

Return of Private Foundation

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

Do not enter social security numbers on this form as it may be made public.

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

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation SUSAN AND ELIHU ROSE FOUNDATION, INC.		A Employer identification number 13-3484181
Number and street (or P.O. box number if mail is not delivered to street address) 200 MADISON AVE, 5TH FL		B Telephone number 212 210-6666
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10016-3912		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 65% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 16,183,915. (Part I, column (d) must be on cash basis)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	1,300,000.		N/A	
	2 Check ☐ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	561.	561.		STATEMENT 1
	4 Dividends and interest from securities	89,905.	95,407.		STATEMENT 2
	5a Gross rents	45,430.	45,430.		STATEMENT 3
	b Net rental income or (loss) -18,018.				STATEMENT 4
	6a Net gain or (loss) from sale of assets not on line 10	3,345,976.			
	b Gross sales price for all assets on line 6a 2,814,121.				
	7 Capital gain net income (from Part IV, line 2)		3,337,260.		
	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	2,582.	110,158.		STATEMENT 5	
12 Total. Add lines 1 through 11	4,784,454.	3,588,816.			
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 6	13,555.	3,416.		10,139.
	b Accounting fees STMT 7	27,300.	0.		27,300.
	c Other professional fees STMT 8	76,498.	76,498.		0.
	17 Interest	1,014.	0.		0.
	18 Taxes STMT 9	138,852.	1,777.		0.
	19 Depreciation and depletion	2,314.	2,314.		
	20 Occupancy				
	21 Travel, conferences, and meetings	2,250.	0.		2,250.
	22 Printing and publications				
	23 Other expenses STMT 10	109,169.	67,665.		16,253.
	24 Total operating and administrative expenses. Add lines 13 through 23	370,952.	151,670.		55,942.
	25 Contributions, gifts, grants paid	5,042,650.			5,042,650.
26 Total expenses and disbursements. Add lines 24 and 25	5,413,602.	151,670.		5,098,592.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-629,148.				
b Net investment income (if negative, enter -0-)		3,437,146.			
c Adjusted net income (if negative, enter -0-)			N/A		

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	2,091,556.	551,059.	551,059.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 11	2,910,847.	3,464,711.	3,811,875.
	c Investments - corporate bonds STMT 12	0.	919,205.	916,799.
	11 Investments - land, buildings, and equipment basis ▶			
Liabilities	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 13	2,321,994.	1,760,274.	10,904,182.
	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)	7,324,397.	6,695,249.	16,183,915.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
Net Assets or Fund Balances	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.	
	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	7,324,397.	6,695,249.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances	7,324,397.	6,695,249.	
	31 Total liabilities and net assets/fund balances	7,324,397.	6,695,249.	

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	7,324,397.
2	Enter amount from Part I, line 27a	2	-629,148.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	6,695,249.
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	6,695,249.

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 PUBLICLY TRADED SECURITIES	P	VARIOUS	VARIOUS
b INSTITUTIONAL INVESTMENT FUND LTD.	P	VARIOUS	VARIOUS
c MILLENNIUM INTERNATIONAL, LTD	P	VARIOUS	VARIOUS
d THRU SCHEDULE K-1'S	P	VARIOUS	VARIOUS
e CAPITAL GAINS DIVIDENDS			

(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 2,814,118.		2,868,145.	-54,027.
b			1,900,000.
c			1,500,000.
d			-8,716.
e 3.			3.

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			-54,027.
b			1,900,000.
c			1,500,000.
d			-8,716.
e			3.

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	3,337,260.
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	2,811,767.	18,704,089.	.150329
2014	4,283,511.	19,321,136.	.221701
2013	9,518,858.	2,151,274.	4.424754
2012	5,951,342.	3,680,128.	1.617156
2011	5,175,595.	2,382,326.	2.172497

2 Total of line 1, column (d)	2	8.586437
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	1.717287
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	16,656,446.
5 Multiply line 4 by line 3	5	28,603,898.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	34,371.
7 Add lines 5 and 6	7	28,638,269.
8 Enter qualifying distributions from Part XII, line 4	8	5,098,592.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	68,743.
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	68,743.
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	68,743.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	98,579.	
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	98,579.	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	185.	
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	29,651.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☐ 29,651. Refunded ☐	11	0.	

Part VII-A Statements Regarding Activities

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

N/A

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► NONE	13	X
14 The books are in care of ► MICHAEL SCHINDLER Telephone no. ► 212 210-6666 Located at ► 200 MADISON AVE, 5TH FL, NEW YORK, NY ZIP+4 ► 10016-3912		
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 ►	16	X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► ☐	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? ☐ Yes ☒ No If "Yes," list the years ► _____ b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A 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? ☐ Yes ☒ No b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.) N/A	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

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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)? ☐ Yes ☒ No **N/A** 5b

Organizations relying on a current notice regarding disaster assistance check here ☐ Yes ☒ No

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

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? ☐ Yes ☒ No 6b **X**

If "Yes" to 6b, file Form 8870

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

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ELIHU ROSE	PRESIDENT/SECRETARY/DIRECTOR			
200 MADISON AVE 5TH FL				
NEW YORK, NY 10016-3912	2.00	0.	0.	0.
SUSAN W. ROSE	DIRECTOR			
200 MADISON AVE 5TH FL				
NEW YORK, NY 10016-3912	2.00	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

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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	12,491,772.
b	Average of monthly cash balances	1b	2,043,209.
c	Fair market value of all other assets	1c	2,375,116.
d	Total (add lines 1a, b, and c)	1d	16,910,097.
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	16,910,097.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	253,651.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	16,656,446.
6	Minimum investment return. Enter 5% of line 5	6	832,822.

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	832,822.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	68,743.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	68,743.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	764,079.
4	Recoveries of amounts treated as qualifying distributions	4	2,582.
5	Add lines 3 and 4	5	766,661.
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	766,661.

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	5,098,592.
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	5,098,592.
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	5,098,592.

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				766,661.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	5,061,689.			
b From 2012	5,771,610.			
c From 2013	9,397,276.			
d From 2014	3,382,513.			
e From 2015	1,912,226.			
f Total of lines 3a through e	25,525,314.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 5,098,592.				
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				766,661.
e Remaining amount distributed out of corpus	4,331,931.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	29,857,245.			
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	5,061,689.			
9 Excess distributions carryover to 2017 Subtract lines 7 and 8 from line 6a	24,795,556.			
10 Analysis of line 9:				
a Excess from 2012	5,771,610.			
b Excess from 2013	9,397,276.			
c Excess from 2014	3,382,513.			
d Excess from 2015	1,912,226.			
e Excess from 2016	4,331,931.			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ACKERMAN INSTITUTE FOR THE FAMILY 936 BROADWAY NEW YORK, NY 10010	N/A	PC	GENERAL OPERATING EXPENSES	15,000.
AMERICAN ASSOCIATES OF THE NATIONAL THEATRE INC. 268 W 44TH ST, STE 4 NEW YORK, NY 10036	N/A	PC	GENERAL OPERATING EXPENSES	940.
AMERICAN COMMITTEE FOR THE WEIZMANN INSTITUTE OF SCIENCE INC. 633 THIRD AVENUE 20TH FL NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING EXPENSES	500.
AMERICAN COMPOSERS ORCHESTRA INC. 244 WEST 54TH STREET SUITE 805 NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	500.
AMERICAN FRIENDS OF LIBI INC. 420 HARVARD ST BROOKLINE, MA 02446	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
Total	SEE CONTINUATION SHEET(S)			5,042,650.
b Approved for future payment				
AMERICAN TECHNION SOCIETY 55 E 59TH ST, STE 14 NEW YORK, NY 10022	N/A	PC	ANNUAL OPERATING FUND TO SUPPORT MASTER'S FELLOWSHIP	25,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	QUALITY RESEARCH CENTER	200,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE CENTER FOR FOOT AND ANKLE RESEARCH	600,000.
Total	SEE CONTINUATION SHEET(S)			9,324,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income	
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		
1 Program service revenue:							
a _____							
b _____							
c _____							
d _____							
e _____							
f _____							
g Fees and contracts from government agencies							
2 Membership dues and assessments							
3 Interest on savings and temporary cash investments				14	561.		
4 Dividends and interest from securities				14	89,905.		
5 Net rental income or (loss) from real estate:							
a Debt-financed property							
b Not debt-financed property				16	-18,018.		
6 Net rental income or (loss) from personal property							
7 Other investment income							
8 Gain or (loss) from sales of assets other than inventory				18	3,345,976.		
9 Net income or (loss) from special events							
10 Gross profit or (loss) from sales of inventory							
11 Other revenue:							
a RESCINDED GRANTS				01	2,582.		
b _____							
c _____							
d _____							
e _____							
12 Subtotal. Add columns (b), (d), and (e)			0.		3,421,006.	0.	
13 Total. Add line 12, columns (b), (d), and (e)						13 3,421,006.	

(See worksheet in line 13 instructions to verify calculations.)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

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

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2016

Name of the organization

SUSAN AND ELIHU ROSE FOUNDATION, INC.

Employer identification number

13-3484181

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

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

Form 990-PF

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

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

Special Rules

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

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

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

Part I Contributors (See instructions). Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ELIHU & SUSAN ROSE 200 MADISON AVE, 5TH FL NEW YORK, NY 10016	\$ 1,300,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

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

Use duplicate copies of Part III if additional space is needed

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

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 MUSEUM OF NATURAL HISTORY CPW @ 79TH ST NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING EXPENSES	1,750.
AMERICAN TECHNION SOCIETY 55 E 59TH ST, STE 14 NEW YORK, NY 10022	N/A	PC	ANNUAL OPERATING FUND TO SUPPORT MASTER'S FELLOWSHIP	25,000.
ARTHRITIS FOUNDATION, INC. 122 E 42ND ST FL 18 NEW YORK, NY 10168	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
BROOKLYN ACADEMY OF MUSIC INC. 30 LAFAYETTE AVE BROOKLYN, NY 11217	N/A	PC	GENERAL OPERATING EXPENSES	1,500.
BUSINESS EXECUTIVES FOR NATIONAL SECURITY 1030 15TH ST NW, STE 200 E WASHINGTON, DC 20005	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
CAMBRIDGE IN AMERICA 1120 AVENUE OF THE AMERICAS, FL 17 NEW YORK, NY 10036	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	ARCHIVES DIGITIZATION PROJECT	200,000.
CARNEGIE HALL NEW YORK, NY 10036 NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	127,870.
CENTRAL SYNAGOGUE 123 E 55TH ST NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	33,960.
CHILDRENS THEATRE COMPANY 526 W 26TH ST STE 1012 NEW YORK, NY 10001	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
Total from continuation sheets				5,024,710.

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
CHINA INSTITUTE IN AMERICA INCORPORATED 100 WASHINGTON STREET NEW YORK, NY 10006	N/A	PC	GENERAL OPERATING EXPENSES	2,000.
CIVITAS CITIZENS INC. 1457 LEXINGTON AVE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
COUNCIL ON FOREIGN RELATIONS 58 E 68TH ST NEW YORK, NY 10131	N/A	PC	GENERAL OPERATING EXPENSES	30,000.
DANCE/NYC 218 E 18TH STREET NEW YORK, NY 10003	N/A	PC	GENERAL OPERATING EXPENSES	500.
DOMINICAN FRIARS HEALTH CARE MINISTRY OF NEW YORK 411 EAST 68TH STREET NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
FOOTSTEPS INC. 114 JOHN ST UNIT 930 NEW YORK, NY 10272	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
FRIENDS OF FLORENCE 4545 W ST NW WASHINGTON, DC 20007	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
GARRISON INSTITUTE 14 MARY'S WAY, RTE 9D GARRIOSN, NY 10524	N/A	PC	GENERAL OPERATING EXPENSES	1,750.
HADASSAH-BRANDEIS INSTITUTE 515 SOUTH STREET WALTHAM, MA 02454	N/A	PC	GENERAL OPERATING EXPENSES	180.
HASTY PUDDING INSTITUTE OF 1770 PO BOX 381940 CAMBRIDGE, MA 02238	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
HEAF 2090 ADAM CLAYTON POWELL BLVD, 10TH FL NEW YORK, NY 10027	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
HORACE MANN SCHOOL 231 W 246TH ST BRONX, NY 10471	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	GENERAL OPERATING EXPENSES	82,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	QUALITY RESEARCH CENTER	100,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE CENTER FOR FOOT AND ANKLE RESEARCH	300,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE FUND FOR EDUCATION AND RESEARCH	100,000.
HUDSON LINK FOR HIGHER EDUCATION IN PRISON INC P.O. BOX 862 OSSINING, NY 10562	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
ICAHN SCHOOL OF MEDICINE MOUNT SINAI ONE GUSTAVE L. LEVY PLACE NEW YORK, NY 10029	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
INSTITUTE FOR CIVIC LEADERSHIP 291 CENTRAL PARK W NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING EXPENSES	500.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	EDNA LANDAU/PIANO DEPARTMENT	30,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	PART-TIME ARCHIVIST	32,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	200,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	147,500.
JUMPSTART 505 8TH AVE, STE 602 NEW YORK, NY 10018	N/A	PC	GENERAL OPERATING EXPENSES	500.
KENT PRESENTS INC. PO BOX 648 KENT, CT 06757	N/A	PC	GENERAL OPERATING EXPENSES	3,800.
KYPT KEWAUNEE YOUNG PEOPLES THEATER 1753 MICHIGAN ST STURGEON BAY, WI 54235	N/A	PC	GENERAL OPERATING EXPENSES	500.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	450.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	ENDOWMENT	125,000.
LINCOLN CENTER THEATER 150 W 65TH STREET NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	115,000.
MABEL MERCER FOUNDATION 160 E 48TH ST, STE 1P NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MARLBORO MUSIC 1538 WALNUT STREET, NO 301 PHILADELPHIA, PA 19102	N/A	PC	SERIES IN WEILL HALL OF MUSICIANS	30,000.
MASTEROICES INC. (FORMERLY THE COLLEGIATE CHORALE) 115 E 57TH ST, 11TH FL NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
MUSEUM OF THE CITY OF NEW YORK 1220 FIFTH AVE NEW YORK, NY 10029	N/A	PC	GENERAL OPERATING EXPENSES	20,000.
MUSEUM OF WORLD WAR II, INC. 46 ELIOT ST NATICK, MA 01760	N/A	PC	ESTABLISHING, IMPROVING AND EXPANDING THE MUSEUM	25,000.
NATIONAL MUSEUM OF AMERICAN JEWISH HISTORY 101 SOUTH INDEPENDENCE MALL EAST PHILADELPHIA, PA 19106	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
NATIONAL PARKS OF NY HARBOR CONSERVANCY 26 WALL ST NEW YORK, NY 10005	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
NEIGHBORS LINK 27 COLUMBUS AVE MOUNT KISCO, NY 10549	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
NEUE GALERIE NEW YORK 1048 FIFTH AVENUE NEW YORK, NY 10028	N/A	PC	GENERAL OPERATING EXPENSES	500.
NEW YORK CITY CENTER 130 W 56TH ST, 9TH FL NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	16,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NEW YORK FESTIVAL OF SONG 307 SEVENTH AVE, STE 1206 NEW YORK, NY 10001	N/A	PC	GENERAL OPERATING EXPENSES	500.
NEW YORK HISTORICAL SOCIETY 170 CPW NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING EXPENSES	5,400.
NEW YORK MILITARY AFFAIRS SYMPOSIUM PO BOX 592 NEW YORK, NY 10156	N/A	PC	GENERAL OPERATING EXPENSES	250.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ARTIST INCENTIVE FUND	200,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	181,500.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ADOPTED TEACHING ARTIST	34,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	500,000.
NEW YORK PRESBYTERIAN HOSPITAL 525 E 68TH ST NEW YORK, NY 10065	N/A	PC	FRIENDS OF THE IRIS CANTOR WOMEN'S HEALTH CENTER	2,000.
NEW YORK PUBLIC RADIO DBA WNYC RADIO WQXR AND NJ PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
NEW YORK UNIVERSITY 70 WASHINGTON SQUARE S NEW YORK, NY 10012	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NORMAN ROCKWELL MUSEUM PO BOX 3085 STOCKBRIDGE, MA 01262	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
ORCHESTRA OF ST. LUKES 330 W 42ND ST, 9TH FL NEW YORK, NY 10036	N/A	PC	GENERAL OPERATING EXPENSES	2,000.
PAN AMERICAN CENTER 588 BROADWAY, SUITE 303 NEW YORK, NY 10012	N/A	PC	GENERAL OPERATING EXPENSES	1,850.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING EXPENSES	121,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	VETERANS ROOM PROJECT	1,000,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	RENOVATION PROJECT	1,000,000.
POLICE ATHLETIC LEAGUE 34 1/2 EAST 12TH STREET NEW YORK, NY 10003	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
ROUNABOUT THEATER 231 W 39TH ST, STE 1200 NEW YORK, NY 10018	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
ROUNDTABLE CULTURAL SEMINARS 45 E 78TH ST, 5TH FL NEW YORK, NY 10075	N/A	PC	GENERAL OPERATING EXPENSES	4,350.
SAMUEL WAXMAN CANCER RESEARCH FDN. 30 OAKLEY AVE MT. VERNON, NY 10550	N/A	PC	GENERAL OPERATING EXPENSES	13,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
SILVER SHIELD FOUNDATION 870 UNITED NATIONS PLAZA 1FL NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING EXPENSES	500.
SMITH COLLEGE MUSEUM OF ART 20 ELM STREET AT BEDFORD TERRACE NORTHAMPTON, MA 01063	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
SMITH COLLEGE COLLEGE HALL 204 10 ELM ST NORTHAMPTON, MA 01063	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
SMITHSONIAN INSTITUTION P.O. BOX 37012, MRC 619 WASHINGTON, DC 20013	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
SPECIAL OLYMPICS 211 E 43RD STREET, ROOM 802 NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING EXPENSES	100.
THE ARMY HISTORICAL FOUNDATION 2425 WILSON BLVD ARLINGTON, VA 22201	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
THE BATTERY CONSERVANCY ONE WHITEHALL STREET, 17TH FLOOR BROOKLYN, NY 1004	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
THE KNIGHTS 1275 PROSPECT AVENUE BROOKLYN, NY 11218	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
THE MORGAN LIBRARY 14 E 60TH STREET NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
THE MUNICIPAL ART SOCIETY 111 WEST 57TH STREET NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
Total from continuation sheets				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE MUSEUM OF MODERN ART 11 WEST 53RD STREET NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	3,500.
THE NEW YORK SOCIETY LIBRARY 53 EAST 79TH STREET NEW YORK, NY 10075	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
THE SKYSCRAPER MUSEUM 39 BATTERY PLACE NEW YORK, NY 10280	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
THS PROJECT GRADUATION INC. 727 HATFIELD LN BASTIAN, VA 24314	N/A	PC	GENERAL OPERATING EXPENSES	500.
UNITED STATES ARTISTS INC. 980 NORTH MICHIGAN AVENUE STE 1300 CHICAGO, IL 60611	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
UNITED STATES FOUNDATION FOR THE COMMEMORATION OF THE WORLD WARS 701 PENNSYLVANIA AVE NW STE 123 WASHINGTON, DC 20004	N/A	PC	GENERAL OPERATING EXPENSES	12,500.
WOMAN'S VOICES FOR CHANGE 509 MADISON AVENUE #1212 NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
YALE ALUMNI FUND P.O. BOX 803 NEW HAVEN, CT 06503	N/A	PC	GENERAL OPERATING EXPENSES	4,000.
YOUNG CONCERT ARTISTS INC. 250 W 57TH STREET, SUITE 1222 NEW YORK, NY 10107	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
YOUNG MENS & YOUNG WOMENS HEBREW ASSOCIATION 1395 LEXINGTON AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Approved for Future Payment (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
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE FUND FOR EDUCATION AND RESEARCH	200,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	EDNA LANDAU/PIANO DEPARTMENT	30,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	PART-TIME ARCHIVIST	32,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	1,000,000.
MARLBORO MUSIC 1538 WALNUT STREET, NO 301 PHILADELPHIA, PA 19102	N/A	PC	SERIES IN WEILL HALL OF MUSICIANS	10,000.
MUSEUM OF WORLD WAR II, INC. 46 ELIOT ST NATICK, MA 01760	N/A	PC	ESTABLISHING, IMPROVING AND EXPANDING THE MUSEUM	25,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ARTIST INCENTIVE FUND	200,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	2,000,000.
NEW YORK PRESBYTERIAN HOSPITAL 525 E 68TH ST NEW YORK, NY 10065	N/A	PC	FRIENDS OF THE IRIS CANTOR WOMEN'S HEALTH CENTER	2,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	RENOVATION PROJECT	5,000,000.
Total from continuation sheets				8,499,000.

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
CHECKING ACCOUNTS	104.	104.	
MONEY MARKET ACCOUNTS	457.	457.	
TOTAL TO PART I, LINE 3	561.	561.	

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
PUBLICLY TRADED SECURITIES THRU SCHEDULE K-1'S	89,908.	3.	89,905.	89,905.	
	0.	0.	0.	5,502.	
TO PART I, LINE 4	89,908.	3.	89,905.	95,407.	

FORM 990-PF RENTAL INCOME STATEMENT 3

KIND AND LOCATION OF PROPERTY	ACTIVITY NUMBER	GROSS RENTAL INCOME
APARTMENTS; 20 EAST 35TH STREET, NEW YORK, NY 10016	1	45,430.
TOTAL TO FORM 990-PF, PART I, LINE 5A		45,430.

FORM 990-PF	RENTAL EXPENSES	STATEMENT	4
DESCRIPTION	ACTIVITY NUMBER	AMOUNT	TOTAL
DEPRECIATION		2,314.	
MAINTENANCE CHARGES		57,101.	
INSURANCE		109.	
MISCELLANEOUS EXPENSES		508.	
LEGAL FEES		3,416.	
- SUBTOTAL -	1		63,448.
TOTAL RENTAL EXPENSES			63,448.
NET RENTAL INCOME TO FORM 990-PF, PART I, LINE 5B			-18,018.

FORM 990-PF	OTHER INCOME	STATEMENT	5
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY BUSINESS INCOME THRU SCHEDULE K-1'S	0.	20,923.	
OTHER INCOME THRU SCHEDULE K-1'S	0.	89,235.	
RESCINDED GRANTS	2,582.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	2,582.	110,158.	

FORM 990-PF	LEGAL FEES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
KURZMAN EISENBERG CORBIN & LEVER LLP - LEGAL FEES	10,139.	0.		10,139.	
LEGAL FEES	3,416.	3,416.		0.	
TO FM 990-PF, PG 1, LN 16A	13,555.	3,416.		10,139.	

FORM 990-PF	ACCOUNTING FEES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
PKF O'CONNOR DAVIES LLP - ACCOUNTING AND TAX PREPARATION FEES	21,200.	0.		21,200.	
EISNERAMPER LLP - ACCOUNTING AND TAX PREPARATION FEES	6,100.	0.		6,100.	
TO FORM 990-PF, PG 1, LN 16B	27,300.	0.		27,300.	

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	8
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT MANAGEMENT FEES	76,498.	76,498.		0.	
TO FORM 990-PF, PG 1, LN 16C	76,498.	76,498.		0.	

FORM 990-PF	TAXES			STATEMENT	9
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FEDERAL EXCISE TAX	135,000.	0.		0.	
FEDERAL EXCISE TAX DUE 2014 990-PF	2,102.	0.		0.	
FOREIGN TAXES WITHHELD	1,750.	1,750.		0.	
FOREIGN TAXES WITHHELD THRU SCHEDULE K-1'S	0.	27.		0.	
TO FORM 990-PF, PG 1, LN 18	138,852.	1,777.		0.	

FORM 990-PF	OTHER EXPENSES			STATEMENT 10
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADR FEES, AGENT CUSTODIAN FEES AND OTHER STOCK FEES	5,198.	5,198.		0.
FILING FEES	1,253.	0.		1,253.
WRITE-OFF OLD ASSETS	30,000.	0.		0.
OTHER CHARITABLE EXPENSES	15,000.	0.		15,000.
OTHER INVESTMENT EXPENSES THRU SCHEDULE K-1'S	0.	4,749.		0.
MAINTENANCE CHARGES	57,101.	57,101.		0.
INSURANCE	109.	109.		0.
MISCELLANEOUS EXPENSES	508.	508.		0.
TO FORM 990-PF, PG 1, LN 23	109,169.	67,665.		16,253.

FORM 990-PF	CORPORATE STOCK		STATEMENT 11
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
CORPORATE STOCK - SEE ATTACHMENT A-1	2,884,572.	3,205,694.	
CORPORATE STOCK - SEE ATTACHMENT A-2	96,885.	97,307.	
CORPORATE STOCK - SEE ATTACHMENT A-3	189,954.	195,267.	
CORPORATE STOCK - SEE ATTACHMENT A-4	198,583.	217,119.	
CORPORATE STOCK - SEE ATTACHMENT A-5	94,717.	96,488.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,464,711.	3,811,875.	

FORM 990-PF	CORPORATE BONDS		STATEMENT 12
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
CORPORATE BONDS - SEE ATTACHMENT B-1	425,000.	424,878.	
CORPORATE BONDS - SEE ATTACHMENT B-2	494,205.	491,921.	
TOTAL TO FORM 990-PF, PART II, LINE 10C	919,205.	916,799.	

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	13
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FARALLON CAPITAL INSTITUTIONAL PARTNERS, LP	COST	894,838.	819,212.
GOODHUE HOUSE COMPANY	COST	354,643.	1,666,178.
GOODHUE RESIDENTIAL COMPANY	COST	1.	155,353.
INSTITUTIONAL DIVERSIFIED ARBITRAGE STRATEGIES LTD.	COST	1.	2,430,948.
INSTITUTIONAL INVESTMENT FUND LTD.	COST	1.	1,242,938.
MILLENNIUM INTERNATIONAL, LTD	COST	1.	3,402,948.
REAL ESTATE - 20 EAST 35TH STREET	COST	122,183.	799,000.
MUTUAL FUNDS - SEE ATTACHMENT C1	COST	388,606.	387,605.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,760,274.	10,904,182.

FORM 990-PF	PART XV - LINE 1A LIST OF FOUNDATION MANAGERS	STATEMENT 14
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NAME OF MANAGER

ELIHU ROSE
SUSAN W. ROSE

Note: P indicates position adjusted for Pending Trade Activity.

Equity Detail

	Price	Quantity	Value	Adjusted Tax Cost Original Cost	Unrealized Gain/Loss	Est. Annual Inc. Accrued Div.	Yield
US Large Cap Equity							
P ALPHABET INC/CA-CLC 02079K-10-7 GOOG	771.82	211,000	162,854.02	119,041.78	43,812.24		
P AMC NETWORKS INC-A 00164V-10-3 AMCX	52.34	1,475,000	77,201.50	86,939.01	(9,737.51)		
APPLE INC 037833-10-0 AAPL	115.82	550,000	63,701.00	43,514.29	20,186.71	1,254.00	1.97%
COMCAST CORP-CLASS A 20030N-10-1 CMCS A	69.05	2,050,000	141,552.50	123,910.38	17,642.12	2,255.00 563.75	1.59%
ESTEE LAUDER COMPANIES-CL A 518439-10-4 EL	76.49	625,000	47,806.25	47,813.76	(7.51)	850.00	1.78%
P FACEBOOK INC-A 30303M-10-2 FB	115.05	1,425,000	163,946.25	160,887.42	3,058.83		
LULULEMON ATHLETICA INC 550021-10-9 LULU	64.99	1,800,000	116,982.00	97,855.28	19,126.72		
MARRIOTT INTERNATIONAL -CL A 571903-20-2 MAR	82.68	1,475,000	121,953.00	97,273.96	24,679.04	1,770.00	1.45%
MCDONALD'S CORP 580135-10-1 MCD	121.72	1,400,000	170,408.00	142,966.17	27,441.83	5,264.00	3.09%
MICROSOFT CORP 594918-10-4 MSFT	62.14	2,150,000	133,601.00	113,522.08	20,078.92	3,354.00	2.51%
NIKE INC -CL B 654106-10-3 NKE	50.83	3,300,000	167,739.00	177,226.82	(9,487.82)	2,376.00 499.50	1.42%

	Price	Quantity	Value	Adjusted Tax Cost Original Cost	Unrealized Gain/Loss	Est. Annual Inc. Accrued Div.	Yield
US Large Cap Equity							
PAYPAL HOLDINGS INC 70450Y-10-3 PYPL	39.47	3,750,000	148,012.50	140,891.70	7,120.80		
PRICELINE GROUP INC/THE 741503-40-3 PCLN	1,466.06	65,000	95,293.90	69,958.80	25,335.10		
STARBUCKS CORP 855244-10-9 SBUX	55.52	1,875,000	104,100.00	96,843.35	7,256.65	1,875.00	1.80%
P TIME WARNER INC 887317-30-3 TWX	96.53	1,500,000	144,795.00	92,565.25	52,229.75	2,415.00	1.67%
UNITED PARCEL SERVICE-CL B 911312-10-6 UPS	114.64	925,000	106,042.00	90,682.88	15,359.12	2,886.00	2.72%
VISA INC-CLASS A SHARES 92826C-83-9 V	78.02	1,030,000	80,360.60	70,460.24	9,900.36	678.80	0.85%
WAL-MART STORES INC 931142-10-3 WMT	69.12	2,400,000	165,888.00	145,108.72	20,778.28	4,800.00	2.89%
WALT DISNEY CO/THE 254687-10-6 DIS	104.22	1,625,000	169,357.50	141,711.74	27,645.76	2,535.00	1.50%
WILLIAMS-SONOMA INC 969904-10-1 WSM	48.39	1,450,000	70,165.50	75,478.40	(5,312.90)	2,146.00	3.06%
Total US Large Cap Equity			\$2,451,759.52	(A) \$2,134,653.03	\$317,106.49	\$34,459.80 \$3,519.75	1.41%
Non-US Equity							
DIAGEO PLC-SPONSORED ADR 25243Q-20-5 DEO	103.94	1,570,000	163,185.80	173,466.91	(10,281.11)	4,892.12	3.00%

	Price	Quantity	Value	Adjusted Tax Cost Original Cost	Unrealized Gain/Loss	Est. Annual Inc. Accrued Div.	Yield												
Non-US Equity																			
HEINEKEN NV ISIN NL000009165 SEDOL 7792559 N39471-94-6 EUR	75.16	2,075,000	155,960.08	174,358.16	(18,398.08)														
LVMH MOET HENNESSY LOUIS VUI HELD BY EUROCLEAR ISIN FR0000121014 SEDOL 4061412 502441-92-6 EUR	191.33	775,000	148,282.03	130,605.47	17,676.56														
NESTLE SA-SPONS ADR 641069-40-6 NSRG Y	71.74	1,975,000	141,686.50	142,302.34	(615.84)	3,845.32	2.71%												
Total Non-US Equity			\$609,114.41	(A) \$620,732.88	(\$11,618.47)	\$8,737.44	1.43%												
Emerging Market Equity																			
CARNIVAL CORP 143658-30-0 CCL	52.06	2,800,000	145,768.00	(A) 132,727.31	13,040.69	3,920.00	2.69%												
<table><tr><td colspan="2">COST OF PENDING PURCHASES</td><td>(19,349.07)</td><td>(A)</td><td>(19,349.07)</td></tr><tr><td colspan="2">PROCEEDS FROM PENDING SALES</td><td>18,401.04</td><td>(A)</td><td>15,807.98</td></tr></table>								COST OF PENDING PURCHASES		(19,349.07)	(A)	(19,349.07)	PROCEEDS FROM PENDING SALES		18,401.04	(A)	15,807.98		
COST OF PENDING PURCHASES		(19,349.07)	(A)	(19,349.07)															
PROCEEDS FROM PENDING SALES		18,401.04	(A)	15,807.98															
<table><tr><td colspan="2">Fair Market Value</td><td colspan="2">Cost Basis</td></tr><tr><td colspan="2">Total Corporate Stock per Attachment A-1 = $\sum (A) =$</td><td colspan="2">\$2,884,572.13</td></tr><tr><td colspan="2">\$3,205,693.90</td><td colspan="2"></td></tr></table>								Fair Market Value		Cost Basis		Total Corporate Stock per Attachment A-1 = $\sum (A) =$		\$2,884,572.13		\$3,205,693.90			
Fair Market Value		Cost Basis																	
Total Corporate Stock per Attachment A-1 = $\sum (A) =$		\$2,884,572.13																	
\$3,205,693.90																			

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ACCENTURE PLC IRELAND CL A (ACN)	5/3/16	22,000	\$113.525	\$117.130	\$2,497.55	\$2,576.86	\$79.31 ST		
	9/8/16	22,000	112.352	117.130	2,471.75	2,576.86	105.11 ST		
	Total	44,000			4,969.30	5,153.72	184.42 ST	106.00	2.05
<i>Next Dividend Payable 05/2017; Asset Class: Equities</i>									
ADOBE SYSTEMS (ADBE)	5/3/16	23,000	94.003	102.950	2,162.06	2,367.85	205.79 ST		
	9/8/16	22,000	101.873	102.950	2,241.21	2,264.90	23.69 ST		
	9/14/16	1,000	98.990	102.950	98.99	102.95	3.96 ST		
Total		46,000			4,502.26	4,735.70	233.44 ST	—	—

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Asset Class: Equities</i>									
ALIGN TECHNOLOGY (ALGN)									
	5/3/16	10,000	75.150	96.130	751.50	961.30	209.80 ST		
	9/8/16	10,000	95.573	96.130	955.73	961.30	5.57 ST		
	12/9/16	10,000	98.814	96.130	988.14	961.30	(26.84) ST		
Total		30,000			2,695.37	2,883.90	188.53 ST		
<i>Asset Class: Equities</i>									
ALPHABET INC CL A (GOOGL)									
	5/3/16	2,000	712.095	792.450	1,424.19	1,584.90	160.71 ST		
	9/8/16	3,000	802.760	792.450	2,408.28	2,377.35	(30.93) ST		
Total		5,000			3,832.47	3,962.25	129.78 ST		
<i>Asset Class: Equities</i>									
ALPHABET INC CL C (GOOG)									
	5/3/16	4,000	696.375	771.820	2,785.50	3,087.28	301.78 ST		
	9/8/16	4,000	775.660	771.820	3,102.64	3,087.28	(15.36) ST		
Total		8,000			5,888.14	6,174.56	286.42 ST		
<i>Asset Class: Equities</i>									
AUTOMATIC DATA PROCESSING INC (ADP)									
	5/3/16	26,000	88.965	102.780	2,313.09	2,672.28	359.19 ST		
	9/8/16	26,000	89.447	102.780	2,325.61	2,672.28	346.67 ST		
	12/9/16	5,000	98.056	102.780	490.28	513.90	23.62 ST		
	12/12/16	5,000	98.232	102.780	491.16	513.90	22.74 ST		
Total		62,000			5,620.14	6,372.36	752.22 ST	141.00	2.21
<i>Next Dividend Payable 01/01/17; Asset Class: Equities</i>									
CELGENE CORP (CELG)									
	5/3/16	20,000	104.505	115.750	2,090.10	2,315.00	224.90 ST		
	9/8/16	19,000	107.810	115.750	2,048.39	2,199.25	150.86 ST		
	12/23/16	8,000	118.435	115.750	947.48	926.00	(21.48) ST		
Total		47,000			5,085.97	5,440.25	354.28 ST		
<i>Asset Class: Equities</i>									
DOLLAR GEN CORP NEW COM (DG)									
	7/27/16	10,000	95.742	74.070	957.42	740.70	(216.72) ST		
	9/8/16	13,000	70.727	74.070	919.45	962.91	43.46 ST		
	10/10/16	20,000	69.247	74.070	1,384.93	1,481.40	96.47 ST		
Total		43,000			3,261.80	3,185.01	(76.79) ST	43.00	1.35
<i>Next Dividend Payable 01/04/17; Asset Class: Equities</i>									
FACEBOOK INC CL-A (FB)									
	5/3/16	17,000	117.969	115.050	2,005.48	1,955.85	(49.63) ST		
	5/3/16	10,000	117.735	115.050	1,177.35	1,150.50	(26.85) ST		
	9/8/16	26,000	130.217	115.050	3,385.63	2,991.30	(394.33) ST		
Total		53,000			6,568.46	6,097.65	(470.81) ST		
<i>Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
GARTNER INC (IT)									
	5/3/16	18,000	87.183	101.070	1,569.30	1,819.26	249.96 ST		
	9/8/16	18,000	90.623	101.070	1,631.22	1,819.26	188.04 ST		
Total		36,000			3,200.52	3,638.52	438.00 ST		
Asset Class: Equities									
MASTERCARD INC CL A (MA)									
	5/3/16	10,000	96.485	103.250	964.85	1,032.50	67.65 ST		
	9/8/16	9,000	99.796	103.250	898.16	929.25	31.09 ST		
	9/14/16	1,000	98.730	103.250	98.73	103.25	4.52 ST		
Total		20,000			1,961.74	2,065.00	103.26 ST	18.00	0.87
Next Dividend Payable 02/2017; Asset Class: Equities									
NESTLE SPON ADR REP REG SHR (NSRGY)									
	5/3/16	29,000	74.799	71.740	2,169.16	2,080.46	(88.70) ST		
	9/8/16	27,000	80.917	71.740	2,184.76	1,936.98	(247.78) ST		
Total		56,000			4,353.92	4,017.44	(336.48) ST	109.00	2.71
Next Dividend Payable 05/2017; Asset Class: Equities									
NIKE INC B (NKE)									
	5/3/16	57,000	59.767	50.830	3,406.72	2,897.31	(509.41) ST		
	9/8/16	57,000	56.297	50.830	3,208.91	2,897.31	(311.60) ST		
Total		114,000			6,615.63	5,794.62	(821.01) ST	82.00	1.41
Next Dividend Payable 01/03/17; Asset Class: Equities									
O'REILLY AUTOMOTIVE INC NEW (ORLY)									
	5/3/16	7,000	268.687	278.410	1,880.81	1,948.87	68.06 ST		
	9/8/16	7,000	282.267	278.410	1,975.87	1,948.87	(27.00) ST		
	9/14/16	1,000	277.010	278.410	277.01	278.41	1.40 ST		
Total		15,000			4,133.69	4,176.15	42.46 ST		
Asset Class: Equities									
ORACLE CORP (ORCL)									
	5/3/16	59,000	39.635	38.450	2,338.47	2,268.55	(69.92) ST		
	9/8/16	59,000	40.745	38.450	2,403.96	2,268.55	(135.41) ST		
Total		118,000			4,742.43	4,537.10	(205.33) ST	71.00	1.56
Next Dividend Payable 01/2017; Asset Class: Equities									
PRICELINE GRP INC COM NEW (PCLN)									
	5/3/16	2,000	1,351.095	1,466.060	2,702.19	2,932.12	229.93 ST		
	9/8/16	1,000	1,445.390	1,466.060	1,445.39	1,466.06	20.67 ST		
	9/14/16	1,000	1,425.430	1,466.060	1,425.43	1,466.06	40.63 ST		
Total		4,000			5,573.01	5,864.24	291.23 ST		
Asset Class: Equities									
REGENERON PHARM (REGN)									
	5/3/16	4,000	379.420	367.090	1,517.68	1,468.36	(49.32) ST		
	9/8/16	5,000	403.210	367.090	2,016.05	1,835.45	(180.60) ST		
	12/27/16	5,000	386.890	367.090	1,934.45	1,835.45	(99.00) ST		
Total		14,000			5,468.18	5,139.26	(328.92) ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Asset Class: Equities</i>									
<i>STARBUCKS CORP WASHINGTON (SBUX)</i>									
	5/3/16	52 000	56 409	55.520	2,933.25	2,887.04	(46.21) ST		
	9/8/16	52 000	55.317	55.520	2,876.50	2,887.04	10.54 ST		
Total		104 000			5,809.75	5,774.08	(35.67) ST	104.00	1.80
<i>Next Dividend Payable 03/2017: Asset Class: Equities</i>									
<i>TIJ COS INC NEW (TIJ)</i>									
	5/3/16	33 000	77.277	75.130	2,550.14	2,479.29	(70.85) ST		
	9/8/16	32 000	76.367	75.130	2,443.73	2,404.16	(39.57) ST		
Total		65 000			4,993.87	4,883.45	(110.42) ST	68.00	1.39
<i>Next Dividend Payable 03/2017: Asset Class: Equities</i>									
<i>VISA INC CL A (V)</i>									
	5/3/16	49 000	77.421	78.020	3,793.64	3,822.98	29.34 ST		
	9/8/16	46 000	82.937	78.020	3,815.08	3,588.92	(226.16) ST		
Total		95 000			7,608.72	7,411.90	(196.82) ST	63.00	0.84
<i>Next Dividend Payable 03/2017: Asset Class: Equities</i>									
STOCKS									
Percentage of Holdings		Total Cost			Market Value		Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
97.29%		\$96,885.37			\$97,307.16		\$421.79 ST	\$805.00	0.83%
		Total Corporate Stock per Attachment A-2 =							

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
3M COMPANY (MMM)	5/3/16	7 000	\$167.770	\$178.570	\$1,174.39	\$1,249.99	\$75.60 ST		
	7/15/16	7 000	181.107	178.570	1,267.75	1,249.99	(17.76) ST		
	9/8/16	14 000	179.591	178.570	2,514.28	2,499.98	(14.30) ST		
	Total	28 000			4,956.42	4,999.96	43.54 ST	124.00	2.48
Next Dividend Payable 03/2017; Asset Class: Equities									
ADIENT PLC COM (ADNT)	10/28/16	4 000	46.585	58.600	186.34	234.40	48.06 ST	—	—
Asset Class: Equities									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 01/10/17; Asset Class: Equities</i>									
ALTRIA GROUP INC (MO)	5/3/16	25,000	63.350	67.620	1,583.75	1,690.50	106.75 ST		
	7/15/16	22,000	69.245	67.620	1,523.39	1,487.64	(35.75) ST		
	9/8/16	50,000	66.295	67.620	3,314.75	3,381.00	66.25 ST		
Total		97,000			6,421.89	6,559.14	137.25 ST	237.00	3.61
<i>Next Dividend Payable 01/10/17; Asset Class: Equities</i>									
ASTRAZENECA PLC ADS (AZN)	5/3/16	34,000	29.120	27.320	990.08	928.88	(61.20) ST		
	7/15/16	33,000	30.247	27.320	998.15	901.56	(96.59) ST		
	9/8/16	55,000	33.037	27.320	1,817.01	1,502.60	(314.41) ST		
Total		122,000			3,805.24	3,333.04	(472.20) ST	167.00	5.01
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
AT&T INC (T)	5/3/16	38,000	38.930	42.530	1,479.34	1,616.14	136.80 ST		
	7/15/16	34,000	42.800	42.530	1,455.20	1,446.02	(9.18) ST		
	9/8/16	76,000	41.240	42.530	3,134.24	3,232.28	98.04 ST		
Total		148,000			6,068.78	6,294.44	225.66 ST	290.00	4.60
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									
BCE INC (BCE)	5/3/16	26,000	46.007	43.240	1,196.19	1,124.24	(71.95) ST		
	7/15/16	26,000	48.347	43.240	1,257.02	1,124.24	(132.78) ST		
	9/8/16	54,000	47.735	43.240	2,577.70	2,334.96	(242.74) ST		
	11/9/16	19,000	44.198	43.240	839.76	821.56	(18.20) ST		
Total		125,000			5,870.67	5,405.00	(465.67) ST	255.00	4.71
<i>Next Dividend Payable 01/15/17; Asset Class: Equities</i>									
BOEING CO (BA)	5/3/16	9,000	132.966	155.680	1,196.69	1,401.12	204.43 ST		
	7/15/16	10,000	132.386	155.680	1,323.86	1,556.80	232.94 ST		
	9/8/16	19,000	132.307	155.680	2,513.83	2,957.92	444.09 ST		
Total		38,000			5,034.38	5,915.84	881.46 ST	216.00	3.65
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
CHEVRON CORP (CVX)	5/3/16	15,000	101.250	117.700	1,518.75	1,765.50	246.75 ST		
	7/15/16	15,000	106.830	117.700	1,602.45	1,765.50	163.05 ST		
	9/8/16	33,000	104.197	117.700	3,438.49	3,884.10	445.61 ST		
Total		63,000			6,559.69	7,415.10	855.41 ST	272.00	3.66
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
CHUBB LTD (CB)	5/3/16	12,000	118.289	132.120	1,419.47	1,585.44	165.97 ST		
	7/15/16	11,000	129.623	132.120	1,425.85	1,453.32	27.47 ST		
	9/8/16	24,000	126.757	132.120	3,042.17	3,170.88	128.71 ST		
Total		47,000			5,887.49	6,209.64	322.15 ST	130.00	2.09
<i>Next Dividend Payable 01/20/17; Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 01/2017; Asset Class: Equities</i>									
CISCO SYS INC (CSCO)	5/3/16	54,000	26.957	30.220	1,455.67	1,631.88	176.21 ST		
	7/15/16	50,000	29.769	30.220	1,488.43	1,511.00	22.57 ST		
	9/8/16	88,000	31.487	30.220	2,770.82	2,659.36	(111.46) ST		
Total		192,000			5,714.92	5,802.24	87.32 ST	200.00	3.44
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
CONOCOPHILLIPS (COP)	5/3/16	32,000	44.948	50.140	1,438.32	1,604.48	166.16 ST		
	7/15/16	39,000	42.857	50.140	1,671.42	1,955.46	284.04 ST		
	9/8/16	75,000	43.235	50.140	3,242.63	3,760.50	517.87 ST		
Total		146,000			6,352.37	7,320.44	968.07 ST	146.00	1.99
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
CORNING INC (GLW)	5/3/16	53,000	18.557	24.270	983.53	1,286.31	302.78 ST		
	7/15/16	42,000	21.327	24.270	895.74	1,019.34	123.60 ST		
	9/8/16	83,000	22.705	24.270	1,884.52	2,014.41	129.89 ST		
Total		178,000			3,763.79	4,320.06	556.27 ST	96.00	2.22
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
DIAGEO PLC SPON ADR NEW (DEO)	5/3/16	11,000	108.940	103.940	1,198.34	1,143.34	(55.00) ST		
	7/15/16	11,000	113.000	103.940	1,243.00	1,143.34	(99.66) ST		
	9/8/16	22,000	113.690	103.940	2,501.18	2,286.68	(214.50) ST		
Total		44,000			4,942.52	4,573.36	(369.16) ST	137.00	2.99
<i>Next Dividend Payable 04/2017; Asset Class: Equities</i>									
DU PONT EI DE NEMOURS & CO (DD)	5/3/16	22,000	64.920	73.400	1,428.24	1,614.80	186.56 ST		
	7/15/16	24,000	67.167	73.400	1,612.01	1,761.60	149.59 ST		
	9/8/16	41,000	69.350	73.400	2,843.35	3,009.40	166.05 ST		
Total		87,000			5,883.60	6,385.80	502.20 ST	132.00	2.06
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
ELI LILLY & CO (LLY)	5/3/16	13,000	76.500	73.550	994.50	956.15	(38.35) ST		
	7/15/16	12,000	80.057	73.550	960.68	882.60	(78.08) ST		
	9/8/16	26,000	79.947	73.550	2,078.61	1,912.30	(166.31) ST		
Total		51,000			4,033.79	3,751.05	(282.74) ST	106.00	2.82
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
EXXON MOBIL CORP (XOM)	5/3/16	11,000	87.837	90.260	966.21	992.86	26.65 ST		
	7/15/16	10,000	94.777	90.260	947.77	902.60	(45.17) ST		
	9/8/16	25,000	89.165	90.260	2,229.13	2,256.50	27.37 ST		
Total		46,000			4,143.11	4,151.96	8.85 ST	138.00	3.32
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 01/25/17; Asset Class: Equities</i>									
GENERAL ELECTRIC CO (GE)	5/3/16	50,000	30.575	31.600	1,528.75	1,580.00	51.25 ST		
	7/15/16	47,000	32.824	31.600	1,542.72	1,485.20	(57.52) ST		
	9/8/16	105,000	30.967	31.600	3,251.55	3,318.00	66.45 ST		
Total		202,000			6,323.02	6,383.20	60.18 ST	194.00	3.03
<i>Next Dividend Payable 02/17/17; Asset Class: Alt</i>									
HCP INCORPORATED (HCP)	5/3/16	21,000	34.700	29.720	728.70	624.12	(104.58) ST		
	7/15/16	20,000	37.345	29.720	746.90	594.40	(152.50) ST		
	9/8/16	34,000	39.685	29.720	1,349.29	1,010.48	(338.81) ST		
Total		75,000			2,824.89	2,229.00	(595.89) ST	111.00	4.97
<i>Next Dividend Payable 02/17/17; Asset Class: Alt</i>									
HSBC HOLDINGS PLC SPON ADR NEW (HSBC)	5/3/16	30,000	32.667	40.180	980.01	1,205.40	225.39 ST		
	7/15/16	34,000	31.757	40.180	1,079.74	1,366.12	286.38 ST		
	9/8/16	44,000	38.135	40.180	1,677.94	1,767.92	89.98 ST		
Total		108,000			3,737.69	4,339.44	601.75 ST	275.00	6.33
<i>Asset Class: Equities</i>									
INTEL CORP (INTC)	5/3/16	32,000	30.370	36.270	971.84	1,160.64	188.80 ST		
	7/15/16	26,000	35.007	36.270	910.18	943.02	32.84 ST		
	9/8/16	54,000	36.437	36.270	1,967.58	1,958.58	(9.00) ST		
Total		112,000			3,849.60	4,062.24	212.64 ST	116.00	2.85
<i>Next Dividend Payable 03/20/17; Asset Class: Equities</i>									
JOHNSON & JOHNSON (JNJ)	5/3/16	14,000	112.977	115.210	1,581.68	1,612.94	31.26 ST		
	7/15/16	13,000	122.925	115.210	1,598.03	1,497.73	(100.30) ST		
	9/8/16	28,000	119.436	115.210	3,344.22	3,225.88	(118.34) ST		
Total		55,000			6,523.93	6,336.55	(187.38) ST	176.00	2.77
<i>Next Dividend Payable 03/20/17; Asset Class: Equities</i>									
JOHNSON CTLS INTL PLC (UCI)	9/6/16	19,000	45.690	41.190	868.11	782.61	(85.50) ST		
	9/8/16	23,000	47.745	41.190	1,098.14	947.37	(150.77) ST		
	11/9/16	40,000	43.431	41.190	1,737.24	1,647.60	(89.64) ST		
Total		82,000			3,703.49	3,377.58	(325.91) ST	82.00	2.42
<i>Next Dividend Payable 01/06/17; Asset Class: Equities</i>									
JPMORGAN CHASE & CO (JPM)	5/3/16	23,000	62.317	86.290	1,433.30	1,984.67	551.37 ST		
	7/15/16	25,000	63.885	86.290	1,597.13	2,157.25	560.12 ST		
	9/8/16	42,000	67.385	86.290	2,830.17	3,624.18	794.01 ST		
Total		90,000			5,860.60	7,766.10	1,905.50 ST	173.00	2.22
<i>Next Dividend Payable 01/20/17; Asset Class: Equities</i>									

Susan and Elihu Rose Foundation, Inc.

EIN: 13-3484181

Portfolio Holdings

December 31, 2016

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
KIMBERLY CLARK CORP (KMB)									
	5/3/16	9,000	126.390	114.120	1,137.51	1,027.08	(110.43) ST		
	7/15/16	9,000	136.032	114.120	1,224.29	1,027.08	(197.21) ST		
	9/8/16	21,000	125.793	114.120	2,641.66	2,396.52	(245.14) ST		
Total		39,000			5,003.46	4,450.68	(552.78) ST	144.00	3.23
Next Dividend Payable 01/04/17; Asset Class: Equities									
MERCK & CO INC NEW COM (MRK)									
	5/3/16	27,000	55.377	58.870	1,495.19	1,589.49	94.30 ST		
	7/15/16	24,000	59.407	58.870	1,425.77	1,412.88	(12.89) ST		
	9/8/16	45,000	63.187	58.870	2,843.41	2,649.15	(194.26) ST		
Total		96,000			5,764.37	5,651.52	(112.85) ST	180.00	3.18
Next Dividend Payable 01/09/17; Asset Class: Equities									
METLIFE INCORPORATED (MET)									
	5/3/16	27,000	44.727	53.890	1,207.63	1,455.03	247.40 ST		
	7/15/16	33,000	42.580	53.890	1,405.13	1,778.37	373.24 ST		
	9/8/16	58,000	43.447	53.890	2,519.90	3,125.62	605.72 ST		
Total		118,000			5,132.66	6,359.02	1,226.36 ST	189.00	2.97
Next Dividend Payable 03/20/17; Asset Class: Equities									
MICROSOFT CORP (MSFT)									
	5/3/16	23,000	49.970	62.140	1,149.30	1,429.22	279.92 ST		
	7/15/16	28,000	53.490	62.140	1,497.71	1,739.92	242.21 ST		
	9/8/16	49,000	57.297	62.140	2,807.54	3,044.86	237.32 ST		
Total		100,000			5,454.55	6,214.00	759.45 ST	156.00	2.51
Next Dividend Payable 03/20/17; Asset Class: Equities									
NEXTERA ENERGY INC (NEE)									
	5/3/16	12,000	117.884	119.460	1,414.61	1,433.52	18.91 ST		
	7/15/16	12,000	127.286	119.460	1,527.43	1,433.52	(93.91) ST		
	9/8/16	24,000	125.210	119.460	3,005.04	2,867.04	(138.00) ST		
Total		48,000			5,947.08	5,734.08	(213.00) ST	167.00	2.91
Next Dividend Payable 03/20/17; Asset Class: Equities									
NOVARTIS AG ADR (NVS)									
	11/9/16	53,000	74.035	72.840	3,923.86	3,860.52	(63.34) ST	122.00	3.16
Asset Class: Equities									
PFIZER INC (PFE)									
	5/3/16	45,000	33.787	32.480	1,520.43	1,461.60	(58.83) ST		
	7/15/16	38,000	36.737	32.480	1,396.01	1,234.24	(161.77) ST		
	9/8/16	91,000	34.725	32.480	3,159.98	2,955.68	(204.30) ST		
Total		174,000			6,076.42	5,651.52	(424.90) ST	223.00	3.94
Next Dividend Payable 03/20/17; Asset Class: Equities									
PHILIP MORRIS INTL INC (PM)									
	5/3/16	15,000	98.655	91.490	1,479.82	1,372.35	(107.47) ST		
	7/15/16	14,000	103.477	91.490	1,448.68	1,280.86	(167.82) ST		
	9/8/16	30,000	101.117	91.490	3,033.50	2,744.70	(288.80) ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 01/10/17; Asset Class: Equities</i>									
RATHEON CO (NEW) (RTN)									
Total		59,000			5,962.00	5,397.91	(564.09) ST	245.00	4.53
5/3/16		2,000	176.120	142.000	252.24	284.00	31.76 ST		
7/15/16		11,000	138.957	142.000	1,528.53	1,562.00	33.47 ST		
9/8/16		21,000	139.505	142.000	2,929.61	2,982.00	52.39 ST		
Total		34,000			4,710.38	4,828.00	117.62 ST	100.00	2.07
<i>Next Dividend Payable 02/02/17; Asset Class: Equities</i>									
ROYAL DUTCH SHELL PLC CL B (RDS'B)									
5/3/16		28,000	51.980	57.970	1,455.44	1,623.16	167.72 ST		
7/15/16		25,000	56.807	57.970	1,420.18	1,449.25	29.07 ST		
9/8/16		61,000	54.029	57.970	3,295.74	3,536.17	240.43 ST		
Total		114,000			6,171.36	6,608.58	437.22 ST	429.00	6.49
<i>Asset Class: Equities</i>									
TRAVELERS COMPANIES INC COM (TRV)									
5/3/16		11,000	110.334	122.420	1,213.67	1,346.62	132.95 ST		
7/15/16		10,000	118.607	122.420	1,186.07	1,224.20	38.13 ST		
9/8/16		21,000	117.153	122.420	2,460.22	2,570.82	110.60 ST		
Total		42,000			4,859.96	5,141.64	281.68 ST	113.00	2.19
<i>Next Dividend Payable 03/01/17; Asset Class: Equities</i>									
UNILEVER NV NY SH NEW (UN)									
5/3/16		33,000	44.260	41.060	1,460.57	1,354.98	(105.59) ST		
7/15/16		33,000	46.347	41.060	1,529.45	1,354.98	(174.47) ST		
9/8/16		62,000	46.747	41.060	2,898.29	2,545.72	(352.57) ST		
Total		128,000			5,888.31	5,255.68	(632.63) ST	153.00	2.91
<i>Next Dividend Payable 03/02/17; Asset Class: Equities</i>									
WELLS FARGO & CO NEW (WFC)									
5/3/16		29,000	49.950	55.110	1,448.55	1,598.19	149.64 ST		
7/15/16		33,000	47.520	55.110	1,568.15	1,818.63	250.48 ST		
9/8/16		60,000	49.907	55.110	2,994.41	3,306.60	312.19 ST		
Total		122,000			6,011.11	6,723.42	712.31 ST	185.00	2.75
<i>Next Dividend Payable 03/01/17; Asset Class: Equities</i>									
WELLTOWER INC (HCN)									
5/3/16		16,000	71.890	66.930	1,150.24	1,070.88	(79.36) ST		
7/15/16		14,000	76.210	66.930	1,066.94	937.02	(129.92) ST		
9/8/16		28,000	77.436	66.930	2,168.22	1,874.04	(294.18) ST		
11/9/16		35,000	63.272	66.930	2,214.52	2,342.55	128.03 ST		
Total		93,000			6,599.92	6,224.49	(375.43) ST	320.00	5.14
<i>Next Dividend Payable 02/01/17; Asset Class: Alt</i>									

	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	94.57%					
Total Corporate Stock per Attachment A-3 =		\$189,953.66	\$195,266.64	\$5,312.98 ST	\$6,499.00	3.33%

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AECOM (ACM)									
	5/3/16	25,000	\$32.258	\$36.360	\$806.44	\$909.00	\$102.56 ST		
	7/15/16	22,000	34.380	36.360	756.36	799.92	43.56 ST		
	9/8/16	49,000	30.247	36.360	1,482.11	1,781.64	299.53 ST		
Total		96,000			3,044.91	3,490.56	445.65 ST	--	--
Asset Class: Equities									
AERCAP HOLDINGS N.V. (AER)									
	5/3/16	34,000	39.507	41.610	1,343.25	1,414.74	71.49 ST		
	7/15/16	26,000	36.975	41.610	961.35	1,081.86	120.51 ST		
	9/8/16	58,000	40.697	41.610	2,360.44	2,413.38	52.94 ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Total		118,000			4,665.04	4,909.98	244.94 ST		
<i>Asset Class: Equities</i>									
AETNA INC (NEW)(CT) (AET)									
5/3/16		19,000	114.732	124.010	2,179.91	2,356.19	176.28 ST		
7/15/16		17,000	118.809	124.010	2,019.76	2,108.17	88.41 ST		
9/8/16		36,000	116.420	124.010	4,191.12	4,464.36	273.24 ST		
Total		72,000			8,390.79	8,928.72	537.93 ST	72.00	0.80
<i>Next Dividend Payable 01/2017; Asset Class: Equities</i>									
AFLAC INCORPORATED (AFL)									
5/3/16		31,000	68.810	69.600	2,133.12	2,157.60	24.48 ST		
7/15/16		28,000	73.267	69.600	2,051.48	1,948.80	(102.68) ST		
9/8/16		55,000	73.030	69.600	4,016.65	3,828.00	(188.65) ST		
Total		114,000			8,201.25	7,934.40	(266.85) ST	196.00	2.47
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
AMERIPRISE FINCL INC (AMP)									
5/3/16		22,000	95.565	110.940	2,102.44	2,440.68	338.24 ST		
7/15/16		23,000	95.992	110.940	2,207.82	2,551.62	343.80 ST		
9/8/16		38,000	100.794	110.940	3,830.19	4,215.72	385.53 ST		
Total		83,000			8,140.45	9,208.02	1,067.57 ST	249.00	2.70
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									
ANTHEM INC COM (ANTM)									
5/3/16		15,000	142.090	143.770	2,131.35	2,156.55	25.20 ST		
7/15/16		17,000	134.707	143.770	2,290.02	2,444.09	154.07 ST		
9/8/16		34,000	127.290	143.770	4,327.86	4,888.18	560.32 ST		
Total		66,000			8,749.23	9,488.82	739.59 ST	172.00	1.81
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
ARRIS INTL INC (ARRS)									
5/3/16		24,000	23.108	30.130	554.58	723.12	168.54 ST		
7/15/16		18,000	25.007	30.130	450.13	542.34	92.21 ST		
9/8/16		49,000	28.237	30.130	1,383.63	1,476.37	92.74 ST		
Total		91,000			2,388.34	2,741.83	353.49 ST		
<i>Asset Class: Equities</i>									
ASSURANT INC (AIZ)									
5/3/16		10,000	86.345	92.860	863.45	928.60	65.15 ST		
7/15/16		10,000	88.022	92.860	880.22	928.60	48.38 ST		
9/8/16		17,000	90.215	92.860	1,533.66	1,578.62	44.96 ST		
Total		37,000			3,277.33	3,435.82	158.49 ST	78.00	2.27
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
AVIS BUDGET GROUP COM (CAR)									
5/3/16		16,000	23.889	36.680	382.22	586.88	204.66 ST		
7/15/16		12,000	36.030	36.680	432.36	440.16	7.80 ST		
9/8/16		25,000	38.194	36.680	954.86	917.00	(37.86) ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Asset Class: Equities									
BROADCOM LTD SHS (AVGO)									
	Total	53,000			1,769.44	1,944.04	174.60 ST		
	5/3/16	14,000	143.876	176.770	2,014.27	2,474.78	460.51 ST		
	7/15/16	13,000	160.570	176.770	2,087.41	2,298.01	210.60 ST		
	9/8/16	22,000	168.323	176.770	3,703.11	3,888.94	185.83 ST		
	Total	49,000			7,804.79	8,661.73	856.94 ST	200.00	2.30
Next Dividend Payable 03/2017; Asset Class: Equities									
CELANESE CORP SERIES A COM STK (GE)									
	5/3/16	25,000	70.890	78.740	1,772.24	1,968.50	196.26 ST		
	7/15/16	21,000	70.312	78.740	1,476.56	1,653.54	176.98 ST		
	9/8/16	44,000	63.825	78.740	2,808.30	3,464.56	656.26 ST		
	Total	90,000			6,057.10	7,086.60	1,029.50 ST	130.00	1.83
Next Dividend Payable 02/2017; Asset Class: Equities									
COMCAST CORP (NEW) CLASS A (CMCSA)									
	5/3/16	35,000	61.407	69.050	2,149.25	2,416.75	267.50 ST		
	7/15/16	30,000	66.777	69.050	2,003.32	2,071.50	68.18 ST		
	9/8/16	61,000	66.167	69.050	4,036.20	4,212.05	175.85 ST		
	Total	126,000			8,188.77	8,700.30	511.53 ST	139.00	1.59
Next Dividend Payable 01/25/17; Asset Class: Equities									
COMSCOPE HOLDING COMPANY INC (COMM)									
	10/5/16	59,000	30.880	37.200	1,821.92	2,194.80	372.88 ST		
	11/1/16	37,000	30.718	37.200	1,136.55	1,376.40	239.85 ST		
	Total	96,000			2,958.47	3,571.20	612.73 ST		
Asset Class: Equities									
CORNING INC (GLW)									
	5/3/16	116,000	18.557	24.270	2,152.61	2,815.32	662.71 ST		
	7/15/16	88,000	21.327	24.270	1,876.78	2,135.76	258.98 ST		
	9/8/16	166,000	22.707	24.270	3,769.30	4,028.82	259.52 ST		
	Total	370,000			7,798.69	8,979.90	1,181.21 ST	200.00	2.22
Next Dividend Payable 03/2017; Asset Class: Equities									
EATON CORP PLC SHS (ETN)									
	5/3/16	34,000	63.087	67.090	2,144.96	2,281.06	136.10 ST C		
	7/15/16	34,000	63.625	67.090	2,163.25	2,281.06	117.81 ST C		
	9/8/16	58,000	66.140	67.090	3,836.11	3,891.22	55.11 ST C		
	Total	126,000			8,144.32	8,453.34	309.02 ST	287.00	3.39
Next Dividend Payable 02/2017; Asset Class: Equities									
EOG RESOURCES INC (EOG)									
	5/3/16	26,000	80.332	101.100	2,088.64	2,628.60	539.96 ST		
	7/15/16	25,000	83.991	101.100	2,099.78	2,527.50	427.72 ST		
	9/8/16	38,000	95.145	101.100	3,615.51	3,841.80	226.29 ST		
	Total	89,000			7,803.93	8,997.90	1,193.97 ST	60.00	0.66

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 01/2017; Asset Class: Equities</i>									
<i>GOODYEAR TIRE & RUBBER (GT)</i>									
	5/3/16	45,000	28.435	30.870	1,279.58	1,389.15	109.57 ST		
	7/15/16	41,000	26.419	30.870	1,083.17	1,265.67	182.50 ST		
	9/8/16	70,000	31.377	30.870	2,196.40	2,160.90	(35.50) ST		
Total		156,000			4,559.15	4,815.72	256.57 ST	62.00	1.28
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
<i>HERTZ GLOBAL HOLDINGS INC. (HTZ)</i>									
	5/3/16	14,000	34.550	21.560	483.70	301.84	(181.86) ST		
	7/15/16	15,000	51.184	21.560	767.76	323.40	(444.36) ST		
	9/8/16	22,000	51.722	21.560	1,137.88	474.32	(663.56) ST		
Total		51,000			2,389.34	1,099.56	(1,289.78) ST	--	--
<i>Asset Class: Equities</i>									
<i>JOHNSON CTLS INTL PLC (ICI)</i>									
	9/6/16	82,000	45.690	41.190	3,746.58	3,377.58	(369.00) ST		
	9/8/16	96,000	47.745	41.190	4,583.52	3,954.24	(629.28) ST		
Total		178,000			8,330.10	7,331.82	(998.28) ST	178.00	2.42
<i>Next Dividend Payable 01/06/17; Asset Class: Equities</i>									
<i>LIBERTY INTERACTIVE CORP QVC A (QVCA)</i>									
	5/3/16	81,000	26.416	19.980	2,139.69	1,618.38	(521.31) ST		
	7/15/16	83,000	26.757	19.980	2,220.84	1,658.34	(562.50) ST		
	9/8/16	216,000	19.877	19.980	4,293.39	4,315.68	22.29 ST		
Total		380,000			8,653.92	7,592.40	(1,061.52) ST	--	--
<i>Asset Class: Equities</i>									
<i>LINCOLN NTL CORP IND (LNC)</i>									
	5/13/16	38,000	43.224	66.270	1,642.51	2,518.26	875.75 ST		
	7/15/16	34,000	42.697	66.270	1,451.70	2,253.18	801.48 ST		
	9/8/16	76,000	47.137	66.270	3,582.43	5,036.52	1,454.09 ST		
Total		148,000			6,676.64	9,807.96	3,131.32 ST	172.00	1.75
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									
<i>MICROSEMI CORP (MSCC)</i>									
	5/3/16	18,000	33.360	53.970	600.48	971.46	370.98 ST		
	7/15/16	17,000	33.848	53.970	575.41	917.49	342.08 ST		
	9/8/16	36,000	40.668	53.970	1,464.03	1,942.92	478.89 ST		
Total		71,000			2,639.92	3,831.87	1,191.95 ST	--	--
<i>Asset Class: Equities</i>									
<i>NATIONAL OILWELL VARCO INC (NOV)</i>									
	5/3/16	62,000	34.414	37.440	2,133.68	2,321.28	187.60 ST		
	7/15/16	66,000	33.747	37.440	2,227.31	2,471.04	243.73 ST		
	9/8/16	102,000	35.207	37.440	3,591.10	3,818.88	227.78 ST		
Total		230,000			7,952.09	8,611.20	659.11 ST	46.00	0.53
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
NCR CORPORATION (NCR)									
	5/3/16	21,000	28.522	40.560	598.97	851.76	252.79 ST		
	7/15/16	17,000	30.500	40.560	518.50	689.52	171.02 ST		
	9/8/16	40,000	33.090	40.560	1,323.60	1,622.40	298.80 ST		
Total		78,000			2,441.07	3,163.68	722.61 ST	--	--
Asset Class: Equities									
OWENS ILLINOIS COM NEW (OI)									
	5/3/16	27,000	19.065	17.410	514.76	470.07	(44.69) ST		
	7/15/16	26,000	18.137	17.410	471.56	452.66	(18.90) ST		
	9/8/16	45,000	18.370	17.410	826.65	783.45	(43.20) ST		
Total		98,000			1,812.97	1,706.18	(106.79) ST	--	--
Asset Class: Equities									
SUNCOR ENERGY INC (SU)									
	5/3/16	77,000	27.427	32.690	2,111.88	2,517.13	405.25 ST		
	7/15/16	77,000	27.887	32.690	2,147.28	2,517.13	369.85 ST		
	9/8/16	151,000	27.777	32.690	4,194.31	4,936.19	741.88 ST		
Total		305,000			8,453.47	9,970.45	1,516.98 ST	261.00	2.61
Next Dividend Payable 03/2017; Asset Class: Equities									
STANTEC CORP (STMC)									
	5/3/16	110,000	16.680	23.890	1,834.79	2,627.90	793.11 ST		
	7/15/16	92,000	20.967	23.890	1,928.98	2,197.88	268.90 ST		
	9/8/16	133,000	24.875	23.890	3,308.38	3,177.37	(131.01) ST		
Total		335,000			7,072.15	8,003.15	931.00 ST	101.00	1.26
Next Dividend Payable 03/2017; Asset Class: Equities									
TE CONNECTIVITY LTD NEW (TEL)									
	5/3/16	36,000	59.883	69.280	2,155.77	2,494.08	338.31 ST		
	7/15/16	37,000	59.967	69.280	2,218.78	2,563.36	344.58 ST		
	9/8/16	61,000	62.875	69.280	3,835.38	4,226.08	390.70 ST		
Total		134,000			8,209.93	9,283.52	1,073.59 ST	198.00	2.13
Next Dividend Payable 03/2017; Asset Class: Equities									
TENNECO AUTOMOTIVE INC (TEN)									
	5/3/16	9,000	53.197	62.470	478.77	562.23	83.46 ST		
	7/15/16	9,000	50.094	62.470	450.85	562.23	111.38 ST		
	9/8/16	16,000	56.660	62.470	906.56	999.52	92.96 ST		
Total		34,000			1,836.18	2,123.98	287.80 ST	--	--
Asset Class: Equities									
WESTERN DIGITAL CORPORATION (WDC)									
	5/3/16	39,000	39.525	67.950	1,541.48	2,650.05	1,108.57 ST		
	7/15/16	45,000	51.627	67.950	2,323.22	3,057.75	734.53 ST		
	9/8/16	72,000	53.470	67.950	3,849.84	4,892.40	1,042.56 ST		
Total		156,000			7,714.54	10,600.20	2,885.66 ST	312.00	2.94
Next Dividend Payable 01/17/17; Asset Class: Equities									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
WESTERN UN CO (WU)	5/3/16	84,000	19.925	21.720	1,673.70	1,824.48	150.78 ST		
	7/15/16	74,000	20.097	21.720	1,487.19	1,607.28	120.09 ST		
	9/8/16	142,000	21.247	21.720	3,017.02	3,084.24	67.22 ST		
Total		300,000			6,177.91	6,516.00	338.09 ST	192.00	2.94
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
WHIRLPOOL CORP (WHR)	7/29/16	13,000	192.012	181.770	2,496.15	2,363.01	(133.14) ST		
	9/8/16	32,000	175.330	181.770	5,610.56	5,816.64	206.08 ST		
Total		45,000			8,106.71	8,179.65	72.94 ST	180.00	2.20
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
WILLIS TOWERS WATSON PUB LTD (WLTW)	5/3/16	17,000	126.246	122.280	2,146.19	2,078.76	(67.43) ST		
	7/15/16	17,000	124.769	122.280	2,121.07	2,078.76	(42.31) ST		
	9/8/16	31,000	126.030	122.280	3,906.93	3,790.68	(116.25) ST		
Total		65,000			8,174.19	7,948.20	(225.99) ST	125.00	1.57
<i>Next Dividend Payable 01/17/17; Asset Class: Equities</i>									
STOCKS	Percentage of Holdings	Total Corporate Stock per Attachment A-4 =			\$198,583.13	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	98.88%					\$217,118.70	\$18,535.57 ST	\$3,610.00	1.66%

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ADOBE SYSTEMS (ADBE)	7/20/16	8,000	\$98.595	\$102.950	\$788.76	\$823.60	\$34.84 ST		
	9/8/16	11,000	101.880	102.950	1,120.68	1,132.45	11.77 ST		
	Total	19,000			1,909.44	1,956.05	46.61 ST	--	--
<i>Asset Class: Equities</i>									
AETNA INC (NEW)(CT) (AET)	7/20/16	7,000	116.979	124.010	818.85	868.07	49.22 ST		
	9/8/16	8,000	116.420	124.010	931.36	992.08	60.72 ST		
	Total	15,000			1,750.21	1,860.15	109.94 ST	15.00	0.80
<i>Next Dividend Payable 01/2017; Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AKAMAI TECHNOLOGIES INC (AKAM)									
	7/20/16	16,000	57.750	66.680	924.00	1,066.88	142.88 ST		
	9/8/16	25,000	53.567	66.680	1,339.18	1,667.00	327.82 ST		
	9/29/16	2,000	52.870	66.680	105.74	133.36	27.62 ST		
Total		43,000			2,368.92	2,867.24	498.32 ST	—	—
Asset Class: Equities									
ALEXION PHARM INC (ALXN)									
	7/20/16	6,000	126.973	122.350	761.84	734.10	(27.74) ST		
	9/8/16	6,000	129.883	122.350	779.30	734.10	(45.20) ST		
	9/8/16	2,000	128.990	122.350	257.98	244.70	(13.28) ST		
	12/12/16	1,000	113.440	122.350	113.44	122.35	8.91 ST		
Total		15,000			1,912.56	1,835.25	(77.31) ST	—	—
Asset Class: Equities									
ALPHABET INC CL A (GOOGL)									
	7/20/16	1,000	757.500	792.450	757.50	792.45	34.95 ST		
	9/8/16	1,000	802.760	792.450	802.76	792.45	(10.31) ST		
Total		2,000			1,560.26	1,584.90	24.64 ST	—	—
Asset Class: Equities									
ALPHABET INC CL C (GOOG)									
	7/20/16	2,000	740.230	771.820	1,480.46	1,543.64	63.18 ST		
	9/8/16	1,000	775.510	771.820	775.51	771.82	(3.69) ST		
Total		3,000			2,255.97	2,315.46	59.49 ST	—	—
Asset Class: Equities									
AMAZON COM INC (AMZN)									
	7/20/16	3,000	744.903	749.870	2,234.71	2,249.61	14.90 ST		
	9/8/16	2,000	784.260	749.870	1,568.52	1,499.74	(68.78) ST		
Total		5,000			3,803.23	3,749.35	(53.88) ST	—	—
Asset Class: Equities									
AMERICAN EXPRESS CO (AXP)									
	7/20/16	13,000	64.575	74.080	839.48	963.04	123.56 ST		
	9/8/16	13,000	66.457	74.080	863.94	963.04	99.10 ST		
Total		26,000			1,703.42	1,926.08	222.66 ST	33.00	1.71
Next Dividend Payable 02/2017, Asset Class: Equities									
ANHEUSER BUSCH INBEV SA SPON (BUD)									
	7/20/16	8,000	125.970	105.440	1,007.76	843.52	(164.24) ST		
	9/8/16	7,000	126.696	105.440	886.87	738.08	(148.79) ST		
	11/2/16	2,000	114.720	105.440	229.44	210.88	(18.56) ST		
Total		17,000			2,124.07	1,792.48	(331.59) ST	54.00	3.01
Asset Class: Equities									
APPLE INC (AAPL)									
	7/20/16	7,000	99.837	115.820	698.86	810.74	111.88 ST		
	9/8/16	6,000	105.598	115.820	633.59	694.92	61.33 ST		
	9/8/16	1,000	105.610	115.820	105.61	115.82	10.21 ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Total		14,000			1,438.06	1,621.48	183.42 ST	32.00	1.97
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									
BIOMER INC COM (BIIB)									
7/20/16		4,000	261.440	283.580	1,045.76	1,134.32	88.56 ST		
9/8/16		4,000	309.308	283.580	1,237.23	1,134.32	(102.91) ST		
Total		8,000			2,282.99	2,268.64	(14.35) ST	—	—
<i>Asset Class: Equities</i>									
BLACKROCK INC (BLK)									
7/20/16		3,000	358.810	380.540	1,076.43	1,141.62	65.19 ST		
9/8/16		3,000	372.137	380.540	1,116.41	1,141.62	25.21 ST		
Total		6,000			2,192.84	2,283.24	90.40 ST	55.00	2.40
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
CELGENE CORP (CELG)									
7/20/16		15,000	104.763	115.750	1,571.44	1,736.25	164.81 ST		
9/8/16		15,000	107.859	115.750	1,617.89	1,736.25	118.36 ST		
Total		30,000			3,189.33	3,472.50	283.17 ST	—	—
<i>Asset Class: Equities</i>									
CHARLES SCHWAB NEW (SCHW)									
7/20/16		26,000	27.787	39.470	722.45	1,026.22	303.77 ST		
9/8/16		21,000	30.970	39.470	650.37	828.87	178.50 ST		
Total		47,000			1,372.82	1,855.09	482.27 ST	13.00	0.70
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									
CHIPOTLE MEXICAN GRILL INC COM (CMG)									
12/12/16		2,000	380.515	377.320	761.03	754.64	(6.39) ST	—	—
<i>Asset Class: Equities</i>									
COCA COLA CO (KO)									
7/20/16		24,000	45.427	41.460	1,090.24	995.04	(95.20) ST		
9/8/16		27,000	43.577	41.460	1,176.58	1,119.42	(57.16) ST		
9/29/16		2,000	42.155	41.460	84.31	82.92	(1.39) ST		
Total		53,000			2,351.13	2,197.38	(153.75) ST	74.00	3.36
<i>Next Dividend Payable 03/2017; Asset Class: Equities</i>									
COMCAST CORP (NEW) CLASS A (CMCSA)									
7/20/16		20,000	67.067	69.050	1,341.34	1,381.00	39.66 ST		
9/8/16		21,000	66.170	69.050	1,389.57	1,450.05	60.48 ST		
Total		41,000			2,730.91	2,831.05	100.14 ST	45.00	1.58
<i>Next Dividend Payable 01/25/17; Asset Class: Equities</i>									
CVS HEALTH CORP COM (CVS)									
7/20/16		18,000	97.005	78.910	1,746.09	1,470.38	(325.71) ST		
9/8/16		20,000	92.730	78.910	1,854.60	1,578.20	(276.40) ST		
Total		38,000			3,600.69	2,998.58	(602.11) ST	76.00	2.53
<i>Next Dividend Payable 02/2017; Asset Class: Equities</i>									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
DENTSPLY SIRONA INC (XRAY)									
	10/28/16	2,000	57.120	57.730	114.24	115.46	1.22 ST		
	10/31/16	1,000	57.370	57.730	57.37	57.73	0.36 ST		
	11/1/16	2,000	58.515	57.730	117.03	115.46	(1.57) ST		
	11/2/16	1,000	60.060	57.730	60.06	57.73	(2.33) ST		
	11/3/16	2,000	59.805	57.730	119.61	115.46	(4.15) ST		
	11/4/16	4,000	60.865	57.730	243.46	230.92	(12.54) ST		
	11/9/16	1,000	60.840	57.730	60.84	57.73	(3.11) ST		
	11/10/16	2,000	61.310	57.730	122.62	115.46	(7.16) ST		
	11/16/16	2,000	60.485	57.730	120.97	115.46	(5.51) ST		
	11/22/16	2,000	59.455	57.730	118.91	115.46	(3.45) ST		
	12/1/16	2,000	57.925	57.730	115.85	115.46	(0.39) ST		
Total		21,000			1,250.96	1,212.33	(38.63) ST	7.00	0.57
Next Dividend Payable 01/13/17; Asset Class: Equities									
EBAY INC (EBAY)									
	7/20/16	25,000	27.037	29.690	675.92	742.25	66.33 ST		
	9/8/16	16,000	32.755	29.690	524.08	475.04	(49.04) ST		
Total		41,000			1,200.00	1,217.29	17.29 ST	--	--
Asset Class: Equities									
ECOLAB INC (ECL)									
	7/20/16	8,000	119.980	117.220	959.84	937.76	(22.08) ST		
	9/8/16	8,000	122.440	117.220	979.52	937.76	(41.76) ST		
Total		16,000			1,939.36	1,875.52	(63.84) ST	24.00	1.27
Next Dividend Payable 01/17/17; Asset Class: Equities									
FACEBOOK INC CL-A (FB)									
	7/20/16	9,000	122.107	115.050	1,098.96	1,035.45	(63.51) ST		
	9/8/16	10,000	130.260	115.050	1,302.60	1,150.50	(152.10) ST		
Total		19,000			2,401.56	2,185.95	(215.61) ST	--	--
Asset Class: Equities									
FORTINET INC (FTNT)									
	7/20/16	11,000	34.953	30.120	384.48	331.32	(53.16) ST		
	9/8/16	10,000	36.450	30.120	364.50	301.20	(63.30) ST		
	10/12/16	9,000	30.272	30.120	272.45	271.08	(1.37) ST		
Total		30,000			1,021.43	903.60	(117.83) ST	--	--
Asset Class: Equities									
GENERAL ELECTRIC CO (GE)									
	7/20/16	26,000	32.807	31.600	852.97	821.60	(31.37) ST		
	9/8/16	30,000	30.965	31.600	928.95	948.00	19.05 ST		
Total		56,000			1,781.92	1,769.60	(12.32) ST	54.00	3.05
Next Dividend Payable 01/25/17; Asset Class: Equities									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
HOME DEPOT INC (HD)									
	7/20/16	1,000	137.210	134.080	137.21	134.08	(3.13) ST		
	7/20/16	10,000	137.210	134.080	1,372.10	1,340.80	(31.30) ST		
	9/8/16	11,000	131.350	134.080	1,444.85	1,474.88	30.03 ST		
Total		22,000			2,954.16	2,949.76	(4.40) ST	61.00	2.06
Next Dividend Payable 03/2017; Asset Class: Equities									
JOHNSON & JOHNSON (JNJ)									
	7/20/16	1,000	125.190	115.210	125.19	115.21	(9.98) ST		
	7/20/16	7,000	125.197	115.210	876.38	806.47	(69.91) ST		
	9/8/16	8,000	119.434	115.210	955.47	921.68	(33.79) ST		
Total		16,000			1,957.04	1,843.36	(113.68) ST	51.00	2.76
Next Dividend Payable 03/2017; Asset Class: Equities									
MICROSOFT CORP (MSFT)									
	7/20/16	30,000	56.447	62.140	1,693.42	1,864.20	170.78 ST		
	9/8/16	26,000	57.310	62.140	1,490.06	1,615.64	125.58 ST		
Total		56,000			3,183.48	3,479.84	296.36 ST	87.00	2.50
Next Dividend Payable 03/2017; Asset Class: Equities									
MONSANTO CO/NEW (MON)									
	7/20/16	9,000	106.933	105.210	962.40	946.89	(15.51) ST		
	9/8/16	9,000	107.946	105.210	971.51	946.89	(24.62) ST		
	11/16/16	2,000	100.745	105.210	201.49	210.42	8.93 ST		
Total		20,000			2,135.40	2,104.20	(31.20) ST	43.00	2.04
Next Dividend Payable 01/2017; Asset Class: Equities									
NASDAQ INC COM (NDAQ)									
	7/20/16	11,000	67.857	67.120	746.43	738.32	(8.11) ST		
	9/8/16	10,000	70.365	67.120	703.65	671.20	(32.45) ST		
Total		21,000			1,450.08	1,409.52	(40.56) ST	27.00	1.91
Next Dividend Payable 03/2017; Asset Class: Equities									
PALO ALTO NETWORKS INC (PANW)									
	7/20/16	3,000	129.680	125.050	389.04	375.15	(13.89) ST		
	9/1/16	1,000	139.390	125.050	139.39	125.05	(14.34) ST		
	9/8/16	4,000	147.340	125.050	589.36	500.20	(89.16) ST		
	12/5/16	3,000	129.270	125.050	387.81	375.15	(12.66) ST		
Total		11,000			1,505.60	1,375.55	(130.05) ST	—	—
Asset Class: Equities									
PAYPAL HLDGS INC COM (PYPL)									
	7/20/16	22,000	40.337	39.470	887.41	868.34	(19.07) ST		
	9/8/16	23,000	39.110	39.470	899.53	907.81	8.28 ST		
Total		45,000			1,786.94	1,776.15	(10.79) ST	—	—
Asset Class: Equities									
RED HAT INC (RHT)									
	7/20/16	13,000	73.857	69.700	960.14	906.10	(54.04) ST		
	9/8/16	14,000	72.794	69.700	1,019.12	975.80	(43.32) ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Asset Class: Equities									
REGENERON PHARM (REGN)									
	7/20/16	1,000	386.090	367.090	386.09	367.09	(19.00) ST		
	9/8/16	1,000	403.000	367.090	403.00	367.09	(35.91) ST		
	12/9/16	1,000	375.300	367.090	375.30	367.09	(8.21) ST		
Total		3,000			1,164.39	1,101.27	(63.12) ST		
Asset Class: Equities									
ROCKWELL COLLINS INC (COL)									
	7/20/16	10,000	86.953	92.760	869.53	927.60	58.07 ST		
	9/8/16	10,000	84.015	92.760	840.15	927.60	87.45 ST		
	10/26/16	1,000	81.250	92.760	81.25	92.76	11.51 ST		
Total		21,000			1,790.93	1,947.96	157.03 ST	28.00	1.43
Next Dividend Payable 03/20/17; Asset Class: Equities									
SCHLUMBERGER LTD (SLB)									
	7/20/16	17,000	80.740	83.950	1,372.58	1,427.15	54.57 ST		
	9/8/16	19,000	79.360	83.950	1,507.84	1,595.05	87.21 ST		
Total		36,000			2,880.42	3,022.20	141.78 ST	72.00	2.38
Next Dividend Payable 01/13/17; Asset Class: Equities									
TEXAS INSTRUMENTS (TXN)									
	7/20/16	11,000	65.570	72.970	721.27	802.67	81.40 ST		
	9/8/16	10,000	68.915	72.970	689.15	729.70	40.55 ST		
Total		21,000			1,410.42	1,532.37	121.95 ST	42.00	2.74
Next Dividend Payable 02/10/17; Asset Class: Equities									
THERMO FISHER SCIENTIFIC (TMO)									
	7/20/16	6,000	157.850	141.100	947.10	846.60	(100.50) ST		
	9/8/16	7,000	150.810	141.100	1,055.67	987.70	(67.97) ST		
Total		13,000			2,002.77	1,834.30	(168.47) ST	8.00	0.43
Next Dividend Payable 01/16/17; Asset Class: Equities									
TWENTY-FIRST CENTURY FOX CL A (FOXA)									
	7/20/16	25,000	27.100	28.040	677.50	701.00	23.50 ST		
	8/4/16	2,000	25.750	28.040	51.50	56.08	4.58 ST		
	9/8/16	34,000	24.657	28.040	838.34	953.36	115.02 ST		
Total		61,000			1,567.34	1,710.44	143.10 ST	22.00	1.28
Next Dividend Payable 04/10/17; Asset Class: Equities									
UNITED PARCEL SER INC CL-B (UPS)									
	7/20/16	9,000	110.627	114.640	995.64	1,031.76	36.12 ST		
	9/8/16	9,000	109.190	114.640	982.71	1,031.76	49.05 ST		
Total		18,000			1,978.35	2,063.52	85.17 ST	56.00	2.71
Next Dividend Payable 02/10/17; Asset Class: Equities									
UNITEDHEALTH GP INC (UNH)									
	7/20/16	9,000	143.439	160.040	1,290.95	1,440.36	149.41 ST		
	9/8/16	11,000	135.447	160.040	1,489.92	1,760.44	270.52 ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Next Dividend Payable 03/2017; Asset Class: Equities									
VISA INC CL A (V)									
	7/20/16	19,000	79.555	78.020	1,511.54	1,482.38	(29.16) ST		
	9/8/16	17,000	82.937	78.020	1,409.93	1,326.34	(83.59) ST		
Total		36,000			2,921.47	2,808.72	(112.75) ST	24.00	0.85
Next Dividend Payable 03/2017; Asset Class: Equities									
VMWARE INC CLASS A (VMW)									
	7/20/16	10,000	70.240	78.730	702.40	787.30	84.90 ST		
	9/8/16	8,000	73.990	78.730	591.92	629.84	37.92 ST		
Total		18,000			1,294.32	1,417.14	122.82 ST	—	—
Asset Class: Equities									
W W GRAINGER INC (GWW)									
	7/20/16	4,000	217.340	232.250	869.36	929.00	59.64 ST		
	9/8/16	3,000	229.250	232.250	687.75	696.75	9.00 ST		
Total		7,000			1,557.11	1,625.75	68.64 ST	34.00	2.09
Next Dividend Payable 03/2017; Asset Class: Equities									
WALT DISNEY CO HLDG CO (DIS)									
	7/20/16	12,000	98.397	104.220	1,180.76	1,250.64	69.88 ST		
	8/30/16	1,000	94.970	104.220	94.97	104.22	9.25 ST		
	9/8/16	13,000	94.115	104.220	1,223.50	1,354.86	131.36 ST		
Total		26,000			2,499.23	2,709.72	210.49 ST	41.00	1.51
Next Dividend Payable 01/11/17; Asset Class: Equities									
XILINX INC (XLNX)									
	7/20/16	14,000	48.150	60.370	674.10	845.18	171.08 ST		
	9/8/16	12,000	53.480	60.370	641.76	724.44	82.68 ST		
Total		26,000			1,315.86	1,569.62	253.76 ST	34.00	2.16
Next Dividend Payable 02/2017; Asset Class: Equities									
YUM CHINA HLDNGS (YUMC)									
	7/20/16	9,000	26.550	26.120	238.95	235.08	(3.87) ST		
	9/8/16	7,000	26.851	26.120	187.96	182.84	(5.12) ST		
	11/8/16	11,000	26.708	26.120	289.32	287.32	(2.00) ST		
	11/9/16	10,000	26.274	26.120	262.74	261.20	(1.54) ST		
	11/10/16	9,000	26.198	26.120	235.78	235.08	(0.70) ST		
	11/11/16	11,000	26.676	26.120	289.44	287.32	(2.12) ST		
Total		57,000			1,512.66	1,488.84	(23.82) ST	—	—
Asset Class: Equities									
ZOETIS INC CLASS-A (ZTS)									
	7/20/16	22,000	50.217	53.530	1,104.77	1,177.66	72.89 ST		
	9/8/16	21,000	51.500	53.530	1,081.50	1,124.13	42.63 ST		
Total		43,000			2,186.27	2,301.79	115.52 ST	18.00	0.78
Next Dividend Payable 03/2017; Asset Class: Equities									

STOCKS	Percentage of Holdings	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	95.23%	\$94,717.48	\$96,488.57	\$1,771.09 ST	\$1,180.00	1.22%
Total Corporate Stock per Attachment A-5 =						

CORPORATE FIXED INCOME
CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
GS CONTINGENT 8% WORST OF RTY SPX SX5E DISCRETIONARY 5/5/16 CALL Coupon Rate 8.000%; Matures 02/09/2018; CUSIP 40054KCC8 Interest Paid Quarterly Aug 11; Yield to Maturity 7.518%; Floater; Trading Flat; Issued 05/11/16; Asset Class: Struct Inv	5/5/16	75,000,000	\$100,000 \$100,000	\$100.490	\$75,000.00 \$75,000.00	\$75,367.50	\$367.50 ST	—	—
GS CONTINGENT 9% WORST OF RTY SPX SX5E DISCRETIONARY 4/29/16 CALL Coupon Rate 9.000%; Matures 05/03/2018; CUSIP 22548Q4R3	4/29/16	150,000,000	100,000 100,000	99.780	150,000.00 150,000.00	149,670.00	(330.00) ST	—	—

Susan and Elihu Rose Foundation, Inc.

EIN: 13-3484181

Portfolio Holdings

December 31, 2016

Security Description	Trade Date	Face Value	Orig Unit Cost	Adj Unit Cost	Unit Price	Orig Total Cost	Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
<i>Interest Paid Quarterly Aug 03; Yield to Maturity 9.161%; Floater; Trading Flat; Issued 05/05/16; Asset Class: Struct Inv</i>											
JPM CONTINGENT 8.05% WORSTOF R TY SPX SX5E	11/30/16	200,000.000	100.000		99.920	200,000.00					
DISCRETIONARY CALL			100.000			200,000.00		199,840.00	(160.00) ST		
Coupon Rate 9.050%; Matures 12/05/2018; CUSIP 46646QBC8											
<i>Interest Paid Quarterly Mar 03; Yield to Maturity 9.089%; First Coupon 03/03/17; Floater; Trading Flat; Issued 12/05/16; Asset Class: Struct Inv</i>											
CORPORATE FIXED INCOME	Percentage of Holdings	Orig Total Cost		Market Value		Unrealized Gain/(Loss)		Est Ann Income	Current Yield %		
		Adj Total Cost									
	52.55%		\$425,000.00	\$425,000.00	\$424,877.50	\$(122.50) ST	\$0.00				
Total Corporate Bonds per Attachment B-1 = \$425,000.00											
\$0.00											

CORPORATE FIXED INCOME
CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
ARROW ELECTRONICS INC									
Coupon Rate 3.000%; Matures 03/01/2018; CUSIP 042735BB5	11/8/16	3,000,000	\$101.458 \$101.312	\$101.139	\$3,043.74 \$3,039.37	\$3,034.17	\$(5.20) ST	\$90.00 \$29.99	2.96
Int. Semi-Annually Mar/Sep 01; Yield to Maturity 2.006%; Moody BAA3			S&P BBB-; Issued 02/20/13; Asset Class: FI & Pref						
WILLIS NORTH AMER INC									
Coupon Rate 7.000%; Matures 09/29/2019; CUSIP 970648AE1	7/21/16	7,000,000	112.875 111.188	111.259	7,901.25 7,783.17	7,788.13	4.96 ST	490.00 144.27	6.29
Int. Semi-Annually Mar/Sep 15; Yield to Maturity 2.713%; Moody BAA3			S&P BBB; Issued 09/29/09; Asset Class: FI & Pref						

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
CDK GLOBAL INC									
Coupon Rate 3.800%, Matures 10/15/2019, CUSIP 12508EAB7	6/16/16	8,000,000	99.625	100.750	7,970.00				
	7/18/16	7,000,000	99.625	100.750	7,970.00	8,060.00	90.00 ST		
			100.500	100.750	7,035.00				
			100.434		7,030.41	7,052.50	22.09 ST		
Total		15,000,000			15,005.00	15,112.50	112.09 ST	570.00	3.77
<i>Int. Semi-Annually Apr/Oct 15; Callable \$100.00 on 09/15/19; Yield to Call 3.505%; Moody BA1 S&P BB+; Issued 04/15/15; Asset Class: FI & Pref</i>									
RPM INTERNATIONAL INC	5/24/16	7,000,000	110.887	109.817	7,762.09				
Coupon Rate 6.125%; Matures 10/15/2019; CUSIP 749685AR4	7/21/16	6,000,000	109.042	109.817	7,632.92	7,687.19	54.27 ST		
			111.175	109.817	6,670.50				
			109.727		6,583.61	6,589.02	5.41 ST		
Total		13,000,000			14,432.59	14,276.21	59.68 ST	796.00	5.57
<i>Int. Semi-Annually Apr/Oct 15; Yield to Maturity 2.460%; Moody BAA3 S&P BBB; Issued 10/09/09; Asset Class: FI & Pref</i>									
HCA HOLDINGS, INC	7/21/16	6,000,000	111.900	109.400	6,714.00				
Coupon Rate 6.500%, Matures 02/15/2020; CUSIP 404121AC9			110.520		6,631.18	6,564.00	(67.18) ST	390.00	5.94
<i>Int. Semi-Annually Feb/Aug 15; Yield to Maturity 3.305%; Moody BA1 S&P BBB-; Issued 08/01/11; Asset Class: FI & Pref</i>	5/26/16	7,000,000	104.179	102.638	7,292.53				
DUN & BRADSTREET CORP			103.604		7,252.31	7,184.66	(67.65) ST	280.00	3.89
Coupon Rate 4.000%, Matures 06/15/2020, CUSIP 26483EAH3								12.44	
<i>Int. Semi-Annually Jun/Dec 15; Callable \$100.00 on 05/15/20; Yield to Call 3.168%; S&P BBB-; Issued 06/15/15; Asset Class: FI & Pref</i>	6/13/16	7,000,000	111.913	109.307	7,833.88				
EXPEDIA INC			110.439		7,730.71	7,651.49	(79.22) ST	417.00	5.44
Coupon Rate 5.950%, Matures 08/15/2020; CUSIP 30212PAH8								157.34	
<i>Int. Semi-Annually Feb/Aug 15; Yield to Maturity 3.207%; Moody BA1 S&P BBB-; Issued 08/05/10; Asset Class: FI & Pref</i>	9/21/16	6,000,000	110.662	107.312	6,639.72				
AMERICAN TOWER CORP			109.973		6,598.37	6,438.72	(159.65) ST	303.00	4.70
Coupon Rate 5.050%, Matures 09/01/2020, CUSIP 029912BC5								100.99	
<i>Int. Semi-Annually Mar/Sep 01; Yield to Maturity 2.931%; Moody BAA3 S&P BBB-; Issued 08/16/10; Asset Class: FI & Pref</i>	5/23/16	7,000,000	101.137	102.094	7,079.59				
BLOCK FINANCIAL LLC			100.991		7,069.38	7,146.58	77.20 ST		
Coupon Rate 4.125%, Matures 10/01/2020, CUSIP 093662AF1	9/21/16	7,000,000	104.446	102.094	7,311.22				
			104.168		7,291.79	7,146.58	(145.21) ST		
Total		14,000,000			14,390.81	14,293.16	(68.01) ST	578.00	4.04
<i>Int. Semi-Annually Apr/Oct 01; Callable \$100.00 on 09/01/20; Yield to Call 3.510%; Moody BAA3 S&P BBB; Issued 09/30/15; Asset Class: FI & Pref</i>									
FIDELITY NATIONAL INFORM	6/3/16	7,000,000	105.025	103.527	7,351.75				
Coupon Rate 3.625%; Matures 10/15/2020; CUSIP 31620MAP1			104.402		7,308.12	7,246.89	(61.23) ST	254.00	3.50
<i>Int. Semi-Annually Apr/Oct 15; Callable \$100.00 on 09/15/20; Yield to Call 2.619%; Moody BAA3 S&P BBB; Issued 10/20/15; Asset Class: FI & Pref</i>								53.56	

Susan and Elihu Rose Foundation, Inc.

EIN: 13-3484181

Portfolio Holdings

December 31, 2016

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
L-3 COMMUNICATIONS CORP									
Coupon Rate 4.950%; Matures 02/15/2021; CUSIP 502413BA4	7/27/16	7,000,000	110.465	106.835	7,732.55			347.00	4.63
Int. Semi-Annually Feb/Aug 15; Callable \$100.00 on 11/15/20; Yield to Call 3.064%; Moody BAA3			109.551		7,668.57	7,478.45	(190.12) ST	130.90	
GAP INC									
Coupon Rate 5.950%; Matures 04/12/2021; CUSIP 364760AK4	5/24/16	7,000,000	101.875	105.234	7,131.25				
	7/21/16	7,000,000	101.671	105.234	7,116.98	7,366.38	249.40 ST		
			106.375		7,446.25				
			105.842		7,408.97	7,366.38	(42.59) ST		
Total		14,000,000			14,577.50			833.00	5.65
					14,525.95	14,732.76	206.81 ST	182.79	
DISH DBS CORPORATION									
Coupon Rate 6.750%; Matures 06/01/2021; CUSIP 25470XAE5	7/20/16	7,000,000	108.250	108.500	7,577.50				
	7/21/16	7,000,000	107.585	108.500	7,530.95	7,595.00	64.05 ST		
			107.750		7,542.50				
			107.130		7,499.12	7,595.00	95.88 ST		
Total		14,000,000			15,120.00			945.00	6.22
					15,030.07	15,190.00	159.93 ST	78.74	
AMERICAN TOWERS, INC.									
Coupon Rate 5.900%; Matures 11/01/2021; CUSIP 029912BE1	6/6/16	7,000,000	115.770	111.973	8,103.90			413.00	5.26
Int. Semi-Annually May/Nov 01; Yield to Maturity 3.205%; Moody BAA3			114.232		7,996.23	7,838.11	(158.12) ST	68.83	
WESCO DISTRIBUTION INC									
Coupon Rate 5.375%; Matures 12/15/2021; CUSIP 950810AK0	7/21/16	15,000,000	104.000	103.250	15,600.00			806.00	5.20
Int. Semi-Annually Jun/Dec 15; Callable \$104.03 on 01/29/17; Yield to Maturity 4.633%; Moody B1			103.764		15,564.63	15,487.50	(77.13) ST	35.83	
AT&T INC									
Coupon Rate 3.800%; Matures 03/15/2022; CUSIP 00206RDB5	5/20/16	7,000,000	104.106	102.514	7,287.42				
	7/20/16	7,000,000	103.710	102.514	7,259.67	7,175.98	(83.69) ST		
			107.411		7,518.77				
			106.867		7,480.68	7,175.98	(304.70) ST		
Total		14,000,000			14,806.19			532.00	3.70
					14,740.35	14,351.96	(388.39) ST	156.64	
CENTURYLINK INC									
Coupon Rate 5.800%; Matures 03/15/2022; CUSIP 156700AS5	6/10/16	7,000,000	96.000	102.213	6,720.00				
	8/4/16	8,000,000	96.000	102.213	6,720.00	7,154.91	434.91 ST		
			102.250		8,180.00				
			102.111		8,168.91	8,177.04	8.13 ST		
Total		15,000,000			14,900.00			870.00	5.67
					14,888.91	15,331.95	443.04 ST	256.16	

Int. Semi-Annually Mar/Sep 15; Yield to Maturity 5.306%; Moody BAA3 (-); S&P BB (-); Issued 03/12/12; Asset Class: FI & Pref

ATTACHMENT B-2: PAGE 3 OF 8

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
FIDELITY NATIONAL INFORMATION SERVICES									
Coupon Rate 5.000%; Matures 03/15/2022; CUSIP 31620MAH9	7/27/16	7,000,000	104.023	102.761	7,281.61			350.00	4.86
Int. Semi-Annually Mar/Sep 15; Callable \$102.50 on 03/15/17; Yield to Call 3.579%; Moody BAA3 S&P BBB; Issued 03/19/12; Asset Class: FI & Pref			103.755		7,262.82	7,193.27	(69.55) ST	103.05	
HCA INC									
Coupon Rate 5.875%; Matures 03/15/2022; CUSIP 40412IAE5	5/25/16	7,000,000	108.750	107.750	7,612.50			411.00	5.44
Int. Semi-Annually Mar/Sep 15; Yield to Maturity 4.200%; Moody BA1 S&P BBB-; Issued 02/16/12; Asset Class: FI & Pref			107.956		7,556.95	7,542.50	(14.45) ST	121.09	
MASCO CORP									
Coupon Rate 5.950%; Matures 03/15/2022; CUSIP 57459BBH8	5/26/16	7,000,000	112.250	110.500	7,857.50				
			111.123		7,778.59	7,735.00	(43.59) ST		
	9/9/16	6,000,000	115.500	110.500	6,930.00				
			114.721		6,883.28	6,630.00	(253.28) ST		
Total		13,000,000			14,787.50	14,365.00	(296.87) ST	774.00	5.38
Int. Semi-Annually Mar/Sep 15; Yield to Maturity 3.712%; Moody BA2 S&P BBB; Issued 03/12/12; Asset Class: FI & Pref									
REGAL ENTERTAINMENT GRP									
Coupon Rate 5.750%; Matures 03/15/2022; CUSIP 758766AH2	10/26/16	7,000,000	104.125	104.750	7,288.75			403.00	5.49
Int. Semi-Annually Mar/Sep 15; Callable \$104.31 on 03/15/17; Yield to Call 3.391%; Moody B3 S&P B; Issued 03/11/14; Asset Class: FI & Pref			104.038		7,282.64	7,332.50	49.86 ST	118.51	
URS CORPORATION									
Coupon Rate 5.000%; Matures 04/01/2022; CUSIP 903243AC7	5/26/16	7,000,000	95.250	100.500	6,667.50				
			95.250		6,667.50	7,035.00	367.50 ST		
	7/21/16	8,000,000	98.075	100.500	7,846.00				
			98.075		7,846.00	8,040.00	194.00 ST		
Total		15,000,000			14,513.50	15,075.00	561.50 ST	750.00	4.97
Int. Semi-Annually Apr/Oct 01; Callable \$100.00 on 01/01/22; Yield to Call 4.886%; S&P BB-; Issued 10/01/13; Asset Class: FI & Pref									
UNITED RENTALS (NORTH AMERICA) INC.									
Coupon Rate 7.625%; Matures 04/15/2022; CUSIP 911365AZ7	5/23/16	3,000,000	107.125	105.250	3,213.75			229.00	7.25
Int. Semi-Annually Apr/Oct 15; Callable \$103.81 on 04/15/17; Yield to Call 2.471%; Moody B1 S&P BB-; Issued 10/15/12; Asset Class: FI & Pref			106.509		3,195.28	3,157.50	(37.78) ST	48.29	
INFOR US INC									
Coupon Rate 6.500%; Matures 05/15/2022; CUSIP 45672NAG6	8/11/16	5,000,000	101.500	104.250	5,075.00				
			101.417		5,070.83	5,212.50	141.67 ST		
	8/31/16	9,000,000	101.625	104.250	9,146.25				
			101.625		9,146.25	9,382.50	236.25 ST		
Total		14,000,000			14,221.25	14,595.00	377.92 ST	910.00	6.23
Int. Semi-Annually May/Nov 15; Callable \$103.25 on 05/15/18; Yield to Call 5.546%; Moody CAA1 S&P B-; Issued 11/15/15; Asset Class: FI & Pref									
TRANSIDGM INC									
Coupon Rate 6.000%; Matures 07/15/2022; CUSIP 893647AN7	6/13/16	7,000,000	101.600	104.000	7,112.00			168.86 ST	
			101.588		7,111.14	7,280.00			
	7/21/16	7,000,000	104.300	104.000	7,301.00				
			104.118		7,288.26	7,280.00	(8.26) ST		

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
Total		14,000,000			14,413.00 14,399.40	14,560.00	160.60 ST	840.00 387.33	5.76
<i>Int. Semi-Annually Jan/Jul 15; Callable \$104.50 on 07/15/17; Yield to Maturity 5.160%; Moody B3 S&P CCC+; Issued 06/04/14; Asset Class: FI & Pref</i>									
DAVITA INC									
Coupon Rate 5.750%; Matures 08/15/2022; CUSIP 23918KAP3	5/26/16	7,000,000	105,000	104.500	7,350.00				
			104.589		7,321.20	7,315.00	(6.20) ST		
	7/21/16	7,000,000	105.775	104.500	7,404.25				
			105.414		7,378.97	7,315.00	(63.97) ST		
Total		14,000,000			14,754.25 14,700.17	14,630.00	(70.17) ST	805.00 304.11	5.50
<i>Int. Semi-Annually Feb/Aug 15; Callable \$102.87 on 08/15/17; Yield to Call 2.994%; Moody B1 S&P B+; Issued 08/28/12; Asset Class: FI & Pref</i>									
VERISK ANALYTICS INC									
Coupon Rate 4.125%; Matures 09/12/2022; CUSIP 92345YAC0	6/13/16	7,000,000	105,916	104.189	7,414.12				
			105.444		7,381.10	7,293.23	(87.87) ST	289.00 87.42	3.96
<i>Int. Semi-Annually Mar/Sep 12; Yield to Maturity 3.311%; Moody BAA3 S&P BBB-; Issued 09/12/12; Asset Class: FI & Pref</i>									
TESORO CORP									
Coupon Rate 5.375%; Matures 10/01/2022; CUSIP 881609AZ4	6/2/16	7,000,000	102,250	103.750	7,157.50				
			102.175		7,152.23	7,262.50	110.27 ST		
	7/20/16	7,000,000	103,500	103.750	7,245.00				
			103.338		7,233.67	7,262.50	28.83 ST		
Total		14,000,000			14,402.50 14,385.90	14,525.00	139.10 ST	753.00 188.12	5.18
<i>Int. Semi-Annually Apr/Oct 01; Callable \$102.68 on 10/01/17; Yield to Call 3.804%; Moody BAA2 S&P BB+ (+); Issued 09/27/12; Asset Class: FI & Pref</i>									
DUN & BRADSTREET CORP									
Coupon Rate 4.375%; Matures 12/01/2022; CUSIP 26483EAG5	7/26/16	8,000,000	103,181	101.327	8,254.48				
			102.991		8,239.30	8,106.16	(133.14) ST	350.00 29.16	4.31
<i>Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 09/01/22; Yield to Call 4.109%; S&P BBB-; Issued 12/03/12; Asset Class: FI & Pref</i>									
STEEL DYNAMICS INC									
Coupon Rate 5.250%; Matures 04/15/2023; CUSIP 858119AZ3	12/16/16	7,000,000	104,875	104.750	7,341.25				
			104.852		7,339.67	7,332.50	(7.17) ST	368.00 77.58	5.01
<i>Int. Semi-Annually Apr/Oct 15; Callable \$102.62 on 04/15/18; Yield to Call 3.451%; Moody BAA2 S&P BB+; Issued 10/15/13; Asset Class: FI & Pref</i>									
TRINITY ACQUISITIONS PLC									
Coupon Rate 4.625%; Matures 08/15/2023; CUSIP 89641UAA9	6/8/16	7,000,000	106,163	103.971	7,431.38				
			105.743		7,402.01	7,277.97	(124.04) ST	324.00 122.30	4.45
<i>Int. Semi-Annually Feb/Aug 15; Yield to Maturity 3.937%; Moody BAA3 S&P BBB; Issued 08/15/13; Asset Class: FI & Pref</i>									
CDW LLC/CDW FINANCE									
Coupon Rate 5.000%; Matures 09/01/2023; CUSIP 12513GBB4	7/19/16	5,000,000	102,975	100.125	5,148.75				
			102.919		5,145.97	5,006.25	(139.72) ST		
	7/21/16	2,000,000	103,225	100.125	2,064.50				
			103.142		2,062.84	2,002.50	(60.34) ST		
Total		7,000,000			7,213.25 7,208.81	7,008.75	(200.06) ST	350.00 116.66	4.99
<i>Int. Semi-Annually Mar/Sep 01; Callable \$103.75 on 03/01/18; Yield to Maturity 4.977%; Moody BAA3 S&P BB-; Issued 03/03/15; Asset Class: FI & Pref</i>									

Security Description	Trade Date	Face Value	Orig Unit Cost		Unit Price	Orig Total Cost		Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
			Adj	Unit Cost		Adj	Total Cost				
VIACOM INC Coupon Rate 4.250%; Matures 09/01/2023; CUSIP 92553PAT9	6/13/16	7,000,000	103.463	100.080		7,242.38		7,005.60	(220.65) ST		
	7/19/16	7,000,000	103.232			7,226.25					
			105.701	100.080		7,399.07					
			105.383			7,376.84		7,005.60	(371.24) ST		
Total		14,000,000				14,641.45		14,011.20	(591.89) ST	595.00	4.24
						14,603.09				198.33	
<i>Int. Semi-Annually Mar/Sep 01; Callable \$100.00 on 06/01/23; Yield to Call 4.235%; Moody BAA3 S&P BBB-; Issued 08/19/13; Asset Class: FI & Pref</i>											
GANNETT CO INC Coupon Rate 6.375%; Matures 10/15/2023; CUSIP 364725BE0	5/31/16	7,000,000	107.125	105.815		7,498.75		7,407.05	(58.88) ST		
	7/21/16	7,000,000	106.656			7,465.93					
			108.850	105.815		7,619.50					
			108.402			7,588.11		7,407.05	(181.06) ST		
Total		14,000,000				15,118.25		14,814.10	(239.94) ST	893.00	6.02
						15,054.04				188.41	
<i>Int. Semi-Annually Apr/Oct 15; Callable \$103.18 on 10/15/18; Yield to Call 4.669%; Moody BAA1 (-) S&P BB+; Issued 10/03/13; Asset Class: FI & Pref</i>											
LIFEPOINT HEALTH, INC Coupon Rate 5.875%; Matures 12/01/2023; CUSIP 53219LAN9	8/2/16	14,000,000	105.625	101.250		14,787.50		14,175.00	(592.56) ST	823.00	5.80
			105.483			14,767.56				68.54	
			S&P BB-; Issued 12/04/15; Asset Class: FI & Pref								
CBS OUTDOOR AMERS CAPITAL LLC Coupon Rate 5.625%; Matures 02/15/2024; CUSIP 12505FAD3	11/14/16	12,000,000	102.950	104.250		12,354.00		12,510.00	156.59 ST		
	12/21/16	2,000,000	102.945			12,353.41					
			104.500	104.250		2,090.00					
			104.494			2,089.88		2,085.00	(4.88) ST		
Total		14,000,000				14,444.00		14,595.00	151.71 ST	788.00	5.39
						14,443.29				100.62	
<i>Int. Semi-Annually May/Nov 15; Callable \$102.81 on 02/15/19; Yield to Call 4.766%; Moody B1 S&P BB-; Issued 11/15/14; Asset Class: FI & Pref</i>											
QVC INC Coupon Rate 4.850%; Matures 04/01/2024; CUSIP 747262AS2	10/17/16	15,000,000	102.090	100.526		15,313.50		15,078.90	(227.52) ST	728.00	4.82
			102.043			15,306.42				181.87	
			S&P BBB-; Issued 03/18/14; Asset Class: FI & Pref								
L-3 COMMUNICATIONS CORP Coupon Rate 3.950%; Matures 05/28/2024; CUSIP 502413BD8	5/26/16	7,000,000	101.619	101.706		7,113.33		7,119.42	13.29 ST	277.00	3.89
			101.516			7,106.13				25.34	
			S&P BBB-; Issued 05/28/14; Asset Class: FI & Pref								
EXPEDIA INC Coupon Rate 4.500%; Matures 08/15/2024; CUSIP 30212PAN4	8/4/16	7,000,000	104.632	101.623		7,324.24		7,113.61	(196.84) ST	315.00	4.42
			104.435			7,310.45				119.00	
			S&P BBB-; Issued 08/18/14; Asset Class: FI & Pref								
STEEL DYNAMICS INC Coupon Rate 5.500%; Matures 10/01/2024; CUSIP 858119B01	8/1/16	7,000,000	106.000	106.000		7,420.00		7,420.00		385.00	5.18
			105.748			7,402.37				96.25	
			S&P BB+; Issued 04/01/15; Asset Class: FI & Pref								

Susan and Elihu Rose Foundation, Inc.

EIN: 13-3484181

Portfolio Holdings

December 31, 2016

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
TRINITY INDUSTRIES INC									
Coupon Rate 4.550%; Matures 10/01/2024; CUSIP 896522AH2	8/10/16	9,000,000	96.500	96.148	8,685.00	8,653.32	(31.68) ST		
	9/23/16	5,000,000	96.500	96.148	4,965.85				
	12/21/16	2,000,000	99.317	96.148	4,965.85	4,807.40	(158.45) ST		
			95.161	96.148	1,903.22	1,922.96	19.74 ST		
Total		16,000,000			15,554.07	15,383.68	(170.39) ST	728.00	4.73
<i>Int. Semi-Annually Apr/Oct 01; Callable \$100.00 on 07/01/24; Yield to Maturity 5.158%; Moody BA1 S&P BBB-; Issued 09/25/14; Asset Class: FI & Pref</i>									
KLA-TENCOR CORP	5/24/16	7,000,000	105.705	105.861	7,399.35				
Coupon Rate 4.650%; Matures 11/01/2024; CUSIP 482480AEO	8/10/16	7,000,000	105.359	105.861	7,375.13	7,410.27	35.14 ST		
			110.518	105.861	7,736.26				
Total		14,000,000	110.090		7,706.27	7,410.27	(296.00) ST		
<i>Int. Semi-Annually May/Nov 01; Callable \$100.00 on 08/01/24; Yield to Call 3.754%; Moody BAA2 S&P BBB; Issued 11/06/14; Asset Class: FI & Pref</i>									
UNITED RENTALS INC	7/22/16	7,000,000	105.250	105.000	7,367.50				
Coupon Rate 5.750%; Matures 11/15/2024; CUSIP 911365B89			105.027		7,351.90	7,350.00	(1.90) ST	403.00	5.48
<i>Int. Semi-Annually May/Nov 15; Callable \$102.87 on 05/15/19; Yield to Call 4.655%; Moody B1 S&P BB-; Issued 03/26/14; Asset Class: FI & Pref</i>	5/26/16	7,000,000	103.250	102.250	7,227.50				
Coupon Rate 5.500%; Matures 12/01/2024; CUSIP 12513GBA6			103.068		7,214.75	7,157.50	(57.25) ST	385.00	5.37
<i>Int. Semi-Annually Jun/Dec 01; Callable \$100.00 on 06/01/24; Yield to Call 5.131%; Moody BAA3 S&P BB-; Issued 12/01/14; Asset Class: FI & Pref</i>	10/31/16	3,000,000	101.000	101.500	3,030.00				
REGAL ENTERTAINMENT GRP			100.999		3,029.96	3,045.00	15.04 ST	173.00	5.68
Coupon Rate 5.750%; Matures 02/01/2025; CUSIP 758766AF6									
<i>Int. Semi-Annually Feb/Aug 01; Callable \$102.87 on 02/01/18; Yield to Maturity 5.517%; Moody B3 S&P B; Issued 01/17/13; Asset Class: FI & Pref</i>	12/8/16	5,000,000	101.750	102.000	5,087.50				
Coupon Rate 5.500%; Matures 07/15/2025; CUSIP 911365B05			101.745		5,087.23	5,100.00	12.77 ST	275.00	5.39
<i>Int. Semi-Annually Jan/Jul 15; Callable \$102.75 on 07/15/20; Yield to Maturity 5.206%; Moody B1 S&P BB-; Issued 03/26/15; Asset Class: FI & Pref</i>	5/24/16	7,000,000	105.518	105.302	7,386.26				
Coupon Rate 4.900%; Matures 03/11/2026; CUSIP 25470DAL3	7/22/16	7,000,000	105.242	105.302	7,366.94	7,371.14	4.20 ST		
			106.574	105.302	7,460.18				
DISCOVERY COMMUNICATIONS			106.331		7,443.20	7,371.14	(72.06) ST	686.00	4.65
Total		14,000,000			14,846.44	14,742.28	(67.86) ST	209.61	
<i>Int. Semi-Annually Mar/Sep 11; Callable \$100.00 on 12/11/25; Yield to Call 4.183%; Moody BAA3 S&P BBB-; Issued 03/11/16; Asset Class: FI & Pref</i>									

CORPORATE FIXED INCOME	Percentage of Holdings	Orig Total Cost		Market Value	Unrealized Gain/(Loss)	Est Ann Income		Current Yield %
		Adj	Total Cost			Accrued Interest		
Total Corporate Bonds per Attachment B-2 =			\$495,999.39	\$491,921.27	\$ (2,284.08)	\$24,925.00		5.07%
			\$494,205.35			\$5,984.39		

MUTUAL FUNDS

"Total Purchases vs. Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to: investments made prior to addition of this information on statements; securities transfers, timing of recent distributions; and certain adjustments made in your account.

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes. Global Investment Manager Analysis (GIMA) status codes (FL, AL or NL), may be shown for certain mutual funds and are not guarantees of performance. Refer to "GIMA Status in Investment Advisory Programs" in the June or December statement for a description of these codes.

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
BLACKROCK TOTAL RET I (MAHQX)	3/18/16	1,062.178	\$11.670	\$11.580	\$12,395.62	\$12,300.02	\$(95.60) ST		
	5/2/16	637.394	11.750	11.580	7,489.38	7,381.02	(108.36) ST		
	5/5/16	844.305	11.800	11.580	9,962.80	9,777.05	(185.75) ST		
	11/9/16	536.413	11.740	11.580	6,297.49	6,211.66	(85.83) ST		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Short Term Reinvestments									
Purchases		3,080.290			36,145.29	35,669.75	(475.54) ST		
		44.319			525.18	513.21	(11.97) ST		
Total		3,124.609			36,670.47	36,182.97	(487.51) ST	1,028.00	2.84
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					36,145.29	36,182.97			
						37.68			
GIMA Status: FL - Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref									
DOUBLELINE TOTAL RETURN 1 (DBLTX)									
2/5/16		1,116.090	10.910	10.620	12,176.54	11,852.87	(323.67) ST		
3/18/16		706.397	10.870	10.620	7,678.53	7,501.93	(176.60) ST		
5/2/16		1,115.784	10.850	10.620	12,106.26	11,849.62	(256.64) ST		
11/9/16		393.592	10.780	10.620	4,242.92	4,179.94	(62.98) ST		
Purchases		3,331.863			36,204.25	35,384.36	(819.89) ST		
		78.845			856.34	837.33	(19.01) ST		
Total		3,410.708			37,060.59	36,221.72	(838.90) ST	1,361.00	3.75
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					36,204.25	36,221.72			
						17.47			
Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref									
LORD ABBETT FLT RT F (LFRFX)									
5/5/16		533.036	8.970	9.230	4,781.35	4,919.92	138.57 ST		
6/20/16		1,104.562	9.000	9.230	9,941.06	10,195.11	254.05 ST		
8/8/16		2,202.163	9.070	9.230	19,973.62	20,325.96	352.34 ST		
12/5/16		2,163.403	9.180	9.230	19,860.04	19,968.21	108.17 ST		
Purchases		6,003.164			54,556.07	55,409.20	853.13 ST		
		218.550			1,987.75	2,017.22	29.47 ST		
Total		6,221.714			56,543.82	57,426.42	882.60 ST	2,594.00	4.51
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					54,556.07	57,426.42			
						2,870.35			
Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref									
LORD ABBETT SHT DURATION INC F (LDLFX)									
5/2/16		4,977.092	4.340	4.300	21,600.58	21,401.49	(199.09) ST		
5/5/16		1,870.583	4.340	4.300	8,118.33	8,043.50	(74.83) ST		
10/13/16		7,084.012	4.340	4.300	30,744.61	30,461.25	(283.36) ST		
11/9/16		4,705.104	4.330	4.300	20,373.10	20,231.94	(141.16) ST		
Purchases		18,636.791			80,836.62	80,138.18	(698.44) ST		
		322.123			1,397.70	1,385.12	(12.58) ST		
Total		18,958.914			82,234.32	81,523.33	(711.02) ST	3,318.00	4.07
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					80,836.62	81,523.33			
						686.71			
GIMA Status: FL - Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref									

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
PIMCO INCOME INST (PIMIX)									
	8/31/15	4,383,797	12.220	12.060	53,570.00	52,868.59	(701.41) LT A		
	2/12/16	837,546	11.540	12.060	9,665.28	10,100.80	435.52 ST		
Purchases		5,221,343			63,235.28	62,969.39	(701.41) LT		
							435.52 ST		
Long Term Reinvestments		157,996			1,881.38	1,905.43	24.05 LT		
Short Term Reinvestments		283,398			3,370.21	3,417.77	47.56 ST		
Total		5,662,737			68,486.87	68,292.61	(677.36) LT	3,771.00	5.52
							483.08 ST		
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					63,235.28	68,292.61			
						5,057.33			
<i>GIMA Status: FL: Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref</i>									
PIMCO INCOME P (PONPX)									
	5/2/16	2,913,740	11.850	12.060	34,527.82	35,139.70	611.88 ST		
	11/9/16	1,551,866	12.050	12.060	18,699.99	18,715.50	15.51 ST		
Purchases		4,465,606			53,227.81	53,855.20	627.39 ST		
		96,450			1,155.80	1,163.18	7.38 ST		
Total		4,562,056			54,383.61	55,018.40	634.77 ST	2,984.00	5.42
					53,227.81	55,018.40			
						1,790.59			
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					53,227.81	55,018.40			
						1,790.59			
<i>GIMA Status: FL: Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref</i>									
PIMCO SHORT ASSET INVEST P (PAIPX)									
	11/9/16	2,038,034	10.040	10.040	20,461.86	20,461.86	0.00 ST		
Purchases		2,038,034			20,461.86	20,461.86			
		1,774			17.81	17.81	0.00 ST		
Total		2,039,808			20,479.67	20,479.67		222.00	1.08
					20,461.86				
						17.81			
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					20,461.86				
						17.81			
<i>Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref</i>									
PRUDENTIAL SHT TRM CORP BD Z (PIFZX)									
	3/18/16	1,117,729	11.090	11.040	12,395.62	12,339.73	(55.89) ST		
	5/2/16	672,589	11.160	11.040	7,506.09	7,425.38	(80.71) ST		
	5/5/16	893,107	11.180	11.040	9,984.94	9,859.90	(125.04) ST		
	11/9/16	213,291	11.130	11.040	2,373.93	2,354.73	(19.20) ST		
Purchases		2,896,716			32,260.58	31,979.74	(280.84) ST		
		43,489			485.92	480.12	(5.80) ST		
Total		2,940,205			32,746.50	32,459.86	(286.64) ST	864.00	2.66
					32,260.58				
						199.28			
Total Purchases vs Market Value									
Net Value Increase/(Decrease)					32,746.50	32,459.86			
						199.28			
<i>GIMA Status: AL: Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest; Asset Class: FI & Pref</i>									

MUTUAL FUNDS	Percentage of Holdings	Total Cost		Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
		Total Mutual Funds per Attachment C-1 =					
	94.86%	\$388,605.85		\$387,604.98	\$(677.36) LT	\$16,142.00	4.17%
					\$(323.62) ST		