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 separate instructions is at www.irs.gov/form990pf

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

For calendar year 2016 or tax year beginning , and ending

Name of foundation: NORATHCO FOUNDATION

A Employer identification number: 16-1731980

Number and street (or P O box number if mail is not delivered to street address): 200 OAK HILL RD. Room/suite

B Telephone number: 607-266-9470

City or town, state or province, country, and ZIP or foreign postal code: ITHACA, NY 14850

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 85% test, check here and attach computation ▶ [ ]

H Check type of organization: [X] 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) ▶$ 2,693,758.

J Accounting method: [X] Cash [ ] Accrual [ ] Other (specify) (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 ▶ [ ]

**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 | | | N/A | |
| | 2 Check ▶ [X] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 78. | | | STATEMENT 1 |
| | 4 Dividends and interest from securities | 50,136. | 50,136. | | STATEMENT 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 69,719. | | | STATEMENT 3 |
| | b Gross sales price for all assets on line 6a 1,398,968. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 69,628. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) | | | | |
| | 11 Other income | | | | |
| | 12 **Total.** Add lines 1 through 11 | 119,933. | 119,764. | | |
| 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 | | | | |
| | b Accounting fees STMT 4 | 11,000. | 5,500. | | 5,500. |
| | c Other professional fees STMT 5 | 24,570. | 24,356. | | 214. |
| | 17 Interest | | | | |
| | 18 Taxes STMT 6 | 772. | 341. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses STMT 7 | 508. | 121. | | 387. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 36,850. | 30,318. | | 6,101. |
| | 25 Contributions, gifts, grants paid | 110,750. | | | 110,750. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 147,600. | 30,318. | | 116,851. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | <27,667.> | | | |
| | b **Net investment income** (if negative, enter -0-) | | 89,446. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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13130509 148365 30871 2016.03040 NORATHCO FOUNDATION 30871__1

**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 | 57,686. | 24,824. | 24,824. |
| | 2 Savings and temporary cash investments | 146,652. | 48,482. | 48,482. |
| | 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 STMT 8 | 249,837. | 149,915. | 150,094. |
| | b Investments - corporate stock STMT 9 | 1,728,661. | 1,659,601. | 2,040,102. |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other STMT 10 | 148,445. | 420,792. | 430,256. |
| | 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) | 2,331,281. | 2,303,614. | 2,693,758. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ [X] and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | 0. | 0. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 2,331,281. | 2,303,614. | |
| | 30 **Total net assets or fund balances** | 2,331,281. | 2,303,614. | |
| | 31 **Total liabilities and net assets/fund balances** | 2,331,281. | 2,303,614. | |

**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 | 2,331,281. |
| 2 | Enter amount from Part I, line 27a | 2 | <27,667.> |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 2,303,614. |
| 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 | 2,303,614. |

## 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 | CHARLES SCHWAB | P | VARIOUS | 12/31/16 |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 1,398,877. | | 1,329,249. | 69,628. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | 69,628. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } **2** 69,628.

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 | 123,888. | 2,617,210. | .047336 |
| 2014 | 140,492. | 2,485,115. | .056533 |
| 2013 | 54,799. | 1,433,745. | .038221 |
| 2012 | 55,830. | 1,351,713. | .041303 |
| 2011 | 58,856. | 1,436,988. | .040958 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | .224351 |
| 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 | .044870 |
| 4 | Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 | 4 | 2,543,133. |
| 5 | Multiply line 4 by line 3 | 5 | 114,110. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 894. |
| 7 | Add lines 5 and 6 | 7 | 115,004. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 116,851. |

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 ▶ [X] and enter 1% of Part I, line 27b | 1 | 894. |
| 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 | 894. |
| 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 | 894. |
| 6 | Credits/Payments: | | |
| a | 2016 estimated tax payments and 2015 overpayment credited to 2016 — 6a | | |
| 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 | 0. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | 8 | 6. |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | 900. |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | |
| 11 | Enter the amount of line 10 to be: **Credited to 2017 estimated tax** ▶ **Refunded** ▶ | 11 | |

## 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? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? | 1b | | X |
| | *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* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | 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* | 2 | | 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* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | 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? | 6 | 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* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NY,DE | | | |
| 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* | 8b | 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* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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**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? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ FREDERICK D. COWETT Telephone no. ▶ 607-266-9470

Located at ▶ 200 OAK HILL ROAD, ITHACA, NY ZIP+4 ▶ 14850

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

| | | | Yes | No |
|---|---|---|---|---|
| 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? | 16 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶ | | | |

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

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 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)? N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| 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 | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)* N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? | 4b | | X |

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

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

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

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

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

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

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

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

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

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

*If "Yes," attach the statement required by Regulations section 53 4945-5(d)*

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** X (No)

*If "Yes" to 6b, file Form 8870*

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

**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 |
|---|---|---|---|---|
| FREDERICK D. COWETT<br>200 OAK HILL ROAD<br>ITHACA, NE 14850 | SOLE DIRECTOR, PRES., TREAS.<br>1.00 | 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

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 0 |

**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 |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

**Part IX-B Summary of Program-Related Investments**

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions. 3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

**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 | 2,471,718. |
| b | Average of monthly cash balances | | 1b | 110,143. |
| c | Fair market value of all other assets | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | 1d | 2,581,861. |
| 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 | 2,581,861. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 38,728. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 2,543,133. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | 6 | 127,157. |

**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 | 127,157. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 | 2a 894. | | |
| b | Income tax for 2016. (This does not include the tax from Part VI.) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 894. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | 3 | 126,263. |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 0. |
| 5 | Add lines 3 and 4 | | 5 | 126,263. |
| 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 | 126,263. |

**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 | 116,851. |
| 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 | 116,851. |
| 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 | 894. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 115,957. |

**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 | | | | 126,263. |
| 2 Undistributed income, if any, as of the end of 2016 | | | | |
| a Enter amount for 2015 only | | | 8,545. | |
| b Total for prior years: ____, ____, ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2016: | | | | |
| a From 2011 | | | | |
| b From 2012 | | | | |
| c From 2013 | | | | |
| d From 2014 | | | | |
| e From 2015 | | | | |
| f Total of lines 3a through e | 0. | | | |
| 4 Qualifying distributions for 2016 from Part XII, line 4: ▶ $ 116,851. | | | | |
| a Applied to 2015, but not more than line 2a | | | 8,545. | |
| 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 | | | | 108,306. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| 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 | | | | 17,957. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2011 not applied on line 5 or line 7 | 0. | | | |
| 9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a | 0. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2012 | | | | |
| b Excess from 2013 | | | | |
| c Excess from 2014 | | | | |
| d Excess from 2015 | | | | |
| e Excess from 2016 | | | | |

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

Check here ▶ [X] 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:

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

c Any submission deadlines:

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

**Part XV Supplementary Information** (continued)

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| *a Paid during the year* | | | | |
| SEE ATTACHED LIST | NONE | 501(C)(3) | GENERAL SUPPORT | 110,750. |
| **Total** | | | ▶ 3a | 110,750. |
| *b Approved for future payment* | | | | |
| NONE | | | | |
| **Total** | | | ▶ 3b | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | Related or exempt function income |
| 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 | 78. | |
| 4 Dividends and interest from securities | | | 14 | 50,136. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 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 | 69,719. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | 119,933. | 0. |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 119,933.

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

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). |
|---|---|
| | |

**Part XVII** **Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations**

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

| (a) Line no | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | N/A | |

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

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

**Sign Here**

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

[signature] 5/10/17 TRUSTEE

Signature of officer or trustee — Date — Title

May the IRS discuss this return with the preparer shown below (see instr)? ☒ Yes ☐ No

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| PETER NUSSBAUM | [signature] | 5/9/17 | | P00294707 |

Firm's name ▶ MAZARS USA LLP — Firm's EIN ▶ 13-1459550

Firm's address ▶ 135 WEST 50TH STREET NEW YORK, NY 10020-0002 — Phone no (212) 812-7000

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 |
|---|---|---|---|
| TREASURY DIRECT | 78. | 0. | |
| TOTAL TO PART I, LINE 3 | 78. | 0. | |

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 |
|---|---|---|---|---|---|
| CHARLES SCHWAB - BOND INTEREST | 1,813. | 0. | 1,813. | 1,813. | |
| CHARLES SCHWAB - DIVIDENDS | 48,323. | 0. | 48,323. | 48,323. | |
| TO PART I, LINE 4 | 50,136. | 0. | 50,136. | 50,136. | |

FORM 990-PF GAIN OR (LOSS) FROM SALE OF ASSETS STATEMENT 3

| (A) DESCRIPTION OF PROPERTY | MANNER ACQUIRED | DATE ACQUIRED | DATE SOLD |
|---|---|---|---|
| CHARLES SCHWAB | PURCHASED | VARIOUS | 12/31/16 |

| (B) GROSS SALES PRICE | (C) COST OR OTHER BASIS | (D) EXPENSE OF SALE | (E) DEPREC. | (F) GAIN OR LOSS |
|---|---|---|---|---|
| 1,398,877. | 1,329,249. | 0. | 0. | 69,628. |

| (A) DESCRIPTION OF PROPERTY | MANNER ACQUIRED | DATE ACQUIRED | DATE SOLD |
|---|---|---|---|
| PFIZER INC - SECURITIES LITIGATION | PURCHASED | 07/08/16 | 07/08/16 |

| (B) GROSS SALES PRICE | (C) COST OR OTHER BASIS | (D) EXPENSE OF SALE | (E) DEPREC. | (F) GAIN OR LOSS |
|---|---|---|---|---|
| 91. | 0. | 0. | 0. | 91. |

| | |
|---|---|
| NET GAIN OR LOSS FROM SALE OF ASSETS | 69,719. |
| CAPITAL GAINS DIVIDENDS FROM PART IV | 0. |
| TOTAL TO FORM 990-PF, PART I, LINE 6A | 69,719. |

FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| MAZARS USA LLP | 11,000. | 5,500. | | 5,500. |
| TO FORM 990-PF, PG 1, LN 16B | 11,000. | 5,500. | | 5,500. |

| FORM 990-PF | OTHER PROFESSIONAL FEES | | | STATEMENT 5 |
|---|---|---|---|---|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| CORPORATION SERVICES | 427. | 213. | | 214. |
| INVESTMENT COUNSELING | 24,143. | 24,143. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 24,570. | 24,356. | | 214. |

| FORM 990-PF | TAXES | | | STATEMENT 6 |
|---|---|---|---|---|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| FOREIGN TAX | 341. | 341. | | 0. |
| FEDERAL EXCISE TAX | 431. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 772. | 341. | | 0. |

| FORM 990-PF | OTHER EXPENSES | | | STATEMENT 7 |
|---|---|---|---|---|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| NYS FILING FEES | 250. | 0. | | 250. |
| BANK CHARGES | 75. | 0. | | 75. |
| DE FILING FEES | 62. | 0. | | 62. |
| ADR FEES | 121. | 121. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 508. | 121. | | 387. |

| FORM 990-PF | U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS | | | STATEMENT 8 |
|---|---|---|---|---|
| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE |
| CHARLES SCHWAB - MMF - FIXED INCOME | X | | 149,915. | 150,094. |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 149,915. | 150,094. |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | | |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 149,915. | 150,094. |

| FORM 990-PF | CORPORATE STOCK | STATEMENT 9 |
|---|---|---|
| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
| CHARLES SCHWAB - MMF - EQUITIES | 1,659,601. | 2,040,102. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 1,659,601. | 2,040,102. |

| FORM 990-PF | OTHER INVESTMENTS | | STATEMENT 10 |
|---|---|---|---|
| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
| CHARLES SCHWAB - MF | COST | 100,060. | 98,602. |
| CHARLES SCHWAB - OTHER ASSETS | COST | 260,732. | 271,654. |
| TREASURY DIRECT - 13-WEEK BILL DUE 1/12/2017 | COST | 60,000. | 60,000. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 420,792. | 430,256. |

**NORATHCO FOUNDATION**
**FYE 12/31/2016**
**PART XV**
**GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR OR APPROVED FOR FUTURE PAYMENT**
**EIN: 16-1731980**

| RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|
| WHARTON STUDIO MUSEUM | GENERAL SUPPORT | 5,000.00 |
| MUSEUM OF THE EARTH/PRI | GENERAL SUPPORT | 1,000.00 |
| FRIENDS OF STEWART PARK | GENERAL SUPPORT | 1,000.00 |
| ITHACA PUBLIC EDUCATION INITIATIVE | GENERAL SUPPORT | 1,000.00 |
| BRITISH SCHOOLS AND UNIVERSITIES FOUNDATION | GENERAL SUPPORT | 5,000.00 |
| FAMILY READING PARTNERSHIP | GENERAL SUPPORT | 1,000.00 |
| FOOD BANK OF THE SOUTHERN TIER | GENERAL SUPPORT | 2,500.00 |
| KCRW | GENERAL SUPPORT | 1,000.00 |
| PLANNED PARENTHOOD OF THE SOUTHERN FINGER LAKES | GENERAL SUPPORT | 5,000.00 |
| WCNY | GENERAL SUPPORT | 1,000.00 |
| FRIENDS OF THE ITHACA YOUTH BUREAU -- CASS PARK CAMPAIGN | GENERAL SUPPORT | 2,500.00 |
| TOMPKINS COUNTY LIBRARY FOUNDATION | GENERAL SUPPORT | 250.00 |
| STATE THEATER OF ITHACA, INC. | GENERAL SUPPORT | 1,000.00 |
| FRANZISKA RACKER CENTERS | GENERAL SUPPORT | 2,000.00 |
| HANGAR THEATRE | GENERAL SUPPORT | 1,000.00 |
| CORNELL CINEMA | GENERAL SUPPORT | 1,000.00 |
| 7TH ART CORPORATION/CINEMAPOLIS | GENERAL SUPPORT | 2,500 00 |
| YALE ALUMNI FUND | GENERAL SUPPORT | 2,500 00 |
| KITCHEN THEATRE | GENERAL SUPPORT | 1,000.00 |
| HARVARD COLLEGE FUND | GENERAL SUPPORT | 5,000.00 |
| CENTER FOR REPRODUCTIVE RIGHTS | GENERAL SUPPORT | 10,000.00 |
| NARAL FOUNDATION | GENERAL SUPPORT | 10,000 00 |
| PLANNED PARENTHOOD FEDERATION OF AMERICA | GENERAL SUPPORT | 5,000.00 |
| WILD CENTER | GENERAL SUPPORT | 2,500.00 |
| HISTORIC ITHACA | GENERAL SUPPORT | 1,000.00 |
| COLLEGIATE SCHOOL | GENERAL SUPPORT | 10,000.00 |
| MOUNT SINAI HOSPITAL DUBIN BREAST CENTER | GENERAL SUPPORT | 2,500 00 |
| HOSPICARE | GENERAL SUPPORT | 1,000.00 |
| BREAST CANCER RESEARCH FOUNDATION | GENERAL SUPPORT | 2,500.00 |
| ITHACA NEIGHBORHOOD HOUSING SERVICES | GENERAL SUPPORT | 1,000.00 |
| DOWNTOWN ITHACA CHILDREN'S CENTER | GENERAL SUPPORT | 2,000 00 |
| FAMILY & CHILDREN'S SERVICE OF ITHACA | GENERAL SUPPORT | 1,000.00 |
| CHALLENGE WORKFORCE SOLUTIONS | GENERAL SUPPORT | 1,000.00 |
| COMMUNITY ARTS PARTNERSHIP | GENERAL SUPPORT | 1,000.00 |
| SUICIDE PREVENTION & CRISIS SERVICE | GENERAL SUPPORT | 1,000.00 |
| FOODNET MEALS ON WHEELS | GENERAL SUPPORT | 1,000.00 |
| FRIENDS OF ROBINSON GARDENS | GENERAL SUPPORT | 2,000.00 |
| CANCER RESOURCE CENTER OF THE FINGER LAKES | GENERAL SUPPORT | 2,000.00 |
| CAYUGA MEDICAL CENTER FOUNDATION | GENERAL SUPPORT | 2,000 00 |
| GOLDEN OPPORTUNITY | GENERAL SUPPORT | 1,000.00 |
| BUFFALO OLMSTED PARKS CONSERVANCY | GENERAL SUPPORT | 1,000.00 |
| FRISBE/TRAFALGAR | GENERAL SUPPORT | 1,000 00 |
| HISTORY CENTER IN TOMPKINS COUNTY | GENERAL SUPPORT | 1,000.00 |
| SCIENCENTER | GENERAL SUPPORT | 1,000.00 |
| FINGER LAKES LAND TRUST | GENERAL SUPPORT | 1,000.00 |
| FRIENDS OF STEWART PARK | GENERAL SUPPORT | 4,000.00 |
| **TOTAL CONTIBUTIONS PAID FYE 12/31/2015** | | **110,750.00** |

# 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) |
|---|---|---|---|---|---|---|
| BIOGEN INC: BIIB | 50 0000 | 08/26/15 | 01/07/16 | $14,396.14 | $14,850.20 | ($454.06) |
| **Security Subtotal** | | | | **$14,396.14** | **$14,850.20** | **($454.06)** |
| EMERSON ELECTRIC CO EMR | 200.0000 | 03/05/15 | 01/07/16 | $9,045.09 | $11,600 52 | ($2,555 43) |
| **Security Subtotal** | | | | **$9,045.09** | **$11,600.52** | **($2,555.43)** |
| FACEBOOK INC CLASS A· FB | 150 0000 | 09/02/15 | 01/07/16 | $14,958 53 | $13,286.83 | $1,671.70 |
| **Security Subtotal** | | | | **$14,958.53** | **$13,286.83** | **$1,671.70** |
| KANSAS CITY SOUTHERN: KSU | 700 0000 | 01/07/16 | 03/04/16 | $60,979 66 | $48,675 76 | $12,303 90 |
| **Security Subtotal** | | | | **$60,979.66** | **$48,675.76** | **$12,303.90** |
| KIRBY CORPORATION: KEX | 600 0000 | 03/16/15 | 01/07/16 | $28,800 37 | $44,867 54 | ($16,067.17) |
| **Security Subtotal** | | | | **$28,800.37** | **$44,867.54** | **($16,067.17)** |
| MACYS INC· M | 1,225.0000 | 04/19/16 | 11/10/16 | $50,156 25 | $50,418.41 | ($262.16) |
| **Security Subtotal** | | | | **$50,156.25** | **$50,418.41** | **($262.16)** |
| MEDTRONIC PLC F: MDT | 200 0000 | 01/27/15 | 01/07/16 | $15,024 88 | $15,390 00 | ($365.12) |
| **Security Subtotal** | | | | **$15,024.88** | **$15,390.00** | **($365.12)** |

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

# 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) |
|---|---|---|---|---|---|---|
| SPDR FUND CONSUMER DISCRE SEL ETF IV: XLY | 1,250.0000 | 01/07/16 | 04/19/16 | $99,916.19 | $94,412.50 | $5,503.69 |
| **Security Subtotal** | | | | **$99,916.19** | **$94,412.50** | **$5,503.69** |
| SPDR S&P 500 ETF IV· SPY | 240 0000 | 01/07/16 | 03/23/16 | $48,949 57 | $47,263.37 | $1,686.20 |
| SPDR S&P 500 ETF IV: SPY | 240 0000 | 01/07/16 | 05/03/16 | $49,360.90 | $47,263 37 | $2,097.53 |
| SPDR S&P 500 ETF IV: SPY | 250 0000 | 01/07/16 | 06/15/16 | $52,116 69 | $49,232 67 | $2,884.02 |
| SPDR S&P 500 ETF IV: SPY | 270 0000 | 01/07/16 | 07/06/16 | $56,484 23 | $53,171.29 | $3,312 94 |
| **Security Subtotal** | | | | **$206,911.39** | **$196,930.70** | **$9,980.69** |
| TEVA PHARM INDS LTD FADR 1 ADR REPS: TEVA | 885 0000 | 03/23/16 | 11/04/16 | $35,237 63 | $48,444.02 | ($13,206.39) |
| **Security Subtotal** | | | | **$35,237.63** | **$48,444.02** | **($13,206.39)** |
| **Total Short-Term** | | | | **$535,426.13** | **$538,876.48** | **($3,450.35)** |

| | Acquired/ | Sold/ | | Cost Basis | Realized Gain or (Loss) |
|---|---|---|---|---|---|

## 2016 Year-End Schwab Gain/Loss Report

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

Accounting Method· High Cost

| Long-Term | | | Quantity/Par | Opened | Closed | Total Proceeds | Adjusted | Adjusted |
|---|---|---|---|---|---|---|---|---|
| ABB LTD REPS. ABB | FADR | 1 ADR | 1,000 0000 | 04/02/09 | 01/07/16 | $16,679 19 | $14,909 60 | $1,769.59 |
| ABB LTD REPS: ABB | FADR | 1 ADR | 500 0000 | 02/06/14 | 01/07/16 | $8,339.60 | $12,521.30 | ($4,181.70) |
| ABB LTD REPS: ABB | FADR | 1 ADR | 500 0000 | 02/07/14 | 01/07/16 | $8,339 60 | $12,629 00 | ($4,289.40) |
| ABB LTD REPS: ABB | FADR | 1 ADR | 500.0000 | 05/07/14 | 01/07/16 | $8,339.59 | $11,684.00 | ($3,344 41) |
| **Security Subtotal** | | | | | | **$41,697.98** | **$51,743.90** | **($10,045.92)** |
| ABBVIE INC: ABBV | | | 400.0000 | 10/14/13 | 01/07/16 | $22,747.98 | $18,299 92 | $4,448 06 |
| ABBVIE INC: ABBV | | | 600 0000 | 02/06/14 | 01/07/16 | $34,121 97 | $28,647.00 | $5,474.97 |
| **Security Subtotal** | | | | | | **$56,869.95** | **$46,946.92** | **$9,923.03** |
| ADVANSIX INC: ASIX | | | 20.0000 | 03/01/07 | 10/04/16 | $304.56 | $121 90 | $182.66 |
| **Security Subtotal** | | | | | | **$304.56** | **$121.90** | **$182.66** |
| ALPHABET INC GOOG | CLASS | C: | 50.0000 | 02/08/08 | 01/07/16 | $36,258 09 | $12,777.42 | $23,480.67 |
| **Security Subtotal** | | | | | | **$36,258.09** | **$12,777.42** | **$23,480.67** |

## 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 *Adjusted* | Realized Gain or (Loss) *Adjusted* |
|---|---|---|---|---|---|---|
| BERKSHIRE HATHAWAY CLASS B: BRKB | 500 0000 | 02/24/14 | 01/07/16 | $64,983 80 | $56,848.20 | $8,135 60 |
| **Security Subtotal** | | | | **$64,983.80** | **$56,848.20** | **$8,135.60** |
| BROADCOM CORPORATION MERGER ELECTION EXP· 01/25/1: BRCM | 1,200 0000 | 01/07/15 | 01/20/16 | $63,904.98 | $49,687 04 | $14,217.94 |
| **Security Subtotal** | | | | **$63,904.98** | **$49,687.04** | **$14,217.94** |
| COLGATE-PALMOLIVE CO· CL | 600 0000 | 04/02/09 | 01/07/16 | $38,083 46 | $18,230.30 | $19,853 16 |
| **Security Subtotal** | | | | **$38,083.46** | **$18,230.30** | **$19,853.16** |
| CONOCOPHILLIPS· COP | 300.0000 | 08/01/12 | 01/07/16 | $13,334 88 | $16,504 85 | ($3,169 97) |
| CONOCOPHILLIPS: COP | 300 0000 | 02/06/14 | 01/07/16 | $13,334 88 | $19,134.30 | ($5,799 42) |
| CONOCOPHILLIPS: COP | 200 0000 | 02/07/14 | 01/07/16 | $8,889.91 | $12,961.00 | ($4,071.09) |
| **Security Subtotal** | | | | **$35,559.67** | **$48,600.15** | **($13,040.48)** |
| EMC CORP MASS: EMC | 800.0000 | 03/26/13 | 01/07/16 | $20,016.19 | $19,055.12 | $961.07 |
| EMC CORP MASS· EMC | 1,200.0000 | 02/06/14 | 01/07/16 | $30,024 29 | $28,868 40 | $1,155 89 |
| **Security Subtotal** | | | | **$50,040.48** | **$47,923.52** | **$2,116.96** |

## 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 Adjusted | Realized Gain or (Loss) Adjusted |
|---|---|---|---|---|---|---|
| EMERSON ELECTRIC CO: EMR | 500 0000 | 03/01/07 | 01/07/16 | $22,612.73 | $21,489 50 | $1,123 23 |
| EMERSON ELECTRIC CO: EMR | 100 0000 | 05/16/07 | 01/07/16 | $4,522 55 | $4,605.00 | ($82.45) |
| **Security Subtotal** | | | | **$27,135.28** | **$26,094.50** | **$1,040.78** |
| FREEPORT MCMORAN INC: FCX | 600.0000 | 08/14/13 | 01/07/16 | $3,461 94 | $19,081 22 | ($15,619.28) |
| FREEPORT MCMORAN INC: FCX | 600 0000 | 02/06/14 | 01/07/16 | $3,461 94 | $18,988 20 | ($15,526 26) |
| FREEPORT MCMORAN INC: FCX | 300.0000 | 02/07/14 | 01/07/16 | $1,730.96 | $9,509.10 | ($7,778 14) |
| **Security Subtotal** | | | | **$8,654.84** | **$47,578.52** | **($38,923.68)** |
| GENERAL ELECTRIC CO: GE | 700.0000 | 03/01/07 | 01/07/16 | $20,647 94 | $24,521 00 | ($3,873 06) |
| GENERAL ELECTRIC CO: GE | 100.0000 | 05/16/07 | 01/07/16 | $2,949.71 | $3,673.00 | ($723.29) |
| GENERAL ELECTRIC CO· GE | 1,200.0000 | 02/06/14 | 01/07/16 | $35,396 46 | $29,732 40 | $5,664.06 |
| **Security Subtotal** | | | | **$58,994.11** | **$57,926.40** | **$1,067.71** |
| GILEAD SCIENCES INC· GILD | 500 0000 | 01/05/15 | 12/19/16 | $37,320.69 | $47,177 00 | ($9,856 31) |
| **Security Subtotal** | | | | **$37,320.69** | **$47,177.00** | **($9,856.31)** |

# 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 Adjusted | Realized Gain or (Loss) Adjusted |
|---|---|---|---|---|---|---|
| HARTFORD FINL SVC GP: HIG | 1,500.0000 | 02/24/14 | 01/07/16 | $62,505 65 | $52,149.05 | $10,356 60 |
| **Security Subtotal** | | | | **$62,505.65** | **$52,149.05** | **$10,356.60** |
| ILLINOIS TOOL WORKS: ITW | 400.0000 | 11/09/10 | 01/07/16 | $34,229.77 | $19,471 24 | $14,758.53 |
| **Security Subtotal** | | | | **$34,229.77** | **$19,471.24** | **$14,758.53** |
| LAB CO OF AMER HLDG: LH | 100 0000 | 11/12/14 | 01/07/16 | $11,998.10 | $10,034.85 | $1,963.25 |
| **Security Subtotal** | | | | **$11,998.10** | **$10,034.85** | **$1,963.25** |
| PFIZER INCORPORATED: PFE | 50.0000 | 09/24/07 | 01/07/16 | $1,585 52 | $1,229.00 | $356.52 |
| **Security Subtotal** | | | | **$1,585.52** | **$1,229.00** | **$356.52** |
| ROCKWELL COLLINS INC: COL | 400 0000 | 01/09/08 | 01/07/16 | $35,947.30 | $26,820 04 | $9,127.26 |
| **Security Subtotal** | | | | **$35,947.30** | **$26,820.04** | **$9,127.26** |
| SAP SPONSORED FADR 1 ADR REPS: SAP | 100.0000 | 02/11/14 | 01/07/16 | $7,765 46 | $7,785 66 | ($20.20) |
| **Security Subtotal** | | | | **$7,765.46** | **$7,785.66** | **($20.20)** |
| UNITED PARCEL SRVC CLASS B: UPS | 350 0000 | 03/01/07 | 01/07/16 | $32,629.23 | $24,458 00 | $8,171.23 |

## 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 *Adjusted* | Realized Gain or (Loss) *Adjusted* |
|---|---|---|---|---|---|---|
| UNITED PARCEL SRVC CLASS B· UPS | 150 0000 | 05/07/14 | 01/07/16 | $13,983.96 | $14,724.30 | ($740.34) |
| **Security Subtotal** | | | | **$46,613.19** | **$39,182.30** | **$7,430.89** |
| US TREASUR NT 0.75%03/17UST NOTE DUE 03/15/17: 912828C32 | 50,000.0000 | 12/08/14 | 07/06/16 | $50,097 66 | $49,961 15 | $136.51 |
| | | | | | *$49,981 16* | *$116 50*[b] |
| US TREASUR NT 0.75%03/17UST NOTE DUE 03/15/17: 912828C32 | 50,000.0000 | 12/08/14 | 11/14/16 | $50,023.44 | $49,961.15 | $62.29 |
| | | | | | *$49,981.16* | *$42.28*[b] |
| **Security Subtotal** | | | | **$100,121.10** | **$99,922.30** | **$198.80** |

charles SCHWAB

Schwab One® Account of
NORATHCO FOUNDATION

Report Period
January 1 - December 31, 2016

## 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 Adjusted | Realized Gain or (Loss) Adjusted |
|---|---|---|---|---|---|---|
| 3M COMPANY: MMM | 300.0000 | 03/01/07 | 01/07/16 | $42,877 10 | $22,122.51 | $20,754.59 |
| **Security Subtotal** | | | | **$42,877.10** | **$22,122.51** | **$20,754.59** |
| **Total Long-Term** | | | | **$863,451.08** | **$790,372.72** | **$73,078.36** |
| | | | | | ***$790,412.74*** | ***$73,038.34*** [b] |
| **Total Realized Gain or (Loss)** | | | | **$1,398,877.21** | **$1,329,249.20** | **$69,628.01** |
| | | | | | ***$1,329,289.22*** | ***$69,587.99*** [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*

## Endnotes For Your Account

| Symbol | Endnote Legend |
|---|---|
| b | When available, Adjusted Cost Basis values are used in Gain or (Loss) calculations. |

NORATHCO FOUNDATION
FYE 12/31/2016
EIN: 16-71731980
PART II BALANCE SHEET



## Investment Detail - Fixed Income

| U.S. Treasuries | Par / Units Purchased | Market Price / Cost Per Unit | Market Value / Cost Basis | Adjusted Cost Basis | % of Account Assets / Acquired | Unrealized Gain or (Loss) | Estimated Annual Income / Yield to Maturity |
|---|---|---|---|---|---|---|---|
| **US TREASUR NT 0.75%03/17** | **50,000.0000** | **100.0313** | **50,015.65** | **49,961.15** | **2%** | **54.50** | **375.00** |
| UST NOTE DUE 03/15/17 CUSIP: 912828C32 | 50,000 0000 | 99 9223 | 49,961.15 | 49,961 15 | 12/08/14 | 54 50 | 0.78% *Accrued Interest: 111.88* |
| **US TREASU NT 0.875%08/17** | **100,000.0000** | **100.0781** | **100,078.10** | **99,954.00** | **4%** | **124.10** | **875.00** |
| UST NOTE DUE 08/15/17 CUSIP: 912828D49 | 100,000.0000 | 99.9540 | 99,954 00 | 99,954.00 | 12/04/14 | 124.10 | 0.89% *Accrued Interest: 330.50* |
| **Total U.S. Treasuries** | **150,000.0000** | | **150,093.75** | **149,915.15** | **6%** | **178.60** | **1,250.00** |
| | | ***Total Cost Basis:*** | ***149,915.15*** | | | | |
| | | | | | | | ***Total Accrued Interest for U.S. Treasuries: 442.38*** |
| **Total Fixed Income** | **150,000.0000** | | **150,093.75** | **149,915.15** | **6%** | **178.60** | **1,250.00** |
| | | ***Total Cost Basis:*** | ***149,915.15*** | | | | |

*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

| Equities | Quantity<br>Units Purchased | Market Price<br>Cost Per Share | Market Value<br>Cost Basis | % of Account Assets<br>Acquired | Unrealized Gain or (Loss) | Estimated Yield<br>Holding Days | Estimated Annual Income<br>Holding Period |
|---|---|---|---|---|---|---|---|
| **AIR LEASE CORP** | **1,500.0000** | **34.3300** | **51,495.00** | **2%** | **(1,332.05)** | **0.58%** | **300.00** |
| CLASS A | 1,500.0000 | 35.2180 | 52,827.05 | 08/06/14 | (1,332 05) | 878 | Long-Term |
| SYMBOL: AL | | | | | | | ***Accrued Dividend: 112.50*** |
| **ALPHABET INC.** | **50.0000** | **792.4500** | **39,622.50** | **2%** | **26,768.94** | **N/A** | **N/A** |
| CLASS A | 50 0000 | 257 0712 | 12,853 56 | 02/08/08 | 26,768.94 | 3249 | Long-Term |
| SYMBOL: GOOGL | | | | | | | |
| **AMERICAN INTL GROUP** | **800.0000** | **65.3100** | **52,248.00** | **2%** | **5,033.84** | **1.95%** | **1,024.00** |
| SYMBOL: AIG | 800 0000 | 59 0177 | 47,214.16 | 01/07/16 | 5,033.84 | 359 | Short-Term |
| **APPLE INC** | **500.0000** | **115.8200** | **57,910.00** | **2%** | **(510.65)** | **1.96%** | **1,140.00** |
| SYMBOL. AAPL | 500.0000 | 116.8413 | 58,420.65 | 01/28/15 | (510.65) | 703 | Long-Term |
| **BIOGEN INC** | **150.0000** | **283.5800** | **42,537.00** | **2%** | **(2,013.60)** | **N/A** | **N/A** |
| SYMBOL: BIIB | 150.0000 | 297.0040 | 44,550.60 | 08/26/15 | (2,013.60) | 493 | Long-Term |
| **BROADCOM LTD F** | **350.0000** | **176.7700** | **61,869.50** | **2%** | **9,098.74** | **2.30%** | **1,428.00** |
| SYMBOL: AVGO | 350 0000 | 150 7736 | 52,770 76 | 07/06/16 | 9,098.74 | 178 | Short-Term |
| **CELGENE CORP** | **400.0000** | **115.7500** | **46,300.00** | **2%** | **(3,179.92)** | **N/A** | **N/A** |
| SYMBOL: CELG | 400 0000 | 123 6998 | 49,479.92 | 09/15/15 | (3,179 92) | 473 | Long-Term |
| **CHEVRON CORPORATION** | **550.0000** | **117.7000** | **64,735.00** | **2%** | **17,778.75** | **3.67%** | **2,376.00** |
| SYMBOL: CVX | 550.0000 | 85 3750 | 46,956 25 | 01/07/16 | 17,778 75 | 359 | Short-Term |
| **CHUBB LTD F** | **400.0000** | **132.1200** | **52,848.00** | **2%** | **8,072.76** | **2.08%** | **1,104.00** |
| SYMBOL: CB | 400.0000 | 111.9381 | 44,775 24 | 01/07/16 | 8,072 76 | 359 | Short-Term |
| **COMCAST CORPORATION** | **850.0000** | **69.0500** | **58,692.50** | **2%** | **11,860.81** | **1.59%** | **935.00** |
| CLASS A | 850.0000 | 55 0961 | 46,831 69 | 01/07/16 | 11,860 81 | 359 | Short-Term |
| SYMBOL: CMCSA | | | | | | | |

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

## Investment Detail - Equities (continued)

| Equities (continued) | Quantity / Units Purchased | Market Price / Cost Per Share | Market Value / Cost Basis | % of Account Assets / Acquired | Unrealized Gain or (Loss) | Estimated Yield / Holding Days | Estimated Annual Income / Holding Period |
|---|---|---|---|---|---|---|---|
| **CVS HEALTH CORP** | **540.0000** | **78.9100** | **42,611.40** | **2%** | **(9,552.55)** | **2.15%** | **918.00** |
| SYMBOL: CVS | 540 0000 | 96 5999 | 52,163 95 | 06/15/16 | (9,552 55) | 199 | Short-Term |
| **FACEBOOK INC** | **450.0000** | **115.0500** | **51,772.50** | **2%** | **11,912.03** | **N/A** | **N/A** |
| CLASS A | 450 0000 | 88.5788 | 39,860.47 | 09/02/15 | 11,912 03 | 486 | Long-Term |
| SYMBOL: FB | | | | | | | |
| **FEDEX CORPORATION** | **350.0000** | **186.2000** | **65,170.00** | **2%** | **23,237.93** | **0.85%** | **560.00** |
| SYMBOL: FDX | 200.0000 | 114 0650 | 22,813 00 | 03/01/07 | 14,427 00 | 3593 | Long-Term |
| | 50 0000 | 108.2212 | 5,411 06 | 05/16/07 | 3,898.94 | 3517 | Long-Term |
| | 100 0000 | 137.0801 | 13,708.01 | 01/07/16 | 4,911.99 | 359 | Short-Term |
| *Cost Basis* | | | *41,932 07* | | | | ***Accrued Dividend: 140.00*** |
| **HESS CORPORATION** | **1,100.0000** | **62.2900** | **68,519.00** | **3%** | **4,503.66** | **1.60%** | **1,100.00** |
| SYMBOL: HES | 300 0000 | 67 1209 | 20,136 29 | 07/03/13 | (1,449 29) | 1277 | Long-Term |
| | 300 0000 | 75.7640 | 22,729 20 | 02/06/14 | (4,042 20) | 1059 | Long-Term |
| | 500.0000 | 42 2997 | 21,149 85 | 02/03/16 | 9,995.15 | 332 | Short-Term |
| *Cost Basis* | | | *64,015.34* | | | | |
| **HONEYWELL INTL INC** | **500.0000** | **115.8500** | **57,925.00** | **2%** | **35,021.40** | **2.29%** | **1,330.00** |
| SYMBOL: HON | 500 0000 | 45 8072 | 22,903 60 | 03/01/07 | 35,021 40 | 3593 | Long-Term |
| **JOHNSON & JOHNSON** | **500.0000** | **115.2100** | **57,605.00** | **2%** | **22,663.87** | **2.77%** | **1,600.00** |
| SYMBOL: JNJ | 400 0000 | 62.4800 | 24,992.00 | 03/01/07 | 21,092.00 | 3593 | Long-Term |
| | 100 0000 | 99 4913 | 9,949.13 | 01/07/16 | 1,571 87 | 359 | Short-Term |
| *Cost Basis* | | | *34,941 13* | | | | |
| **JPMORGAN CHASE & CO** | **750.0000** | **86.2900** | **64,717.50** | **2%** | **18,559.12** | **2.22%** | **1,440.00** |
| SYMBOL: JPM | 750.0000 | 61.5445 | 46,158 38 | 01/07/16 | 18,559 12 | 359 | Short-Term |
| **LAB CO OF AMER HLDG** | **400.0000** | **128.3800** | **51,352.00** | **2%** | **11,212.60** | **N/A** | **N/A** |
| SYMBOL: LH | 400.0000 | 100.3485 | 40,139.40 | 11/12/14 | 11,212 60 | 780 | Long-Term |

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

## Investment Detail - Equities (continued)

| Equities (continued) | Quantity / Units Purchased | Market Price / Cost Per Share | Market Value / Cost Basis | % of Account Assets / Acquired | Unrealized Gain or (Loss) | Estimated Yield / Holding Days | Estimated Annual Income / Holding Period |
|---|---|---|---|---|---|---|---|
| **MEDTRONIC PLC F** | **600.0000** | **71.2300** | **42,738.00** | **2%** | **(3,432.00)** | **2.41%** | **1,032.00** |
| SYMBOL: MDT | 600 0000 | 76.9500 | 46,170 00 | 01/27/15 | (3,432 00) | 704 | Long-Term |
| | | | | | | | ***Accrued Dividend: 258.00*** |
| **MERCK & CO INC** | **900.0000** | **58.8700** | **52,983.00** | **2%** | **5,976.81** | **3.12%** | **1,656.00** |
| SYMBOL: MRK | 900 0000 | 52 2291 | 47,006 19 | 01/07/16 | 5,976 81 | 359 | Short-Term |
| | | | | | | | ***Accrued Dividend: 423.00*** |
| **METLIFE INC** | **1,000.0000** | **53.8900** | **53,890.00** | **2%** | **9,165.12** | **2.96%** | **1,600.00** |
| SYMBOL: MET | 400 0000 | 40 4857 | 16,194 28 | 10/20/10 | 5,361.72 | 2264 | Long-Term |
| | 600 0000 | 47 5510 | 28,530.60 | 02/06/14 | 3,803.40 | 1059 | Long-Term |
| *Cost Basis* | | | *44,724 88* | | | | |
| **NEWELL BRANDS INC** | **1,070.0000** | **44.6500** | **47,775.50** | **2%** | **(2,397.11)** | **1.70%** | **813.20** |
| SYMBOL: NWL | 1,070 0000 | 46 8902 | 50,172 61 | 05/03/16 | (2,397 11) | 242 | Short-Term |
| **NEWMONT MINING CORP** | **2,600.0000** | **34.0700** | **88,582.00** | **3%** | **29,435.08** | **0.58%** | **520.00** |
| SYMBOL: NEM | 2,000.0000 | 24 0624 | 48,124 80 | 03/03/14 | 20,015 20 | 1034 | Long-Term |
| | 600 0000 | 18 3702 | 11,022 12 | 01/07/16 | 9,419 88 | 359 | Short-Term |
| *Cost Basis* | | | *59,146.92* | | | | |
| **PAYPAL HOLDINGS INCO** | **1,400.0000** | **39.4700** | **55,258.00** | **2%** | **2,906.02** | **N/A** | **N/A** |
| SYMBOL: PYPL | 1,200.0000 | 38.0060 | 45,607 28 | 07/29/15 | 1,756.72 | 521 | Long-Term |
| | 200 0000 | 33 7235 | 6,744.70 | 01/07/16 | 1,149.30 | 359 | Short-Term |
| *Cost Basis* | | | *52,351.98* | | | | |
| **PEPSICO INCORPORATED** | **500.0000** | **104.6300** | **52,315.00** | **2%** | **22,757.79** | **2.87%** | **1,505.00** |
| SYMBOL: PEP | 400.0000 | 49 2194 | 19,687 76 | 05/04/09 | 22,164 24 | 2798 | Long-Term |
| | 100 0000 | 98.6945 | 9,869 45 | 01/07/16 | 593 55 | 359 | Short-Term |
| *Cost Basis* | | | *29,557 21* | | | | ***Accrued Dividend: 376.25*** |

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.

## Investment Detail - Equities (continued)

| Equities (continued) | Quantity<br>Units Purchased | Market Price<br>Cost Per Share | Market Value<br>Cost Basis | % of Account Assets<br>Acquired | Unrealized Gain or (Loss) | Estimated Yield<br>Holding Days | Estimated Annual Income<br>Holding Period |
|---|---|---|---|---|---|---|---|
| **PFIZER INCORPORATED** | **1,450.0000** | **32.4800** | **47,096.00** | **2%** | **8,291.50** | **3.69%** | **1,740.00** |
| SYMBOL: PFE | 950 0000 | 24.5800 | 23,351 00 | 09/24/07 | 7,505 00 | 3386 | Long-Term |
| | 500.0000 | 30 9070 | 15,453.50 | 02/07/14 | 786 50 | 1058 | Long-Term |
| *Cost Basis* | | | *38,804.50* | | | | |
| **PROCTER & GAMBLE** | **600.0000** | **84.0800** | **50,448.00** | **2%** | **8,789.08** | **3.18%** | **1,606.80** |
| SYMBOL: PG | 300 0000 | 61 5344 | 18,460 34 | 08/01/11 | 6,763.66 | 1979 | Long-Term |
| | 300 0000 | 77 3286 | 23,198 58 | 01/07/16 | 2,025 42 | 359 | Short-Term |
| *Cost Basis* | | | *41,658 92* | | | | |
| **QUALCOMM INC** | **1,000.0000** | **65.2000** | **65,200.00** | **2%** | **18,168.90** | **3.25%** | **2,120.00** |
| SYMBOL· QCOM | 1,000 0000 | 47.0311 | 47,031 10 | 01/07/16 | 18,168 90 | 359 | Short-Term |
| **RAYTHEON COMPANY** | **400.0000** | **142.0000** | **56,800.00** | **2%** | **30,798.25** | **2.06%** | **1,172.00** |
| SYMBOL: RTN | 300 0000 | 45 1001 | 13,530 05 | 04/28/09 | 29,069 95 | 2804 | Long-Term |
| | 100 0000 | 124 7170 | 12,471 70 | 01/07/16 | 1,728 30 | 359 | Short-Term |
| *Cost Basis* | | | *26,001 75* | | | | |
| **ROYAL DUTCH SHELL F** | **1,000.0000** | **54.3800** | **54,380.00** | **2%** | **(2,243.76)** | **6.91%** | **3,760.00** |
| UNSPONSORED ADR | 300 0000 | 62 6566 | 18,797.00 | 11/23/10 | (2,483 00) | 2230 | Long-Term |
| 1 ADR REPS 2 ORD SHS | 300.0000 | 68 6740 | 20,602 20 | 02/06/14 | (4,288 20) | 1059 | Long-Term |
| SYMBOL· RDSA | 400 0000 | 43 0614 | 17,224.56 | 01/07/16 | 4,527.44 | 359 | Short-Term |
| *Cost Basis* | | | *56,623 76* | | | | |
| **SAP SPONSORED F** | **600.0000** | **86.4300** | **51,858.00** | **2%** | **5,199.87** | **1.51%** | **783.11** |
| ADR | 500.0000 | 77 8566 | 38,928 32 | 02/11/14 | 4,286.68 | 1054 | Long-Term |
| 1 ADR REPS 1 ORD SHS | 100 0000 | 77.2981 | 7,729.81 | 03/10/14 | 913.19 | 1027 | Long-Term |
| SYMBOL: SAP | | | | | | | |
| *Cost Basis* | | | *46,658 13* | | | | |

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

## Investment Detail - Equities (continued)

| Equities (continued) | Quantity / Units Purchased | Market Price / Cost Per Share | Market Value / Cost Basis | % of Account Assets / Acquired | Unrealized Gain or (Loss) | Estimated Yield / Holding Days | Estimated Annual Income / Holding Period |
|---|---|---|---|---|---|---|---|
| **SCHLUMBERGER LTD** F | **700.0000** | **83.9500** | **58,765.00** | **2%** | **9,286.79** | **2.38%** | **1,400.00** |
| SYMBOL: SLB | 400.0000 | 63 4638 | 25,385 52 | 03/01/07 | 8,194 48 | 3593 | Long-Term |
| | 200 0000 | 86.8385 | 17,367.70 | 02/06/14 | (577 70) | 1059 | Long-Term |
| | 100 0000 | 67 2499 | 6,724.99 | 01/07/16 | 1,670.01 | 359 | Short-Term |
| *Cost Basis* | | | *49,478 21* | | | | ***Accrued Dividend: 350.00*** |
| **SYNCHRONY FINANCIAL** | **1,500.0000** | **36.2700** | **54,405.00** | **2%** | **9,700.50** | **1.43%** | **780.00** |
| SYMBOL· SYF | 1,500.0000 | 29.8030 | 44,704.50 | 01/07/16 | 9,700.50 | 359 | Short-Term |
| **TIME WARNER INC** | **700.0000** | **96.5300** | **67,571.00** | **3%** | **20,803.54** | **1.66%** | **1,127.00** |
| SYMBOL: TWX | 600 0000 | 66.5823 | 39,949.40 | 05/14/14 | 17,968 60 | 962 | Long-Term |
| | 100 0000 | 68 1806 | 6,818.06 | 01/07/16 | 2,834.94 | 359 | Short-Term |
| *Cost Basis* | | | *46,767 46* | | | | |
| **UNION PACIFIC CORP** | **585.0000** | **103.6800** | **60,652.80** | **2%** | **13,221.88** | **2.33%** | **1,415.70** |
| SYMBOL· UNP | 585 0000 | 81.0784 | 47,430 92 | 03/04/16 | 13,221.88 | 302 | Short-Term |
| **UNITED TECHNOLOGIES** | **500.0000** | **109.6200** | **54,810.00** | **2%** | **19,546.10** | **2.40%** | **1,320.00** |
| SYMBOL: UTX | 400.0000 | 64 9388 | 25,975 52 | 03/01/07 | 17,872.48 | 3593 | Long-Term |
| | 100.0000 | 92 8838 | 9,288 38 | 01/07/16 | 1,673.62 | 359 | Short-Term |
| *Cost Basis* | | | *35,263 90* | | | | |
| **VODAFONE GROUP** F | **1,500.0000** | **24.4300** | **36,645.00** | **1%** | **(14,608.55)** | **8.38%** | **3,071.79** |
| UNSPONSORED ADR | 1,500.0000 | 34 1690 | 51,253 55 | 08/26/14 | (14,608.55) | 858 | Long-Term |
| 1 ADR REPS 10 ORD SHS | | | | | | | |
| SYMBOL: VOD | | | | | | | ***Accrued Dividend: 755.44*** |
| **Total Equities** | **28,745.0000** | | **2,040,102.20** | **78%** | **380,501.49** | | **42,677.60** |
| | | ***Total Cost Basis:*** | ***1,659,600.71*** | | | | |

***Total Accrued Dividend for Equities: 2,415.19***

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

## 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) |
|---|---|---|---|---|---|---|---|
| **FRANKLIN K2 ALTERNATIVE**<br>STRAT FD CL ADV<br>SYMBOL: FABZX | 4,566 2100 | 10 7700 | 49,178.08 | 2% | 10.96 | 50,030 00 | (851 92) |
| **GOLDMAN SACHS MULTI MGR**<br>ALTERN FD INSTL<br>SYMBOL: GSMMX | 4,798.4640 | 10 3000 | 49,424 18 | 2% | 10 43 | 50,030.00 | (605.82) |
| **Total Equity Funds** | **9,364.6740** | | **98,602.26** | **4%** | | **100,060.00** | **(1,457.74)** |
| **Total Mutual Funds** | **9,364.6740** | | **98,602.26** | **4%** | | **100,060.00** | **(1,457.74)** |

## Investment Detail - Other Assets

| Other Assets | Quantity<br>Units Purchased | Market Price<br>Cost Per Share | Market Value<br>Cost Basis | % of Account Assets<br>Acquired | Unrealized Gain or (Loss) | Estimated Yield<br>Holding Days | Estimated Annual Income<br>Holding Period |
|---|---|---|---|---|---|---|---|
| **CROWN CASTLE INTL CO** | **600.0000** | **86.7700** | **52,062.00** | **2%** | **3,677.44** | **4.37%** | **2,280.00** |
| REIT | 600 0000 | 80 6409 | 48,384 56 | 08/26/15 | 3,677.44 | 493 | Long-Term |
| SYMBOL: CCI | | | | | | | |

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

## Investment Detail - Other Assets (continued)

| Other Assets (continued) | Quantity / Units Purchased | Market Price / Cost Per Share | Market Value / Cost Basis | % of Account Assets / Acquired | Unrealized Gain or (Loss) | Estimated Yield / Holding Days | Estimated Annual Income / Holding Period |
|---|---|---|---|---|---|---|---|
| **SPDR S&P 500 ETF** | **767.0000** | **223.5300** | **171,447.51** | **7%** | **5,127.55** | **1.93%** | **3,319.78** |
| SYMBOL: SPY | 690 0000 | 216 7567 | 149,562.19 | 11/14/16 | 4,673.51 | 47 | Short-Term |
| | 77 0000 | 217.6333 | 16,757 77 | 11/15/16 | 454 04 | 46 | Short-Term |
| *Cost Basis* | | | *166,319 96* | | | ***Accrued Dividend:*** | ***1,019.29*** |
| **WEYERHAEUSER CO** | **1,600.0000** | **30.0900** | **48,144.00** | **2%** | **2,116.96** | **4.12%** | **1,984.00** |
| REIT | 1,600.0000 | 28 7669 | 46,027.04 | 01/07/16 | 2,116 96 | 359 | Short-Term |
| SYMBOL: WY | | | | | | | |
| **Total Other Assets** | **2,967.0000** | | **271,653.51** | **10%** | **10,921.95** | | **7,583.78** |
| | | ***Total Cost Basis:*** | ***260,731.56*** | | | | |

***Total Accrued Dividend for Other Assets 1,019.29***

*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.*

| | |
|---|---|
| **Total Investment Detail** | **2,608,934.12** |

| | |
|---|---|
| **Total Account Value** | **2,608,934.12** |
| ***Total Cost Basis*** | ***2,170,307.42*** |

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
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