

Extended to November 15, 2017
Return of Private Foundation

Form **990-PF**

Department of the Treasury
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation
Do not enter social security numbers on this form as it may be made public
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation THE AMPHION FOUNDATION INC C/O LAW OFFICES OF JAMES M KENDRICK, LLC		A Employer identification number 13-3438528
Number and street (or P.O. box number if mail is not delivered to street address) 254 WEST 31ST STREET	Room/suite 15 FL	B Telephone number 212-922-8139
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10001-2813		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) \$ 14,630,521.	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))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	0.		N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	8.	8.		Statement 1
	4 Dividends and interest from securities	309,000.	309,000.		Statement 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	100,957.			
	b Gross sales price for all assets on line 6a	2,824,897.			
	7 Capital gain net income (from Part IV, line 2)		100,957.		
	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	52,258.	52,258.		Statement 3	
12 Total Add lines 1 through 11	462,223.	462,223.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees Stmt 4	14,320.	0.		14,320.
	b Accounting fees Stmt 5	5,250.	0.		0.
	c Other professional fees Stmt 6	63,622.	63,622.		0.
	17 Interest				
	18 Taxes Stmt 7	12,113.	0.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses Stmt 8	115,763.	0.		108,155.
	24 Total operating and administrative expenses Add lines 13 through 23	211,068.	63,622.		122,475.
25 Contributions, gifts, grants paid	497,409.			497,409.	
26 Total expenses and disbursements Add lines 24 and 25	708,477.	63,622.		619,884.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-246,254.				
b Net investment income (if negative, enter -0-)		398,601.			
c Adjusted net income (if negative, enter -0-)			N/A		

962,633

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	200,914.	248,002.	248,002.	
	2 Savings and temporary cash investments	1,872,851.	215,240.	215,240.	
	3 Accounts receivable ▶				
	Less: allowance for doubtful accounts ▶				
	4 Pledges receivable ▶				
	Less: allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶				
	Less: allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock				
	c Investments - corporate bonds Stmt 9	5,152,329.	5,744,481.	5,609,597.	
		11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶					
12 Investments - mortgage loans					
13 Investments - other Stmt 10		7,357,691.	8,129,808.	8,557,682.	
14 Land, buildings, and equipment: basis ▶					
Less: accumulated depreciation ▶					
15 Other assets (describe ▶)					
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		14,583,785.	14,337,531.	14,630,521.	
Liabilities		17 Accounts payable and accrued expenses			
		18 Grants payable			
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶)				
	23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31 ▶ <input type="checkbox"/>				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ <input checked="" type="checkbox"/>				
	27 Capital stock, trust principal, or current funds	14,583,785.	14,337,531.		
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.		
30 Total net assets or fund balances	14,583,785.	14,337,531.			
31 Total liabilities and net assets/fund balances	14,583,785.	14,337,531.			

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 14,583,785.
2 Enter amount from Part I, line 27a	2 -246,254.
3 Other increases not included in line 2 (itemize) ▶	3 0.
4 Add lines 1, 2, and 3	4 14,337,531.
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 14,337,531.

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 SHORT TERM SALES (STATEMENT 12, PGS 1-8)	P	12/31/16	12/31/16
b LONG TERM SALES (STATEMENT 12, PGS 9-19)	P	01/01/00	12/31/16
c Capital Gains Dividends			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 749,357.		758,223.	-8,866.
b 1,910,112.		1,965,717.	-55,605.
c 165,428.			165,428.
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			-8,866.
b			-55,605.
c			165,428.
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	100,957.
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	449,968.	14,719,893.	.030569
2014	449,651.	14,388,293.	.031251
2013	415,227.	11,793,298.	.035209
2012	345,657.	3,649,019.	.094726
2011	261,490.	3,367,839.	.077643

2 Total of line 1, column (d)	2	.269398
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	.053880
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	14,207,756.
5 Multiply line 4 by line 3	5	765,514.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,986.
7 Add lines 5 and 6	7	769,500.
8 Enter qualifying distributions from Part XII, line 4	8	619,884.

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 <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 Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	7,972.
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	7,972.
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	7,972.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	12,359.	
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	12,359.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	4,387.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> 4,387. Refunded <input type="checkbox"/>	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
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c 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. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 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) <input type="checkbox"/> <u>NY</u>		
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

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>WWW.AMPHIONFOUNDATION.ORG</u>	X	
14 The books are in care of ► <u>EMMERMAN, BOYLE & ASSOCIATES</u> Telephone no. ► <u>914-286-6900</u> Located at ► <u>1025 WESTCHESTER AVENUE, SUITE 301, WHITE PLAINS,</u> ZIP+4 ► <u>10604</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? <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 checked="" type="checkbox"/> Yes <input 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 ► <input type="checkbox"/>	1b	X
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?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► _____, _____, _____ b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____	2b	
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.) N/A	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b	X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? **N/A**

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

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

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** ☐ Yes ☒ No

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **N/A** **7b** ☐ Yes ☐ No

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 11		0.	0.	0.

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

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

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

(continued)

(c) Compensation

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

Expenses

Amount

Total. Add lines 1 through 3

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	13,932,167.
b	Average of monthly cash balances	1b	491,951.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	14,424,118.
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	14,424,118.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	216,362.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	14,207,756.
6	Minimum investment return. Enter 5% of line 5	6	710,388.

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	710,388.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	7,972.
b	Income tax for 2016 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	7,972.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	702,416.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	702,416.
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	702,416.

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	619,884.
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	619,884.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	619,884.

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				702,416.
2 Undistributed income, if any, as of the end of 2016			0.	
a Enter amount for 2015 only				
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	38,068.			
b From 2012	169,766.			
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e	207,834.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$	619,884.			
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				619,884.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	82,532.			82,532.
6 Enter the net total of each column as indicated below:				
a Corpus: Add lines 3f, 4c, and 4e. Subtract line 5	125,302.			
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	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	125,302.			
10 Analysis of line 9:				
a Excess from 2012	125,302.			
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

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

N/A

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 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)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

b 85% of line 2a

c Qualifying distributions from Part XII,
line 4 for each year listed

d Amounts included in line 2c not used directly for active conduct of exempt activities

e Qualifying distributions made directly for active conduct of exempt activities.

3 Subtract line 2d from line 2c
Complete 3a, b, or c for the
alternative test relied upon:

a "Assets" alternative test - enter:
(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter:

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

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

1 Information Regarding Foundation Managers:

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

None

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

None

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

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

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

JAMES KENDRICK, ESQ., 212-461-6950
254 WEST 31ST STREET, 15TH FLOOR, NEW YORK, NY 10001

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

LETTER

c Any submission deadlines.

NONE

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

NONE

Part XV **Supplementary Information** (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	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)				
a Paid during the year				
20th Century Consort	None	Tax Exempt	Operational	1,500.
Alarm Will Sound, Inc.	None	Tax Exempt	Operational	3,000.
Albany Symphony Orchestra, Inc.	None	Tax Exempt	Operational	10,000.
Alia Musica Pittsburgh	None	Tax Exempt	Operational	1,500.
American Composers Orchestra, Inc.	None	Tax Exempt	Operational	8,000.
Total	See continuation sheet(s)			497,409.
b Approved for future payment				
None				
Total				0.

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
American Lyric Theater Center, Inc.	None	Tax Exempt	Operational	3,000.
American Opera Projects, Inc.	None	Tax Exempt	Operational	4,500.
American Symphony Orchestra League	None	Tax Exempt	Operational	3,000.
American Symphony Orchestra, Inc.	None	Tax Exempt	Operational	2,500.
Americas Society, Inc.	None	Tax Exempt	Operational	2,500.
Assoc.for the Promotion of New Music	None	Tax Exempt	Operational	1,000.
Astoria Music Society, Inc.	None	Tax Exempt	Operational	1,000.
Bang on a Can, Inc.	None	Tax Exempt	Operational	5,000.
Bent Frequency Inc.	None	Tax Exempt	Operational	1,500.
Beth Morrison Projects, Inc.	None	Tax Exempt	Operational	3,000.
Total from continuation sheets				473,409.

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Boston Modern Orchestra Project, Inc.	None	Tax Exempt	Operational	17,000.
Boston Musica Viva, Inc.	None	Tax Exempt	Operational	2,000.
Boston Symphony Orchestra, Inc.	None	Tax Exempt	Operational	5,000.
Brooklyn Youth Chorus Academy, Inc.	None	Tax Exempt	Operational	2,000.
Cabrillo Festival of Contemporary Music	None	Tax Exempt	Operational	7,500.
Cabrillo Music Festival	None	Tax Exempt	Operational	2,000.
Canticorum Virtuosi, Inc.	None	Tax Exempt	Operational	3,500.
Center for Advanced Musical Studies	None	Tax Exempt	Operational	1,000.
Center for Contemporary Opera	None	Tax Exempt	Operational	2,000.
Center for New Music San Francisco, Inc.	None	Tax Exempt	Operational	1,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC

13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Cham. Music Conf. & Composers Forum	None	Tax Exempt	Operational	1,500.
Chamber Music America, Inc.	None	Tax Exempt	Operational	1,000.
Chautauqua Institution	None	Tax Exempt	Operational	1,000.
Chelsea Opera, Inc.	None	Tax Exempt	Operational	1,000.
Collage, Inc.	None	Tax Exempt	Operational	3,500.
Composers Conf. & Chamber Music Ctr., Inc	None	Tax Exempt	Operational	2,000.
Concert Artists Guild, Inc.	None	Tax Exempt	Operational	3,000.
Copland House, Inc.	None	Tax Exempt	Operational	4,000.
Cygnus Ensemble, Inc.	None	Tax Exempt	Operational	1,000.
Da Capo Chamber Players, Inc.	None	Tax Exempt	Operational	2,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Dal Niente New Music, NFP	None	Tax Exempt	Operational	3,500.
Del Sol Performing Arts Organization	None	Tax Exempt	Operational	3,500.
Deviant Septet Inc.	None	Tax Exempt	Operational	1,500.
Discalced, Inc.	None	Tax Exempt	Operational	2,000.
Eighth Blackbird Performing Arts Assoc	None	Tax Exempt	Operational	8,000.
Elaine Kaufman Cultural Ctr - Lucy Moses	None	Tax Exempt	Operational	2,000.
Ensemble Mise-En, Inc.	None	Tax Exempt	Operational	2,500.
Ensemble Signal	None	Tax Exempt	Operational	4,000.
ETHEL's Foundation for the Arts, Inc.	None	Tax Exempt	Operational	2,000.
Evangelical Lutheran Church of the Advent	None	Tax Exempt	Operational	1,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Experimental Sound Studio	None	Tax Exempt	Operational	1,000.
Exploring the Metropolis, Inc.	None	Tax Exempt	Operational	2,000.
Fifth House Ensemble	None	Tax Exempt	Operational	1,000.
Foundation for Contemporary Arts, Inc.	None	Tax Exempt	Operational	1,000.
Fractured Atlas	None	Tax Exempt	Operational	1,000.
Fractured Atlas	None	Tax Exempt	Operational	1,500.
Fractured Atlas Productions, Inc.	None	Tax Exempt	Operational	1,000.
Fractured Atlas, Inc.	None	Tax Exempt	Operational	1,500.
Friends of the Minnesota Sinfonia	None	Tax Exempt	Operational	1,000.
Guerilla Opera, Inc.	None	Tax Exempt	Operational	2,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Haleakala, Inc.	None	Tax Exempt	Operational	4,000.
Home for Contemporary Theater and Art	None	Tax Exempt	Operational	3,500.
International Contemporary Ensemble	None	Tax Exempt	Operational	9,500.
International Festival for Contemporary P	None	Tax Exempt	Operational	3,000.
Issue Project Room, Inc.	None	Tax Exempt	Operational	4,500.
JACK Music Inc.	None	Tax Exempt	Operational	5,000.
Kronos Performing Arts Association	None	Tax Exempt	Operational	4,500.
Lake George Opera Festival Assoc. Inc.	None	Tax Exempt	Operational	2,000.
League of Composers, Inc.	None	Tax Exempt	Operational	2,500.
Left Coast Chamber Ensemble, Inc.	None	Tax Exempt	Operational	1,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Lexington Philharmonic Society	None	Tax Exempt	Operational	1,500.
Line Upon Line Percussion	None	Tax Exempt	Operational	1,000.
Long Beach Opera	None	Tax Exempt	Operational	3,000.
Look & Listen, Inc.	None	Tax Exempt	Operational	2,000.
Lorelei Ensemble, Inc.	None	Tax Exempt	Operational	1,000.
Los Angeles Master Chorale Association	None	Tax Exempt	Operational	1,500.
Los Angeles Opera Company	None	Tax Exempt	Operational	4,000.
Mantra Percussion Inc.	None	Tax Exempt	Operational	1,000.
Minnesota Orchestral Association	None	Tax Exempt	Operational	10,500.
Monadnock Music	None	Tax Exempt	Operational	3,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Monday Evening Concerts	None	Tax Exempt	Operational	4,000.
Museum of Contemporary Art	None	Tax Exempt	Operational	3,000.
Music at the Anthology, Inc.	None	Tax Exempt	Operational	4,500.
Musical Explorations Society, Inc.	None	Tax Exempt	Operational	48,409.
Network for New Music, Inc.	None	Tax Exempt	Operational	1,500.
New England Philharmonic, Inc.	None	Tax Exempt	Operational	1,500.
New Haven Symphony Orchestra, Inc.	None	Tax Exempt	Operational	1,500.
New Music Chicago	None	Tax Exempt	Operational	5,000.
New Music Concerts	None	Tax Exempt	Operational	3,500.
New Music Detroit	None	Tax Exempt	Operational	1,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
New Music USA, Inc.	None	Tax Exempt	Operational	15,000.
New World Symphony, Inc.	None	Tax Exempt	Operational	2,000.
New York City Ballet, Inc.	None	Tax Exempt	Operational	3,500.
New York Foundation for the Arts, Inc.	None	Tax Exempt	Operational	1,000.
New York New Music Ensemble	None	Tax Exempt	Operational	2,500.
New York Public Radio	None	Tax Exempt	Operational	5,000.
ODC	None	Tax Exempt	Operational	2,000.
Ojai Festivals Ltd.	None	Tax Exempt	Operational	6,000.
OPERA America, Inc.	None	Tax Exempt	Operational	3,000.
Original Music Workshop, Inc.	None	Tax Exempt	Operational	3,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Orpheus Chamber Orchestra, Inc.	None	Tax Exempt	Operational	2,000.
Other Minds	None	Tax Exempt	Operational	5,000.
Pacific Symphony Association	None	Tax Exempt	Operational	2,000.
Parallele Ensemble Corporation	None	Tax Exempt	Operational	3,000.
Performance Zone Inc. dba The Field	None	Tax Exempt	Operational	2,500.
Periapsis Music and Dance, Inc.	None	Tax Exempt	Operational	1,000.
Piano Spheres	None	Tax Exempt	Operational	2,500.
Pittsburgh New Music Ensemble, Inc.	None	Tax Exempt	Operational	2,500.
Portland Chamber Music Festival	None	Tax Exempt	Operational	1,500.
Present Music, Inc.	None	Tax Exempt	Operational	3,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC
C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PRISM Quartet, Inc.	None	Tax Exempt	Operational	3,000.
Random Access Music Ltd.	None	Tax Exempt	Operational	1,000.
Rensselaer Polytechnic Institute	None	Tax Exempt	Operational	1,000.
River Oaks Chamber Orchestra	None	Tax Exempt	Operational	2,000.
Riverside Symphony, Inc.	None	Tax Exempt	Operational	1,000.
Roomful of Teeth Vocal Arts Project, Inc.	None	Tax Exempt	Operational	2,500.
Roulette Intermedium, Inc.	None	Tax Exempt	Operational	5,000.
San Francisco Ballet Association	None	Tax Exempt	Operational	3,500.
San Francisco Chanticleer, Inc.	None	Tax Exempt	Operational	1,000.
San Francisco Contemporary Music Players	None	Tax Exempt	Operational	4,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
San Francisco Friends of Chamber Music	None	Tax Exempt	Operational	1,000.
Seattle Symphony Orchestra, Inc.	None	Tax Exempt	Operational	4,500.
So Percussion, Inc.	None	Tax Exempt	Operational	4,000.
Society for New Music (Syracuse, NY)	None	Tax Exempt	Operational	4,500.
Sound Icon, Inc.	None	Tax Exempt	Operational	1,500.
Southland Ensemble Inc.	None	Tax Exempt	Operational	1,500.
Spektral Quartet, NFP	None	Tax Exempt	Operational	1,500.
Sphinx Organization, Inc.	None	Tax Exempt	Operational	1,000.
St. Luke's Chamber Ensemble, Inc.	None	Tax Exempt	Operational	2,000.
Sybarite Chamber Players LTD	None	Tax Exempt	Operational	1,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Symphony Space	None	Tax Exempt	Operational	1,000.
Talea Ensemble, Inc.	None	Tax Exempt	Operational	5,000.
The Carnegie Hall Society, Inc.	None	Tax Exempt	Operational	2,500.
The Crossing, Inc.	None	Tax Exempt	Operational	2,000.
The Emerald City Opera	None	Tax Exempt	Operational	2,000.
The Minnesota Opera	None	Tax Exempt	Operational	4,000.
The Mornington Trust	None	Tax Exempt	Operational	4,000.
The Performance Zone DBA The Field	None	Tax Exempt	Operational	2,500.
The Regents of the University of Califor	None	Tax Exempt	Operational	4,000.
The Saint Paul Chamber Orchestra Society	None	Tax Exempt	Operational	2,500.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC

13-3438528

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
The Saint Paul Chamber Orchestra Society	None	Tax Exempt	Operational	1,500.
The Santa Fe Opera	None	Tax Exempt	Operational	4,000.
The Trustees of Columbia Univ. City, NY	None	Tax Exempt	Operational	7,000.
The University of Buffalo Foundation, Inc	None	Tax Exempt	Operational	3,000.
The University of Chicago	None	Tax Exempt	Operational	1,000.
The Walden School	None	Tax Exempt	Operational	1,500.
The Wulf	None	Tax Exempt	Operational	1,000.
ThingNY	None	Tax Exempt	Operational	1,000.
Third Angle New Music Ensemble	None	Tax Exempt	Operational	1,500.
Third Coast Percussion, NFP	None	Tax Exempt	Operational	3,000.
Total from continuation sheets				

THE AMPHION FOUNDATION INC

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
University of Pittsburgh	None	Tax Exempt	Operational	3,500.
Voices of Change	None	Tax Exempt	Operational	1,500.
Volti	None	Tax Exempt	Operational	1,500.
Washington Performing Arts Society	None	Tax Exempt	Operational	1,000.
West Edge Opera	None	Tax Exempt	Operational	2,000.
Wild Up	None	Tax Exempt	Operational	1,500.
Window to the World Communications, Inc.	None	Tax Exempt	Operational	4,000.
Women Composers Festival of Hartford	None	Tax Exempt	Operational	1,000.
Yarn Wire Inc	None	Tax Exempt	Operational	2,500.
Yellow Barn, Inc.	None	Tax Exempt	Operational	2,500.
Total from continuation sheets				

C/O LAW OFFICES OF JAMES M KENDRICK, LLC 13-3438528

3 Grants and Contributions Paid During the Year (Continuation)Total from continuation sheets

Form 990-PF Interest on Savings and Temporary Cash Investments Statement 1

Source	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
BNY MELLON	8.	8.	
Total to Part I, line 3	8.	8.	

Form 990-PF Dividends and Interest from Securities Statement 2

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
CORPORATE DIVIDEND	465,954.	165,428.	300,526.	300,526.	
CORPORATE INTEREST	8,474.	0.	8,474.	8,474.	
To Part I, line 4	474,428.	165,428.	309,000.	309,000.	

Form 990-PF Other Income Statement 3

Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
CLASS ACTION PROCEEDS	437.	437.	
ROYALTIES	51,821.	51,821.	
Total to Form 990-PF, Part I, line 11	52,258.	52,258.	

Form 990-PF Legal Fees Statement 4

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
LEGAL FEES	14,320.	0.		14,320.
To Fm 990-PF, Pg 1, ln 16a	14,320.	0.		14,320.

Form 990-PF	Accounting Fees		Statement 5	
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
TAX PREPARATION	5,250.	0.		0.
To Form 990-PF, Pg 1, ln 16b	5,250.	0.		0.

Form 990-PF	Other Professional Fees		Statement 6	
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
INVESTMENT ADVISORY FEES	63,622.	63,622.		0.
To Form 990-PF, Pg 1, ln 16c	63,622.	63,622.		0.

Form 990-PF	Taxes		Statement 7	
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
FEDERAL EXCISE TAXES	12,000.	0.		0.
FOREIGN TAXES	113.	0.		0.
To Form 990-PF, Pg 1, ln 18	12,113.	0.		0.

Form 990-PF	Other Expenses			Statement 8
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
PROGRAM ADMINISTRATION	68,000.	0.		68,000.
ELLIOTT CARTER TRIBUTE	1,637.	0.		1,637.
ONLINE APPLICATION SYSTEM/WEBSITE	12,018.	0.		12,018.
OFFICERS AND DIRECTORS INSURANCE	2,214.	0.		0.
OTHER MISCELLANEOUS	5,394.	0.		0.
HONORARIA	26,500.	0.		26,500.
To Form 990-PF, Pg 1, ln 23	115,763.	0.		108,155.

Form 990-PF	Corporate Bonds	Statement 9
Description	Book Value	Fair Market Value
CORPORATE BONDS (STATEMENT 13)	5,744,481.	5,609,597.
Total to Form 990-PF, Part II, line 10c	5,744,481.	5,609,597.

Form 990-PF	Other Investments		Statement 10
Description	Valuation Method	Book Value	Fair Market Value
MARKETABLE EQUITY SECURITIES (STATEMENT 13)	FMV	8,129,808.	8,557,682.
Total to Form 990-PF, Part II, line 13		8,129,808.	8,557,682.

Form 990-PF

Part VIII - List of Officers, Directors
Trustees and Foundation Managers

Statement 11

Name and Address	Title and Avrg Hrs/Wk	Compen- sation	Employee Ben Plan Expense Contrib Account	
VIRGIL BLACKWELL 67 HIGHWAY 1 CARMEL, CA 93923	PRESIDENT 5.00	0.	0.	0.
JOHN LINK 518 WEST 142ND STREET, #2 NEW YORK, NY 10031	SENIOR VICE PRESIDENT 1.00	0.	0.	0.
SUSAN FEDER 53 JAFFRAY COURT IRVINGTON, NY 10533	VICE PRESIDENT 1.00	0.	0.	0.
JAMES KENDRICK 254 WEST 31ST STREET, 15TH FLOOR NEW YORK, NY 10001	SECRETARY 5.00	0.	0.	0.
ARA GUZELIMIAN 111 HAMILTON AVENUE HASTINGS-ON-HUDSON, NY 10706	DIRECTOR 1.00	0.	0.	0.
DAVID FULMER 10 BALLARD TERRACE LEXINGTON, MA 02420	DIRECTOR 1.00	0.	0.	0.
URSULA OPPENS 600 WEST 115TH STREET, APT 114 NEW YORK, NY 10025	DIRECTOR 1.00	0.	0.	0.
FRED SHERRY 215 WEST 91ST STREET, #63 NEW YORK, NY 10024	DIRECTOR 1.00	0.	0.	0.
ANTHONY SCHMIDT 475 WALL STREET PRINCETON, NJ 08540	TREASURER 1.00	0.	0.	0.
ZIZI MUELLER 30 VALLEY FORGE ROAD WESTON, CT 06883	DIRECTOR 1.00	0.	0.	0.

THE AMPHION FOUNDATION INC C/O LAW OFFIC		<u>13-3438528</u>		
DANNY STANTON	ASSISTANT TREASURER			
1025 WESTCHESTER AVE	1.00	0.	0.	0.
WHITE PLAINS, NY 10604				

Totals included on 990-PF, Page 6, Part VIII	<u>0.</u>	<u>0.</u>	<u>0.</u>
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Income for 2016

A schedule of your current year sales is shown below. The following items are provided to you to assist in the preparation of your tax returns. Typically, collectibles are taxed at 28% rates, which is shown in the column titled "Portion Subject to 28% Rates (included in Net G/L)" For your convenience, if applicable, we have included the portion subject to Section 988 translation gains and losses in the column titled "Portion subject to Ordinary Rates including Section 988 (included in Net G/L)"

Please note that if you have sold an asset for which the cost basis information is unknown it is shown separately in the section entitled Transactions with Unknown Cost Basis. Please review these carefully when preparing your return. We suggest that you consult your tax advisor.

Certain sales will be indicated with the following symbols, where applicable, see below for an explanation.

- † - Can not take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure
- * - Tax Cost has been adjusted for current year's return of capital
- ◇ - Section 988 translation gains or losses

Short Term Transactions

DESCRIPTION	CUSIP	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
AT&T INC											
	00206R102	01/13/2016	06/04/2015	60 00	\$2,041 79	\$2,117 98	\$-76 19	\$0 00	\$0 00	\$0 00	\$0 00
		01/13/2016	06/30/2015	370 00	\$12,591 01	\$13,189 76	\$-598 75	\$0 00	\$0 00	\$0 00	\$0 00
ADVANTAGE DYN TOTAL RET - Y											
	007565146	10/26/2016	03/03/2016	503 66	\$8,119 06	\$7,685 91	\$433 15	\$0 00	\$0 00	\$0 00	\$0 00
AMGEN INC											
	031162100	01/22/2016	10/12/2015	22 00	\$3,418 00	\$3,369 41	\$48 59	\$0 00	\$0 00	\$0 00	\$0 00
		02/08/2016	10/12/2015	82 00	\$11,585 12	\$12,558 70	\$-973 58	\$0 00	\$0 00	\$0 00	\$0 00

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BNY MELLON
WEALTH MANAGEMENT

AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	DATE	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCURED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
ANALOG DEVICES INC										
	07/27/2016	08/25/2015	200.00	\$12,745.42	\$10,608.44	\$2,136.98	\$0.00	\$0.00	\$0.00	\$0.00
	07/27/2016	10/21/2015	50.00	\$3,186.36	\$3,120.02	\$66.34	\$0.00	\$0.00	\$0.00	\$0.00
	07/27/2016	02/04/2016	80.00	\$5,098.17	\$4,123.61	\$974.56	\$0.00	\$0.00	\$0.00	\$0.00
APPLE COMPUTER INC COM										
	01/04/2016	10/15/2015	95.00	\$9,797.08	\$10,607.03	\$-809.95	\$0.00	\$0.00	\$0.00	\$0.00
	01/04/2016	10/21/2015	33.00	\$3,403.19	\$3,799.13	\$-395.94	\$0.00	\$0.00	\$0.00	\$0.00
BNY MELLON FOCUSED EQUITY OPP-M										
	03/03/2016	12/03/2015	3,120.97	\$41,103.19	\$43,787.23	\$-2,684.04	\$0.00	\$0.00	\$0.00	\$0.00
H & R BLOCK INCORPORATED COMMON										
	08/03/2016	12/17/2015	210.00	\$4,901.33	\$7,080.15	\$-2,178.82	\$0.00	\$0.00	\$0.00	\$0.00
	11/21/2016	12/17/2015	400.00	\$9,299.96	\$13,486.00	\$-4,186.04	\$0.00	\$0.00	\$0.00	\$0.00
BRISTOL MYERS SQUIBB CO COM										
	02/04/2016	01/06/2016	110.00	\$6,596.97	\$7,454.38	\$-857.41	\$0.00	\$0.00	\$0.00	\$0.00
CALIFORNIA RESOURCES CORP										
	04/05/2016	04/21/2015	14.04	\$15.19	\$19.65	\$-4.46	\$0.00	\$0.00	\$0.00	\$0.00
	04/05/2016	06/02/2015	12.17	\$13.17	\$17.00	\$-3.83	\$0.00	\$0.00	\$0.00	\$0.00
CARDINAL HEALTH INC COM										
	09/14/2016	08/09/2016	210.00	\$15,821.24	\$17,598.90	\$-1,777.66	\$0.00	\$0.00	\$0.00	\$0.00
CHEVRONTXACO CORP										
	07/27/2016	11/30/2015	4.00	\$410.30	\$365.39	\$44.91	\$0.00	\$0.00	\$0.00	\$0.00

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BNY MELLON
WEALTH MANAGEMENT

AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
CUSIP										
20825C104										
CONOCOPHILLIPS	01/20/2016	06/11/2015	310.00	\$10,430.94	\$19,868.64	\$-9,437.70	\$0.00	\$0.00	\$0.00	\$0.00
	01/20/2016	10/09/2015	110.00	\$3,701.30	\$6,164.37	\$-2,463.07	\$0.00	\$0.00	\$0.00	\$0.00
	01/20/2016	11/30/2015	100.00	\$3,364.82	\$5,422.22	\$-2,057.40	\$0.00	\$0.00	\$0.00	\$0.00
	08/17/2016	06/08/2016	110.00	\$4,715.46	\$5,247.77	\$-532.31	\$0.00	\$0.00	\$0.00	\$0.00
233331107										
DTE ENERGY CO	06/13/2016	01/06/2016	60.00	\$5,637.44	\$4,781.67	\$855.77	\$0.00	\$0.00	\$0.00	\$0.00
	06/13/2016	01/07/2016	120.00	\$11,274.88	\$9,512.26	\$1,762.62	\$0.00	\$0.00	\$0.00	\$0.00
25746U109										
DOMINION RES INC VA NEW	06/17/2016	09/14/2015	140.00	\$10,356.98	\$9,531.62	\$825.36	\$0.00	\$0.00	\$0.00	\$0.00
	06/17/2016	11/30/2015	60.00	\$4,438.70	\$4,047.11	\$391.59	\$0.00	\$0.00	\$0.00	\$0.00
	07/13/2016	07/13/2016	433.00	\$33,599.85	\$27,401.52	\$6,198.33	\$0.00	\$0.00	\$0.00	\$0.00
	07/19/2016	07/14/2016	0.61	\$47.29	\$38.48	\$8.81	\$0.00	\$0.00	\$0.00	\$0.00
25746U869										
DOMINION RESOURCES INC CONV PFD	10/28/2016	07/13/2016	90.00	\$4,495.44	\$4,702.50	\$-207.06	\$0.00	\$0.00	\$0.00	\$0.00
26188X809										
DREYFUS SELECT MGR L/S EQ-Y	10/26/2016	01/05/2016	5,205.66	\$63,404.99	\$63,821.44	\$-416.45	\$0.00	\$0.00	\$0.00	\$0.00
261967780										
DREYFUS INFL TN ADJ SEC-Y	02/16/2016	02/27/2015	5.95	\$73.68	\$75.05	\$-1.37	\$0.00	\$0.00	\$0.00	\$0.00
	02/16/2016	08/31/2015	111.70	\$1,383.91	\$1,386.15	\$-2.24	\$0.00	\$0.00	\$0.00	\$0.00
	02/16/2016	09/30/2015	4.11	\$50.95	\$50.86	\$0.09	\$0.00	\$0.00	\$0.00	\$0.00

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WEALTH MANAGEMENT

AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
CUSIP										
261980759										
DREYFUS PREM LT TRM HI YLD-R	02/22/2016	04/30/2015	392 59	\$2,190 64	\$2,583 23	\$-392 59	\$0 00	\$0 00	\$0 00	\$0 00
261986277										
DREYFUS GLOBAL REAL ES SEC-Y	03/03/2016	12/28/2015	2,870 88	\$24,632 12	\$24,746 95	\$-114 83	\$0 00	\$0 00	\$0 00	\$0 00
263534109										
E I DU PONT DE NEMOURS & CO COMM	02/03/2016	08/12/2015	10 00	\$574 42	\$528 15	\$46 27	\$0 00	\$0 00	\$0 00	\$0 00
26441C204										
DUKE ENERGY CORP NEW COM	04/05/2016	08/12/2015	100 00	\$7,988 55	\$7,544 00	\$444 55	\$0 00	\$0 00	\$0 00	\$0 00
26817R207										
DYNEGY INC	12/06/2016	03/02/2016	160 00	\$4,993 56	\$6,880 00	\$-1,886 44	\$0 00	\$0 00	\$0 00	\$0 00
	12/06/2016	03/18/2016	160 00	\$4,993 56	\$8,004 80	\$-3,011 24	\$0 00	\$0 00	\$0 00	\$0 00
406216101										
HALLIBURTON COMPANY COM	06/22/2016	04/12/2016	130 00	\$5,805 01	\$4,909 72	\$895 29	\$0 00	\$0 00	\$0 00	\$0 00
	08/17/2016	04/12/2016	100 00	\$4,512 89	\$3,776 71	\$736 18	\$0 00	\$0 00	\$0 00	\$0 00
458140100										
INTEL CORPORATION	01/15/2016	01/04/2016	190 00	\$5,714 49	\$6,373 30	\$-658 81	\$0 00	\$0 00	\$0 00	\$0 00
	01/15/2016	01/07/2016	70 00	\$2,105 34	\$2,293 88	\$-188 54	\$0 00	\$0 00	\$0 00	\$0 00
	01/21/2016	01/07/2016	280 00	\$8,348 19	\$9,175 52	\$-827 33	\$0 00	\$0 00	\$0 00	\$0 00
	02/04/2016	08/31/2015	270 00	\$7,967 58	\$7,854 79	\$112 79	\$0 00	\$0 00	\$0 00	\$0 00
	02/04/2016	01/07/2016	20 00	\$590 19	\$655 39	\$-65 20	\$0 00	\$0 00	\$0 00	\$0 00
478160104										
JOHNSON & JOHNSON COM	01/06/2016	07/21/2015	70 00	\$7,034 21	\$7,025 82	\$8 39	\$0 00	\$0 00	\$0 00	\$0 00

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AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
CUSIP										
JOHNSON & JOHNSON COM										
				478160104						
01/06/2016	08/12/2015		16.00	\$1,607.82	\$1,572.13	\$35.69	\$0.00	\$0.00	\$0.00	\$0.00
01/22/2016	08/12/2015		40.00	\$3,853.07	\$3,930.31	\$-77.24	\$0.00	\$0.00	\$0.00	\$0.00
KIMBERLY-CLARK CORP COM										
				494368103						
04/12/2016	04/28/2015		77.00	\$10,612.03	\$8,653.16	\$1,958.87	\$0.00	\$0.00	\$0.00	\$0.00
04/12/2016	06/04/2015		22.00	\$3,032.01	\$2,364.29	\$667.72	\$0.00	\$0.00	\$0.00	\$0.00
07/25/2016	09/22/2015		38.00	\$5,035.67	\$4,082.03	\$953.64	\$0.00	\$0.00	\$0.00	\$0.00
KOHL'S CORP										
				500255104						
12/08/2016	01/07/2016		190.00	\$11,139.46	\$9,674.57	\$1,464.89	\$0.00	\$0.00	\$0.00	\$0.00
12/12/2016	01/07/2016		80.00	\$4,451.95	\$4,073.51	\$378.44	\$0.00	\$0.00	\$0.00	\$0.00
ELI LILLY & CO COM										
				532457108						
02/04/2016	01/06/2016		90.00	\$6,742.05	\$7,551.40	\$-809.35	\$0.00	\$0.00	\$0.00	\$0.00
MC DONALD'S CORPORATION COMMON										
				580135101						
07/25/2016	10/20/2015		32.00	\$4,078.10	\$3,324.99	\$753.11	\$0.00	\$0.00	\$0.00	\$0.00
07/25/2016	12/01/2015		34.00	\$4,332.98	\$3,888.32	\$444.66	\$0.00	\$0.00	\$0.00	\$0.00
07/25/2016	01/07/2016		66.00	\$8,411.09	\$7,768.27	\$642.82	\$0.00	\$0.00	\$0.00	\$0.00
MICROSOFT CORP COM										
				594918104						
04/12/2016	01/04/2016		90.00	\$4,882.81	\$4,812.84	\$69.97	\$0.00	\$0.00	\$0.00	\$0.00
07/06/2016	09/24/2015		30.00	\$1,538.10	\$1,303.10	\$235.00	\$0.00	\$0.00	\$0.00	\$0.00
07/06/2016	01/04/2016		30.00	\$1,538.10	\$1,604.28	\$-66.18	\$0.00	\$0.00	\$0.00	\$0.00
MICROCHIP TECHNOLOGY INC										
				595017104						
08/18/2016	07/13/2016		140.00	\$8,538.55	\$7,437.88 *	\$1,100.67	\$0.00	\$0.00	\$0.00	\$0.00

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AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	DATE SOLD OR DISPOSED	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
MICROCHIP TECHNOLOGY INC										
	09/07/2016	07/13/2016	170 00	\$10,306 00	\$9,031 71 *	\$1,274 29	\$0 00	\$0 00	\$0 00	\$0 00
ASS GLOBAL ALTERNATIVES FUND-Y										
	09/21/2016	01/05/2016	9,735 35	\$95,795 84	\$103,000 00	\$-7,204 16	\$0 00	\$0 00	\$0 00	\$0 00
	09/21/2016	02/16/2016	1,095 48	\$10,779 49	\$10,900 00	\$-120 51	\$0 00	\$0 00	\$0 00	\$0 00
	09/21/2016	03/03/2016	783 13	\$7,706 03	\$7,800 00	\$-93 97	\$0 00	\$0 00	\$0 00	\$0 00
NEXTERA ENERGY INC										
	06/23/2016	09/01/2015	176 00	\$21,767 00	\$13,997 14	\$7,769 86	\$0 00	\$0 00	\$0 00	\$0 00
	06/27/2016	09/01/2015	67 00	\$8,532 24	\$5,328 45	\$3,203 79	\$0 00	\$0 00	\$0 00	\$0 00
	07/06/2016	09/01/2015	39 00	\$5,075 53	\$3,101 64	\$1,973 89	\$0 00	\$0 00	\$0 00	\$0 00
PFIZER INC COM										
	01/06/2016	01/13/2015	160 00	\$5,063 86	\$5,259 18	\$-195 32	\$0 00	\$0 00	\$0 00	\$0 00
	01/06/2016	04/23/2015	230 00	\$7,279 29	\$8,139 36	\$-860 07	\$0 00	\$0 00	\$0 00	\$0 00
PHILIP MORRIS INTERNATIONAL										
	04/06/2016	07/16/2015	40 00	\$4,021 46	\$3,413 48	\$607 98	\$0 00	\$0 00	\$0 00	\$0 00
PLAINS GP HOLDINGS LP										
	12/15/2016	08/10/2016	0 04	\$1 41	\$1 23	\$0 18	\$0 00	\$0 00	\$0 00	\$0 00
SCHLUMBERGER LIMITED COM										
	04/05/2016	06/04/2015	30 00	\$2,181 28	\$2,723 90	\$-542 62	\$0 00	\$0 00	\$0 00	\$0 00
	04/12/2016	08/26/2015	60 00	\$4,524 12	\$4,152 49	\$371 63	\$0 00	\$0 00	\$0 00	\$0 00
SEMPRA ENERGY										
	01/06/2016	06/02/2015	50 00	\$4,610 22	\$5,315 60	\$-705 38	\$0 00	\$0 00	\$0 00	\$0 00

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BNY MELLON
WEALTH MANAGEMENT

AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
SEMPRA ENERGY										
				816851109						
	01/07/2016	06/02/2015	89.00	\$7,824.75	\$9,461.78	\$-1,637.03	\$0.00	\$0.00	\$0.00	\$0.00
	01/07/2016	06/04/2015	21.00	\$1,846.29	\$2,206.94	\$-360.65	\$0.00	\$0.00	\$0.00	\$0.00
SOUTHWESTERN ENERGY CO										
				845467109						
	04/27/2016	04/15/2016	0.97	\$12.92	\$10.13	\$2.79	\$0.00	\$0.00	\$0.00	\$0.00
	07/27/2016	07/15/2016	0.86	\$12.08	\$11.50	\$0.58	\$0.00	\$0.00	\$0.00	\$0.00
	10/27/2016	07/15/2016	0.03	\$0.29	\$0.37	\$-0.08	\$0.00	\$0.00	\$0.00	\$0.00
STANLEY BLACK & DECKER INC										
				854502101						
	12/07/2016	11/17/2016	0.14	\$16.54	\$13.78	\$2.76	\$0.00	\$0.00	\$0.00	\$0.00
TAIWAN SEMICONDUCTOR ADR										
				874039100						
	09/30/2016	06/27/2016	260.00	\$7,950.71	\$6,474.96	\$1,475.75	\$0.00	\$0.00	\$0.00	\$0.00
TEXAS INSTRUMENTS INC										
				882508104						
	08/01/2016	04/12/2016	80.00	\$5,603.49	\$4,664.64	\$938.85	\$0.00	\$0.00	\$0.00	\$0.00
VALERO ENERGY CORP NEW										
				91913Y100						
	04/05/2016	08/27/2015	70.00	\$4,424.98	\$4,165.83	\$259.15	\$0.00	\$0.00	\$0.00	\$0.00
VERIZON COMMUNICATIONS INC										
				92343V104						
	01/07/2016	02/03/2015	100.00	\$4,536.19	\$4,781.65	\$-245.46	\$0.00	\$0.00	\$0.00	\$0.00
	01/07/2016	05/05/2015	170.00	\$7,711.51	\$8,576.70	\$-865.19	\$0.00	\$0.00	\$0.00	\$0.00
YUM BRANDS INC										
				988498101						
	01/07/2016	02/06/2015	360.00	\$25,113.86	\$26,648.82	\$-1,534.96	\$0.00	\$0.00	\$0.00	\$0.00
	01/07/2016	03/03/2015	110.00	\$7,673.68	\$8,964.77	\$-1,291.09	\$0.00	\$0.00	\$0.00	\$0.00

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AMPHION FOUNDATION

Short Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
CUSIP									
ACCENTURE PLC IRELAND SHS CL A									
			G1151C101						
10/07/2016	01/15/2016	83.00	\$9,642.55	\$8,315.39	\$1,327.16	\$0.00	\$0.00	\$0.00	\$0.00
10/07/2016	02/04/2016	40.00	\$4,647.01	\$4,083.30	\$563.71	\$0.00	\$0.00	\$0.00	\$0.00
NABORS INDUSTRIES LTD COM									
			G6359F103						
12/01/2016	10/28/2016	20.00	\$328.39	\$244.22	\$84.17	\$0.00	\$0.00	\$0.00	\$0.00
Total Short Term Gain/Loss				\$758,222.65	\$-8,865.92	\$0.00	\$0.00	\$0.00	\$0.00

Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
CUSIP									
AT&T INC									
			00206R102						
10/06/2016	06/04/2015	210.00	\$8,208.22	\$7,412.91	\$795.31	\$0.00	\$0.00	\$0.00	\$0.00
10/20/2016	05/05/2015	210.00	\$8,115.35	\$7,214.87	\$900.48	\$0.00	\$0.00	\$0.00	\$0.00
10/20/2016	06/04/2015	10.00	\$386.45	\$353.00	\$33.45	\$0.00	\$0.00	\$0.00	\$0.00
ABBVIE INC									
			00287Y109						
01/06/2016	08/11/2014	290.00	\$16,520.65	\$15,552.87	\$967.78	\$0.00	\$0.00	\$0.00	\$0.00
ADVANTAGE DYN TOTAL RET -Y									
			007565146						
10/26/2016	12/23/2014	5,699.81	\$91,880.94	\$90,000.00	\$1,880.94	\$0.00	\$0.00	\$0.00	\$0.00

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Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCURED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
BNY MELLON FOCUSED EQUITY OPP-M									
03/03/2016	04/05/2013	4,472.04	\$58,896.81	\$62,653.32	\$-3,756.51	\$0.00	\$0.00	\$0.00	\$0.00
CALIFORNIA RESOURCES CORP									
04/05/2016	03/26/2015	15.79	\$17.08	\$20.48	\$-3.40	\$0.00	\$0.00	\$0.00	\$0.00
04/13/2016	03/26/2015	0.13	\$0.14	\$0.17	\$-0.03	\$0.00	\$0.00	\$0.00	\$0.00
CHEVRONTXACO CORP									
05/03/2016	06/21/2011	1.00	\$101.34	\$100.70	\$0.64	\$0.00	\$0.00	\$0.00	\$0.00
06/08/2016	06/21/2011	50.00	\$5,153.74	\$5,034.90	\$118.84	\$0.00	\$0.00	\$0.00	\$0.00
06/08/2016	08/15/2011	72.00	\$7,421.38	\$7,115.81	\$305.57	\$0.00	\$0.00	\$0.00	\$0.00
07/27/2016	08/15/2011	8.00	\$820.61	\$790.65	\$29.96	\$0.00	\$0.00	\$0.00	\$0.00
07/27/2016	08/19/2011	30.00	\$3,077.28	\$2,827.44	\$249.84	\$0.00	\$0.00	\$0.00	\$0.00
COMCAST CORP NEW CL A									
08/18/2016	04/02/2015	120.00	\$8,076.82	\$6,931.15	\$1,145.67	\$0.00	\$0.00	\$0.00	\$0.00
08/30/2016	11/24/2014	40.00	\$2,609.75	\$2,197.46	\$412.29	\$0.00	\$0.00	\$0.00	\$0.00
08/30/2016	04/02/2015	20.00	\$1,304.87	\$1,155.19	\$149.68	\$0.00	\$0.00	\$0.00	\$0.00
DFA EMERG MKTS CORE EQUITY									
01/22/2016	07/29/2013	414.82	\$5,960.95	\$7,761.26	\$-1,800.31	\$0.00	\$0.00	\$0.00	\$0.00

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WEALTH MANAGEMENT

AMPHION FOUNDATION

Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
DFA EMERG MKTS CORE EQUITY									
			233203421						
01/22/2016	08/20/2013	281 08	\$4,039 05	\$5,152 10	\$-1,113 05	\$0 00	\$0 00	\$0 00	\$0 00
DOMINION RES INC VA PFD									
			25746U885						
07/01/2016	07/18/2013	430 00	\$21,070 00	\$22,360 57 *	\$-1,290 57	\$0 00	\$0 00	\$0 00	\$0 00
07/01/2016	08/28/2013	130 00	\$6,370 00	\$6,710 56 *	\$-340 56	\$0 00	\$0 00	\$0 00	\$0 00
DREYFUS SELECT MGR L/S EQ-Y									
			26188X809						
06/22/2016	05/06/2015	4,814 08	\$57,913 39	\$60,561 14	\$-2,647 75	\$0 00	\$0 00	\$0 00	\$0 00
06/22/2016	05/18/2015	11,811 02	\$142,086 61	\$150,000 00	\$-7,913 39	\$0 00	\$0 00	\$0 00	\$0 00
10/26/2016	05/06/2015	7,109 61	\$86,595 01	\$89,438 86	\$-2,843 85	\$0 00	\$0 00	\$0 00	\$0 00
DREYFUS FLOATING RATE INC-Y									
			261949739						
02/22/2016	09/08/2014	1,397 38	\$16,000 00	\$17,565 07	\$-1,565 07	\$0 00	\$0 00	\$0 00	\$0 00
DREYFUS INFL TN ADJ SEC-Y									
			261967780						
02/16/2016	01/15/2013	18,102 82	\$224,293 99	\$250,000 00	\$-25,706 01	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	01/31/2013	4 14	\$51 23	\$56 78	\$-5 55	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	02/26/2013	3,192 42	\$39,554 08	\$43,800 00	\$-4,245 92	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	02/28/2013	4 73	\$58 59	\$64 97	\$-6 38	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	03/28/2013	9 44	\$116 91	\$129 75	\$-12 84	\$0 00	\$0 00	\$0 00	\$0 00

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AMPHION FOUNDATION

Long Term Transactions

DESCRIPTION	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Accrued market discount	Wash sale loss disallowed	Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
DREYFUS INFL TN ADJ SEC-Y				261967780						
02/16/2016	04/30/2013	27 05		\$335 12	\$374 34	\$-39 22	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	05/31/2013	39 49		\$489 33	\$522 51	\$-33 18	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	06/28/2013	19 15		\$237 26	\$244 15	\$-6 89	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	07/29/2013	3,918 50		\$48,550 15	\$50,000 00	\$-1,449 85	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	07/31/2013	47 46		\$588 05	\$607 51	\$-19 46	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	08/20/2013	5,414 01		\$67,079 62	\$68,000 00	\$-920 38	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	08/30/2013	69 02		\$855 12	\$869 61	\$-14 49	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	09/30/2013	28 04		\$347 37	\$357 74	\$-10 37	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	10/31/2013	45 44		\$563 00	\$582 09	\$-19 09	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	11/29/2013	38 71		\$479 62	\$489 30	\$-9 68	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	12/31/2013	31 24		\$387 09	\$388 96	\$-1 87	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	01/31/2014	10 12		\$125 34	\$128 27	\$-2 93	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	02/28/2014	10 10		\$125 19	\$128 62	\$-3 43	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	03/31/2014	26 71		\$330 95	\$338 16	\$-7 21	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	04/30/2014	45 62		\$565 27	\$583 98	\$-18 71	\$0 00	\$0 00	\$0 00	\$0 00

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Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
CUSIP 261967780									
DREYFUS INFL TN ADJ SEC-Y									
02/16/2016	05/30/2014	97 63	\$1,209 69	\$1,266 31	\$-56 62	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	06/30/2014	105 65	\$1,308 98	\$1,370 25	\$-61 27	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	07/31/2014	54 01	\$669 20	\$696 20	\$-27 00	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	08/29/2014	83 44	\$1,033 88	\$1,073 10	\$-39 22	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	09/30/2014	52 27	\$647 61	\$659 64	\$-12 03	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	10/31/2014	44 04	\$545 72	\$557 17	\$-11 45	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	11/28/2014	27 28	\$337 99	\$345 08	\$-7 09	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	12/31/2014	24 27	\$300 67	\$301 64	\$-0 97	\$0 00	\$0 00	\$0 00	\$0 00
02/16/2016	01/30/2015	8 68	\$107 50	\$110 45	\$-2 95	\$0 00	\$0 00	\$0 00	\$0 00
CUSIP 261980759									
DREYFUS PREM LT TRM HI YLD-R									
02/22/2016	09/24/2012	4,545 46	\$25,363 64	\$30,000 00	\$-4,636 36	\$0 00	\$0 00	\$0 00	\$0 00
02/22/2016	11/30/2012	75 23	\$419 78	\$496 51	\$-76 73	\$0 00	\$0 00	\$0 00	\$0 00
02/22/2016	08/30/2013	164 88	\$920 05	\$1,084 94	\$-164 89	\$0 00	\$0 00	\$0 00	\$0 00
02/22/2016	08/30/2013	6,079 03	\$33,920 97	\$40,000 00	\$-6,079 03	\$0 00	\$0 00	\$0 00	\$0 00
02/22/2016	09/17/2013	2,360 30	\$13,170 48	\$15,601 59	\$-2,431 11	\$0 00	\$0 00	\$0 00	\$0 00
02/22/2016	10/14/2014	246 65	\$1,376 28	\$1,622 93	\$-246 65	\$0 00	\$0 00	\$0 00	\$0 00

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AMPHION FOUNDATION

Long Term Transactions

DESCRIPTION	DATE	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
DREYFUS PREM LT TRM HI YLD-R										
	02/22/2016	11/28/2014	293 58	\$1,638 15	\$1,937 60	\$-299 45	\$0 00	\$0 00	\$0 00	\$0 00
DREYFUS GLOBAL REAL ES SEC-Y										
	03/03/2016	03/18/2013	7,039 70	\$60,400 66	\$59,203 91	\$1,196 75	\$0 00	\$0 00	\$0 00	\$0 00
	03/03/2016	03/28/2013	178 44	\$1,531 06	\$1,515 00	\$16 06	\$0 00	\$0 00	\$0 00	\$0 00
	03/03/2016	12/26/2014	1,565 99	\$13,436 17	\$14,313 12	\$-876 95	\$0 00	\$0 00	\$0 00	\$0 00
DREYFUS RESEARCH GROWTH FD-Y										
	03/03/2016	09/08/2014	6,094 81	\$81,000 00	\$87,277 65	\$-6,277 65	\$0 00	\$0 00	\$0 00	\$0 00
E I DU PONT DE NEMOURS & CO COMM										
	02/03/2016	06/21/2011	70 00	\$4,020 91	\$3,404 70	\$616 21	\$0 00	\$0 00	\$0 00	\$0 00
	02/03/2016	08/15/2011	130 00	\$7,467 40	\$5,891 24	\$1,576 16	\$0 00	\$0 00	\$0 00	\$0 00
	02/03/2016	08/19/2011	70 00	\$4,020 91	\$2,939 04	\$1,081 87	\$0 00	\$0 00	\$0 00	\$0 00
	02/03/2016	08/22/2011	90 00	\$5,169 74	\$3,782 45	\$1,387 29	\$0 00	\$0 00	\$0 00	\$0 00
	02/03/2016	02/09/2012	40 00	\$2,297 66	\$1,681 09	\$616 57	\$0 00	\$0 00	\$0 00	\$0 00
DUKE ENERGY CORP NEW COM										
	08/01/2016	06/21/2011	19 33	\$1,653 86	\$1,097 23	\$556 63	\$0 00	\$0 00	\$0 00	\$0 00
	08/01/2016	08/19/2011	30 67	\$2,623 44	\$1,689 59	\$933 85	\$0 00	\$0 00	\$0 00	\$0 00

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DESCRIPTION	DATE	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
DUKE ENERGY CORP NEW COM										
26441C204										
08/09/2016	08/15/2011	130.00	\$10,999.89	\$7,155.72	\$3,844.17	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
08/09/2016	08/19/2011	36.00	\$3,046.12	\$1,983.41	\$1,062.71	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
DYNEGY INC										
26817R207										
10/28/2016	11/11/2014	4.00	\$160.00	\$444.60	\$-284.60	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10/28/2016	11/12/2014	56.00	\$2,239.95	\$6,235.60	\$-3,995.65	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10/28/2016	12/12/2014	10.00	\$399.99	\$987.60	\$-587.61	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10/28/2016	12/15/2014	40.00	\$1,599.96	\$3,888.60	\$-2,288.64	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12/06/2016	12/15/2014	20.00	\$624.19	\$1,944.30	\$-1,320.11	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12/06/2016	10/09/2015	14.00	\$436.94	\$1,211.49	\$-774.55	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12/06/2016	10/12/2015	15.00	\$468.15	\$1,323.75	\$-855.60	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
12/06/2016	10/13/2015	31.00	\$967.50	\$2,734.91	\$-1,767.41	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
GALLAGHER ARTHUR J & CO										
363576109										
10/24/2016	04/14/2014	40.00	\$1,946.49	\$1,785.55	\$160.94	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10/24/2016	04/15/2014	110.00	\$5,352.85	\$4,924.02	\$428.83	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
KIMBERLY-CLARK CORP COM										
494368103										
04/12/2016	11/04/2014	14.00	\$1,929.46	\$1,584.08	\$345.38	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00



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Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
KIMBERLY-CLARK CORP COM									
			494368103						
07/25/2016	06/21/2011	80 00	\$10,601 41	\$5,138 07	\$5,463 34	\$0 00	\$0 00	\$0 00	\$0 00
07/25/2016	08/15/2011	23 00	\$3,047 91	\$1,457 57	\$1,590 34	\$0 00	\$0 00	\$0 00	\$0 00
07/25/2016	02/09/2012	7 00	\$927 62	\$557 78	\$369 84	\$0 00	\$0 00	\$0 00	\$0 00
07/25/2016	03/04/2014	55 00	\$7,288 47	\$5,853 08	\$1,435 39	\$0 00	\$0 00	\$0 00	\$0 00
07/25/2016	09/22/2014	45 00	\$5,963 30	\$4,652 95	\$1,310 35	\$0 00	\$0 00	\$0 00	\$0 00
07/25/2016	06/04/2015	7 00	\$927 62	\$752 28	\$175 34	\$0 00	\$0 00	\$0 00	\$0 00
08/17/2016	08/15/2011	67 00	\$8,521 64	\$4,245 97	\$4,275 67	\$0 00	\$0 00	\$0 00	\$0 00
10/28/2016	08/15/2011	20 00	\$2,292 01	\$1,267 45	\$1,024 56	\$0 00	\$0 00	\$0 00	\$0 00
10/28/2016	08/19/2011	50 00	\$5,730 01	\$3,151 37	\$2,578 64	\$0 00	\$0 00	\$0 00	\$0 00
LOCKHEED MARTIN CORP									
			539630109						
08/09/2016	08/22/2011	60 00	\$15,607 15	\$5,617 53	\$9,989 62	\$0 00	\$0 00	\$0 00	\$0 00
08/09/2016	02/09/2012	19 00	\$4,942 26	\$1,778 88	\$3,163 38	\$0 00	\$0 00	\$0 00	\$0 00
11/08/2016	06/21/2011	70 00	\$16,768 95	\$5,663 56	\$11,105 39	\$0 00	\$0 00	\$0 00	\$0 00
11/08/2016	02/09/2012	1 00	\$239 56	\$93 63	\$145 93	\$0 00	\$0 00	\$0 00	\$0 00
NATIONAL GRID PLC									
			636274300						
03/02/2016	08/22/2011	20 00	\$1,351 25	\$1,128 20	\$223 05	\$0 00	\$0 00	\$0 00	\$0 00

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Long Term Transactions

DESCRIPTION	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
NATIONAL GRID PLC									
			636274300						
03/02/2016	02/25/2013	70 00	\$4,729 36	\$3,812 78	\$916 58	\$0 00	\$0 00	\$0 00	\$0 00
03/17/2016	06/21/2011	200 00	\$14,271 07	\$9,599 60	\$4,671 47	\$0 00	\$0 00	\$0 00	\$0 00
03/17/2016	08/15/2011	40 00	\$2,854 21	\$1,987 52	\$866 69	\$0 00	\$0 00	\$0 00	\$0 00
03/17/2016	08/19/2011	90 00	\$6,421 98	\$4,406 74	\$2,015 24	\$0 00	\$0 00	\$0 00	\$0 00
03/17/2016	02/25/2013	20 00	\$1,427 11	\$1,089 37	\$337 74	\$0 00	\$0 00	\$0 00	\$0 00
ASG MANAGED FUTURES STRAT-Y									
			638721729						
10/26/2016	12/23/2014	5,840 89	\$58,000 00	\$71,025 18	\$-13,025 18	\$0 00	\$0 00	\$0 00	\$0 00
ASG GLOBAL ALTERNATIVES FUND-Y									
			638721885						
09/21/2016	05/06/2015	13,043 48	\$128,347 82	\$150,000 00	\$-21,652 18	\$0 00	\$0 00	\$0 00	\$0 00
09/21/2016	05/18/2015	12,809 56	\$126,046 11	\$150,000 00	\$-23,953 89	\$0 00	\$0 00	\$0 00	\$0 00
NUCOR CORP									
			670346105						
12/01/2016	03/06/2013	50 00	\$3,108 80	\$2,332 63	\$776 17	\$0 00	\$0 00	\$0 00	\$0 00
12/01/2016	07/31/2013	150 00	\$9,326 41	\$7,062 35	\$2,264 06	\$0 00	\$0 00	\$0 00	\$0 00
OCCIDENTAL PETROLEUM CORPORATION COMMON									
			674599105						
06/08/2016	04/21/2015	140 00	\$10,588 52	\$11,143 33	\$-554 81	\$0 00	\$0 00	\$0 00	\$0 00
08/09/2016	03/26/2015	170 00	\$12,510 43	\$12,548 98	\$-38 55	\$0 00	\$0 00	\$0 00	\$0 00

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Long Term Transactions

DESCRIPTION	DATE	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
OCCIDENTAL PETROLEUM CORPORATION									
COMMON									
08/09/2016	04/21/2015	10 00	\$735 91	\$795 95	\$-60 04	\$0 00	\$0 00	\$0 00	\$0 00
08/09/2016	06/02/2015	130 00	\$9,566 80	\$10,331 66	\$-764 86	\$0 00	\$0 00	\$0 00	\$0 00
PPL CORP									
69351T106									
06/13/2016	05/01/2014	131 30	\$5,108 93	\$3,760 41	\$1,348 52	\$0 00	\$0 00	\$0 00	\$0 00
06/13/2016	05/01/2014	64 82	\$2,521 94	\$1,856 26	\$665 68	\$0 00	\$0 00	\$0 00	\$0 00
06/13/2016	05/01/2014	97 22	\$3,782 90	\$2,784 40	\$998 50	\$0 00	\$0 00	\$0 00	\$0 00
06/13/2016	05/01/2014	275 43	\$10,716 82	\$7,709 23	\$3,007 59	\$0 00	\$0 00	\$0 00	\$0 00
06/13/2016	05/01/2014	32 41	\$1,260 97	\$928 13	\$332 84	\$0 00	\$0 00	\$0 00	\$0 00
06/13/2016	05/01/2014	64 82	\$2,521 94	\$1,856 26	\$665 68	\$0 00	\$0 00	\$0 00	\$0 00
PEPSICO INC									
713448108									
04/15/2016	06/01/2012	30 00	\$3,103 38	\$2,061 00	\$1,042 38	\$0 00	\$0 00	\$0 00	\$0 00
04/15/2016	06/01/2012	69 00	\$7,137 78	\$4,660 79	\$2,476 99	\$0 00	\$0 00	\$0 00	\$0 00
04/15/2016	09/22/2014	50 00	\$5,172 31	\$4,685 90	\$486 41	\$0 00	\$0 00	\$0 00	\$0 00
PFIZER INC COM									
717081103									
01/06/2016	12/17/2014	100 00	\$3,164 91	\$3,106 68	\$58 23	\$0 00	\$0 00	\$0 00	\$0 00

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Long Term Transactions

DESCRIPTION	CUSIP					Portion Subject to Ordinary Rates including Section 988 (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)		
	Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis			Net Gain/Loss	Accrued market discount
PHILIP MORRIS INTERNATIONAL 718172109									
04/06/2016	08/22/2011	70 00	\$7,037 56	\$6,058 85	\$978 71	\$0 00	\$0 00	\$0 00	\$0 00
04/06/2016	02/09/2012	20 00	\$2,010 73	\$1,731 10	\$279 63	\$0 00	\$0 00	\$0 00	\$0 00
04/06/2016	09/24/2013	40 00	\$4,021 46	\$3,516 63	\$504 83	\$0 00	\$0 00	\$0 00	\$0 00
04/06/2016	07/23/2014	68 00	\$6,836 48	\$5,792 93	\$1,043 55	\$0 00	\$0 00	\$0 00	\$0 00
12/08/2016	07/23/2014	80 00	\$7,158 04	\$6,815 21	\$342 83	\$0 00	\$0 00	\$0 00	\$0 00
REGIONS FINL CORP NEW 7591EP100									
10/24/2016	03/10/2015	2,520 00	\$26,695 54	\$24,263 82	\$2,431 72	\$0 00	\$0 00	\$0 00	\$0 00
SCHLUMBERGER LIMITED COM 806857108									
04/05/2016	01/22/2015	70 00	\$5,089 64	\$5,690 60	\$-600 96	\$0 00	\$0 00	\$0 00	\$0 00
04/12/2016	01/22/2015	190 00	\$14,326 37	\$15,445 92	\$-1,119 55	\$0 00	\$0 00	\$0 00	\$0 00
SOUTHWESTERN ENERGY CO CONV PFD 845467208									
12/06/2016	02/05/2015	60 00	\$1,756 89	\$3,404 70	\$-1,647 81	\$0 00	\$0 00	\$0 00	\$0 00
STANLEY BLACK & DECKER I CONV PFD 854502804									
11/17/2016	01/16/2014	99 00	\$9,900 00	\$10,419 75	\$-519 75	\$0 00	\$0 00	\$0 00	\$0 00
11/17/2016	01/27/2014	101 00	\$10,100 00	\$10,299 98	\$-199 98	\$0 00	\$0 00	\$0 00	\$0 00
UNITED PARCEL SVC INC CL B 911312106									
09/16/2016	06/21/2011	90 00	\$9,581 79	\$6,281 82	\$3,299 97	\$0 00	\$0 00	\$0 00	\$0 00

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Long Term Transactions

DESCRIPTION	DATE	DATE ACQUIRED	UNITS	PROCEEDS	COST OR OTHER BASIS	NET GAIN/LOSS	ACCRUED MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	PORTION SUBJECT TO ORDINARY RATES INCLUDING SECTION 988 (INCLUDED IN NET G/L)	PORTION SUBJECT TO 28% RATES (INCLUDED IN NET G/L)
UNITED PARCEL SVC INC CL B										
				911312106						
09/16/2016	08/15/2011	100.00	\$10,646.43	\$6,574.80	\$4,071.63	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
09/16/2016	08/19/2011	40.00	\$4,258.57	\$2,487.12	\$1,771.45	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
VALERO ENERGY CORP NEW										
				91913Y100						
10/28/2016	04/21/2015	20.00	\$1,184.31	\$1,163.89	\$20.42	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
10/28/2016	06/04/2015	20.00	\$1,184.31	\$1,150.22	\$34.09	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
VERIZON COMMUNICATIONS INC										
				92343V104						
08/30/2016	02/03/2015	70.00	\$3,644.41	\$3,347.16	\$297.25	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
08/30/2016	07/07/2015	10.00	\$520.63	\$472.76	\$47.87	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
VIRTUS EMERGING MKTS OPPOR-I										
				92828T889						
01/22/2016	08/20/2013	2,573.10	\$21,536.89	\$24,007.07	\$-2,470.18	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
01/22/2016	09/17/2013	1,054.99	\$8,830.29	\$10,233.43	\$-1,403.14	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
01/22/2016	12/20/2013	314.55	\$2,632.82	\$2,956.81	\$-323.99	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Long Term Gain/Loss					\$1,910,112.34	\$1,965,717.32	\$0.00	\$0.00	\$0.00	\$0.00

Asset detail

Cash and cash equivalents

Description	Market value	Tax cost	Unrealized gain (or loss)	Estimated current annual income	Yield	Port of
215,239.64 BNY Mellon, N.A. Member Equity	\$ 215,239.64	\$ 215,239.64		\$ 538.10	0.3%	1.5%
Participating Holdings						
Fixed Cash	1,76,070.70					
Fixed Cash	1,76,070.70					
Total cash and cash equivalents	\$ 215,239.64	\$ 215,239.64	\$ 0.00	\$ 538.10		1.5%

Fixed income

Taxable

Individual securities Corporate

Description	Market value	Tax cost	Unrealized gain (or loss)	Estimated current annual income	Yield	Port of
56,640 GE Energy Services Co	\$ 155,031.00	\$ 103,150.50	\$ 51,880.50	\$ 7,875.00	5.1%	1.1%
BID 10/20/01 A 25% 11/6/41						
Meadows A1 S&P AA						
Total taxable individual securities	\$ 155,031.00	\$ 103,150.50	\$ 51,880.50	\$ 7,875.00		1.1%

Poolable

Description	Market value	Tax cost	Unrealized gain (or loss)	Estimated current annual income	Yield	Port of
65,828.74 BNY Mellon Corporate Bond Fund	\$ 937,341.24	\$ 855,518.63	\$ 81,822.61	\$ 30,011.50	3.6%	5.8%
256,646.33 BNY Mellon Intermediate Bond Fund	3,022,948.71	3,277,916.33	(254,968.62)	68,054.69	2.1%	2.3%
65,250.48 BNY Mellon Bond Fund	871,243.60	936,077.26	(64,833.66)	23,613.33	2.9%	5.7%
Total taxable pooled vehicle	\$ 4,861,533.55	\$ 4,969,512.22	\$ (107,978.67)	\$ 120,679.52		3.3%
Total taxable fixed income	\$ 5,016,925.45	\$ 5,131,059.77	\$ (114,134.32)	\$ 128,490.91		3.49%



BNY MELLON

James R. Verducci 2261
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December 1 - December 31, 2016

Amplify Financial
Account number 10580058960

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High yield

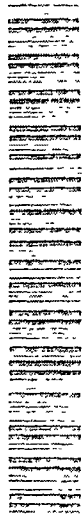
Pooled vehicle

Shares (par value)	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated annual income	Current yield	Pct of total holdings
21,976,976	Dreyfus Floating Rate Income Fund	\$ 72.0000	\$ 1,581,971.64	\$ 312,775.75	\$ -10,504.11	\$ 12,863.14	4.2%	2.1%
26,653,221	Dreyfus Floating Rate Income Fund	72.00	2,119,932.67	390,645.12	9,647.05	16,101.23	5.6	7.0
Total high yield pooled vehicle			\$ 3,701,904.31	\$ 703,420.87	\$ -20,757.16	\$ 28,964.37		9.1%
Total high yield fixed income			\$ 592,570.31	\$ 513,421.47	\$ -20,751.16	\$ 29,267.52		4.1%
Total fixed income			\$ 5,539,555.75	\$ 5,744,431.24	\$ -121,694.48	\$ 157,753.43		39.7%

Equities

U.S. large cap

Shares (par value)	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated annual income	Current yield	Pct of total holdings
65	Alcoa Inc (ALCO)	\$ 10.0000	\$ 10,336.65	\$ 12,637.50	\$ -1,019.15	\$ 182.40	1.3%	0.1%
519	Bank of America Corp (BAC)	67.0000	3,421,514.91	23,953,005	10,311.15	1,162.50	3.1	9.2
306	Investment Company of America (ICA)	21.0000	17,236.80	17,121.20	102.60	633.40	3.7	0.1
400	Johnson & Johnson (JNJ)	47.1500	6,476.00	17,341.50	4,955.80	400.00	2.4	0.1
1,259	Lockhart Asset Management (LMA)	11.0000	20,500.00	13,275.75	7,153.25	364.00	1.5	0.1
121	MetLife Financial Group Inc (MET)	61.7000	23,032.21	15,845.23	7,453.02	447.20	1.9	0.2
179	Procter & Gamble (PG)	17.6100	31,405.05	22,465.60	\$ 999.46	726.24	2.3	0.1
730	AT&T Intellectual Property (T)	11.6500	31,472.29	25,123.42	6,331.75	1,458.40	4.6	0.2
290	Amgen Inc (AMGN)	33.1000	14,979.90	17,691.21	2,691.31	473.40	2.8	0.1
376	Aflac Inc (AFL)	45.9900	16,657.20	14,587.12	2,269.78	185.36	1.7	0.1
450	APAC Fund Inc (APAC)	1.0000	20,457.69	20,471.33	1,003.17	1,171.20	3.6	0.2
211	Amgen Inc (AMGN)	33.2000	35,245.13	31,641.79	3,553.92	633.12	2.0	0.2
2,030	Avesco Corp (AVCO)	17.1900	33,174.70	35,319.61	2,954.91	3,627.50	9.2	0.2
116	Automatic Data Processing Inc (ADP)	100.0000	19,506.40	16,259.63	3,241.37	470.40	2.2	0.1
761	3M Company (MMM)	61.0000	1,622.50	2,120.11	2,117.39	711.61	2.7	0.2



Equities

U.S. large cap
continued

	Shares/par value	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated annual income	Current yield	Pct of holdings
170		Cme Group Inc (CME)	115.3500	19,609.50	16,227.96	3,381.54	408.00	2.1	0.1
840		C S X Corp (CSX)	35.9300	30,181.20	24,594.61	5,586.59	604.80	2.0	0.2
166		Chevron Corporation (CVX)	117.7000	19,538.20	13,634.39	5,903.81	717.12	3.7	0.1
410		Comcast Corp Cl A (CMCSA)	69.0500	28,310.50	17,235.60	11,074.90	451.00	1.6	0.2
380		Conocophillips (COP)	50.1400	19,053.20	18,128.66	924.54	380.00	2.0	0.1
730		Coming Inc (GLW)	24.2700	17,717.10	15,147.31	2,569.79	394.20	2.2	0.1
310		The Walt Disney Company (DIS)	104.2200	32,308.20	30,504.01	1,804.19	483.60	1.5	0.2
640		Dow Chemical Co (DOW)	57.2200	36,620.80	22,632.67	13,988.13	1,177.60	3.2	0.3
640		Gallagher Arthur J & Co (AJG)	51.9600	33,254.40	23,753.18	9,501.22	972.80	2.9	0.2
1,360		General Electric Company (GE)	31.6000	42,976.00	24,106.92	18,869.08	1,305.60	3.0	0.3
370		Halliburton Co (HAL)	54.0900	20,013.30	12,809.48	7,203.82	266.40	1.3	0.1
1,120		Intel Corp (INTC)	36.2700	40,622.40	37,952.36	2,670.04	1,164.80	2.9	0.3
175		Johnson & Johnson (JNJ)	115.2100	20,161.75	17,419.78	2,741.97	560.00	2.8	0.1
190		K L A - Tencor Corp (KLAC)	78.6800	14,949.20	13,172.89	1,776.31	410.40	2.7	0.1
240		Kohls Corp (KSS)	49.3800	11,851.20	12,220.51	-369.31	480.00	4.1	0.1
380		Lilly Eli & Co (LLY)	73.5500	27,949.00	31,106.07	-3,157.07	790.40	2.8	0.2
160		Lockheed Martin Corp (LMT)	249.9400	39,990.40	11,562.28	28,428.12	1,164.80	2.9	0.3
320		Lowe's Companies Inc (LOW)	71.1200	22,758.40	12,394.22	10,364.18	448.00	2.0	0.2
360		Marathon Petroleum Corp (MPC)	50.3500	18,126.00	14,297.08	3,828.92	518.40	2.9	0.1
600		Mattel Inc (MAT)	27.5500	16,530.00	17,837.64	-1,307.64	912.00	5.5	0.1
292		Mc Donald's Corporation (MCD)	121.7200	35,542.24	30,176.78	5,365.46	1,097.92	3.1	0.3
530		Merck & Co Inc (MRK)	58.8700	31,201.10	28,049.27	3,151.83	996.40	3.2	0.2
270		Microsoft Corporation (MSFT)	62.1400	16,777.80	11,727.94	5,049.86	421.20	2.5	0.1
470		Mondelez International (MDLZ)	44.3300	20,835.10	21,426.13	-591.03	357.20	1.7	0.1
1,450		Navient Corporation (NAVI)	16.4300	23,823.50	23,752.74	70.76	928.00	3.9	0.2
280		Nucor Corp (NUE)	59.5200	16,665.60	13,062.73	3,602.87	422.80	2.5	0.1
240		P P G Industries Inc (PPG)	94.7600	22,742.40	22,756.44	-14.04	384.00	1.7	0.2



BNY MELLON
WEALTH MANAGEMENT

Portfolio manager

Jason R. Vaitukaitis 2261
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December 1 - December 31, 2016

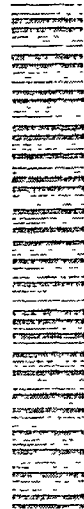
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Equities

U.S. large cap
 equities

State	Symbol	Description	Cost	Market Value	Pay Cost	Unrealized Gain (or loss)	Estimated Current Annual Income	Yield	Holdings
400		Packard Bell Corp (PACW)	5,140	21,776.00	17,497.72	4,283.28	200.00	3.7	0.2
291		PepsiCo Inc (PEP)	10,657.7	29,447.33	19,658.52	10,788.81	875.91	2.9	0.2
910		Pfizer Inc (PFE)	32,122.7	23,550.59	27,522.22	3,968.37	1,000.00	3.9	0.2
392		Philo Morris International Inc (PMT)	91,466.1	35,561.05	25,950.95	6,610.10	1,630.72	4.6	0.3
751		Plains Co Holdings LP (PACP)	34,630.0	25,044.03	22,001.82	4,042.21	1,652.20	6.3	0.2
410		Procter & Gamble Consumer (PG)	8,147.9	34,472.94	31,412.42	3,060.52	1,087.23	3.2	0.1
110		Qualcomm Inc (QCOM)	15,211.0	29,652.60	23,241.43	6,411.17	932.80	5.3	0.2
141		Sealed Air Corp (SNE)	12,122.7	12,122.7	12,122.7	0.00	456.07	3.8	0.1
203		Stanley Black & Decker Inc (SLX)	111,800.0	45,252.07	19,936.22	25,315.85	470.85	2.0	0.2
800		Temple Securities International Corp (TSI)	22,154.0	12,911.60	15,382.24	2,531.64	793.52	2.5	0.1
100		Texas Instruments Corp (TXN)	72,070.0	20,451.04	16,336.24	4,114.80	500.00	2.7	0.1
510		Time Warner Inc (TWX)	95,533.0	55,022.30	43,137.01	11,885.29	917.70	7.7	0.1
122		United Therapeutics Corp (UTH)	10,042.1	19,324.55	16,255.94	3,068.61	265.60	1.6	0.1
470		United Therapeutics Corp (UTH)	11,140.0	31,110.15	23,131.87	8,978.28	1,122.65	3.5	0.2
230		Ventura Communications Inc (VZ)	35,091.0	14,516.40	11,775.94	2,740.46	646.50	4.3	0.1
299		Wal-Mart Stores Inc (WMT)	13,120.0	15,897.60	16,971.40	1,073.60	440.00	2.9	0.1
330		Wells Fargo & Company (WFC)	55,110.0	30,310.50	26,518.56	3,791.94	836.00	2.8	0.2
240		Western Digital Corp (WDC)	97,050.0	16,957.51	14,745.75	2,211.76	500.00	2.9	0.1
10,707,415		Dreyfus Strategic Value Fund (DSVX)	10,707,415	415,418.87	355,656.31	59,762.56	0.00	0.0	2.9
13,207,572		DNY Mellon Income Structured (DNY)	13,207,572	474,070.47	453,179.87	20,890.60	10,801.14	2.3	3.3
13,207,552		DNY Mellon Income Structured (DNY)	13,207,552	474,070.47	453,179.87	20,890.60	10,801.14	2.3	3.3
20,550,139		Dreyfus Research Growth Fund (DRYV)	20,550,139	365,557.91	372,936.41	16,378.50	0.00	0.0	2.5
21,972,536		Dreyfus U.S. Equity Fund (DREY)	21,972,536	372,750.41	377,575.50	4,825.09	4,253.75	1.1	2.6
Total U.S. large cap				\$ 7,012,853.84	\$ 3,252,013.55	\$ 3,760,840.29	\$ 50,207.27		25.1%



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U.S. mid cap

Shares	Share value	Description	Market price	Market value	Pay cost	Unrealized gain/loss	Estimated current income	Current yield	Pct of holdings
12,262,901	\$1.206	Seawater Conversion Corp. (SWC)		\$1,476,066	\$1,476,066	\$0.00	\$0.00	0.0%	0.0%
13,271,934	\$1.950	Drayus Venture Partners (DVP)		25,870,050	25,870,050	\$0.00	\$0.00	0.0%	4.5%
Total U.S. mid cap				\$27,346,116	\$27,346,116	\$0.00	\$0.00	0.0%	4.5%

U.S. small cap

Shares	Share value	Description	Market price	Market value	Pay cost	Unrealized gain/loss	Estimated current income	Current yield	Pct of holdings
12,262,901	\$1.206	Drayus Select Mutuall Small Cap (DSGYX)		\$1,476,066	\$1,476,066	\$0.00	\$0.00	0.0%	2.0%
13,271,934	\$1.950	Drayus Select Mutuall Small Cap (DSGYX)		25,870,050	25,870,050	\$0.00	\$0.00	0.0%	2.2%
Total U.S. small cap				\$27,346,116	\$27,346,116	\$0.00	\$0.00	0.0%	4.2%

Developed international

Shares	Share value	Description	Market price	Market value	Pay cost	Unrealized gain/loss	Estimated current income	Current yield	Pct of holdings
20,350,271	\$1.206	BNY Mellon International Growth Fund		\$24,520,000	\$24,520,000	\$0.00	\$0.00	0.0%	1.5%
11,891,111	\$1.206	Drayus International Small Cap Growth Fund		14,330,000	14,330,000	\$0.00	\$0.00	0.0%	1.3%
11,231,533	\$1.206	Drayus International Small Cap Growth Fund		13,550,000	13,550,000	\$0.00	\$0.00	0.0%	1.4%
10,680,000	\$1.206	Drayus International Small Cap Growth Fund		12,880,000	12,880,000	\$0.00	\$0.00	0.0%	1.1%
Total developed international				\$61,180,000	\$61,180,000	\$0.00	\$0.00	0.0%	6.2%

Emerging markets

Shares	Share value	Description	Market price	Market value	Pay cost	Unrealized gain/loss	Estimated current income	Current yield	Pct of holdings
9,999,999	\$1.206	Drayus Emerging Markets Growth Fund		\$12,060,000	\$12,060,000	\$0.00	\$0.00	0.0%	1.2%



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Approved for retention
Account number 10580058860

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Emerging markets certificates

Shares	Value	Description	Market value	Unrealized gain (or loss)	Estimated annual income	Current yield	Per cent	Estimated annual income	Current yield
10,000	152,235.50	Emerging Markets Fund	152,235.50	1,651.95	673.50	0.4	1.1	673.50	0.4

Total emerging markets

			\$ 152,235.50	\$ 1,651.95	\$ 673.50	0.4	1.1	\$ 673.50	0.4
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Equity risks

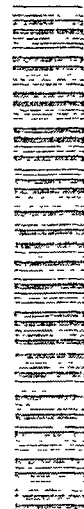
Shares	Value	Description	Market value	Unrealized gain (or loss)	Estimated annual income	Current yield	Per cent	Estimated annual income	Current yield
17,000	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
370	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
4,000	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
1,000	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000

Total equity risks

			\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	1,000,000	1,000,000	\$ 1,000,000	1,000,000
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Other equity

Shares	Value	Description	Market value	Unrealized gain (or loss)	Estimated annual income	Current yield	Per cent	Estimated annual income	Current yield
202	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
102	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
600	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
520	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
550	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
300	1,000,000	Emerging Markets Fund	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000



Other equity
continued

Shares/par value	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated Current annual income	Percent of yield holdings
436	Southern Energy Co Preferred Convertible 10/1/52015	22.170	10,952.10	18,803.28	7,857.18	0.00	0.0
Total other equity			\$ 160,955.24	\$ 189,028.51	\$ 9,071.27	\$ 9,631.76	1.1%
Total equities			\$ 9,716,010.73	\$ 5,753,381.95	\$ 472,629.27	\$ 106,104.71	46.7%

Alternative investments

Long/short hedge

Shares/par value	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated Current annual income	Percent of yield holdings
37,300.552	Drayus BNY Mellon Funds Inc	\$ 17.090	\$ 636,243.16	\$ 739,123.56	\$ 1,066.60	\$ 0.00	0.0%
	Drayus Short Managers Long Short Equity Fund						0.2%
Total long/short hedge			\$ 460,245.16	\$ 449,178.55	\$ 11,055.50	\$ 0.00	3.7%

Absolute return

Shares/par value	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated Current annual income	Percent of yield holdings
25,573.256	Drayus Global Real Return Fund	\$ 15.9100	\$ 359,950.12	\$ 377,725.36	\$ -17,759.24	\$ 16,173.59	4.5%
22,225.506	BNY Mellon Absolute Return Fund	12.1100	350,232.25	\$ 40,000.00	262.25	0.00	0.0
Total absolute return			\$ 710,249.37	\$ 727,125.36	\$ -16,875.99	\$ 16,173.59	4.9%

Managed futures

Shares/par value	Description	Market price	Market value	Tax cost	Unrealized gain (or loss)	Estimated Current annual income	Percent of yield holdings
13,459.146	Advantage Dynamic Total Return Fund	\$ 15.9100	\$ 212,923.69	\$ 150,156.19	\$ 27,767.59	\$ 0.00	0.0%
21,510.175	ASG Managed Futures Strategy Fund	9.5300	211,177.31	219,906.07	\$ -223.20	0.00	0.0
Total managed futures			\$ 424,556.55	\$ 410,122.26	\$ 14,544.30	\$ 0.00	3.0%



BNY MELLON
Investment Services

Portfolio Manager: Joseph R. Ventulitis 2361
903 968 0316

12/22/2015
12/22/2015

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Liabilities[illegible]

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