56,703.46	170,727.95	114,024.49	(5,665.40)	(5,665.40)
12/22/15	01/05/16	134	AT&T INC	4,610.94	4,608.11	4,602.32	(5.79)	(6.62)	(6.62)

STATEMENT c(2)
 REALIZED GAIN AND LOSSES
 LUCIUS N LITTAUER FOUNDATION INC
 TAX ID #13-1688027
 JP Morgan Chase Private Bank Acct # A64881005
 From 01-01-16 Through 12-31-16

Stock received on or before 12/31/15

Open Date	Close Date	Quantity	Security	Cost Basis		Cost Basis		Original cost for securities purchase		Original cost for securities purchase	
				Original cost for securities purchase / FMV at date of securities received	Original cost for securities purchase and received	(A)	Proceeds	Gain Or (loss)	Short Term	Long Term	Gain Or (loss)
12/22/15	01/05/16	600	AT&T INC	20,646.00	20,633.34	20,607.39	20,633.34	(25.95)			(38.61)
12/22/15	01/05/16	144	AVAGO TECHNOLOGIES LTD SHS C/A EFF 2/1/16	5,437.64	5,437.64	6,188.03	6,188.03	750.39			(196.37)
12/22/15	01/05/16	200	AVAGO TECHNOLOGIES LTD SHS C/A EFF 2/1/16	29,023.00	24,716.56	28,127.39	28,127.39	3,410.83			(892.61)
12/22/15	01/05/16	30	BIOMGEN IDEC INC	9,023.10	1,728.84	8,824.20	8,824.20	7,095.36			(198.90)
12/22/15	01/05/16	135	BIOMGEN IDEC INC	40,603.95	7,779.79	39,708.92	31,929.13	895.03			(895.03)
12/22/15	01/05/16	17	BLACKROCK INC	5,618.67	4,713.81	5,625.96	5,625.96	912.15			7.29
12/22/15	01/05/16	80	BLACKROCK INC	26,440.80	22,187.61	26,475.10	26,475.10	4,292.49			34.30
12/22/15	01/05/16	134	BRISTOL MYERS SQUIBB	9,153.54	5,488.54	9,107.29	9,107.29	3,617.75			(48.25)
12/22/15	01/05/16	600	BRISTOL MYERS SQUIBB	40,986.00	24,530.02	40,778.91	16,198.89	24,787.11			(207.09)
12/22/15	01/05/16	105	CELGENE CORP	11,669.70	3,320.07	12,282.75	8,962.68	613.05			613.05
12/22/15	01/05/16	470	CELGENE CORP	52,235.00	14,861.26	54,979.91	40,118.05	2,744.11			2,744.11
12/22/15	01/05/16	45	CHENOMOURS CO COM	257.85	1,168.86	239.62	929.74	(18.23)			(18.23)
12/22/15	01/05/16	202	CHENOMOURS CO COM	17,157.46	5,246.92	1,075.62	11,770.06	(81.84)			(81.84)
12/22/15	01/05/16	134	CHEVRON CORP	12,096.18	57.97	11,828.03	11,770.06	(266.15)			(266.15)
12/22/15	01/05/16	600	CHEVRON CORP	54,162.00	2,591.61	52,961.32	52,701.71	(1,200.68)			(1,200.68)
12/22/15	01/05/16	224	CISCO SYSTEMS INC	6,023.36	3,387.98	5,878.90	2,490.92	(144.48)			(144.48)
12/22/15	01/05/16	1000	CISCO SYSTEMS INC	26,890.00	15,124.90	26,745.11	11,120.21	(644.89)			(644.89)
12/22/15	01/05/16	67	CME GROUP INC	6,344.23	3,623.02	5,951.80	2,328.78	(392.43)			(392.43)
12/22/15	01/05/16	300	CME GROUP INC	28,407.00	16,222.50	26,649.86	10,427.36	(85.13)			(85.13)
12/22/15	01/05/16	89	COCA COLA CO	3,852.81	3,552.30	3,769.68	2,173.88	(373.60)			(373.60)
12/22/15	01/05/16	400	COCA COLA CO	17,316.00	15,965.40	16,942.40	977.00	(122.06)			(122.06)
12/22/15	01/05/16	76	COLGATE PALMOLIVE CO COM	5,060.08	5,172.87	9,938.02	(234.85)	(546.08)			(546.08)
12/22/15	01/05/16	340	COLGATE PALMOLIVE CO COM	22,637.20	23,141.79	22,091.12	(1,050.67)	67.63			67.63
12/22/15	01/05/16	125	COLUMBIA PIPELINE GP INC	2,425.00	2,282.10	2,492.63	2,10.53	302.96			302.96
12/22/15	01/05/16	560	COLUMBIA PIPELINE GP INC	10,864.00	10,223.79	11,166.96	943.17	(251.54)			(251.54)
12/22/15	01/05/16	224	COMCAST CORP CL A	12,743.36	6,944.54	12,491.82	5,547.28	(1122.93)			(1122.93)
12/22/15	01/05/16	1000	COMCAST CORP CL A	56,890.00	31,002.40	55,767.07	24,764.67	(339.22)			(339.22)
12/22/15	01/05/16	53	DISNEY (WALT) COMPANY HOLDING CO	5,657.22	4,778.35	5,318.00	539.65	(1536.07)			(1536.07)
12/22/15	01/05/16	240	DISNEY (WALT) COMPANY HOLDING CO	25,617.60	21,637.80	24,081.53	2,443.73	(392.88)			(392.88)
12/22/15	01/05/16	175	DOW CHEMICAL CO	9,012.50	6,005.77	8,619.62	2,613.85	(1751.11)			(1751.11)
12/22/15	01/05/16	780	DOW CHEMICAL CO	40,170.00	26,768.58	38,418.89	11,850.31	(250.42)			(250.42)
12/22/15	01/05/16	227	DU PONT DE NEMOURS & CO COM	14,671.01	14,420.59	14,420.59	14,420.59	(1145.31)			(1145.31)
12/22/15	01/05/16	1011	DU PONT DE NEMOURS & CO COM	65,340.93	5,681.34	5,420.92	64,225.62	(13.68)			(13.68)
12/22/15	01/05/16	116	EMERSON ELEC CO COM	5,434.60	25,470.70	24,300.65	(1,170.05)	(61.35)			(61.35)
12/22/15	01/05/16	520	EMERSON ELEC CO COM	24,362.00	73.72	20,049.01	19,975.29	(138.99)			(138.99)
12/22/15	01/05/16	260	EXXON MOBIL CORP	70,188.00	328.94	89,449.43	89,120.49	(624.57)			(624.57)
12/22/15	01/05/16	1160	EXXON MOBIL CORP	9,590.39	7,139.14	9,095.37	1,956.23	(295.02)			(295.02)
12/22/15	01/05/16	389	FAGEBOOK INC CL A	42,204.00	32,086.00	40,878.04	8,797.04	(1,325.96)			(1,325.96)
12/22/15	01/05/16	400	FACEBOOK INC CL A	2,591.65	494.56	2,596.64	2,102.08	4.98			4.98
12/22/15	01/05/16	35	GENERAL ELECTRIC CO	13,586.20	2,210.96	11,608.51	9,997.55	22.31			22.31
12/22/15	01/05/16	380	GENERAL ELECTRIC CO	8,294.22	5,666.11	8,102.54	2,436.43	(191.68)			(191.68)
12/22/15	01/05/16	142	GENERAL MILLS INC COM	37,382.40	25,537.74	36,518.49	10,980.75	(863.91)			(863.91)

STATEMENT c(2)
 REALIZED GAIN AND LOSSES
 LUCIUS N LITTAUER FOUNDATION INC
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 JP Morgan Chase Private Bank Acct # A64881005
 From 01-01-16 Through 12-31-16

Stock received on or before 12/31/15

Open Date	Close Date	Quantity	Security	Cost Basis		Cost Basis		Original cost for securities purchase and received		Original Cost		Original cost for securities purchase	
				purchase / FMV at date of securities received		Original cost for securities purchase and received	(A)	Short Term	Long Term	Short Term	Long Term	Cost basis at fair value for securities received	Gain Or (Loss)
12/22/15	01/05/16	175	GENERAL MOTORS COMPANY	6,000.75		4,121.32	5,658.42	1,537.40				(342.33)	
12/22/15	01/05/16	780	GENERAL MOTORS COMPANY	26,746.20		18,369.31	25,220.36	6,851.05				(1,525.84)	
12/22/15	01/05/16	44	GILEAD SCIENCES INC	4,525.84		4,591.01	4,352.18	(238.83)				(173.66)	
12/22/15	01/05/16	200	GILEAD SCIENCES INC	20,572.00		20,868.24	19,782.63	(1,085.61)				(788.37)	
12/22/15	01/05/16	31	HERSHEY COMPANY (THE)	2,781.63		3,052.09	2,715.70	(336.39)				(65.63)	
12/22/15	01/05/16	140	HERSHEY COMPANY (THE)	12,562.20		13,783.61	12,264.47	(1,519.14)				(297.73)	
12/22/15	01/05/16	102	HOMEDEPOT INC	13,451.76		4,117.55	13,298.73	9,181.18				(153.03)	
12/22/15	01/05/16	460	HOMEDEPOT INC	60,664.80		18,562.25	59,974.66	41,412.41				(690.14)	
12/22/15	01/05/16	93	HONEYWELL INTL INC	9,686.88		4,295.94	9,532.09	5,236.15				(154.79)	
12/22/15	01/05/16	420	HONEYWELL INTL INC	43,747.20		19,418.37	43,048.15	23,629.78				(698.05)	
12/22/15	01/05/16	22	INTERNATIONAL BUSINESS MACHS CORP COM	3,034.46		2,916.49	2,973.35	56.86				(61.11)	
12/22/15	01/05/16	100	INTERNATIONAL BUSINESS MACHS CORP COM	13,793.00		13,256.77	13,515.25	258.48				(277.76)	
12/22/15	01/05/16	157	INVECO LTD CMN	4,981.61		3,080.98	5,131.78	2,100.80				150.17	
12/22/15	01/05/16	700	INVECO LTD CMN	22,211.00		13,513.92	21,880.54	9,366.62				689.54	
12/22/15	01/05/16	189	ISHARES S&P MIDCAP 400 INDEX FD	26,446.77		20,134.14	25,906.45	5,772.31				(540.32)	
12/22/15	01/05/16	852	ISHARES S&P MIDCAP 400 INDEX FD	19,720.36		90,841.21	116,784.64	25,943.43				(2,435.72)	
12/22/15	01/05/16	129	JOHNSON & JOHNSON INC	13,249.59		9,941.98	13,017.84	3,075.86				(231.75)	
12/22/15	01/05/16	580	JOHNSON & JOHNSON INC	59,571.80		44,721.20	58,529.85	13,808.65				(1,041.95)	
12/22/15	01/05/16	3372	JP MORGAN HIGH YIELD BOND FUND - SEL	23,002.43		25,379.93	23,036.16	(2,343.77)				337.3	
12/22/15	01/05/16	1490	JP MORGAN HIGH YIELD BOND FUND - SEL	107,233.14		112,799.90	102,383.04	(10,416.86)				149.60	
12/22/15	01/05/16	2782	JP MORGAN GLOBAL RES ENH INDEX FD - SEL	11,106.00		11,249.99	10,987.05	(262.94)				(118.95)	
12/22/15	01/05/16	4836	JP MORGAN GLOBAL RES ENH INDEX FD - SEL	48,360.04		49,999.99	48,831.39	(1,168.60)				(528.85)	
12/22/15	01/05/16	5986	JP MORGAN TAX FREE BOND FUND	65,096.27		64,686.06	66,275.88	1,589.82				179.61	
12/22/15	01/05/16	26608	JP MORGAN TAX FREE BOND FUND	295,761.39		287,493.87	294,559.66	7,065.79				798.27	
12/22/15	01/05/16	1767	JP MORGAN MULTI SECTOR INCOME FUND	17,053.76		18,044.99	17,018.41	(1,026.58)				(35.35)	
12/22/15	01/05/16	7854	JP MORGAN MULTI SECTOR INCOME FUND	75,794.55		80,200.00	75,637.47	(4,562.53)				(157.08)	
12/22/15	01/05/16	1029	JP MORGAN CHASE & CO	67,584.72		1,803.09	58,616.01	56,812.92				(8,988.71)	
12/22/15	01/05/16	4588	JP MORGAN CHASE & CO	303,339.84		8,039.47	261,351.06	253,311.59				(39,988.78)	
12/22/15	01/05/16	67	LA M RESH CORP	5,372.73		2,270.73	5,220.86	2,950.13				(151.87)	
12/22/15	01/05/16	300	LA M RESH CORP	24,057.00		10,167.45	23,377.01	13,209.56				(678.89)	
12/22/15	01/05/16	272	LOWES COS INC COM	20,443.52		5,820.67	20,454.00	14,633.33				10.48	
12/22/15	01/05/16	1220	LOWES COS INC COM	91,695.20		26,120.11	91,742.18	65,622.07				46.98	
12/22/15	01/05/16	44	MARSH & MCLENNAN COS INC COM	7,417.80		2,078.13	2,401.88	323.75				(15.92)	
12/22/15	01/05/16	200	MARSH & MCLENNAN COS INC COM	10,990.00		9,746.04	10,917.61	1,171.57				(127.48)	
12/22/15	01/05/16	193	MASCO CORP COM	5,463.83		2,671.12	5,342.35	2,671.23				(541.30)	
12/22/15	01/05/16	860	MASCO CORP COM	24,346.60		11,902.40	23,803.30	11,901.90				(284.04)	
12/22/15	01/05/16	89	MASTERCARD INC	8,681.06		4,113.74	8,417.02	4,303.28				(1,186.71)	
12/22/15	01/05/16	400	MASTERCARD INC	39,016.00		18,488.70	37,829.29	19,340.59				279.07	
12/22/15	01/05/16	310	MERCK & CO INC COM	16,151.00		10,056.77	16,430.07	6,373.30				1,242.31	
12/22/15	01/05/16	1300	MERCK & CO INC COM	74,898.00		44,768.85	73,140.31	28,371.46				(130.03)	
12/22/15	01/05/16	152	METLIFE INC	7,175.92		4,350.51	7,045.89	2,713.38				(581.71)	
12/22/15	01/05/16	690	METLIFE INC	32,102.80		19,373.33	31,521.09	12,147.76				(84.60)	
12/22/15	01/05/16	233	MICROSOFT CORP	12,896.55		5,835.53	12,801.95	6,966.42					

STATEMENT c(2)
 REALIZED GAIN AND LOSSES
 LUCIUS N LITTAUER FOUNDATION INC
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 From 01-01-16 Through 12-31-16

Stock received on or before 12/31/15					Cost Basis		Original cost for securities purchase	
Open Date	Close Date	Quantity	Security	Original cost for securities purchase / FMV at date of securities received	Cost Basis		Original cost for securities purchase	
					Original cost for securities purchase and received	(A) Proceeds	Short Term Gain Or (Loss)	Long Term Gain Or (Loss)
12/22/15	01/05/16	1040	MICROSOFT CORP	57,564.00	26,049.74	57,141.74	31,092.00	(422.26)
12/22/15	01/05/16	121	MONDELEZ INTERNATIONAL INC COM	5,409.91	2,643.66	5,323.66	2,680.00	(86.25)
12/22/15	01/05/16	540	MONDELEZ INTERNATIONAL INC COM	24,143.40	11,798.12	23,758.47	11,960.35	(384.93)
12/22/15	01/05/16	441	MORGAN STANLEY COM NEW	1,417.68	1,709.03	1,364.75	(344.28)	(62.93)
12/22/15	01/05/16	200	MORGAN STANLEY COM NEW	16,444.00	7,768.32	6,203.40	(1,564.92)	(240.60)
12/22/15	01/05/16	21	NEXTERA ENERGY INC	2,161.11	1,612.20	2,181.42	569.22	20.31
12/22/15	01/05/16	154	NEXTERA ENERGY INC	35,848.14	11,859.58	15,997.11	4,137.53	148.97
12/22/15	01/05/16	125	NISOURCE INC	2,388.75	1,278.12	2,470.13	1,192.01	81.38
12/22/15	01/05/16	560	NISOURCE INC	40,701.60	5,735.96	11,066.17	5,340.21	384.57
12/22/15	01/05/16	66	OCCIDENTAL PETROLEUM CORP	4,420.68	5,388.54	2,455.25	(933.29)	34.57
12/22/15	01/05/16	300	OCCIDENTAL PETROLEUM CORP	20,094.00	24,504.79	20,251.12	(4,253.67)	157.12
12/22/15	01/05/16	206	ORACLE CORPORATION	7,537.54	4,415.26	7,374.56	2,959.30	(182.88)
12/22/15	01/05/16	920	ORACLE CORPORATION	33,662.80	19,718.63	32,934.93	13,216.40	(727.87)
12/22/15	01/05/16	148	PACCAR INC	7,028.52	5,602.98	6,938.96	1,335.98	(80.56)
12/22/15	01/05/16	660	PACCAR INC	31,343.40	24,986.28	30,943.99	5,957.71	(399.41)
12/22/15	01/05/16	98	PEPSICO INC	5,788.40	4,249.13	5,755.52	1,506.39	(32.88)
12/22/15	01/05/16	260	PEPSICO INC	25,948.00	19,047.83	25,800.62	6,752.79	(147.38)
12/22/15	01/05/16	515	Pfizer Inc COM	16,747.80	9,020.39	16,453.58	7,433.19	(294.22)
12/22/15	01/05/16	2293	Pfizer Inc COM	74,568.36	40,162.62	73,258.39	33,095.77	(1,309.97)
12/22/15	01/05/16	53	PHILIP MORRIS INTL INC COM	4,645.98	4,508.27	4,647.22	138.95	1.24
12/22/15	01/05/16	240	PHILIP MORRIS INTL INC COM	21,038.40	20,414.78	21,044.00	-629.22	-5.60
12/22/15	01/05/16	76	PHILLIPS 66	6,209.20	4,262.00	6,115.08	1,853.08	(94.12)
12/22/15	01/05/16	340	PHILLIPS 66	27,778.00	19,066.82	27,356.31	8,290.09	(421.09)
12/22/15	01/05/16	121	PROCTER & GAMBLE CO	9,631.00	7,181.35	9,489.91	2,308.56	(141.09)
12/22/15	01/05/16	540	PROCTER & GAMBLE CO	42,984.00	32,049.00	42,351.69	10,302.69	(632.31)
12/22/15	01/05/16	88	QUALCOMM INC	4,317.72	3,717.04	4,360.15	643.11	42.43
12/22/15	01/05/16	400	QUALCOMM INC	19,626.00	16,895.82	19,818.87	2,923.05	192.87
12/22/15	01/05/16	40	SCHLUMBERGER LIMITED	2,779.60	2,715.31	2,727.75	12.44	(51.85)
12/22/15	01/05/16	180	SCHLUMBERGER LIMITED	12,508.20	12,218.90	12,374.87	-55.97	(233.33)
12/22/15	01/05/16	44	STATE STREET CORP	2,921.60	3,509.35	2,850.49	(658.86)	(71.11)
12/22/15	01/05/16	200	STATE STREET CORP	13,280.00	15,951.58	12,956.77	(2,994.81)	(323.23)
12/22/15	01/05/16	67	THE MOSAIC COMPANY CMN	1,922.90	3,015.90	1,878.98	(1,136.92)	(43.92)
12/22/15	01/05/16	300	THE MOSAIC COMPANY CMN	8,610.00	13,504.02	8,413.34	(5,090.68)	(196.86)
12/22/15	01/05/16	44	TIFFANY & CO	3,343.12	3,951.36	3,359.68	(691.68)	(83.44)
12/22/15	01/05/16	200	TIFFANY & CO	15,196.00	17,960.73	14,816.74	(3,143.99)	(379.28)
12/22/15	01/05/16	284	TIME WARNER INC	16,927.68	7,528.13	17,182.12	9,653.99	254.44
12/22/15	01/05/16	1180	TIME WARNER INC	75,661.60	33,660.64	76,798.89	43,138.25	1,137.29
12/22/15	01/05/16	260	UNION PACIFIC CORP COM	20,035.60	53.05	20,156.02	20,102.97	120.42
12/22/15	01/05/16	1160	UNION PACIFIC CORP COM	89,389.60	236.71	89,926.88	89,690.17	537.28
12/22/15	01/05/16	110	UNITED TECHNOLOGIES CORP COM	10,435.70	8,670.68	10,476.61	1,805.93	140.91
12/22/15	01/05/16	500	UNITED TECHNOLOGIES CORP COM	47,435.00	39,453.74	47,620.98	8,167.24	185.98
12/22/15	01/05/16	85	UNITEDHEALTH GROUP INC	9,982.40	4,470.54	9,953.75	5,483.21	(28.65)
12/22/15	01/05/16	380	UNITEDHEALTH GROUP INC	44,627.20	19,985.94	44,499.11	24,513.17	(128.09)

STATEMENT (2)
 REALIZED GAIN AND LOSSES
 LUCIUS N LITTAUER FOUNDATION INC
 TAX ID #13-1588027
 JP Morgan Chase Private Bank Acct # A64881005
 From 01-01-16 Through 12-31-16

Stock received on or before 12/31/15

Open Date	Close Date	Quantity	Security	Cost Basis		Cost Basis		Original Cost		Original cost for securities purchase	
				Original cost for securities purchase / FMV at date of securities received	Original cost for securities purchase and received	(A)	Proceeds	Short Term	Long Term	Short Term	Long Term
12/22/15	01/05/16	173	VANGUARD MSCI EUROPE ETF	8,606.75	9,507.26	8,401.76		(1,105.50)		(204.99)	
12/22/15	01/05/16	30	VANGUARD MSCI EUROPE ETF	456.75	42,480.52	37,540.83		(4,939.69)		(915.92)	
12/22/15	01/05/16	134	VERIZON COMMUNICATIONS	6,209.56	3,134.78	6,158.46		3,023.68		(51.10)	
12/22/15	01/05/16	600	VERIZON COMMUNICATIONS	27,804.00	14,036.31	27,575.18		13,538.87		(228.82)	
12/22/15	01/05/16	178	WELLS FARGO & CO NEW	9,672.52	6,555.17	9,375.62		2,820.45		(296.90)	
12/22/15	01/05/16	800	WELLS FARGO & CO NEW	43,472.00	29,532.11	47,137.62		12,605.51		(1,334.38)	
12/22/15	01/05/16	134	WILLIAMS COMPANIES INC (THE) CMN	3,024.38	3,336.97	3,489.08		152.11		484.70	
12/22/15	01/05/16	600	WILLIAMS COMPANIES INC (THE) CMN	13,542.00	14,941.65	15,622.75		681.10		2,080.75	
12/22/15	01/05/16	125	YUM BRANDS INC COM	9,125.00	3,844.49	8,959.13		5,114.64		(185.87)	
12/22/15	01/05/16	560	YUM BRANDS INC COM	40,880.00	17,233.30	40,136.92		22,913.62		(743.08)	
12/23/15	04/06/16	1,397.854	NEUBERGER BERMAN MULTI CAP OPPORT FUND	21,219.42	14,984.99	21,219.42		6,234.43			
12/23/15	04/06/16	6212.686	NEUBERGER BERMAN MULTI CAP OPPORT FUND	94,308.57	66,600.00	94,308.57		27,708.57		(239.30)	
12/24/15	01/05/16	419.813	EDGEWOOD GROWTH FUND - INS	9,214.90	9,449.99	8,975.60		(474.39)			
12/24/15	01/05/16	1,865.837	EDGEWOOD GROWTH FUND - INS	40,955.12	41,999.99	39,891.60		(2,108.39)		(1,063.52)	
01/05/16	04/06/16	121.04	BROWN ADV JAPAN ALPHA OPP	130,000.00	130,000.00	107,486.03		(22,513.97)		(22,513.97)	
01/05/16	11/11/16	47,000	JP MORGAN TR I MNG INCM INTL	470,000.00	470,000.00	470,940.00		940.00		940.00	
01/05/16	02/09/16	7,585.335	PIMCO HIGH YIELD INSTL #108	62,654.87	62,654.87	60,000.00		(2,654.87)		(2,654.87)	
04/06/16	10/28/16	11,668.92	JP MORGAN TR I MNG INCM INTL	1,168,058.87	1,168,058.87	1,169,225.76		1,166.89		1,166.89	
04/06/16	11/11/16	36,657.455	JP MORGAN TR I MNG INCM INTL	366,941.13	366,941.13	367,307.70		366.57		366.57	
TOTAL REALIZED GAIN ORIGINAL CO:				19,719,050.77	17,801,126.21	19,708,009.71		1,621,565.49	285,318.01	(286,479.86)	285,438.80
TOTAL REALIZED GAIN AT FAIR VALU									1,906,883.50		(11,041.06)

TOTAL REALIZED GAIN ORIGINAL CO: 1,906,883.50
 TOTAL REALIZED GAIN AT FAIR VALU (11,041.06)