

Form **990-PF**  
 Department of the Treasury  
 Internal Revenue Service

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

OMB No 1545-0052  
**2016**  
**Open to Public Inspection**

**For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016**

Name of foundation MIRKEN FOUNDATION		<b>A Employer identification number</b> 13-6916436	
Number and street (or P O box number if mail is not delivered to street address) Room/suite C/O WILFRED WYLER CO-14 PENN PLZ		<b>B Telephone number</b> (see instructions) (212) 687-0050	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10122		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>	
<b>G</b> Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		<b>D 1.</b> Foreign organizations, check here <input type="checkbox"/> <b>2.</b> Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
<b>I</b> Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 12,747,387		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
<b>J</b> Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)			

<b>Part I Analysis of Revenue and Expenses</b> <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	<b>1</b> Contributions, gifts, grants, etc., received (attach schedule)				
	<b>2</b> Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B				
	<b>3</b> Interest on savings and temporary cash investments	14	14		
	<b>4</b> Dividends and interest from securities	85,479	85,479		
	<b>5a</b> Gross rents				
	<b>b</b> Net rental income or (loss)				
	<b>6a</b> Net gain or (loss) from sale of assets not on line 10	112,406			
	<b>b</b> Gross sales price for all assets on line 6a	686,563			
	<b>7</b> Capital gain net income (from Part IV, line 2)		112,406		
	<b>8</b> Net short-term capital gain				
	<b>9</b> Income modifications				
	<b>10a</b> Gross sales less returns and allowances				
<b>b</b> Less Cost of goods sold					
<b>c</b> Gross profit or (loss) (attach schedule)					
<b>11</b> Other income (attach schedule)	29,267	29,267			
<b>12 Total.</b> Add lines 1 through 11	227,166	227,166			
<b>Operating and Administrative Expenses</b>	<b>13</b> Compensation of officers, directors, trustees, etc				
	<b>14</b> Other employee salaries and wages				
	<b>15</b> Pension plans, employee benefits				
	<b>16a</b> Legal fees (attach schedule)				
	<b>b</b> Accounting fees (attach schedule)				
	<b>c</b> Other professional fees (attach schedule)	28,326	22,326		6,000
	<b>17</b> Interest				
	<b>18</b> Taxes (attach schedule) (see instructions)	-9,544	456		
	<b>19</b> Depreciation (attach schedule) and depletion				
	<b>20</b> Occupancy				
	<b>21</b> Travel, conferences, and meetings				
	<b>22</b> Printing and publications				
	<b>23</b> Other expenses (attach schedule)	1,935			1,935
	<b>24 Total operating and administrative expenses.</b> Add lines 13 through 23	20,717	22,782		7,935
	<b>25</b> Contributions, gifts, grants paid	654,442			654,442
<b>26 Total expenses and disbursements.</b> Add lines 24 and 25	675,159	22,782		662,377	
<b>27</b> Subtract line 26 from line 12					
<b>a Excess of revenue over expenses and disbursements</b>	-447,993				
<b>b Net investment income</b> (if negative, enter -0-)		204,384			
<b>c Adjusted net income</b> (if negative, enter -0-)					

<b>Part II Balance Sheets</b> Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .			
	<b>2</b> Savings and temporary cash investments . . . . .	2,771,371	3,742,528	3,742,528
	<b>3</b> Accounts receivable ▶ <u>14,423</u>			
	Less allowance for doubtful accounts ▶ _____		14,423	4,800
	<b>4</b> Pledges receivable ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____			
	Less allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U S and state government obligations (attach schedule)			
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	1,812,338	3,143,953	4,900,960
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .		408,058	424,455
	<b>11</b> Investments—land, buildings, and equipment basis ▶ _____			
Less accumulated depreciation (attach schedule) ▶ _____				
<b>12</b> Investments—mortgage loans . . . . .				
<b>13</b> Investments—other (attach schedule) . . . . .	7,022,946	4,195,380	3,674,644	
<b>14</b> Land, buildings, and equipment basis ▶ _____				
Less accumulated depreciation (attach schedule) ▶ _____				
<b>15</b> Other assets (describe ▶ _____)				
<b>16 Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)	11,606,655	11,504,342	12,747,387	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue . . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons			
	<b>21</b> Mortgages and other notes payable (attach schedule). . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23 Total liabilities</b> (add lines 17 through 22) . . . . .		0	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here</b> <input type="checkbox"/> <b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	<b>24</b> Unrestricted . . . . .			
	<b>25</b> Temporarily restricted . . . . .			
	<b>26</b> Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27 through 31.</b>			
	<b>27</b> Capital stock, trust principal, or current funds . . . . .			
	<b>28</b> Paid-in or capital surplus, or land, bldg , and equipment fund			
	<b>29</b> Retained earnings, accumulated income, endowment, or other funds	11,606,655	11,504,342	
<b>30 Total net assets or fund balances</b> (see instructions) . . . . .	11,606,655	11,504,342		
<b>31 Total liabilities and net assets/fund balances</b> (see instructions) .	11,606,655	11,504,342		

<b>Part III Analysis of Changes in Net Assets or Fund Balances</b>		
<b>1</b> Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>1</b>	11,606,655
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	-447,993
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	345,680
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	11,504,342
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	<b>6</b>	11,504,342

**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co )	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr )	(d) Date sold (mo , day, yr )
<b>1 a</b> SEE SCHEDULE ATTACHED	P	2016-01-01	2016-12-31
<b>b</b> SEE SCHEDULE ATTACHED	P	2000-01-01	2016-12-31
<b>c</b> OVERBROOK OPPORTUNITY FUND I, LP	P	2000-01-01	2016-12-31
<b>d</b> Capital Gain Dividends			
<b>e</b>			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> 452,589		485,558	-32,969
<b>b</b> 137,325		88,599	48,726
<b>c</b> 90,830			90,830
<b>d</b>			5,819
<b>e</b>			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) 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	
<b>a</b>			-32,969
<b>b</b>			48,726
<b>c</b>			90,830
<b>d</b>			
<b>e</b>			

<b>2</b> 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	}	<b>2</b>	112,406
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8				<b>3</b>	-32,969

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	116,170	13,038,859	0 00891
2014	23,435	13,617,655	0 00172
2013	40,385	8,630,194	0 00468
2012	47,880	3,529,133	0 01357
2011	167,450	3,464,634	0 04833

<b>2</b> Total of line 1, column (d)	}		}	<b>2</b>	0 077209
<b>3</b> Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years				<b>3</b>	0 015442
<b>4</b> Enter the net value of noncharitable-use assets for 2016 from Part X, line 5				<b>4</b>	12,538,182
<b>5</b> Multiply line 4 by line 3				<b>5</b>	193,615
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)				<b>6</b>	2,044
<b>7</b> Add lines 5 and 6				<b>7</b>	195,659
<b>8</b> Enter qualifying distributions from Part XII, line 4				<b>8</b>	662,377

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)

Table with 11 rows for excise tax calculation. Includes fields for exempt foundations, domestic foundations, tax under section 511, subtitle A tax, and credits/payments. Total amount owed is 83,022 and refunded is 80,942.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Columns include question number, 'Yes', and 'No' responses. Questions cover political activities, tax on political expenditures, and foundation requirements.

Part VII-A Statements Regarding Activities (continued)

Table with 3 columns: Question, Yes, No. Rows 11-14 regarding controlled entities, distributions, public inspection requirements, and books in care.

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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.

Table with 3 columns: Question, Yes, No. Row 16 regarding interest in foreign countries.

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.

Main table with 3 columns: Question, Yes, No. Rows 1a-4b regarding Form 4720 exceptions and requirements.

**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

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

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

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

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

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

If "Yes" to 6b, file Form 8870

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

**b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

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

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
JANE ZENKER 5 FOX DEN ROAD MT KISCO, NY 10549	Trustee 0 00	0		
LESLIE RUBIN 6 CINDY WAY CHAPPAQUA, NY 10514	Trustee 0 00	0		

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

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

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

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

<b>3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".</b>		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
<b>Total number of others receiving over \$50,000 for professional services.</b>		▶

**Part IX-A Summary of Direct Charitable Activities**

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

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

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

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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
<b>a</b>	Average monthly fair market value of securities.	<b>1a</b>	4,318,413
<b>b</b>	Average of monthly cash balances.	<b>1b</b>	3,256,950
<b>c</b>	Fair market value of all other assets (see instructions).	<b>1c</b>	5,153,756
<b>d</b>	<b>Total</b> (add lines 1a, b, and c).	<b>1d</b>	12,729,119
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets.	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d.	<b>3</b>	12,729,119
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	<b>4</b>	190,937
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4.	<b>5</b>	12,538,182
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5.	<b>6</b>	626,909

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here  and do not complete this part.)

<b>1</b>	Minimum investment return from Part X, line 6.	<b>1</b>	626,909
<b>2a</b>	Tax on investment income for 2016 from Part VI, line 5.	<b>2a</b>	2,044
<b>b</b>	Income tax for 2016 (This does not include the tax from Part VI).	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b.	<b>2c</b>	2,044
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1.	<b>3</b>	624,865
<b>4</b>	Recoveries of amounts treated as qualifying distributions.	<b>4</b>	
<b>5</b>	Add lines 3 and 4.	<b>5</b>	624,865
<b>6</b>	Deduction from distributable amount (see instructions).	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	<b>7</b>	624,865

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

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.	<b>1a</b>	662,377
<b>b</b>	Program-related investments—total from Part IX-B.	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required).	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule).	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	<b>4</b>	662,377
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions).	<b>5</b>	2,044
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.	<b>6</b>	660,333

**Note:** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
<b>1</b> Distributable amount for 2016 from Part XI, line 7				624,865
<b>2</b> Undistributed income, if any, as of the end of 2016				
<b>a</b> Enter amount for 2015 only. . . . .			6,890	
<b>b</b> Total for prior years 20___, 20___, 20___				
<b>3</b> Excess distributions carryover, if any, to 2016				
<b>a</b> From 2011. . . . .				
<b>b</b> From 2012. . . . .				
<b>c</b> From 2013. . . . .				
<b>d</b> From 2014. . . . .				
<b>e</b> From 2015. . . . .				
<b>f</b> Total of lines 3a through e. . . . .				
<b>4</b> Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>662,377</u>				
<b>a</b> Applied to 2015, but not more than line 2a			6,890	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .				
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2016 distributable amount. . . . .				624,865
<b>e</b> Remaining amount distributed out of corpus	30,622			
<b>5</b> Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a) )				
<b>6 Enter the net total of each column as indicated below:</b>				
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	30,622			
<b>b</b> Prior years' undistributed income Subtract line 4b from line 2b . . . . .				
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . .				
<b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .				
<b>e</b> Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .				
<b>f</b> Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions). . . . .				
<b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions). . . . .				
<b>9 Excess distributions carryover to 2017.</b> Subtract lines 7 and 8 from line 6a . . . . .	30,622			
<b>10</b> Analysis of line 9				
<b>a</b> Excess from 2012. . . . .				
<b>b</b> Excess from 2013. . . . .				
<b>c</b> Excess from 2014. . . . .				
<b>d</b> Excess from 2015. . . . .				
<b>e</b> Excess from 2016. . . . .	30,622			

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

**1a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling. . . . . ▶

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

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

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

**1 Information Regarding Foundation Managers:**

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

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

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

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

**a** The name, address, and telephone number or e-mail address of the person to whom applications should be addressed  
 ALAN B MIRKEN FOUNDATION  
 14 PENN PLAZA-SUITE 1706  
 NEW YORK, NY 10122  
 (212) 687-0050

**b** The form in which applications should be submitted and information and materials they should include  
 LETTER STATING PURPOSE AND AMOUNT

**c** Any submission deadlines  
 NONE

**d** Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors  
 NONE

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> See Additional Data Table				
<b>Total . . . . .</b> ▶ <b>3a</b>				654,442
<b>b</b> <i>Approved for future payment</i>				
<b>Total . . . . .</b> ▶ <b>3b</b>				





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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
GODDARD RIVERSIDE COM CTR 593 COLUMBUS AVENUE NEW YORK, NY 10024	NONE	PC	GENERAL FUND	46,750
MICHAEL J FOX FOUNDATION BOX 4777 GRAND CENTRAL ST NEW YORK, NY 10163	NONE	PC	GENERAL FUND	5,000
ACKERMAN INSTITUTE FOR THE FAMILY 149 EAST 78 STREET NEW YORK, NY 10075	NONE	PC	GENERAL FUND	5,000
UJA-FEDERATION OF NEW YORK 130 EAST 59TH STREET NEW YORK, NY 10022	NONE	PC	GENERAL FUND	50,000
COLBY COLLEGE 5600 MAYFLOWER HILL WATERVILLE, ME 04901	NONE	PC	GENERAL FUND	100,000
<b>Total . . . . . ▶</b> <b>3a</b>				654,442

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
JEWISH COMMUNAL FUND 575 MADISON AVENUE SUITE 703 NEW YORK, NY 10022	NONE	SO I	GENERAL FUND	86,920
JEWISH COMMUNAL FUND 575 MADISON AVENUE SUITE 703 NEW YORK, NY 10022	NONE	SO I	GENERAL FUND	255,304
JEWISH COMMUNAL FUND 575 MADISON AVENUE SUITE 703 NEW YORK, NY 10022	NONE	SO I	GENERAL FUND	105,468
<b>Total</b> . . . . . <b>3a</b>				654,442

**TY 2016 General Explanation Attachment****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0**General Explanation Attachment**

Identifier	Return Reference	Explanation	
1		General Explanation Supplemental Information for Form 990-PF	OTHER INVESTMENTS COST MV INVESTMENT IN OVERBROOK OPPORTUNITY FUND I, LP 1,278,143 1,623,081 INVESTMENT IN OVERBROOK SELECT OFFSHORE FUND, LTD 2,414,120 1,513,284 INVESTMENT IN OTHER LIMITED PARTNERSHIPS 503,117 538,279 TOTAL 4,195,380 3,674,644

**TY 2016 Other Expenses Schedule****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADVERTISEMENT	150			150
BANK FEES	1,035			1,035
FILING FEES	750			750

**TY 2016 Other Income Schedule****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
Other Investment Income	29,267	29,267	

**TY 2016 Other Increases Schedule****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0

<b>Description</b>	<b>Amount</b>
UNREALIZED APPRECIATION ON CONTRIBUTED SECURITIES	345,680

**TY 2016 Other Professional Fees Schedule****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
ACCOUNTING	6,000	0	0	6,000
INVESTMENT ADVISORY FEES	22,326	22,326	0	0

**TY 2016 Taxes Schedule****Name:** MIRKEN FOUNDATION**EIN:** 13-6916436**Software ID:** 16000303**Software Version:** 2016v3.0

<b>Category</b>	<b>Amount</b>	<b>Net Investment Income</b>	<b>Adjusted Net Income</b>	<b>Disbursements for Charitable Purposes</b>
FEDERAL EXCISE TAX REFUND	10,000			
FOREIGN WITHHOLDING TAX	456	456		



Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
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December 1-31, 2016

**Investment Detail - Fixed Income**

	Par	Market Price	Market Value <i>Cost Basis</i>	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b>							
<b>BANK OF AMERICA C 1.7%17</b>	8,000 0000	100.1359	8,010.87	7,982.88	<1%	27.99	136.00
DUE 08/25/17			7,982.88				1.85%
CUSIP 06051GFJ3							
MOODY'S Baa1 S&P BBB+							<i>Accrued Interest: 47.60</i>
<b>GOLDMAN SACHS GR 6.25%17</b>	50,000 0000	103.0415	51,520.75	50,877.87	<1%	642.88 <sup>b</sup>	3,125.00
DUE 09/01/17			55,006.00				4.43%
CUSIP 38144LAB6							
MOODY'S A3 S&P BBB+							<i>Accrued Interest: 1,041.67</i>
<b>EMC CORP MASS 1.875%18</b>	9,000 0000	98.7811	8,890.30	8,851.50	<1%	38.80	168.75
DUE 06/01/18			8,851.50				2.66%
CUSIP 268648AP7							
MOODY'S Ba2 S&P BB-							<i>Accrued Interest: 14.06</i>
<b>GEN MOTORS FINL C 2.4%19</b>	9,000 0000	99.3394	8,940.55	8,995.50	<1%	(54.95)	216.00
DUE 05/09/19			8,995.50				2.41%
CUSIP 37045XBJ4							
MOODY'S Ba1 S&P BBB-							<i>Accrued Interest: 31.20</i>
<b>FORD MOTOR CREDI 1.85%19</b>	10,000.0000	98.2781	9,827.81	10,000.00	<1%	(172.19)	185.00
DUE 05/20/19			10,000.00				1.84%
CALLABLE 05/20/17 AT 100 00000							
CUSIP 34540TLQ3							
MOODY'S Baa2 S&P BBB							<i>Accrued Interest: 21.07</i>

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



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Investment Detail - Fixed Income (continued)

	Par	Market Price	Market Value <i>Cost Basis</i>	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b> (continued)							
<b>ASTRAZENECA PLC</b> 1.95%19F DUE 09/18/19 CUSIP 046353AF5 MOODY'S A3 S&P A-	9,000 0000	99 7061	8,973.55 8,968 50	8,968 50	<1%	5 05	175.50 2 05%
						<i>Accrued Interest: 50.21</i>	
<b>JOHN DEERE CAPITA</b> 1 7%20 DUE 01/15/20 CUSIP 24422ERY7 MOODY'S A2 S&P A	9,000.0000	98.7332	8,885 99 8,937 00	8,937.00	<1%	(51.01)	153.00 1 89%
						<i>Accrued Interest: 70.55</i>	
<b>SYNCHRONY FINANCI</b> 2.7%20 DUE 02/03/20 CALLABLE 01/03/20 AT 100 00000 CUSIP 87165BAE3 MOODY'S NR S&P BBB-	9,000.0000	99.6643	8,969.79 8,977 50	8,977.50	<1%	(7.71)	243.00 2 76%
						<i>Accrued Interest: 99.90</i>	
<b>SOUTHERN POWER</b> 2.375%20 DUE 06/01/20 CALLABLE 05/01/20 AT 100 00000 CUSIP 843646AL4 MOODY'S Baa1 S&P BBB+	5,000.0000	99.2888	4,964.44 4,922 50	4,922 50	<1%	41.94	118.75 2 76%
						<i>Accrued Interest: 9.90</i>	

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Investment Detail - Fixed Income (continued)

	Par	Market Price	Market Value Cost Basis	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b> (continued)							
<b>CONOCOPHILLIPS</b> 2.875%21 DUE 11/15/21 CALLABLE 09/15/21 AT 100 00000 CUSIP 20826FAE6 MOODY'S Baa2 S&P A-	9,000.0000	100.6349	9,057.14 8,896.23	8,896.23	<1%	160.91	258.75 3.10%
						<i>Accrued Interest: 33.06</i>	
<b>CORNING INC</b> 2.9%22 DUE 05/15/22 CALLABLE 03/15/22 AT 100 00000 CUSIP 219350BB0 MOODY'S Baa1 S&P BBB+	8,000.0000	100.5214	8,041.71 7,892.00	7,892.00	<1%	149.71	232.00 3.14%
						<i>Accrued Interest: 29.64</i>	
<b>ABBVIE INC</b> 2.9%22 DUE 11/06/22 CUSIP 00287YAL3 MOODY'S Baa2 S&P A-	9,000.0000	98.8625	8,897.63 8,986.50	8,986.50	<1%	(88.87)	261.00 2.92%
						<i>Accrued Interest: 39.88</i>	

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**Investment Detail - Fixed Income (continued)**

	Par	Market Price	Market Value Cost Basis	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b> (continued)							
JPMORGAN CHASE & 2 7%23 DUE 05/18/23 CALLABLE 03/18/23 AT 100 00000 CUSIP 46625HRL6 MOODY'S A3 S&P A-	10,000 0000	97 3902	9,739 02 9 974 00	9,974 00	<1%	(234 98)	270 00 2 74%
						<i>Accrued Interest 32 25</i>	
<b>Total Corporate Bonds</b>	<b>154,000 0000</b>		<b>154,719 55</b> <i>Total Cost Basis 158,390 11</i>	<b>154,261 98</b>	<b>2%</b>	<b>457 57</b>	<b>5,542 75</b>
						<i>Total Accrued Interest for Corporate Bonds 1,520 99</i>	
<b>Total Fixed Income</b>	<b>154,000 0000</b>		<b>154,719 55</b> <i>Total Cost Basis 158,390 11</i>	<b>154,261 98</b>	<b>2%</b>	<b>457 57</b>	<b>5,542 75</b>

*Accrued Interest represents the interest that would be received if the fixed income investment was sold prior to the coupon payment. Estimated Annual Income (EAI) and Estimated Yield (EY) calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments in which case EAI and EY will continue to display at a prior rate.*

**Investment Detail - Equities**

	Quantity	Market Price	Market Value Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
<b>Equities</b>							
ABBVIE INC SYMBOL ABBV	1,100 0000	62 6200	68,882 00 16 918 58	<1%	51,963 42	3 64%	2,508 00

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



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Investment Detail - Equities (continued)

Equities (continued)	Quantity	Market Price	Market Value <i>Cost Basis</i>	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
AENA SA ORDF SYMBOL ANNSF	334 0000	136 3732	45,548 65 32 726 36	<1%	12,822 29	N/A	N/A
ALPHABET INC CLASS C SYMBOL GOOG	96 0000	771 8200	74,094 72 42 880 03 <sup>1</sup>	1%	23,496 49 <sup>1</sup>	N/A	N/A
AMERICAN INTL GROUP SYMBOL AIG	1,090 0000	65 3100	71,187 90 34 178 57	1%	37,009 33	1 95%	1,395 20
BOEING CO SYMBOL BA	1,075 0000	155 6800	167,356 00 99 852 66 <sup>1</sup>	2%	67,503 34	2 80%	4,687 00
CITIGROUP INC SYMBOL C	3,743 0000	59 4300	222,446 49 176 971 53	3%	45,474 96	1 07%	2,395 52
COMMSCOPE HLDG CO SYMBOL COMM	4,067 0000	37 2000	151,292 40 103 997 30	2%	47,295 10	N/A	N/A
COTT CORP QUE F SYMBOL COT	5,986 0000	11 3300	67,821 38 92 907 10	<1%	(25,085 72)	2 11%	1,436 64
FACEBOOK INC CLASS A SYMBOL FB	376 0000	115 0500	43,258 80 44 158 14	<1%	(899 34)	N/A	N/A
FEDEX CORPORATION SYMBOL FDX	500 0000	186 2000	93,100 00 38 549 11 <sup>1</sup>	1%	54,550 89	0 85%	800 00

Accrued Dividend 200 00

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Investment Detail - Equities (continued)

Equities (continued)	Quantity	Market Price	Market Value <i>Cost Basis</i>	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
GENERAL ELECTRIC CO SYMBOL GE	2,250 0000	31 6000	71,100 00 57 645 00	1%	13,455 00	2 91%	2,070 00 <i>Accrued Dividend 540 00</i>
GOLDMAN SACHS GROUP SYMBOL GS	600 0000	239 4500	143,670 00 99 444 39	2%	44,225 61	1 08%	1,560 00
JOHNSON CTLS INTL F SYMBOL JCI	1,448 0000	41 1900	59,643 12 64 107 53	<1%	(4,464 41)	N/A	N/A
JPMORGAN CHASE & CO SYMBOL JPM	2,700 0000	86 2900	232,983 00 181 789 92	3%	51,193 08	2 22%	5,184 00
LOWES COMPANIES INC SYMBOL LOW	550 0000	71 1200	39,116 00 15 705 95	<1%	23,410 05	1 96%	770 00
MACQUARIE INFRASTRUC SYMBOL MIC	4,116 0000	81 7000	336,277 20 282 093 94	5%	54,183 26	6 31%	21,238 56
MC DONALDS CORP SYMBOL MCD	222 0000	121 7200	27,021 84 25 586 91	<1%	1,434 93	3 08%	834 72
MOLSON COORS BREWING CLASS B SYMBOL TAP	166 0000	97 3100	16,153 46 17,164 05	<1%	(1,010 59)	1 68%	272 24
NOMAD HOLDINGS F SYMBOL NOMD	6,179 0000	9 5700	59,133 03 71 956 46	<1%	(12,823 43)	N/A	N/A
NORTHSTAR ASSET MGMT SYMBOL NSAM	2,605 0000	14 9200	38,866 60 25 169 69	<1%	13,696 91	2 68%	1,042 00

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Schwab One® Account of  
MIRKEN FOUNDATION

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Investment Detail - Equities (continued)

	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income	
<b>Equities (continued)</b>			<i>Cost Basis</i>					
SAFRAN SA ORD F SYMBOL SAFRF	353 0000	72 1661	25,474 63 25 696 10	<1%	(221 47)	N/A	N/A	
SYNCHRONY FINANCIAL SYMBOL SYF	1,641 0000	36 2700	59,519 07 50 022 05	<1%	9,497 02	1 43%	853 32	
TENCENT HOLDINGS ORDF SYMBOL TCTZF	1,046 0000	24 4642	25,589 55 28 320 90	<1%	(2,731 35)	N/A	N/A	
TRAVELERS COMPANIES SYMBOL TRV	250 0000	122 4200	30,605 00 26 437 50	<1%	4,167 50	2 18%	670 00	
VALLEY NATIONAL BANC SYMBOL VLY	3,791 0000	11 6400	44,127 24 36 658 97	<1%	7,468 27	3 78%	1,668 04	
						<i>Accrued Dividend</i>	<i>417 01</i>	
VERSUM MATERIALS INC SYMBOL VSM	3,580 0000	28 0700	100,490 60 89 511 77	1%	10,978 83	N/A	N/A	
VOYA FINANCIAL INC SYMBOL VOYA	1,307 0000	39 2200	51,260 54 33 458 53	<1%	17,802 01	0 10%	52 28	
3M COMPANY SYMBOL MMM	400 0000	178 5700	71,428 00 66 192 00	1%	5,236 00	2 48%	1,776 00	
<b>Total Equities</b>	<b>51,571,0000</b>		<b>2,437,447.22</b>	<b>35%</b>	<b>549,527.98</b>		<b>51,213.52</b>	
		<b>Total Cost Basis:</b>	<b>1,880,101.04</b>					
							<b>Total Accrued Dividend for Equities</b>	<b>1,157 01</b>

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



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### Investment Detail - Equities (continued)

Estimated Annual Income (EAI) and Estimated Yield (EY) calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

### Investment Detail - Mutual Funds

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
PARNASSUS ENDEAVOR FD SYMBOL PARWX	6,557.6040	32.9900	216,335.36	3%	31.25	204,915.80	11,419.56
TOUCHSTONE LARGE CO GWTH CL Y SYMBOL TLGYX	7,063.1950	29.1400	205,821.50	3%	29.67	209,565.00	(3,743.50)
<b>Total Equity Funds</b>	<b>13,620.7990</b>		<b>422,156.86</b>	<b>6%</b>		<b>414,480.80</b>	<b>7,676.06</b>
<b>Total Mutual Funds</b>	<b>13,620.7990</b>		<b>422,156.86</b>	<b>6%</b>		<b>414,480.80</b>	<b>7,676.06</b>

### Investment Detail - Other Assets

Other Assets	Quantity	Market Price	Market Value Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
CEDAR FAIR, L P LP SYMBOL FUN	4,471.0000	64.2000	287,038.20 243,297.49	4%	43,740.71	5.32%	15,290.82
NORTHSTAR REALTY EUR REIT SYMBOL NRE	616.0000	12.5700	7,743.12 7,001.86	<1%	741.26	4.77%	369.60

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see Endnotes for Your Account section for an explanation of the endnote codes and symbols on this statement.



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Investment Detail - Other Assets (continued)

Other Assets (continued)	Quantity	Market Price	Market Value Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
PROSHARES ULTRASHORT EURO ETF SYMBOL EUO	766 0000	27 0800	20,743 28 19 128 91	<1%	1,614 37	N/A	N/A
RYMAN HOSPITALITY PR REIT SYMBOL RHP	6,714 0000	63 0100	423,049 14 288,891 00	6%	134,158 14	4 76%	20,142 00
STARWOOD PPTY TRUST REIT SYMBOL STWD	1,000 0000	21 9500	21,950 00 15,144 04	<1%	6,805 96	8 74%	1,920 00
<b>Total Other Assets</b>	<b>13,567 0000</b>		<b>760,523 74</b> <b>Total Cost Basis</b> <b>573,463 30</b>	<b>11%</b>	<b>187,060 44</b>		<b>37,722 42</b>

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

<b>Total Investment Detail</b>	<b>6,925,516.37</b>
<b>Total Account Value</b>	<b>6,925,516.37</b>
<b>Total Cost Basis</b>	<b>3,026,435.25</b>

Realized Gain or (Loss)

Short Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NORTHSTAR ASSET MGMT NSAM	149 0000	01/11/16	12/23/16	2,224 16	1,759 36	464 80

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
6332-7954

Statement Period  
December 1-31, 2016

**Investment Detail - Fixed Income**

	Par	Market Price	Market Value	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income
			<i>Cost Basis</i>				Yield to Maturity
<b>Corporate Bonds</b>							
<b>GENERAL ELECTRIC VAR</b>	20,000 0000	104 0000	20,800 00		<1%		
CALLABLE 01/21/21 AT 100 00000 CUSIP 369604BQ5 MOODY'S A3 S&P A							
						<i>Cost Basis is not tracked on this investment</i>	
<b>BANK OF AMERICA C</b>	20,000 0000	100 1359	20,027 18	19,982 20	<1%	44 98	340 00
1 7%17 DUE 08/25/17 CUSIP 06051GFJ3 MOODY'S Baa1 S&P BBB+			19 982 20				1 76%
						<i>Accrued Interest 119 00</i>	
<b>EMC CORP MASS</b>	21,000 0000	98 7811	20,744 03	20,678 50	<1%	65 53	393 75
1 875%18 DUE 06/01/18 CUSIP 268648AP7 MOODY'S Ba2 S&P BB-			20 678 50				2 60%
						<i>Accrued Interest 32 81</i>	
<b>GEN MOTORS FINL C</b>	19,000 0000	99 3394	18,874 49	19,013 18	<1%	(138 69) <sup>b</sup>	456 00
2 4%19 DUE 05/09/19 CUSIP 37045XBJ4 MOODY'S Ba1 S&P BBB-			19 015 50				2 37%
						<i>Accrued Interest 65 87</i>	
<b>FORD MOTOR CREDI</b>	20,000 0000	98 2781	19,655 62	20,020 81	<1%	(365 19) <sup>b</sup>	370 00
1 85%19 DUE 05/20/19 CALLABLE 05/20/17 AT 100 00000 CUSIP 34540TLQ3 MOODY'S Baa2 S&P BBB			20 025 00				1 80%
						<i>Accrued Interest 42 14</i>	

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
6332-7954

Statement Period  
December 1-31, 2016

Investment Detail - Fixed Income (continued)

	Par	Market Price	Market Value <i>Cost Basis</i>	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b> (continued)							
ASTRAZENECA PLC 1 95%19F DUE 09/18/19 CUSIP 046353AF5 MOODY'S A3 S&P A-	20,000 0000	99 7061	19,941 22 <i>19 955 00</i>	19,955 00	<1%	(13 78)	390 00 2 01%
							<i>Accrued Interest 111 58</i>
JOHN DEERE CAPITA 1 7%20 DUE 01/15/20 CUSIP 24422ERY7 MOODY'S A2 S&P A	20,000 0000	98 7332	19,746 64 <i>19 885 00</i>	19,885 00	<1%	(138 36)	340 00 1 85%
							<i>Accrued Interest 156 78</i>
SYNCHRONY FINANCI 2 7%20 DUE 02/03/20 CALLABLE 01/03/20 AT 100 00000 CUSIP 87165BAE3 MOODY'S NR S&P BBB-	20,000 0000	99 6643	19,932 86 <i>19 975 00</i>	19,975 00	<1%	(42 14)	540 00 2 73%
							<i>Accrued Interest 222 00</i>
SOUTHERN POWER 2 375%20 DUE 06/01/20 CALLABLE 05/01/20 AT 100 00000 CUSIP 843646AL4 MOODY'S Baa1 S&P BBB+	11,000 0000	99 2888	10,921 77 <i>10 854 50</i>	10,854 50	<1%	67 27	261 25 2 70%
							<i>Accrued Interest 21 77</i>

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
6332-7954

Statement Period  
December 1-31, 2016

Investment Detail - Fixed Income (continued)

	Par	Market Price	Market Value <i>Cost Basis</i>	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income Yield to Maturity
<b>Corporate Bonds</b>							
<i>(continued)</i>							
CONOCOPHILLIPS 2 875%21 DUE 11/15/21 CALLABLE 09/15/21 AT 100 00000 CUSIP 20826FAE6 MOODY'S Baa2 S&P A-	21,000 0000	100 6349	21,133 33 <i>20,782 97</i>	20,782 87	<1%	350 46	603 75 <i>3 07%</i>
						<i>Accrued Interest</i>	<i>77 15</i>
CORNING INC 2 9%22 DUE 05/15/22 CALLABLE 03/15/22 AT 100 00000 CUSIP 219350BB0 MOODY'S Baa1 S&P BBB+	19,000 0000	100 5214	19,099 07 <i>18 768 50</i>	18,768 50	<1%	330 57	551 00 <i>3 11%</i>
						<i>Accrued Interest</i>	<i>70 41</i>
A T & T INC 3%22 DUE 06/30/22 CALLABLE 04/30/22 AT 100 00000 CUSIP 00206RCM2 MOODY'S Baa1 S&P BBB+	20,000 0000	98 0416	19,608 32 <i>19 778 14</i>	19,778 14	<1%	(169 82)	600 00 <i>3 19%</i>
						<i>Accrued Interest</i>	<i>1 67</i>
ABBVIE INC 2 9%22 DUE 11/06/22 CUSIP 00287YAL3 MOODY'S Baa2 S&P A-	20,000 0000	98 8625	19,772 50 <i>19 995 00</i>	19,995 00	<1%	(222 50)	580 00 <i>2 90%</i>
						<i>Accrued Interest</i>	<i>88 61</i>

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
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Statement Period  
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**Investment Detail - Fixed Income (continued)**

	Par	Market Price	Market Value <i>Cost Basis</i>	Adjusted Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Annual Income  Yield to Maturity
<b>Corporate Bonds</b> (continued)							
JPMORGAN CHASE & 2 7%23 DUE 05/18/23 CALLABLE 03/18/23 AT 100 00000 CUSIP 46625HRL6 MOODY'S A3 S&P A-	20,000 0000	97 3902	19,478 04  19 973 00	19,973 00	<1%	(494 96)	540 00  2 72%
							<i>Accrued Interest 64 50</i>
<b>Total Corporate Bonds</b>	<b>271,000,0000</b>		<b>269,735.07</b> <b>Total Cost Basis: 249,668.21</b>	<b>249,661.70</b>	<b>13%</b>	<b>(726.63)</b>	<b>5,965.75</b>  <b>Total Accrued Interest for Corporate Bonds 1,074 29</b>
<b>Total Fixed Income</b>	<b>271,000,0000</b>		<b>269,735.07</b> <b>Total Cost Basis: 249,668.21</b>	<b>249,661.70</b>	<b>13%</b>	<b>(726.63)</b>	<b>5,965.75</b>

*Accrued Interest represents the interest that would be received if the fixed income investment was sold prior to the coupon payment. Estimated Annual Income (EAI) and Estimated Yield (EY) calculations are for informational purpose only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.*

**Investment Detail - Equities**

	Quantity	Market Price	Market Value <i>Cost Basis</i>	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
<b>Equities</b>							
EXXON MOBIL CORP SYMBOL XOM	9,400 0000	90 2600	848,444 00 174 840 00 <sup>2</sup>	40%	673,604 00	3 32%	28,200 00

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
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Statement Period  
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Investment Detail - Equities (continued)

Equities (continued)	Quantity	Market Price	Market Value Cost Basis	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income	
FIVE BELOW SYMBOL FIVE	1,988 0000	39 9600	79,440 48 <i>please provide</i>	4%	N/A <sup>1</sup>	N/A	N/A	
VALLEY NATIONAL BANC SYMBOL VLY	30,322 0000	11 6400	352,948 08 101 067 99 <sup>a</sup>	17%	251,880 09	3 78%	13,341 68	
							<i>Accrued Dividend</i>	4,369 42
<b>Total Equities</b>	<b>41,710,0000</b>		<b>1,280,832.56</b>	<b>60%</b>	<b>925,484.09</b>		<b>41,541.68</b>	
			<b>Total Cost Basis:</b>				<b>275,907.99</b>	
							<b>Total Accrued Dividend for Equities</b>	<b>4,369 42</b>

Estimated Annual Income (EAI) and Estimated Yield (EY) calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

<b>Total Investment Detail</b>	<b>2,128,651.01</b>
<b>Total Account Value</b>	<b>2,128,651.01</b>
<b>Total Cost Basis</b>	<b>525,575.20</b>

Transaction Detail - Dividends & Interest (including Money Market Fund dividends reinvested)

Transaction Process	Date	Date	Activity	Description	Credit/(Debit)
	12/01/16	12/01/16	Bond Interest	EMC CORP MASS 1 875%18 268648AP7	196 88
	12/01/16	12/01/16	Bond Interest	SOUTHERN POWER 2 375%20 843646AL4	130 63
	12/09/16	12/09/16	Qualified Dividend	EXXON MOBIL CORP XOM	9 900 00

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
1156-1820

Report Period  
January 1 - December 31,  
2016

### 2016 Year-End Schwab Gain/Loss Report

#### Realized Gain or (Loss)

Accounting Method: High Cost

Short-Term		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ADIANT PLC	F: ADNT	0.3000	10/31/16	10/31/16	\$13.47	\$13.98	(\$0.51)
ADIANT PLC	F: ADNT	126.0000	10/31/16	10/31/16	\$5,729.09	\$5,869.71	(\$140.62)
<b>Security Subtotal</b>					<b>\$5,742.56</b>	<b>\$5,883.69</b>	<b>(\$141.13)</b>
AENA SA ORD	F: ANNSF	7.0000	07/02/15	02/08/16	\$755.36	\$743.70	\$21.66
AENA SA ORD	F: ANNSF	38.0000	07/27/15	02/08/16	\$4,154.82	\$4,304.26	(\$149.44)
<b>Security Subtotal</b>					<b>\$4,920.18</b>	<b>\$5,047.96</b>	<b>(\$127.78)</b>
ALPHABET INC. GOOG	CLASS C:	17.0000	11/05/15	02/05/16	\$11,721.59	\$12,462.62	(\$741.03)
ALPHABET INC. GOOG	CLASS C:	11.0000	12/01/15	02/05/16	\$7,584.56	\$8,322.37	(\$737.81)
ALPHABET INC. GOOG	CLASS C:	10.0000	12/08/15	02/05/16	\$6,895.06	\$7,645.08	(\$750.02)
ALPHABET INC. GOOG	CLASS C:	6.0000	10/27/15	02/08/16	\$4,016.06	\$4,258.64	(\$242.58)
ALPHABET INC. GOOG	CLASS C:	14.0000	11/05/15	02/08/16	\$9,370.81	\$10,263.33	(\$892.52)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
1156-1820

Report Period  
January 1 - December 31,  
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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	CLASS	C:	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ALPHABET INC. GOOG	CLASS	C:	9.0000	10/27/15	02/11/16	\$6,063.11	\$6,387.95	(\$324.84)
ALPHABET INC. GOOG	CLASS	C:	1.0000	10/27/15	07/08/16	\$701.31	\$709.77	(\$8.46)
ALPHABET INC. GOOG	CLASS	C:	12.0000	04/21/16	07/08/16	\$8,415.71	\$8,652.36	(\$236.65)
ALPHABET INC. GOOG	CLASS	C:	7.0000	10/27/15	07/11/16	\$5,009.66	\$4,968.41	\$41.25
ALPHABET INC. GOOG	CLASS	C:	5.0000	10/27/15	07/12/16	\$3,592.57	\$3,548.86	\$43.71
<b>Security Subtotal</b>						<b>\$63,370.44</b>	<b>\$67,219.39</b>	<b>(\$3,848.95)</b>
CITIGROUP INC: C			253.0000	04/21/16	07/05/16	\$10,386.18	\$11,789.55	(\$1,403.37)
CITIGROUP INC: C			270.0000	04/22/16	07/05/16	\$11,084.07	\$12,711.01	(\$1,626.94)
CITIGROUP INC: C			490.0000	04/26/16	07/05/16	\$20,115.53	\$22,997.42	(\$2,881.89)
CITIGROUP INC: C			30.0000	04/27/16	07/05/16	\$1,231.56	\$1,411.34	(\$179.78)
<b>Security Subtotal</b>						<b>\$42,817.34</b>	<b>\$48,909.32</b>	<b>(\$6,091.98)</b>



Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
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January 1 - December 31,  
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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
EDGEWELL PERSONAL CA: EPC	48.0000	06/19/15	05/05/16	\$3,770.50	\$4,613.49	(\$842.99)
EDGEWELL PERSONAL CA: EPC	29.0000	06/22/15	05/05/16	\$2,278.01	\$2,802.93	(\$524.92)
EDGEWELL PERSONAL CA: EPC	122.0000	07/20/15	05/05/16	\$9,583.35	\$11,742.90	(\$2,159.55)
EDGEWELL PERSONAL CA: EPC	26.0000	06/18/15	05/06/16	\$2,016.35	\$2,492.91	(\$476.56)
EDGEWELL PERSONAL CA: EPC	54.0000	06/19/15	05/06/16	\$4,187.79	\$5,190.18	(\$1,002.39)
EDGEWELL PERSONAL CA: EPC	9.0000	06/18/15	05/09/16	\$705.85	\$862.93	(\$157.08)
EDGEWELL PERSONAL CA: EPC	60.0000	06/18/15	05/11/16	\$4,676.91	\$5,752.86	(\$1,075.95)
EDGEWELL PERSONAL CA: EPC	5.0000	06/24/15	05/11/16	\$389.74	\$479.19	(\$89.45)
EDGEWELL PERSONAL CA: EPC	37.0000	06/24/15	06/16/16	\$2,973.96	\$3,546.00	(\$572.04)
EDGEWELL PERSONAL CA: EPC	33.0000	06/25/15	06/16/16	\$2,652.45	\$3,143.58	(\$491.13)
EDGEWELL PERSONAL CA: EPC	56.0000	07/22/15	06/16/16	\$4,501.14	\$5,321.05	(\$819.91)
EDGEWELL PERSONAL CA: EPC	17.0000	07/23/15	06/16/16	\$1,386.42	\$1,613.51	(\$227.09)
EDGEWELL PERSONAL CA: EPC	42.0000	07/21/15	06/22/16	\$3,517.89	\$3,978.08	(\$460.39)



Schwab One® Account of  
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## 2016 Year-End Schwab Gain/Loss Report

### Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
EDGEWELL PERSONAL CA: EPC	21.0000	07/23/15	06/22/16	\$1,758.84	\$1,993.15	(\$234.31)
EDGEWELL PERSONAL CA: EPC	39.0000	07/24/15	06/22/16	\$3,266.43	\$3,683.95	(\$417.52)
EDGEWELL PERSONAL CA: EPC	128.0000	08/24/15	06/22/16	\$10,720.58	\$10,969.66	(\$249.08)
<b>Security Subtotal</b>				<b>\$58,366.01</b>	<b>\$68,186.37</b>	<b>(\$9,820.36)</b>
ENBRIDGE INC F: ENB	444.0000	09/06/16	09/09/16	\$19,751.74	\$19,618.58	\$133.16
<b>Security Subtotal</b>				<b>\$19,751.74</b>	<b>\$19,618.58</b>	<b>\$133.16</b>
ENERGIZER HOLDINGS I: ENR	7.0000	07/01/15	01/04/16	\$241.46	\$238.48	\$2.98
ENERGIZER HOLDINGS I: ENR	14.0000	07/01/15	01/05/16	\$484.63	\$476.95	\$7.68
ENERGIZER HOLDINGS I: ENR	165.0000	06/25/15	06/16/16	\$8,133.88	\$5,618.99	\$2,514.89
ENERGIZER HOLDINGS I: ENR	4.0000	07/01/15	06/16/16	\$197.19	\$136.27	\$60.92
ENERGIZER HOLDINGS I: ENR	85.0000	02/19/16	06/16/16	\$4,190.19	\$3,091.89	\$1,098.30
<b>Security Subtotal</b>				<b>\$13,247.35</b>	<b>\$9,562.59</b>	<b>\$3,684.77</b>
FACEBOOK INC CLASS A: FB	76.0000	12/28/15	02/05/16	\$8,038.58	\$8,025.89	\$12.69
FACEBOOK INC CLASS A: FB	359.0000	12/30/15	02/05/16	\$37,971.74	\$38,241.88	(\$270.14)



Schwab One® Account of  
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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
FACEBOOK INC CLASS A: FB	121.0000	12/28/15	02/08/16	\$12,167.30	\$12,778.06	(\$610.76)
FACEBOOK INC CLASS A: FB	108.0000		02/11/16	\$10,816.72	1079.12	97.60
FACEBOOK INC CLASS A: FB	32.0000	12/28/15	02/11/16	\$3,204.95	\$3,379.32	(\$174.37)
<b>Security Subtotal</b>				<b>\$72,199.29</b>	<b>\$73,144.27</b>	<b>(\$944.98)</b>
HOUGHTON MIFFLIN HAR: HMHC	195.0000	12/03/15	06/30/16	\$2,989.97	\$3,847.33	(\$857.36)
HOUGHTON MIFFLIN HAR: HMHC	633.0000	12/04/15	06/30/16	\$9,705.89	\$12,537.89	(\$2,832.00)
HOUGHTON MIFFLIN HAR: HMHC	46.0000	12/08/15	06/30/16	\$705.33	\$921.35	(\$216.02)
HOUGHTON MIFFLIN HAR: HMHC	431.0000	12/09/15	06/30/16	\$6,608.59	\$8,826.23	(\$2,217.64)
<b>Security Subtotal</b>				<b>\$20,098.78</b>	<b>\$26,132.80</b>	<b>(\$6,123.02)</b>
KRAFT HEINZ COMPANY: KHC	45.0000	03/25/15	03/03/16	\$3,482.51	\$3,269.03	\$213.48
KRAFT HEINZ COMPANY: KHC	116.0000	03/25/15	03/04/16	\$8,922.52	\$8,426.82	\$495.70
<b>Security Subtotal</b>				<b>\$12,405.03</b>	<b>\$11,695.85</b>	<b>\$709.18</b>
LIBERTY INTERACTV: QVCA	61.0000	11/23/15	03/04/16	\$1,608.57	\$1,619.75	(\$11.18)
LIBERTY INTERACTV: QVCA	176.0000	12/01/15	03/04/16	\$4,641.10	\$4,690.56	(\$49.46)

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Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
1156-1820

Report Period  
January 1 - December 31,  
2016

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Accounting Method: High Cost	
						Realized Gain or (Loss)	Realized Gain or (Loss)
LIBERTY INTERACTV: QVCA	80.0000	12/02/15	03/04/16	\$2,109.59	\$2,158.38		(\$48.79)
LIBERTY INTERACTV: QVCA	124.0000	11/23/15	03/07/16	\$3,210.29	\$3,292.59		(\$82.30)
LIBERTY INTERACTV: QVCA	106.0000	11/23/15	03/18/16	\$2,659.50	\$2,814.64		(\$155.14)
LIBERTY INTERACTV: QVCA	475.0000	11/18/15	08/05/16	\$10,017.53	\$12,330.57		(\$2,313.04)
LIBERTY INTERACTV: QVCA	302.0000	11/19/15	08/05/16	\$6,523.56	\$7,995.51		(\$1,471.95)
LIBERTY INTERACTV: QVCA	375.0000	11/19/15	08/05/16	\$7,908.58	\$9,928.20		(\$2,019.62)
LIBERTY INTERACTV: QVCA	225.0000	11/20/15	08/05/16	\$4,745.15	\$5,956.63		(\$1,211.48)
LIBERTY INTERACTV: QVCA	103.0000	11/23/15	08/05/16	\$2,224.93	\$2,734.98		(\$510.05)
LIBERTY INTERACTV: QVCA	199.0000	11/24/15	08/05/16	\$4,196.82	\$5,228.53		(\$1,031.71)
LIBERTY INTERACTV: QVCA	412.0000	11/25/15	08/05/16	\$8,688.89	\$10,882.57		(\$2,193.68)
LIBERTY INTERACTV: QVCA	221.0000	11/30/15	08/05/16	\$4,773.87	\$5,855.11		(\$1,081.24)
LIBERTY INTERACTV: QVCA	31.0000	05/17/16	08/05/16	\$653.76	\$797.62		(\$143.86)
<b>Security Subtotal</b>				<b>\$63,962.14</b>	<b>\$76,285.64</b>		<b>(\$12,323.50)</b>



Schwab One® Account of  
MIRKEN FOUNDATION

Account Number  
1156-1920

Report Period  
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2016

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
MACQUARIE INFRASTRUC: MIC	385.0000	02/04/15	01/06/16	\$26,163.38	\$27,527.34	(\$1,363.96)
MACQUARIE INFRASTRUC: MIC	69.0000	02/04/15	01/07/16	\$4,607.14	\$4,933.47	(\$326.33)
<b>Security Subtotal</b>				<b>\$30,770.52</b>	<b>\$32,460.81</b>	<b>(\$1,690.29)</b>
NOMAD HOLDINGS F: NOMD	892.0000	09/19/16	10/13/16	\$10,684.67	\$10,730.76	\$0.00
<b>Security Subtotal</b>				<b>\$10,684.67</b>	<b>\$10,730.76</b>	<b>\$0.00</b>
NORTHSTAR ASSET MGMT: NSAM	149.0000	01/11/16	12/23/16	\$2,224.16	\$1,759.36	\$464.80
NORTHSTAR ASSET MGMT: NSAM	668.0000	01/11/16	12/27/16	\$10,276.49	\$8,123.77	\$2,152.72
NORTHSTAR ASSET MGMT: NSAM	374.0000	01/11/16	12/28/16	\$5,547.04	\$4,416.12	\$1,130.92
NORTHSTAR ASSET MGMT: NSAM	50.0000	01/12/16	12/28/16	\$741.58	\$572.48	\$169.10
<b>Security Subtotal</b>				<b>\$18,789.27</b>	<b>\$14,871.73</b>	<b>\$3,917.54</b>
SERVICEMASTER GLBL: SERV	38.0000	08/11/16	10/06/16	\$1,286.34	\$1,452.66	(\$166.32)
SERVICEMASTER GLBL: SERV	32.0000	08/11/16	11/10/16	\$1,130.66	\$1,223.30	(\$92.64)
SERVICEMASTER GLBL: SERV	47.0000	08/16/16	11/10/16	\$1,660.66	\$1,785.08	(\$124.42)
<b>Security Subtotal</b>				<b>\$4,077.66</b>	<b>\$4,461.04</b>	<b>(\$383.38)</b>



Schwab One® Account of  
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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
WEBSTER FINANCIAL CO: WBS	106.0000	05/11/16	07/12/16	\$3,743.07	\$3,765.50	(\$22.43)
WEBSTER FINANCIAL CO: WBS	39.0000	05/11/16	07/13/16	\$1,382.14	\$1,385.42	(\$3.28)
WEBSTER FINANCIAL CO: WBS	37.0000	05/10/16	07/14/16	\$1,333.53	\$1,309.06	\$24.47
WEBSTER FINANCIAL CO: WBS	22.0000	05/11/16	07/14/16	\$792.91	\$781.52	\$11.39
WEBSTER FINANCIAL CO: WBS	13.0000	05/12/16	07/14/16	\$468.53	\$457.32	\$11.21
WEBSTER FINANCIAL CO: WBS	66.0000	05/12/16	07/14/16	\$2,383.16	\$2,321.78	\$61.38
WEBSTER FINANCIAL CO: WBS	38.0000	05/13/16	07/14/16	\$1,372.13	\$1,326.37	\$45.76
<b>Security Subtotal</b>				<b>\$11,475.47</b>	<b>\$11,346.97</b>	<b>\$128.50</b>
<b>Total Short-Term</b>				<b>\$452,589.45</b>	<b>\$485,577.76</b>	<b>(\$32,921.22)</b>

Long-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ALPHABET INC. CLASS C: GOOG	5.0000	01/15/15	07/12/16	\$3,592.57	\$2,506.91	\$1,085.66



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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	CLASS	C:	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ALPHABET INC. GOOG			4.0000	01/15/15	07/14/16	\$2,881.75	\$2,005.53	\$876.22
<b>Security Subtotal</b>						<b>\$6,474.32</b>	<b>\$4,512.44</b>	<b>\$1,961.88</b>
AMERICAN EXPRESS CO: AXP			640.0000	08/31/98	11/30/16	\$46,068.43	\$14,598.98 <sup>a</sup>	\$31,469.45
<b>Security Subtotal</b>						<b>\$46,068.43</b>	<b>\$14,598.98</b>	<b>\$31,469.45</b>
NICE SYSTEMS LTD ADR REPS: NICE	FADR	1	210.0000	04/04/13	05/16/16	\$13,649.51	\$7,452.04	\$6,197.47
NICE SYSTEMS LTD ADR REPS: NICE	FADR	1	60.0000	04/05/13	05/16/16	\$3,899.86	\$2,117.08	\$1,782.78
NICE SYSTEMS LTD ADR REPS: NICE	FADR	1	9.0000	04/17/13	05/16/16	\$584.98	\$313.41	\$271.57
NICE SYSTEMS LTD ADR REPS: NICE	FADR	1	101.0000	04/17/13	05/17/16	\$6,563.19	\$3,517.17	\$3,046.02
<b>Security Subtotal</b>						<b>\$24,697.54</b>	<b>\$13,399.70</b>	<b>\$11,297.84</b>
NORTHSTAR ASSET MGMT: NSAM			55.0000	04/10/15	12/23/16	\$821.00	\$1,216.55	(\$395.55)
NORTHSTAR ASSET MGMT: NSAM			285.0000	04/16/15	12/23/16	\$4,254.27	\$5,812.55	(\$1,558.28)
NORTHSTAR ASSET MGMT: NSAM			53.0000	06/04/15	12/23/16	\$791.15	\$1,105.21	(\$314.06)

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Schwab One® Account of  
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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NORTHSTAR ASSET MGMT: NSAM	20.0000	06/08/15	12/23/16	\$298.55	\$411.54	(\$112.99)
NORTHSTAR ASSET MGMT: NSAM	62.0000	06/09/15	12/23/16	\$925.49	\$1,256.18	(\$330.69)
NORTHSTAR ASSET MGMT: NSAM	40.0000	06/16/15	12/23/16	\$597.09	\$811.90	(\$214.81)
NORTHSTAR ASSET MGMT: NSAM	40.0000	06/17/15	12/23/16	\$597.09	\$818.97	(\$221.88)
NORTHSTAR ASSET MGMT: NSAM	174.5000	08/02/13	12/28/16	\$2,588.13	\$1,719.00	\$869.13
NORTHSTAR ASSET MGMT: NSAM	198.5000	11/11/13	12/28/16	\$2,944.09	\$1,909.98	\$1,034.11
NORTHSTAR ASSET MGMT: NSAM	20.5000	07/10/13	12/29/16	\$302.71	\$186.42	\$116.29
NORTHSTAR ASSET MGMT: NSAM	685.0000	08/06/13	12/29/16	\$10,115.03	\$6,390.04	\$3,724.99
NORTHSTAR ASSET MGMT: NSAM	271.5000	11/11/13	12/29/16	\$4,009.10	\$2,612.39	\$1,396.71
NORTHSTAR ASSET MGMT: NSAM	66.5000	03/21/13	12/30/16	\$985.71	\$603.43	\$382.28
NORTHSTAR ASSET MGMT: NSAM	139.5000	07/10/13	12/30/16	\$2,067.76	\$1,268.57	\$799.19
<b>Security Subtotal</b>				<b>\$31,297.17</b>	<b>\$26,122.73</b>	<b>\$5,174.44</b>
NORTHSTAR REALTY FIN REIT: NRF	178.2500	03/21/13	02/09/16	\$1,539.80	\$1,339.25	\$200.55

**2016 Year-End Schwab Gain/Loss Report**

**Realized Gain or (Loss) (continued)**

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NORTHSTAR REALTY FIN REIT: NRF	14.5000	04/17/13	02/09/16	\$125.26	\$96.40	\$28.86
NORTHSTAR REALTY FIN REIT: NRF	80.0000	07/10/13	02/09/16	\$691.07	\$603.82	\$87.25
NORTHSTAR REALTY FIN REIT: NRF	342.5000	08/06/13	02/09/16	\$2,958.66	\$2,725.83	\$232.83
NORTHSTAR REALTY FIN REIT: NRF	14.7500	11/11/13	02/09/16	\$127.42	\$124.97	\$2.45
NORTHSTAR REALTY FIN REIT: NRF	40.5000	04/17/13	02/11/16	\$370.25	\$269.25	\$101.00
NORTHSTAR REALTY FIN REIT: NRF	112.5000	06/13/13	02/11/16	\$1,028.47	\$735.27	\$293.20
<b>Security Subtotal</b>				<b>\$6,840.93</b>	<b>\$5,884.79</b>	<b>\$946.14</b>
PROSHARES ULTRASHORT EURO ETF: EUO	10.0000	03/15/15	05/31/16	\$241.94	\$264.06	(\$22.12)
PROSHARES ULTRASHORT EURO ETF: EUO	20.0000	03/16/15	05/31/16	\$483.87	\$527.54	(\$43.67)
PROSHARES ULTRASHORT EURO ETF: EUO	21.0000	03/22/15	05/31/16	\$508.07	\$564.73	(\$56.66)
PROSHARES ULTRASHORT EURO ETF: EUO	3.0000	03/05/15	06/29/16	\$72.69	\$77.75	(\$5.06)
PROSHARES ULTRASHORT EURO ETF: EUO	14.0000	03/15/15	06/29/16	\$339.22	\$368.22	(\$29.00)
PROSHARES ULTRASHORT EURO ETF: EUO	10.0000	03/16/15	06/29/16	\$242.30	\$263.77	(\$21.47)



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2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
PROSHARES ULTRASHORT EURO ETF: EVO	62.0000	03/05/15	10/26/16	\$1,561.12	\$1,606.85	(\$19.18)
<b>Security Subtotal</b>				<b>\$3,449.21</b>	<b>\$3,672.92</b>	<b>(\$197.16)</b>
RYMAN HOSPITALITY PR REIT: RHP	54.0000	04/23/13	02/11/16	\$2,498.29	\$2,482.61	\$15.68
<b>Security Subtotal</b>				<b>\$2,498.29</b>	<b>\$2,482.61</b>	<b>\$15.68</b>
VERINT SYSTEMS INC. VRNT	125.0000	10/25/13	02/19/16	\$4,166.32	\$4,686.90	(\$520.58)
VERINT SYSTEMS INC: VRNT	220.0000	10/29/13	02/19/16	\$7,332.72	\$8,207.58	(\$874.86)
VERINT SYSTEMS INC: VRNT	135.0000	10/30/13	02/19/16	\$4,499.63	\$5,020.81	(\$521.18)
<b>Security Subtotal</b>				<b>\$15,998.67</b>	<b>\$17,915.29</b>	<b>(\$1,916.62)</b>
<b>Total Long-Term</b>				<b>\$137,324.56</b>	<b>\$88,599.46</b>	<b>\$48,751.65</b>
<b>Total Realized Gain or (Loss)</b>				<b>\$589,914.01</b>	<b>\$579,573.33<sup>b</sup></b>	<b>\$15,756.77<sup>b</sup></b>

Schwab has provided realized gain/loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.  
Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options.