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EXTENDED TO NOVEMBER 15, 2017

Return of Private Foundation

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

OMB No 1545-0052

Form 990-PF

Department of the Treasury
Internal Revenue Service

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

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

2016

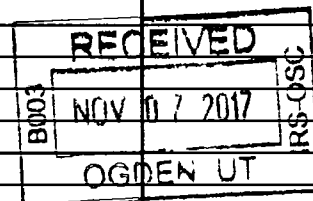
Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation A. LINDSAY & OLIVE B. O'CONNOR FOUNDATION, INC.		A Employer identification number 16-6063485
Number and street (or P.O. box number if mail is not delivered to street address) C/O CHEMUNG CANAL TRUST PO BOX 1522		B Telephone number (607) 538-9248
City or town, state or province, country, and ZIP or foreign postal code ELMIRA, NY 14902		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☐ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☒ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 66,978,468. (Part I, column (d) must be on cash basis)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		12,831.	12,831.		STATEMENT 1
4 Dividends and interest from securities		1,778,252.	1,778,252.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		350,605.			
b Gross sales price for all assets on line 6a					
7 Capital gain net income (from Part IV, line 2)			350,605.		
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		13,113.	13,113.		STATEMENT 3
12 Total. Add lines 1 through 11		2,154,801.	2,154,801.		
13 Compensation of officers, directors, trustees, etc		103,945.	0.		103,945.
14 Other employee salaries and wages		34,314.	0.		34,135.
15 Pension plans, employee benefits		34,300.	0.		34,300.
16a Legal fees STMT 4		38,500.	19,250.		19,250.
b Accounting fees STMT 5		36,960.	18,480.		18,480.
c Other professional fees STMT 6		381,405.	381,405.		0.
17 Interest					
18 Taxes STMT 7		36,134.	557.		10,577.
19 Depreciation and depletion		9,951.	0.		
20 Occupancy		6,328.	0.		6,328.
21 Travel, conferences, and meetings		1,939.	0.		1,939.
22 Printing and publications					
23 Other expenses STMT 8		62,402.	0.		62,402.
24 Total operating and administrative expenses. Add lines 13 through 23		746,178.	419,692.		291,356.
25 Contributions, gifts, grants paid		2,761,920.			2,761,920.
26 Total expenses and disbursements. Add lines 24 and 25		3,508,098.	419,692.		3,053,276.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-1,353,297.			
b Net investment income (if negative, enter -0-)			1,735,109.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	4,347.	4,843.	4,843.
	2 Savings and temporary cash investments	3,395,438.	3,664,165.	3,664,165.
	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 ▶ 75,000.			
	Less: allowance for doubtful accounts ▶ 0.	75,000.	75,000.	75,000.
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations STMT 10	3,436,160.	3,428,099.	3,398,512.
	b Investments - corporate stock STMT 11	26,689,786.	21,325,109.	28,843,193.
	c Investments - corporate bonds STMT 12	12,030,655.	10,841,223.	10,776,710.
	Liabilities	11 Investments - land, buildings, and equipment basis ▶		
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 13		16,076,828.	21,001,102.	20,195,126.
14 Land, buildings, and equipment basis ▶ 123,725.				
Less: accumulated depreciation ▶ 102,806.		29,529.	20,919.	20,919.
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		61,737,743.	60,360,460.	66,978,468.
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 ▶ PAYROLL LIABILITIES)	0.	31.		
23 Total liabilities (add lines 17 through 22)	0.	31.		
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 and complete lines 27 through 31. ▶ ☒			
	27 Capital stock, trust principal, or current funds	61,737,743.	60,360,429.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 Total net assets or fund balances	61,737,743.	60,360,429.	
	31 Total liabilities and net assets/fund balances	61,737,743.	60,360,460.	

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)	61,737,743.
2 Enter amount from Part I, line 27a	-1,353,297.
3 Other increases not included in line 2 (itemize) ▶	0.
4 Add lines 1, 2, and 3	60,384,446.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 9	24,017.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	60,360,429.

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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 SALE OF SECURITIES	P	VARIOUS	VARIOUS
b CAPITAL GAINS DIVIDENDS			
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 33,158,288.		32,924,071.	234,217.
b 116,388.			116,388.
c			
d			
e			

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	
a			234,217.
b			116,388.
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	350,605.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	2,675,547.	66,875,165.	.040008
2014	3,077,389.	68,356,149.	.045020
2013	2,982,721.	64,327,110.	.046368
2012	2,887,664.	60,854,787.	.047452
2011	2,702,275.	61,267,215.	.044106

2 Total of line 1, column (d)	2	.222954
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	.044591
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	64,768,991.
5 Multiply line 4 by line 3	5	2,888,114.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	17,351.
7 Add lines 5 and 6	7	2,905,465.
8 Enter qualifying distributions from Part XII, line 4	8	3,053,276.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1.
Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)

b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2016 estimated tax payments and 2015 overpayment credited to 2016

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be Credited to 2017 estimated tax

6a	29,545.
6b	
6c	15,500.
6d	

1	17,351.
2	0.
3	17,351.
4	0.
5	17,351.
7	45,045.
8	
9	
10	27,694.
11	0.

27,694. Refunded

Part VII-A Statements Regarding Activities

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?

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?

If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.

c Did the foundation file Form 1120-POL for this year?

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.

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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

b If "Yes," has it filed a tax return on Form 990-T for this year?

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?

If "Yes," attach the statement required by General Instruction T.

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?

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

8a Enter the states to which the foundation reports or with which it is registered (see instructions)

NY

b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation

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

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

	Yes	No
1a		X
1b		X
1c		X
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8b	X	
9		X
10		X

N/A

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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)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>HTTP://WWW.THEOCONNORFOUNDATION.ORG</u>	X	
14 The books are in care of ► <u>CHEMUNG CANAL TRUST COMPANY, TRUST</u> Telephone no. ► <u>607-737-3896</u> Located at ► <u>PO BOX 1522 - TRUST TAX DEPARTMENT, ELMIRA, NY</u> ZIP+4 ► <u>14902</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	N/A	

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here		X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?		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(i)(3) or 4942(j)(5)): a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No If "Yes," list the years ► b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016) N/A		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		X

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☒ Yes ☐ No

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

☐ Yes ☒ No

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

Organizations relying on a current notice regarding disaster assistance check here

☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

SEE STATEMENT 16

☒ 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?

If "Yes" to 6b, file Form 8870

☐ Yes ☒ No

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 15		103,945.	25,986.	0.

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

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

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

0

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

Total number of others receiving over \$50,000 for professional services	0
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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	62,362,292.
b	Average of monthly cash balances	1b	3,393,029.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	65,755,321.
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	65,755,321.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	986,330.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	64,768,991.
6	Minimum investment return. Enter 5% of line 5	6	3,238,450.

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	3,238,450.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	17,351.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	17,351.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	3,221,099.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	3,221,099.
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	3,221,099.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	3,053,276.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	3,053,276.
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	17,351.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	3,035,925.

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.

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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				3,221,099.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			2,705,494.	
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: ▶ \$ 3,053,276.				
a Applied to 2015, but not more than line 2a			2,705,494.	
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				347,782.
e Remaining amount distributed out of corpus	0.			
f 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				2,873,317.
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				

N/A

--

☐ 4942(1)(3) or ☐ 4942(1)(5)

Tax year	Prior 3 years			(e) Total
(a) 2016	(b) 2015	(c) 2014	(d) 2013	

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.)

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

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:

SEE ATTACHED GRANT APPLICATION NOTES

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

SEE ATTACHED APPLICATION FORM

c Any submission deadlines:

SEE ATTACHED GRANT APPLICATION NOTES

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

SEE ATTACHED GRANT APPLICATION NOTES

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SEE ATTACHED SCHEDULE				2,761,920.
Total			3a	2,761,920.
b Approved for future payment				
SEE ATTACHED SCHEDULE				3,636,927.
Total			3b	3,636,927.

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

- | | | | |
|----------|--|--------------|------------|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of | | |
| | (1) Cash | 1a(1) | |
| | (2) Other assets | 1a(2) | |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | |
| | (4) Reimbursement arrangements | 1b(4) | |
| | (5) Loans or loan guarantees | 1b(5) | |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |

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

[illegible]

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

☐ Yes ☒ No

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

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

**Sign
Here**

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

and belief it is true, correct, and complete Declaration of pre


Signature of officer or trustee

Date 11/03/17

EXECUTIVE
DIRECTOR

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

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

CATHERINE A.
MALIWACKI, CPA

Preparer's signature

CATHERINE A. MALI

Date _____

10/31/17

Check ☐ self-employed

PTIN

P00051450

Firm's name ► **DAVIDSON, FOX & COMPANY, LLP**

Firm's EIN ► 15-0544726

Firm's address ► 53 CHENANGO STREET
BINGHAMTON, NY 13901

Phone no. (607) 722-5386

Form 990-PF (2016)

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
INTEREST INCOME-CASH EQUIVALENTS	12,831.	12,831.	
TOTAL TO PART I, LINE 3	12,831.	12,831.	

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
DIVIDEND INCOME	1,184,024.	116,388.	1,067,636.	1,067,636.	
INTEREST INCOME	710,616.	0.	710,616.	710,616.	
TO PART I, LINE 4	1,894,640.	116,388.	1,778,252.	1,778,252.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CLASS ACTION PROCEEDS	1,613.	1,613.	
MISCELLANEOUS INCOME	1,000.	1,000.	
TENDERED PROCEEDS	10,500.	10,500.	
TOTAL TO FORM 990-PF, PART I, LINE 11	13,113.	13,113.	

FORM 990-PF LEGAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	38,500.	19,250.		19,250.
TO FM 990-PF, PG 1, LN 16A	38,500.	19,250.		19,250.

FORM 990-PF	ACCOUNTING FEES		STATEMENT 5	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	36,960.	18,480.		18,480.
TO FORM 990-PF, PG 1, LN 16B	36,960.	18,480.		18,480.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT 6	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK FEES	381,405.	381,405.		0.
TO FORM 990-PF, PG 1, LN 16C	381,405.	381,405.		0.

FORM 990-PF	TAXES		STATEMENT 7	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAXES	10,577.	0.		10,577.
FOREIGN TAXES	557.	557.		0.
EXCISE TAXES	25,000.	0.		0.
TO FORM 990-PF, PG 1, LN 18	36,134.	557.		10,577.

FORM 990-PF

OTHER EXPENSES

STATEMENT 8

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INSURANCE	8,455.	0.		8,455.
POSTAGE	719.	0.		719.
NYS FILING FEE	1,500.	0.		1,500.
OFFICE SUPPLIES	1,719.	0.		1,719.
TELEPHONE	3,763.	0.		3,763.
DUES & SUBSCRIPTIONS	32,024.	0.		32,024.
MISCELLANEOUS EXPENSE	505.	0.		505.
INTERNET EXPENSE	2,788.	0.		2,788.
COMPUTER EXPENSE	9,499.	0.		9,499.
REPAIRS & MAINTENANCE	225.	0.		225.
LEASE AND RENTALS	1,205.	0.		1,205.
TO FORM 990-PF, PG 1, LN 23	62,402.	0.		62,402.

FORM 990-PF

OTHER DECREASES IN NET ASSETS OR FUND BALANCES

STATEMENT 9

DESCRIPTION	AMOUNT
TO ADJUST ASSETS FOR BOOK/TAX DIFFERENCE	24,017.
TOTAL TO FORM 990-PF, PART III, LINE 5	24,017.

FORM 990-PF

U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS

STATEMENT 10

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
AGENCY - SEE SCHEDULE	X		372,725.	376,211.
US OBLIGATIONS-SEE SCHEDULE	X		3,055,374.	3,022,301.
TOTAL U.S. GOVERNMENT OBLIGATIONS			3,428,099.	3,398,512.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			3,428,099.	3,398,512.

FORM 990-PF	CORPORATE STOCK	STATEMENT 11
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK-SEE SCHEDULE	21,325,109.	28,843,193.
TOTAL TO FORM 990-PF, PART II, LINE 10B	21,325,109.	28,843,193.

FORM 990-PF	CORPORATE BONDS	STATEMENT 12
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS-SEE SCHEDULE	10,841,223.	10,776,710.
TOTAL TO FORM 990-PF, PART II, LINE 10C	10,841,223.	10,776,710.

FORM 990-PF	OTHER INVESTMENTS		STATEMENT 13
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
ALTERNATIVE INVESTMENTS - SEE SCHEDULE	COST	273,216.	144,902.
LIMITED PARTNERSHIP - SEE SCHEDULE	COST	0.	0.
MUTUAL FUND-SEE SCHEDULE	COST	20,727,886.	20,050,224.
TOTAL TO FORM 990-PF, PART II, LINE 13		21,001,102.	20,195,126.

FORM 990-PF	OTHER LIABILITIES	STATEMENT 14
DESCRIPTION	BOY AMOUNT	EOY AMOUNT
PAYROLL LIABILITIES	0.	31.
TOTAL TO FORM 990-PF, PART II, LINE 22	0.	31.

FORM 990-PF

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

STATEMENT 15

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
DONALD F. BISHOP II HOBART, NY 13788	EXECUTIVE DIRECTOR 35.00	103,945.	25,986.	0.
CHARLOTTE BISHOP HILL DELHI, NY 13753	VICE-CHAIR 0.00	0.	0.	0.
PAMELA HILL DELHI, NY 13753	EXEC SECR/TREAS 0.00	0.	0.	0.
SUZANNE HILL DELHI, NY 13753	DIRECTOR 0.00	0.	0.	0.
EUGENE PECKHAM BINGHAMTON, NY 13901	DIRECTOR 0.00	0.	0.	0.
AMY BISHOP WARNER DELHI, NY 13753	DIRECTOR 0.00	0.	0.	0.
LINDSAY BISHOP BROOKLYN, NY 11206	DIRECTOR 0.00	0.	0.	0.
ROBERT L. BISHOP, II DELAND, FL 32724	CHAIRMAN 0.00	0.	0.	0.
LAWRENCE C. ANDERSON BINGHAMTON, NY 13901	DIRECTOR 0.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		103,945.	25,986.	0.

FORM 990-PF

EXPENDITURE RESPONSIBILITY STATEMENT
PART VII-B, LINE 5C

STATEMENT 16

GRANTEE'S NAME

ROTARY CLUB OF DELHI- PEOPLE WHO CARE

GRANTEE'S ADDRESS597 ANDES RD
DELHI, NY 13753GRANT AMOUNT

1,667.

DATE OF GRANT

03/23/16

AMOUNT EXPENDEDPURPOSE OF GRANTTO PROVIDE A GRANT FOR THE "AFTER PROM PARTY" FOR DELAWARE ACADEMY SCHOOL
IN DELHI, NYANY DIVERSION BY GRANTEE

NONE

RESULTS OF VERIFICATION

FUNDS WERE USED FOR ORIGINAL GRANT PUPOSES.

GRANTEE'S NAME

ROTARY CLUB OF DELHI- PEOPLE WHO CARE

GRANTEE'S ADDRESS

597 ANDES RD
DELHI, NY 13753

<u>GRANT AMOUNT</u>	<u>DATE OF GRANT</u>	<u>AMOUNT EXPENDED</u>
1,666.	09/01/16	

PURPOSE OF GRANT

TO PROVIDE A GRANT FOR THE "AFTER PROM PARTY" FOR DELAWARE ACADEMY SCHOOL
IN DELHI, NY

ANY DIVERSION BY GRANTEE

NONE

RESULTS OF VERIFICATION

FUNDS WERE USED FOR ORIGINAL GRANT PUPOSES.

The A Lindsay & Olive B.O'Connor Foundation Inc
FORM 990PF SUPPORTING SCHEDULE

2016
16-6063485

Page 1 of 24

PART II, LINE 10 & 13

	US GOVERNMENT		CORPORATE STOCK		CORPORATE BONDS	
	COST	MARKET	COST	MARKET	COST	MARKET
CHEMUNG CANAL TRUST						
Custody Account	1,671,390	1,648,288	13,103,404	19,622,674	8,083,297	8,030,436
Hospital Account	-	-	1,155,594	1,393,276	401,412	404,826
Discretionary Account	1,383,984	1,374,013	7,066,111	7,827,243	2,356,514	2,341,448
	3,055,374	3,022,301	21,325,109	28,843,193	10,841,223	10,776,710

PART II, LINE 13

	MUTUAL FUNDS		AGENCY		ALTERNATIVE INVESTMENTS	
	COST	MARKET	COST	MARKET	COST	MARKET
CHEMUNG CANAL TRUST						
Custody Account	10,531,136	9,640,935	-	-	-	-
Hospital Account	2,393,002	2,459,340	-	-	-	-
Discretionary Account	7,803,748	7,949,949	372,725	376,211	-	-
	20,727,886	20,050,224	372,725	376,211	273,216	144,902
MERRILL LYNCH					273,216	144,902
Account C78	-	-	-	-	-	-



Chemung Canal Trust Company

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Account Number. Custody

Statement Period: December 01, 2016 Through December 31, 2016

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
AMERICAN EXPRESS CO DTD 12/03/12 F/C 06/02/13 2.65% 12/02/2022	BBB+	200,000.000	196,924.00	98.46	5,300.00	2.69
			204,243.74	102.12	426.94	2.93
AMGEN INC DTD 05/15/2012 F/C 11/15/2012 3.625% 05/15/2022-2022	A	175,000.000	180,845.00	103.34	6,343.75	3.51
			187,968.01	107.41	810.59	2.95
AMGEN INC DTD 05/22/14 F/C 11/22/14 3.625% 05/22/2024-2024	A	100,000.000	101,724.00	101.72	3,625.00	3.56
			102,433.00	102.43	392.71	3.36



Chemung Canal Trust Company

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Account Number: Custody

Statement Period, December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
ANHEUSER BUSCH COS LLC DTD 03/11/2003 F/C 10/01/2003 CALL @ MAKE WHOLE +25BP LONG 1ST CPN 4.5% 04/01/2018	A-	350,000 000	362,001 50 374,390 17	103.43 106.97	15,750.00 3,937.50	4 35 1 72
APPLE INC DTD 05/06/2014 F/C 11/06/2014 3.45% 05/06/2024	AA+	200,000.000	206,008.00 204,508 37	103.00 102.25	6,900 00 1,054.17	3 35 2 99
BP CAPITAL MARKETS PLC DTD 02/10/2014 F/C 08/10/2014 3.814% 02/10/2024	A-	350,000.000	363,601 00 363,719 45	103.89 103.92	13,349.00 5,228 36	3 67 3 20
BANK OF AMERICA NA DTD 03/26/2015 F/C 09/26/2015 1.65% 03/26/2018	A+	275,000 000	275,255 75 273,718.49	100.09 99.53	4,537 50 1,197.40	1 65 1 57
BURLINGTON NORTH SANTA FE DTD 03/02/2012 F/C 09/15/2012 3.05% 03/15/2022-2021	A	350,000.000	358,557 50 353,785 84	102.45 101 08	10,675.00 3,528 68	2 98 2 55
CVS HEALTH CORP DTD 07/20/15 F/C 01/20/16 3.875% 07/20/2025-2025	BBB+	200,000.000	206,320 00 208,033 00	103 16 104 02	7,750 00 3,465 97	3 76 3 45
CATERPILLAR FINANCIAL SERVICES CORP DTD 06/09/2014 F/C 12/09/2014 3.3% 06/09/2024	A	250,000 000	253,395.00 253,086 18	101.36 101 23	8,250.00 504 17	3.26 3 09
CISCO SYSTEMS INC DTD 2/17/09 F/C 8/15/19 4.95% 02/15/2019	AA-	350,000 000	374,146 50 381,792 06	106.90 109.08	17,325 00 6,545.00	4 63 1 63
CITIGROUP INC DTD 04/27/2015 F/C 10/27/2015 1.7% 04/27/2018	BBB+	350,000.000	349,230.00 348,615.18	99.78 99 60	5,950 00 1,057 78	1 70 1 87
COCA-COLA CO/THE DTD 11/01/13 F/C 05/01/14 3.2% 11/01/2023	AA-	350,000 000	361,448.50 362,339.19	103 27 103.53	11,200 00 1,866 67	3 10 2 67
COMCAST CORP DTD 03/01/2010 F/C 09/01/2010 5 15% 03/01/2020	A-	200,000 000	218,314.00 222,577 00	109 16 111 29	10,300 00 3,433 33	4 72 2 15
JOHN DEERE CAPITAL CORP DTD 10/11/2011 F/C 04/15/2012 3.15% 10/15/2021	A	175,000 000	179,515 00 185,291 50	102 58 105 88	5,512 50 1,163 75	3 07 2 57
FORD MOTOR CREDIT CO LLC DTD 11/04/2014 F/C 05/04/2015 2.597% 11/04/2019	BBB	350,000 000	349,482.00 355,566 25	99 85 101.59	9,089 50 1,439 17	2 60 2 65
GENERAL ELEC CAP CORP DTD 2/11/11 F/C 8/11/11 5 3% 02/11/2021	A+	350,000 000	388,171 00 370,928 04	110 91 105 98	18,550.00 7,213 89	4.78 2 49
GEORGIA POWER CO DTD 12/15/2009 F/C 06/01/2010 4 25% 12/01/2019	A-	350,000 000	371,556.50 372,839.64	106 16 106 53	14,875 00 1,239 58	4 00 2.06
GOLDMAN SACHS GROUP INC DTD 01/18/2008 F/C 07/18/2008 5.95% 01/18/2018	BBB+	350,000 000	364,609.00 370,617 45	104.17 105 89	20,825.00 9,429 10	5 71 1 91
INTERNATIONAL BUSINESS MACHINES CORP DTD 11/11/11 F/C 5/1/12 2 9% 11/01/2021	AA-	175,000 000	178,556 00 173,508 62	102 03 99 15	5,075 00 845 81	2 84 2 45



Chemung Canal Trust Company

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Account Number: Custody

Statement Period December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
JPM MORGAN CHASE DTD 07/22/2010 FC 01/22/2011 4.4% 07/22/2020	A-	350,000.000	371,773.50 370,395.33	106.22 105.83	15,400.00 6,801.67	4.14 2.56
MORGAN STANLEY DTD 07/28/11 F/C 01/28/12 5.5% 07/28/2021	BBB+	350,000.000	387,849.00 384,342.33	110.81 109.81	19,250.00 8,181.25	4.96 2.96
ORACLE CORP DTD 10/25/2012 F/C 04/15/2013 2.5% 10/15/2022	AA-	200,000.000	197,860.00 204,340.31	98.93 102.17	5,000.00 1,055.56	2.53 2.70
PEPSICO INC DTD 02/28/2013 F/C 09/01/2013 2.75% 03/01/2023	A	200,000.000	199,782.00 198,378.81	99.89 99.19	5,500.00 1,833.33	2.75 2.77
SHELL INTERNATIONAL FIN DTD 05/11/2015 F/C 11/11/2015 3.25% 05/11/2025	A	350,000.000	349,713.00 349,482.94	99.92 99.85	11,375.00 1,579.86	3.25 3.26
TIME WARNER INC DTD 03/11/10 F/C 09/15/10 4.875% 03/15/2020	BBB	175,000.000	186,807.25 186,177.53	106.75 106.39	8,531.25 2,511.98	4.57 2.67
UNITED TECHNOLOGIES CORP DTD 6/1/12 F/C 12/1/12 3.1% 06/01/2022	A-	175,000.000	179,872.00 180,569.85	102.78 103.18	5,425.00 452.08	3.02 2.55
WACHOVIA CORP DTD 01/31/2008 F/C 08/01/2008 5.75% 02/01/2018	A	150,000.000	156,390.00 162,428.37	104.26 108.29	8,625.00 3,593.75	5.52 1.77
WELLS FARGO & COMPANY DTD 04/22/16 F/C 10/22/16 3% 04/22/2026	A	200,000.000	190,846.00 202,949.90	95.42 101.47	6,000.00 1,150.00	3.14 3.58
WESTPAC BANKING CORP DTD 08/19/16 F/C 02/19/17 2% 08/19/2021	AA-	175,000.000	169,883.00 174,270.00	97.08 99.58	3,500.00 1,283.33	2.06 2.67
** Total Corporate		Sub- Total	8,030,436.00 8,083,296.55		289,788.50 83,223.40	3.61
Treasury						
US TREASURY N/B DTD 05/15/2007 F/C 11/15/2007 4.5% 05/15/2017	NR	450,000.000	456,291.00 458,693.57	101.40 101.93	20,250.00 2,629.14	4.44 0.76
US TREASURY N/B DTD 02/15/15 F/C 08/15/15 2% 02/15/2025		330,000.000	321,182.40 324,564.35	97.33 98.35	6,600.00 2,492.93	2.05 2.36
US TREASURY N/B DTD 05/15/09 F/C 11/15/09 3.125% 05/15/2019		300,000.000	312,786.00 316,512.80	104.26 105.50	9,375.00 1,197.92	3.00 1.30
US TREASURY N/B 1 5/8 08/15/22 GOVT DTD 08/15/12 F/C 02/15/13 1.625% 08/15/2022		175,000.000	170,665.25 177,212.38	97.52 101.26	2,843.75 1,074.13	1.67 2.09
US TREASURY N/B DTD 11/15/13 F/C 05/15/14 2.75% 11/15/2023		375,000.000	387,363.75 394,406.77	103.30 105.18	10,312.50 1,338.92	2.66 2.23
** Total Treasury		Sub- Total	1,648,288.40 1,671,389.87		49,381.25 8,733.04	3.00



Chemung Canal Trust Company

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Account Number: Custody

Statement Period: December 01 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
AT&T INC	T	2,380 000	101,221 40 76,795 67	42.53 32.27	4,664.80	4 61
ABBOTT LAB	ABT	1,265 000	48,588 65 39,079 68	38.41 30.89	1,340 90	2 76
ACUITY BRANDS INC	AYI	195 000	45,017.70 37,922 96	230.86 194.48	101.40	0.23
ADOBE SYSTEMS INC	ADBE	935.000	96,258 25 64,643 55	102 95 69.14	23 38	0 02
AFFILIATED MANAGERS GROUP	AMG	380 000	55,214 00 61,735.93	145 30 162 46		
AGILENT TECHNOLOGIES INC	A	845.000	38,498 20 33,584 97	45.56 39.75	446.16 111.54	1 16
ALBEMARLE CORP	ALB	1,830 000	157,526 40 97,250.71	86 08 53 14	2,232 60 558 15	1 42
ALEXION PHARMACEUTICALS INC	ALXN	631 000	77,202 85 95,434 91	122 35 151 24		
ALPHABET INC-CL C	GOOG	230 000	177,518 60 70,184.29	771 82 305.15		
ALPHABET INC-CL A	GOOGL	252 000	199,697 40 86,678 77	792 45 343 96		
AMAZON COM INC	AMZN	325 000	243,707.75 124,249 64	749 87 382 31		
AMERICAN ELEC POWER	AEP	650 000	40,924.00 25,609 99	62 96 39.40	1,534 00	3 75
AMERICAN WATER WORKS	AWK	3,575 000	258,687 00 120,072 59	72 36 33 59	5,362 50	2 07
AMERIPRISE FINANCIAL INC	AMP	1,040 000	115,377.60 24,428 64	110 94 23 49	3,120 00	2 70
AMETEK INC	AME	2,318 000	112,654 80 43,925 70	48 60 18 95	834.48	0 74
ANADARKO PETROLEUM CORP	APC	1,120 000	78,097 60 68,908 95	69 73 61.53	224 00	0 29
ANALOG DEVICES INC	ADI	850 000	61,727 00 55,154 96	72 62 64.89	1,428 00	2 31
APPLE INC	AAPL	5,774 000	668,744 68 215,628 60	115 82 37 34	13,164 72	1 97
AUTOMATIC DATA PROCESSING	ADP	925.000	95,071.50 45,573 73	102.78 49 27	2,109 00 527 25	2 22
BAKER HUGHES INC	BHI	865 000	56,199 05 50,866 75	64.97 58 81	588 20	1 05



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Statement Period: December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
BALL CORP	BLL	740 000	55,551.80 24,605 84	75 07 33 25	384 80	0 69
BE AEROSPACE INC	BEAV	2,495.000	150,174.05 135,342 60	60 19 54 25	2,095.80	1 40
BECTON	BDX	1,228.000	203,295.40 175,808 12	165 55 143 17	3,585.76	1 76
BERKSHIRE HATHAWAY INC	BRK/B	470 000	76,600.60 67,594 89	162.98 143 82		
BIOMARIN PHARMACEUTICAL INC	BMRN	670 000	55,502 80 58,791 34	82 84 87 75		
BIOGEN INC	BIIB	460.000	130,446.80 127,604 58	283 58 277 40		
BLACKROCK INC-CLASS A	BLK	167 000	63,550 18 40,510.02	380.54 242 57	1,529 72	2 41
BOEING	BA	1,950 000	303,576 00 221,711 66	155.68 113 70	11,076.00	3.65
BRINKER INTERNATIONAL INC RETAIL-RESTAURANTS	EAT	1,600 000	79,248 00 59,540 17	49 53 37 21	2,176.00	2.75
BRISTOL MYERS SQUIBB	BMJ	890.000	52,011.60 57,825.20	58 44 64 97	1,388 40	2 67
BURLINGTON STORES INC	BURL	530.000	44,917.50 40,169 59	84 75 75 79		
CIGNA CORP	CI	950 000	126,720.50 148,175 06	133 39 155 97	38.00	0 03
CME GROUP INC	CME	1,960 000	226,086 00 148,880 41	115 35 75 96	4,704.00 6,370 00	2 08
CVS HEALTH CORPORATION	CVS	3,260 000	257,246 60 317,400 24	78 91 97 36	6,520 00	2.53
CARDINAL HEALTH INC	CAH	820 000	59,015.40 26,754 46	71 97 32 63	1,472 72 368 10	2 50
CELGENE CORP	CELG	2,000 000	231,500 00 98,215.38	115.75 49 11		
CHEVRON CORPORATION	CVX	2,510.000	295,427 00 173,923.70	117 70 69.29	10,843.20	3.67
CISCO	CSCO	6,810.000	205,798.20 161,215.77	30.22 23.67	7,082.40	3.44
CITIGROUP INC	C	4,409 000	262,026.87 156,266 95	59 43 35 44	2,821.76	1 08
COLGATE PALMOLIVE	CL	675 000	44,172 00 28,225 54	65 44 41 82	1,053.00	2 38



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
COMCAST CORP CL A	CMCSA	4,865 000	335,928.25 247,266.63	69 05 50 83	5,351 50 1,337 88	1 59
CONAGRA BRANDS INC	CAG	3,985.000	157,606.75 108,106.43	39 55 27 13	3,188.00	2 02
CONCHO RESOURCES INC	CXO	560 000	74,256.00 68,864.18	132 60 122.97		
CONTINENTAL RESOURCES INC/OK	CLR	1,055 000	54,374 70 30,569 82	51 54 28 98		
THE COOPER COMPANIES INC	COO	395 000	69,097.35 54,742 18	174 93 138.59	23.70	0 03
COSTCO	COST	785 000	125,686.35 80,960 07	160 11 103 13	1,413.00	1 12
CROWN CASTLE INTL CORP NEW REIT	CCI	865 000	75,056.05 69,838 89	86 77 80.74	3,287.00	4 38
DANAHER CORP	DHR	995.000	77,450 80 64,968.87	77 84 65 30	497 50 124 38	0.64
DEERE & CO	DE	320.000	32,972 80 29,239 75	103.04 91.37	768.00 192.00	2 33
DIGITAL REALTY TRUST INC	DLR	2,045 000	200,941.70 157,799.81	98.26 77.16	7,198.40 1,799 60	3 58
WALT DISNEY COMPANY	DIS	1,760 000	183,427 20 156,269 55	104 22 88.79	2,745.60 1,372 80	1 50
DISCOVER FINANCIAL SERVICES	DFS	1,015.000	73,171 35 58,122 46	72.09 57 26	1,218 00	1 66
DOLLAR GENERAL CORP	DG	620 000	45,923 40 53,346 14	74 07 86.04	620.00 155 00	1 35
DOW CHEMICAL	DOW	2,275 000	130,175 50 108,824 94	57 22 47 84	4,186.00 1,046 50	3 22
EOG RESOURCES INC	EOG	835 000	84,418.50 45,619 67	101 10 54.63	559 45	0 66
EQUIFAX	EFX	400 000	47,292 00 50,132 38	118.23 125.33	528 00	1.12
EXTRA SPACE STORAGE INC REIT	EXR	730 000	56,385.20 23,264 72	77 24 31 87	2,277.60	4 04
EXXON	XOM	1,977 000	178,444.02 158,711.80	90.26 80.28	5,931 00	3 32
FACEBOOK INC	FB	1,390 000	159,919 50 88,782.56	115 05 63 87		
FIDELITY NATIONAL INFORMATION SERVICES	FIS	1,800.000	136,152.00 116,226 94	75 64 64 57	1,872.00	1 37



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
FORTIVE CORP	FTV	497 000	26,654.11 21,135 91	53.63 42 53	139.16	0 52
GENERAL ELECTRIC	GE	10,940 000	345,704.00 212,931 28	31 60 19 46	10,502.40 2,625 60	3 04
GENERAL MOTORS CO	GM	1,140 000	39,717 60 26,866.23	34 84 23 57	1,732.80	4 36
GILEAD SCIENCES INC	GILD	2,180 000	156,109.80 93,122 28	71 61 42 72	4,098 40	2 63
GLOBAL PAYMENTS INC	GPV	815 000	56,569.15 54,290.94	69 41 66 61	32 60	0 06
GOLDMAN SACHS GROUP INC	GS	320.000	76,624.00 49,573 45	239.45 154 92	832.00	1 09
HP INC	HPQ	2,705 000	40,142 20 36,832 67	14 84 13 62	1,436.36 358 95	3 58
HALLIBURTON	HAL	2,775.000	150,099.75 111,186.71	54 09 40.07	1,998.00	1 33
HESS CORP	HES	1,550 000	96,549.50 82,727.86	62.29 53 37	1,550.00	1.61
HEWLETT PACKARD ENTERPRISE	HPE	2,720 000	62,940 80 41,305 93	23.14 15 19	707 20 176 80	1 12
HOME DEPOT INC	HD	3,310 000	443,804 80 149,281 40	134 08 45 10	9,135 60	2 06
HONEYWELL INTERNATIONAL INC	HON	720.000	83,412.00 74,445 18	115.85 103 40	1,915 20	2 30
IDEX CORPORATION	IEX	1,230 000	110,773.80 37,313 88	90 06 30 34	1,672 80	1 51
INTEL CORP	INTC	7,215 000	261,688.05 207,151 06	36.27 28 71	7,503 60	2.87
INTERCONTINENTALEXCHANGE ,INC	ICE	1,450.000	81,809.00 62,256 30	56 42 42.94	986 00	1 21
JPM MORGAN CHASE & COMPANY	JPM	5,185 000	447,413.65 114,625.14	86 29 22 11	9,955 20	2 23
JOHNSON & JOHNSON	JNJ	1,875.000	216,018.75 120,091.24	115.21 64.05	6,000 00	2.78
KRAFT HEINZ CO/THE	KHC	1.000	87.32 35 46	87.32 35 46	2 40	2.75
KROGER CO	KR	3,290 000	113,537.90 82,048.87	34 51 24.94	1,579.20	1 39
L BRANDS INC	LTD	1,215.000	79,995 60 34,984.80	65.84 28 79	2,916.00	3 65



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
LAMB WESTON HOLDING INC	LW	1,328.333	50,277.40 33,253.14	37.85 25.03	996.25	1.98
LAS VEGAS SANDS CORP	LVS	1,005.000	53,677.05 51,361.34	53.41 51.11	2,894.40	5.39
ESTEE LAUDER COMPANIES - CL A	EL	1,290.000	98,672.10 106,322.56	76.49 82.42	1,754.40	1.78
LEVEL 3 COMMUNICATIONS INC	LVL	1,160.000	65,377.60 52,232.51	56.36 45.03		
ELI LILLY & CO	LLY	580.000	42,659.00 21,664.50	73.55 37.35	1,206.40	2.83
LOCKHEED MARTIN CORP DEL COM	LMT	211.000	52,737.34 55,851.95	249.94 264.70	1,536.08	2.91
MACYS INC	M	595.000	21,306.95 19,495.44	35.81 32.77	898.45 224.61	4.22
MASTERCARD INC - CLASS A	MA	315.000	32,523.75 29,009.01	103.25 92.09	277.20	0.85
MCDONALDS CORP	MCD	700.000	85,204.00 39,896.25	121.72 56.99	2,632.00	3.09
MCKESSON CORPORATION	MCK	425.000	59,691.25 38,186.81	140.45 89.85	476.00 119.00	0.80
MEAD JOHNSON NUTRITION CO	MJN	1,545.000	109,324.20 126,260.40	70.76 81.72	2,549.25 637.31	2.33
MERCK & CO INC	MRK	4,145.000	244,016.15 168,651.96	58.87 40.69	7,792.60 1,948.15	3.19
METLIFE	MET	3,465.000	186,728.85 133,952.63	53.89 38.66	5,544.00	2.97
METTLER-TOLEDO INTERNATIONAL INC	MTD	200.000	83,712.00 15,876.73	418.56 79.38		
MICROSOFT	MSFT	9,670.000	600,893.80 422,436.40	62.14 43.69	15,085.20	2.51
MONSANTO	MON	220.000	23,146.20 25,788.43	105.21 117.22	475.20	2.05
NEWELL BRANDS INC	NWL	2,095.000	93,541.75 101,523.85	44.65 48.46	1,592.20	1.70
NEXTERA ENERGY, INC	NEE	1,765.000	210,846.90 120,381.39	119.46 68.20	6,142.20	2.91
NIKE INC CL B	NKE	3,405.000	173,076.15 50,962.73	50.83 14.97	2,451.60 612.90	1.42
NOBLE ENERGY INC	NBL	965.000	36,727.90 48,997.58	38.06 50.77	386.00	1.05



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
NORFOLK SOUTHERN CORP	NSC	2,485,000	268,553.95 133,608.57	108.07 53.77	5,864.60	2.18
NVIDIA CORP	NVDA	1,328,000	141,750.72 37,579.95	106.74 28.30	743.68	0.52
O'REILLY AUTOMOTIVE INC	ORLY	355,000	98,835.55 73,654.54	278.41 207.48		
OCCIDENTAL PETROLEUM	OXY	2,295,000	163,472.85 173,634.70	71.23 75.66	6,976.80 1,744.20	4.27
ORACLE	ORCL	2,760,000	106,122.00 89,924.02	38.45 32.58	1,656.00	1.56
PNC FINANCIAL CORP	PNC	800,000	93,568.00 66,655.56	116.96 83.32	1,760.00	1.88
PARKER HANNIFIN CORP	PH	820,000	114,800.00 52,579.03	140.00 64.12	2,066.40	1.80
PEPSICO	PEP	1,980,000	207,167.40 133,422.73	104.63 67.39	5,959.80 1,489.95	2.88
PFIZER	PFE	9,165,000	297,679.20 173,901.64	32.48 18.97	11,731.20	3.94
PHILLIPS 66	PSX	540,000	46,661.40 37,678.18	86.41 69.77	1,360.80	2.92
PINNACLE FOODS INC	PF	2,055,000	109,839.75 100,811.17	53.45 49.06	2,342.70 585.68	2.13
T ROWE PRICE GROUP INC	TROW	515,000	38,758.90 23,268.83	75.26 45.18	1,112.40	2.87
PROGRESSIVE CORP	PGR	1,245,000	44,197.50 44,228.65	35.50 35.53	1,105.56	2.50
PROLOGIS INC REIT	PLD	3,250,000	171,567.50 146,817.07	52.79 45.17	5,460.00	3.18
PRUDENTIAL FINANCIAL INC	PRU	2,425,000	252,345.50 134,827.72	104.06 55.60	6,790.00	2.69
QUALCOMM	QCOM	1,905,000	124,206.00 96,965.52	65.20 50.90	4,038.60	3.25
RAYTHEON COMPANY	RTN	160,000	22,720.00 22,743.64	142.00 142.15	468.80 117.20	2.06
RITE AID CORP	RAD	5,125,000	42,230.00 41,889.08	8.24 8.17		
ROPER TECHNOLOGIES INC	ROP	610,000	111,678.80 35,220.16	183.08 57.74	854.00	0.76
SVB FINANCIAL GROUP	SIVB	500,000	85,830.00 60,234.37	171.66 120.47		



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
SALESFORCE.COM INC	CRM	545 000	37,310.70 40,681.09	68.46 74.64		
SCHLUMBERGER LTD	SLB	655.000	54,987.25 49,484.50	83.95 75.55	1,310.00 327.50	2.38
CHARLES SCHWAB	SCHW	6.060 000	239,188.20 144,419.69	39.47 23.83	1,696.80	0.71
SCOTTS MIRACLE-GRO CO-CL A	SMG	595 000	56,852.25 52,075.26	95.55 87.52	1,190.00	2.09
SEALED AIR CORP	SEE	3,440 000	155,969.60 115,874.48	45.34 33.68	2,201.60	1.41
SHIRE PLC-ADR	SHPG	475 000	80,930.50 102,893.82	170.38 216.62	381.90	0.47
JM SMUCKER CO/THE-NEW COMMON	SJM	1,290.000	165,197.40 145,839.50	128.06 113.05	3,870.00	2.34
SOUTHWEST AIRLINES	LUV	1,470 000	73,264.80 55,245.67	49.84 37.58	588.00 147.00	0.80
SPECTRA ENERGY CORP	SE	2,775 000	114,024.75 73,575.08	41.09 26.51	4,495.50	3.94
STERICYCLE INC	SRCL	555.000	42,757.20 35,622.60	77.04 64.18		
TJX	TJX	1,130.000	84,896.90 11,966.77	75.13 10.59	1,175.20	1.38
T-MOBILE US INC	TMUS	2,750 000	158,152.50 78,536.95	57.51 28.56	7,562.50	4.78
TANGER FACTORY OUTLET CENTER REIT	SKT	1,845 000	66,014.10 72,099.11	35.78 39.08	2,398.50	3.63
TEXAS INSTRUMENTS	TXN	725.000	52,903.25 23,140.82	72.97 31.92	1,450.00	2.74
THERMO FISHER SCIENTIFIC INC	TMO	1,855 000	261,740.50 96,238.99	141.10 51.88	1,113.00 278.25	0.43
TIME WARNER INC (NEW 03/30/09)	TWX	2,125 000	205,126.25 151,822.11	96.53 71.45	3,421.25	1.67
TRANSDIGM GROUP INC	TDG	165 000	41,078.40 6,888.85	248.96 41.75		
US BANCORP	USB	1,670 000	85,787.90 66,768.87	51.37 39.98	1,870.40 467.60	2.18
UNITEDHEALTH GROUP INC	UNH	590 000	94,423.60 14,468.54	160.04 24.52	1,475.00	1.56
V F CORP	VFC	1,955 000	104,299.25 51,925.65	53.35 26.56	3,284.40	3.15



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Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
VALERO	VLO	865 000	59,096.80 57,576.09	68.32 66.56	2,076.00	3.51
VERIZON	VZ	1.000	53.38 53.87	53.38 53.87	2.31	4.33
VISA INC-CLASS A SHARES	V	3,370.000	262,927.40 166,691.63	78.02 49.46	2,224.20	0.85
VULCAN MATERIALS CO	VMC	660 000	82,599.00 60,461.40	125.15 91.61	528.00	0.64
WELLS FARGO COMPANY	WFC	6,435.000	354,632.85 196,988.19	55.11 30.61	9,781.20	2.76
WHITEWAVE FOODS CO - CL A	WWAV	1,160.000	64,496.00 37,315.08	55.60 32.17		
ZAYO GROUP HOLDINGS INC	ZAYO	2,385 000	78,371.10 58,491.97	32.86 24.52		
ALLERGAN PLC	AGN	699.000	146,796.99 207,044.66	210.01 296.20	1,957.20	1.33
ACCENTURE PLC-CL A	ACN	555.000	65,007.15 16,849.88	117.13 30.36	1,343.10	2.07
INGERSOLL RAND PLC	IR	1,210 000	90,798.40 74,109.94	75.04 61.25	1,936.00	2.13
INVESCO LTD	IVZ	3,705.000	112,409.70 81,640.52	30.34 22.04	4,149.60	3.69
CHUBB LTD	CB	660 000	87,199.20 75,570.02	132.12 114.50	1,821.60 455.40	2.09
TE CONNECTIVITY LTD	TEL	840.000	58,195.20 54,233.38	69.28 64.56	1,243.20	2.14
TEVA PHARMACEUTICAL INDUSTRIES CONV PFD UNTIL 12/15/2018 7%	TEVVF	45 000	29,025.00 39,919.95	645.00 887.11	3,150.00	10.85
NXP SEMICONDUCTORS NV	NXPI	870.000	85,268.70 51,261.40	98.01 58.92		
PATHEON NV	PTHN	1,490 000	42,777.90 41,969.45	28.71 28.17		
BROADCOM LTD	AVGO	695.000	122,855.15 61,750.66	176.77 88.85	2,835.60	2.31
* Total Equities			19,622,673.51 13,103,404.07		387,818.20 26,279.30	1.98
Mutual Funds						
BLACKROCK HIGH YIELD PT-INST	BHYIX	63,543.139	485,469.58 502,932.20	7.64 7.91	26,942.29	5.55



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RIDGEWORTH SEIX FLOATING-I	SAMBX	55,309.735	483,407.08 500,000.00	8.74 9.04	21,349.56	4.42
ABERDEEN US SMALL CAP EQ-INS	GSCIX	12,065.637	418,436.29 375,000.00	34.68 31.08		
ABERDEEN EMERGING MKTS-INST	ABEMX	27,614.138	346,833.57 375,000.00	12.56 13.58	469.44	0.14
INVESCO EUROPEAN GROWTH FUND-Y	AEDYX	37,039.324	1,227,853.59 1,117,595.05	33.15 30.17	22,001.36	1.79
INVESCO ASIA PACIFIC GRTH-Y	ASIYX	15,801.626	468,834.24 505,040.65	29.67 31.96	15,359.18	3.28
DEUTSCHE X-TRACKERS MSCI EUROPE	DBEU	45,595.000	1,156,745.15 1,224,569.80	25.37 26.86	38,755.75	3.35
ISHARES MSCI PACIFIC EX JPN	EPP	21,505.000	850,952.85 884,047.39	39.57 41.11	33,698.34	3.96
ISHARES RUSSELL 2000 INDEX FUND	IWM	4,000.000	539,400.00 306,720.00	134.85 76.68	7,416.00	1.37
LEGG MASON CLRBRDG S/C GR-Y	SBPYX	20,361.984	587,036.00 556,738.53	28.83 27.34		
WISDOMTREE JAPAN HEDGED EQ	DXJ	17,085.000	846,390.90 858,124.96	49.54 50.23	16,760.39	1.98
DEUTSCHE BANK PRIVATE EQUITY GLOBAL SELECT FUND (INT'L) FUND #7297 - HEDGE FUND		960,000.000	65,237.76 422,855.58	0.07 0.44		
DEUTSCHE BANK PRIVATE EQUITY GLOBAL SELECT FUND II (INT'L) FUND #7257 - HEDGE FUND		920,000.000	222,299.60 452,339.20	0.24 0.49		
DEUTSCHE BANK PRIVATE EQUITY GLOBAL SELECT FUND IV (INTERNATIONAL) FUND #7205 - HEDGE FUND		910,000.000	260,999.83 470,233.69	0.29 0.52		
DB PRIVATE EQUITY ASIA SELECT FUND III (INTERNATIONAL),L.P FUND #7288 - HEDGE FUND		900,000.000	607,347.90 769,590.84	0.67 0.86		
CCI HEALTHCARE PARTNERS DIVERSIFIED, LTD HEDGE FUND		402.966	686,010.88 500,000.00	1,702.40 1,240.80		
IPATH BLOOMBERG COMMODITY INDEX	DJP	16,000.000	387,680.00 710,348.54	24.23 44.40		
Total Mutual Funds			9,640,935.22 10,531,136.43			



Chemung Canal Trust Company

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Account Number. Hospital

Statement Period December 01 2016 Through December 31, 2016

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
APPLE INC DTD 05/13/2015 F/C	AA+	100,000.000	100,415.00	100.42	3,200.00	3.19
11/13/2015 3.2% 05/13/2025			100,500.80	100.50	426.67	3.14
CONOCOPHILLIPS COMPANY DTD	A-	100,000.000	100,762.00	100.76	2,875.00	2.85
11/12/2014 F/C 05/15/2015 2.875%			100,609.06	100.61	367.36	2.71
11/15/2021-2021						
MONSANTO CO DTD 07/01/2014 F/C	BBB	100,000.000	99,566.00	99.57	3,375.00	3.39
01/15/2015 3.375% 07/15/2024			100,552.38	100.55	1,556.25	3.44



Chemung Canal Trust Company

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Account Number: Hospital

Statement Period December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
MORGAN STANLEY DTD 12/28/2007	BBB+	100,000.00	104,083.00	104.08	5,950.00	5.72
F/C 06/28/2008 5.95% 12/28/2017			99,750.00	99.75	49.58	1.79
** Total Corporate			404,826.00		15,400.00	3.80
		Total	401,412.24		2,399.86	

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
AMGEN	AMGN	295.000	43,131.95 50,605.27	146.21 171.54	1,357.00	3.15
APPLE INC	AAPL	405.000	46,907.10 45,907.44	115.82 113.35	923.40	1.97
CHEVRON CORPORATION	CVX	760.000	89,452.00 67,609.32	117.70 88.96	3,283.20	3.67
COCA-COLA	KO	1,645.000	68,201.70 71,548.78	41.46 43.49	2,303.00	3.38
WALT DISNEY COMPANY	DIS	755.000	78,686.10 80,562.12	104.22 106.70	1,177.80 588.90	1.50
GENERAL ELECTRIC	GE	3,400.000	107,440.00 72,244.88	31.60 21.25	3,264.00 816.00	3.04
HOME DEPOT INC	HD	410.000	54,972.80 11,926.73	134.08 29.09	1,131.60	2.06
JPM MORGAN CHASE & COMPANY	JPM	1,150.000	99,233.50 70,321.01	86.29 61.15	2,208.00	2.23
M&T BANK CORP	MTB	430.000	67,264.90 49,556.42	156.43 115.25	1,204.00	1.79
MERCK & CO INC	MRK	1,265.000	74,470.55 70,676.96	58.87 55.87	2,378.20 594.55	3.19
MICROSOFT	MSFT	1,735.000	107,812.90 97,126.02	62.14 55.98	2,706.60	2.51
PFIZER	PFE	2,005.000	65,122.40 63,388.23	32.48 31.62	2,566.40	3.94
PROCTER & GAMBLE	PG	1,260.000	105,940.80 98,137.98	84.08 77.89	3,374.28	3.19
QUALCOMM	QCOM	955.000	62,266.00 47,208.14	65.20 49.43	2,024.60	3.25
SPECTRA ENERGY CORP	SE	1,515.000	62,251.35 46,901.83	41.09 30.96	2,454.30	3.94



Chemung Canal Trust Company

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Account Number Hospital

Statement Period December 01, 2016 Through December 31 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
THE TRAVELERS COMPANIES INC	TRV	480.000	58,761.60 52,509.55	122.42 109.39	1,286.40	2.19
UNITED TECHNOLOGIES	UTX	910.000	99,754.20 71,584.41	109.62 78.66	2,402.40	2.41
WAL-MART STORES INC	WMT	1,470.000	101,606.40 87,779.19	69.12 59.71	2,940.00 735.00	2.89
* Total Equities			1,393,276.25 1,155,594.28		38,985.18 2,734.45	2.80
Mutual Funds						
DODGE & COX INCOME FUND	DODIX	17,306.196	235,191.20 235,311.43	13.59 13.60	7,580.11	3.22
FEDERATED TOTAL RETURN BD-IS	FTRBX	21,543.986	232,244.17 240,000.00	10.78 11.14	7,842.01	3.38
LOOMIS SAYLES BOND FUND - INS	LSBDX	6,508.370	88,253.50 90,894.20	13.56 13.97	1,861.39	2.11
LORD ABBETT FLOATING RATE-I	LFRIX	12,061.403	111,567.98 110,000.00	9.25 9.12	5,150.22	4.62
VANGUARD TOT BD MKT IDX-ADM	VBTLX	13,801.941	146,990.67 150,161.35	10.65 10.88	3,671.32	2.50
VANGUARD INTRM TRM BD IDX-AD	VBILX	7,611.727	85,555.81 90,253.91	11.24 11.86	2,275.91	2.66
VOYA HIGH YIELD BOND-I	IHYIX	11,221.945	90,224.44 90,000.00	8.04 8.02	4,993.77	5.53
FEDERATED STRAT VAL DVD-INST	SVAIX	36,070.943	213,179.27 176,928.51	5.91 4.91	6,637.05	3.11
ISHARES MSCI EAFE INDEX FUND	EFA	2,290.000	132,201.70 133,384.03	57.73 58.25	4,055.59	3.07
ISHARES NASDAQ BIOTECHNOLOGY INDEX FUND	IBB	300.000	79,614.00 85,822.89	265.38 286.08	147.90	0.19
MSIF- INTERNATIONAL EQUITY-I	MSIQX	5,944.518	87,027.74 90,000.00	14.64 15.14	1,848.75	2.12
OPPENHEIMER DEVELOPING MARKETS FUND	ODVYX	2,727.273	87,190.92 90,000.00	31.97 33.00	452.73	0.52
SECTOR SPDR MATERIALS SELECT	XLB	1,005.000	49,948.50 49,223.09	49.70 48.98	973.85	1.95
SECTOR SPDR FINANCIAL SELECT	XLF	8,285.000	192,626.25 171,134.21	23.25 20.66	3,852.53	2.00



Chemung Canal Trust Company

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Account Number Hospital

Statement Period December 01 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
SECTOR SPDR TECHNOLOGY SELECT	XLK	8,420 000	407,191 20 388,100.05	48.36 46 09	7,098.06	1 74
SECTOR SPDR REAL ESTATE SELECT	XLRE	1,152 000	35,424.00 36,788 56	30 75 31 93	1,495.30	4 22
VANGUARD EXT MKT INDX-ADM	VEXAX	2,542 750	184,908 78 165,000 00	72 72 64 89	2,644.46	1 43
* Total Mutual Funds			2,459,340.13 2,393,002.23			



Chemung Canal Trust Company

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Account Number: Discretionary

Statement Period December 01 2016 Through December 31 2016

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
APPLE INC DTD 02/09/2015 F/C	AA+	300,000.000	296,334.00	98.78	4,650.00	1.57
08/09/2015 1.55% 02/07/2020			298,998.00	99.67	1,834.17	1.96
COCA-COLA CO/THE DTD 11/01/13	AA-	250,000.000	252,582.50	101.03	6,125.00	2.42
F/C 5/01/14 2.45% 11/01/2020			253,337.73	101.34	1,020.83	2.17
EBAY INC DTD 07/28/2014 F/C	BBB+	250,000.000	249,885.00	99.95	5,500.00	2.20
02/01/2015 2.2% 08/01/2019-2019			250,441.84	100.18	2,291.67	2.22



Chemung Canal Trust Company

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Account Number: Discretionary

Statement Period: December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Corporate						
FORD MOTOR CREDIT CO LLC DTD 02/12/2015 F/C 08/20/2015 3.15% 02/20/2025-2016	BBB	250,000.000	234,522.50 250,013.02	93.81 100.01	7,875.00 2,865.63	3.36 4.05
GENERAL ELECTRIC CAP CORP DTD 4/2/13 F/C 10/2/13 1.625% 04/02/2018	AA-	250,000.000	250,817.50 251,717.99	100.33 100.69	4,062.50 1,004.34	1.62 1.36
MILLS, INC MILLS INC DTD 10/21/2014 F/C 04/21/2015 2.2% 10/21/2019	BBB+	300,000.000	301,461.00 299,562.00	100.49 99.85	6,600.00 1,283.33	2.19 2.02
GOLDMAN SACHS GROUP INC DTD 1/22/13 F/C 7/22/13 3.625% 01/22/2023	BBB+	250,000.000	255,352.50 253,789.18	102.14 101.52	9,062.50 4,002.60	3.55 3.23
MICROSOFT CORP DTD 02/12/2015 F/C 08/12/2015 2.7% 02/12/2025-2024	AAA	250,000.000	244,967.50 250,338.88	97.99 100.14	6,750.00 2,606.25	2.76 2.98
OCCIDENTAL PETROLEUM COR DTD 08/18/2011 F/C 02/15/2012 3.125% 02/15/2022-2021	A	250,000.000	255,525.00 248,315.00	102.21 99.33	7,812.50 2,235.24	3.06 2.66
** Total Corporate		Sub- Total	2,341,447.50 2,356,513.64		58,437.50 19,144.06	2.50
Treasury						
US TREASURY N/B DTD 11/15/14 F/C 05/15/15 2.25% 11/15/2024		250,000.000	248,467.50 250,476.58	99.39 100.19	5,625.00 730.32	2.26 2.34
US TREASURY N/B DTD 02/15/11 F/C 08/15/11 3.625% 02/15/2021		307,000.000	329,546.08 326,537.54	107.34 106.36	11,128.75 4,203.52	3.38 1.77
US TREASURY N/B DTD 11/15/11 F/C 05/15/12 2% 11/15/2021		305,000.000	305,844.85 306,686.64	100.28 100.55	6,100.00 791.99	1.99 1.94
US TREASURY N/B DTD 05/15/15 F/C 11/15/15 2.125% 05/15/2025		500,000.000	490,155.00 500,283.49	98.03 100.06	10,625.00 1,379.49	2.17 2.39
** Total Treasury		Sub- Total	1,374,013.43 1,383,984.25		33,478.75 7,105.32	2.44
Agency						
FREDDIE MAC GOLD POOL #G04062 DTD 03/01/08 6% 03/01/2038		2,008.680	2,272.84 2,136.13	113.15 106.34	120.52 10.04	5.30 2.55
FREDDIE MAC GOLD POOL #G05937 DTD 07/01/10 4.5% 08/01/2040		18,159.720	19,540.40 19,722.28	107.60 108.60	817.19 68.10	4.18 2.90
FREDDIE MAC GOLD POOL #G07021 DTD 05/01/12 5% 09/01/2039		1,845.240	2,008.82 2,060.47	108.87 111.66	92.26 7.69	4.59 2.91
FEDERAL MAC GOLD POOL #G08541 DTD 08/01/13 3.5% 08/01/2043		6,493.740	6,684.98 6,402.20	102.95 98.59	227.28 18.94	3.40 3.03
FEDERAL MAC GOLD POOL #G08597 DTD 07/01/14 3.5% 07/01/2044		7,675.170	7,864.29 7,841.46	102.46 102.17	268.63 22.39	3.42 3.06



Chemung Canal Trust Company

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Account Number. Discretionary

Statement Period. December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Rating	Par Value	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Yield Current/ Maturity
Agency						
FEDERAL MAC GOLD POOL #G08599 DTD 08/01/14 3.5% 08/01/2044		4,378,740	4,490,88 4,494.60	102.56 102.65	153.26 12.77	3.41 3.05
FREDDIE MAC GOLD POOL #A96409 DTD 01/01/11 3.5% 01/01/2041		70,916,710	73,047.05 75,326.49	103.00 106.22	2,482.08 206.84	3.40 3.00
FREDDIE MAC GOLD POOL #Q04649 DTD 11/01/11 3.5% 11/01/2041		10,243,280	10,549.76 11,013.89	102.99 107.52	358.51 29.88	3.40 3.01
FANNIE MAE POOL #AL0065 DTD 03/01/11 4.5% 04/01/2041		68,004,570	73,317.09 69,772.55	107.81 102.60	3,060.21 255.02	4.17 2.87
FANNIE MAE POOL #AL0609 DTD 07/01/11 5% 03/01/2036		3,652,140	3,991.39 4,044.23	109.29 110.74	182.61 15.22	4.58 2.68
FANNIE MAE POOL #AL3967 DTD 07/01/13 4.5% 08/01/2042		2,346,580	2,533.32 2,561.26	107.96 109.15	105.60 8.80	4.17 2.68
FANNIE MAE POOL #AO4133 DTD 06/01/12 3.5% 06/01/2042		22,593,640	23,304.66 22,723.23	103.15 100.57	790.78 65.90	3.39 2.98
FEDERAL MAE POOL #735580 DTD 05/01/05 5% 06/01/2035		21,810,780	23,778.98 22,007.42	109.02 100.90	1,090.54 90.88	4.59 2.59
FEDERAL MAE POOL #745355 DTD 02/01/06 5% 03/01/2036		5,288,640	5,774.67 5,912.41	109.19 111.79	264.43 22.04	4.58 2.62
FEDERAL MAE POOL #745580 DTD 05/01/06 5% 06/01/2036		58,090	63.46 64.52	109.24 111.07	2.90 0.24	4.57 2.61
FEDERAL MAE POOL #889579 DTD 05/01/08 6% 05/01/2038		12,098,900	13,706.36 12,815.27	113.29 105.92	725.93 60.49	5.30 2.48
FANNIE MAE POOL #992033 DTD 10/01/08 6% 10/01/2038		3,345,990	3,785.42 3,514.86	113.13 105.05	200.76 16.73	5.30 2.53
FANNIE MAE POOL #995245 DTD 12/01/08 5% 01/01/2039		1,867,370	2,033.12 2,117.29	108.88 113.38	93.37 7.78	4.59 2.78
FANNIE MAE POOL #995672 DTD 04/01/09 4.5% 04/01/2039		17,263,770	18,572.19 18,632.77	107.58 107.93	776.87 64.74	4.18 2.91
FANNIE MAE POOL #AA7681 DTD 06/01/09 4.5% 06/01/2039		4,018,570	4,325.07 4,468.25	107.61 111.19	180.84 15.07	4.18 2.89
FANNIE MAE POOL #AB4102 DTD 11/01/11 3.5% 12/01/2041		67,131,280	69,243.90 69,783.13	103.15 103.95	2,349.59 195.80	3.39 2.98
FANNIE MAE POOL #AE0828 DTD 01/01/11 3.5% 02/01/2041		5,161,100	5,322.13 5,310.52	103.12 102.90	180.64 15.05	3.39 2.97
** Total Agency		Sub- Total	376,210.78 372,725.23		14,524.80 1,210.41	3.86



Chemung Canal Trust Company

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Statement Period: December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
ADOBE SYSTEMS INC	ADBE	3,965 000	408,196 75 362,426 72	102.95 91.41	99 13	0 02
ALPHABET INC-CL C	GOOG	251 000	193,726.82 146,521.17	771.82 583 75		
AMAZON.COM INC	AMZN	530.000	397,431.10 354,432 42	749.87 668 74		
AMGEN	AMGN	1,105 000	161,562 05 189,560.35	146 21 171 55	5,083.00	3 15
APPLE INC	AAPL	1,987 000	230,134 34 223,297.27	115 82 112 38	4,530.36	1 97
BERKSHIRE HATHAWAY INC	BRK/B	2,615.000	426,192 70 348,306 61	162.98 133 20		
CHEVRON CORPORATION	CVX	2,740 000	322,498 00 250,599 78	117.70 91 46	11,836.80	3 67
COCA-COLA	KO	6,199 000	257,010.54 269,617 63	41 46 43 49	8,678 60	3 38
WALT DISNEY COMPANY	DIS	2,890.000	301,195 80 308,381.24	104 22 106.71	4,508 40 2,254.20	1 50
EXPRESS SCRIPTS HOLDING CO	ESRX	4,730 000	325,376 70 350,791 85	68 79 74.16		
GENERAL ELECTRIC	GE	12,233 000	386,562 80 356,851 32	31 60 29 17	11,743 68 2,935 92	3 04
HOME DEPOT INC	HD	1,486.000	199,242.88 140,227 06	134 08 94.37	4,101 36	2 06
JPM MORGAN CHASE & COMPANY	JPM	4,340 000	374,498 60 264,325.10	86 29 60 90	8,332 80	2 23
M&T BANK CORP	MTB	1,620 000	253,416 60 186,705 95	156 43 115 25	4,536.00	1 79
MERCK & CO INC	MRK	4,770.000	280,809 90 267,060.16	58 87 55 99	8,967 60 2,241 90	3 19
MICROSOFT	MSFT	6,540 000	406,395 60 366,038.57	62 14 55 97	10,202 40	2 51
PFIZER	PFE	7,555 000	245,386 40 240,644.45	32 48 31 85	9,670 40	3 94
PROCTER & GAMBLE	PG	4,530 000	380,882 40 349,727 40	84 08 77 20	12,131.34	3 19
QUALCOMM	QCOM	3,025 000	197,230.00 149,536 56	65.20 49 43	6,413.00	3 25
SPECTRA ENERGY CORP	SE	5,440.000	223,529 60 168,416 66	41 09 30 96	8,812 80	3 94



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Statement Period December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
Equities						
THE TRAVELERS COMPANIES INC	TRV	1,675.000	205,053.50 183,240.55	122.42 109.40	4,489.00	2.19
TRIMBLE INC	TRMB	7,100.000	214,065.00 188,211.80	30.15 26.51		
UNITED TECHNOLOGIES	UTX	3,441.000	377,202.42 340,122.66	109.62 98.84	9,084.24	2.41
VISA INC-CLASS A SHARES	V	4,880.000	380,737.60 395,333.84	78.02 81.01	3,220.80	0.85
WAL-MART STORES INC	WMT	5,295.000	365,990.40 308,473.71	69.12 58.26	10,590.00 2,647.50	2.89
ALLERGAN PLC	AGN	1,490.000	312,914.90 357,260.25	210.01 239.77	4,172.00	1.33
* Total Equities			7,827,243.40 7,066,111.08		151,203.71 10,079.52	1.93
Mutual Funds						
DODGE & COX INCOME FUND	DODIX	28,735.632	390,517.24 400,000.00	13.59 13.92	12,586.21	3.22
FEDERATED TOTAL RETURN BD-IS	FTRBX	35,906.642	387,073.60 400,000.00	10.78 11.14	13,070.02	3.38
GOLDMAN SACHS STRAT INC-INST	GSZIX	41,841.004	403,347.28 400,000.00	9.64 9.56	15,774.06	3.91
LOOMIS SAYLES BOND FUND - INS	LSBDX	28,926.085	392,237.71 403,974.23	13.56 13.97	8,272.86	2.11
LORD ABBETT FLOATING RATE-I	LFRIX	43,859.649	405,701.75 400,000.00	9.25 9.12	18,728.07	4.62
VOYA HIGH YIELD BOND-I	IHYIX	49,875.312	400,997.51 400,000.00	8.04 8.02	22,194.51	5.53
ALLIANZ NACM INTL GRW OPPORTUNITY FUND	ALOPX	6,224.066	198,921.15 210,000.00	31.96 33.74	112.01	0.06
AMERICAN BEACON S/C VALUE-IS	AVPIX	25,922.931	716,250.58 645,613.04	27.63 24.91	5,832.66	0.81
ISHARES MSCI EAFE INDEX FUND	EFA	10,700.000	617,711.00 623,240.41	57.73 58.25	18,949.70	3.07
ISHARES NASDAQ BIOTECHNOLOGY INDEX FUND	IBB	995.000	264,053.10 284,649.80	265.38 286.08	490.54	0.19
LEGG MASON CLRBRDG S/C GR-Y	SBPYX	22,261.666	641,803.83 647,730.96	28.83 29.10		



Chemung Canal Trust Company

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Statement Period December 01, 2016 Through December 31, 2016

Principal Portfolio Statement (Continued)

Description	Ticker	Shares	Total Market/ Total Cost	Market Price/ Cost Price	Est Annual Income/ Accrued Inc	Current Yield
MSIF- INTERNATIONAL EQUITY-I	MSIQX	27,741.083	406,129.46 420,000.00	14.64 15.14	8,627.48	2.12
OPPENHEIMER DEVELOPING MARKETS FUND	ODVYX	19,090.910	610,336.39 630,000.00	31.97 33.00	3,169.09	0.52
SECTOR SPDR MATERIALS SELECT	XLB	3,790.000	188,363.00 185,632.38	49.70 48.98	3,672.51	1.95
SECTOR SPDR FINANCIAL SELECT	XLF	16,355.000	380,253.75 336,435.87	23.25 20.57	7,605.08	2.00
SECTOR SPDR TECHNOLOGY SELECT	XLK	12,135.000	586,848.60 543,820.48	48.36 44.81	10,229.81	1.74
SECTOR SPDR REAL ESTATE SELECT	XLRE	2,275.000	69,956.25 72,651.02	30.75 31.93	2,952.95	4.22
VANGUARD EXT MKT INDX-ADM	VEXAX	12,231.120	889,447.05 800,000.00	72.72 65.41	12,720.36	1.43
* Total Mutual Funds			7,949,949.25 7,803,748.19			

ALTERNATIVE INVESTMENTS (NOT HELD IN THE NAME OF MLPF&S[†])

Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
ACP POWER AND	237	251,779.66	557.5842	132,147.45		251,779		
Initial Purchase: 07/12/11								
ENERGY REAL ASSET FUND CLASS A								
EST MKT PRICE AS OF 09/30/16		505.50	557.5842	278.79				
(.5000 FRACTIONAL SHARE)								
COAST ACCESS LTD	3,477	4,359.11	0.7800	2,712.06	(1,647.05)	4,359	(1,647)	
Initial Purchase: 08/01/08								
CLASS A UL								
EST MKT PRICE AS OF 10/31/16		0.53	0.7800	33	(0.20)			
(.4240 FRACTIONAL SHARE)								
COAST ACCESS LTD	13,128	16,570.66	0.7437	9,763.29	(6,807.37)	16,570	(6,807)	
Initial Purchase: 07/01/08								
CLASS C UL								
EST MKT PRICE AS OF 10/31/16		0.20	0.7437	.12	(0.08)			
(.1620 FRACTIONAL SHARE)								
TOTAL		273,215.66		144,902.04	(8,454.70)		(8,454)	

The A Lindsay & Olive B O'Connor Foundation Inc
FORM 990PF SUPPORTING SCHEDULE
PART II, LINE 14
2016
16-6063485

<u>ASSET</u>	<u>COST BASIS</u>	<u>ACCUM. DEPREC.</u>	<u>NET OF DEPREC.</u>
COPIER - 2000	5,063	5,063	-
COPIER - 2012	5,948	5,452	496
STAPLER FOR COPIER - 2012	1,807	1,656	151
COMPUTER - 2004	3,119	3,119	-
NOTEBOOK COMPUTER-2006	2,315	2,315	-
COMPUTER - 2007	2,662	2,662	-
COMPUTER - 2007	4,162	4,162	-
BACK UP BATTERY	797	797	-
DELL COMPUTER-2008	8,010	8,010	-
BTO-MACBK COMPUTER- 2009	2,327	2,327	-
DELL COMPUTER -2009	1,600	1,600	-
DELL COMPUTER-2009	2,357	2,357	-
MACBOOK COMPUTER-2009	4,538	4,538	-
APPLE-COMPUTER-2009	3,279	3,279	-
DELL SMALL BUSINESS COMPUTER - 2010	3,715	3,715	-
APPLE COMPUTER - 2010	3,541	3,541	-
HP COMPUTER - 2010	4,842	4,842	-
COMPUTER - 2012	2,554	2,341	213
COMPUTER WITH DOCKING STATION- 2012	2,057	1,679	378
LAPTOP AND PRINTER - 2013	3,712	2,351	1,361
DELL COMPUTER - 2014	4,481	2,091	2,390
DMI DELL COMPUTER - 2014	807	363	444
LIFESIZE CLOUD STORAGE SYSTEM - 2015	7,369	2,211	5,158
APPLE COMPUTER - 2015	3,392	1,018	2,374
APPLE COMPUTER - 2015	4,215	1,686	2,529
LENOVO COMPUTER - 2016	1,339	134	1,205
PRINTER - 2003	803	803	-
PRINTER - 2005	2,767	2,767	-
PRINTER - 2005	299	299	-
PRINTER - 2006	232	232	-
PRINTER-2008	649	649	-
PRINTER-2009	858	858	-
APPLE PRINTER - 2010	238	238	-
XEROX PRINTER - 2011	1,148	1,148	-
PRINTER INK - 2011	1,251	1,251	-
PRINTER - 2014	177	80	97
FILE CABINET	1,125	1,125	-
CHAIR - 2012	803	750	53
FAX MACHINE - 2010	285	285	-
LIFESIZE VIDEO CONFERENCE PHONE SYSTEM	7,285	3,400	3,885
SCANNER - 2001	2,925	2,925	-
SCANNER - 2009	3,227	3,227	-
SCANNER - 2012	3,679	3,494	185
SOFTWARE - 2008	1,135	1,135	-
SOFTWARE - 2009	3,699	3,699	-
SOFTWARE - BACKUP ASSIST - 2010	356	356	-
SOFTWARE - WINDOWS 7 - 2010	776	776	-
	<u>123,725</u>	<u>102,806</u>	<u>20,919</u>

THE A. LINDSAY & OLIVE B. O'CONNOR FOUNDATION, INC.
EIN 16-6063485
FORM 990 PF SCHEDULE
PART XV, LINE 3(A)

2016

GRANTS PAID OUT IN 2016

Payment Date	Organization	Location	Purpose	Status	Payment Amount
January 2016					
1/6/2016	Catskill Revitalization Corporation	Stamford	Motive Power Repairs	501(C)(3) Not fo	\$200.00
1/6/2016	Catskill Revitalization Corporation	Stamford	Track Crew	501(C)(3) Not fo	\$1,000.00
1/6/2016	Catskill Revitalization Corporation	Stamford	Trail	501(C)(3) Not fo	\$12,500.00
1/19/2016	Broome Community College Foundation, Inc.	Binghamton	Scholarships	School	\$22,500.00
1/19/2016	Cazenovia College	Cazenovia	Scholarships	School	\$10,000.00
1/19/2016	Cobleskill Ag & Tech College Foundation, Inc.	Cobleskill	Scholarships	School	\$27,500.00
1/19/2016	College Foundation at Delhi, Inc.	Delhi	Scholarships	501(C)(3) Not fo	\$10,000.00
1/19/2016	College Foundation at Delhi, Inc.	Delhi	Scholarships	501(C)(3) Not fo	\$10,000.00
1/19/2016	Cornell University	Ithaca	Scholarships	School	\$12,500.00
1/19/2016	Empire State College Foundation	Saratoga Springs	Scholarships	School	\$14,500.00
1/19/2016	Foundation of the SUNY at Binghamton	Binghamton	Scholarship	School	\$10,000.00
1/19/2016	Hartwick College	Oneonta	Scholarships	School	\$10,000.00
1/19/2016	Paul Smith's College	Paul Smiths	Scholarships	501(C)(3) Not fo	\$30,000.00
1/19/2016	Rensselaer Polytechnic Institute	Troy	Scholarships	School	\$12,500.00
1/19/2016	Sage Colleges	Troy	Scholarships	School	\$2,500.00
1/19/2016	State University College at Oneonta Foundation	Oneonta	Scholarships	501(C)(3) Not fo	\$12,500.00
1/19/2016	State University College at Oneonta Foundation	Oneonta	Scholarships	501(C)(3) Not fo	\$37,500.00
1/19/2016	Syracuse University	Syracuse	Scholarships	School	\$10,000.00
1/19/2016	Wells College	Aurora	Scholarships	501(C)(3) Not fo	\$5,000.00
1/20/2016	Book Trust	Denver	Books	501(C)(3) Not fo	\$3,217.00
1/20/2016	Delaware County Historical Assoc.	Delhi	Endowment 6/15 deadline 12/31/17	501(C)(3) Not fo	\$6,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
1/20/2016	First Congregational Church	Walton	Kitchen Upgrades and Equipment	Religious	\$3,160.00
1/20/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
1/20/2016	Music on the Delaware, Inc.	Walton	Website	501(C)(3) Not fo	\$850.00
1/20/2016	St. Innocent Orthodox Mission	Oneonta	Parsonage	Religious	\$20,000.00
1/20/2016	Village of Sidney	Sidney	Field Repairs	Municipality	\$5,000.00
1/21/2016	Christ Church	Walton	Roof	Religious	\$5,000.00
1/21/2016	Delaware County Historical Assoc.	Delhi	Advertising	501(C)(3) Not fo	\$930.00
1/21/2016	Holy Cross School	Philadelphia	Private Lessons	Religious	\$2,500.00
1/21/2016	West Kortright Centre, Inc.	East Meredith	Endowment	501(C)(3) Not fo	\$2,063.00
<u>January 2016 Total</u>					<u>\$300,670.00</u>
<u>February 2016</u>					
2/1/2016	Hanford Mills Museum	East Meredith	Transportation Expenses	501(C)(3) Not fo	\$390.00
2/1/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$15,000.00
2/1/2016	Hanford Mills Museum	East Meredith	Operating Expenses	501(C)(3) Not fo	\$26,000.00
2/1/2016	Hanford Mills Museum	East Meredith	Interns	501(C)(3) Not fo	\$5,000.00
2/1/2016	Hanford Mills Museum	East Meredith	Turbine Project deadline 12/17	501(C)(3) Not fo	\$456.00
2/1/2016	Hanford Mills Museum	East Meredith	Miles of Smiles	501(C)(3) Not fo	\$275.00
2/1/2016	Hanford Mills Museum	East Meredith	Hardware Store	501(C)(3) Not fo	\$1,465.00
2/1/2016	Zadock Pratt Museum, Inc.	Prattsville	Salary	501(C)(3) Not fo	\$10,000.00
2/2/2016	Delaware County Department of Social Service	Delhi	Annual Grant	Municipality	\$3,000.00
2/2/2016	Hanford Mills Museum	East Meredith	Development	501(C)(3) Not fo	\$1,638.00
2/2/2016	Immanuel Lutheran Church	Delhi	Roof	Religious	\$4,000.00
2/2/2016	Kaaterskill United Methodist Church	Tannersville	Concrete Work/Boiler	Religious	\$5,000.00
2/9/2016	Roxbury Arts Group, Inc.	Roxbury	Windows	501(C)(3) Not fo	\$5,000.00
2/9/2016	St. Paul the Apostle Church	Hancock	Preschool Computers	Religious	\$4,425.00
2/16/2016	American Cancer Society Delaware County Uni	Johnson City	Services Expenses	501(C)(3) Not fo	\$5,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
2/16/2016	Andes Central School	Andes	Senior Trip	School	\$1,740.00
2/16/2016	Catskill Revitalization Corporation	Stamford	I Love New York	501(C)(3) Not fo	\$50,000.00
2/16/2016	Catskill Revitalization Corporation	Stamford	2016 Operating Expenses	501(C)(3) Not fo	\$75,000.00
2/16/2016	Charlotte Valley Central School Dollars for Sch	East Meredith	Scholarships	501(C)(3) Not fo	\$3,943.00
2/16/2016	Franklin Free Library	Franklin	Summer Reading Program	501(C)(3) Not fo	\$1,000.00
2/16/2016	M-ARK Project, Inc.	Arkville	Operating Expenses	501(C)(3) Not fo	\$5,000.00
2/16/2016	Resource Generation, Inc.	New York	General Expenses	501(C)(3) Not fo	\$5,000.00
2/16/2016	Roxbury Arts Group, Inc.	Roxbury	Scholarships	501(C)(3) Not fo	\$1,000.00
<u>March 2016</u>					<u>February 2016 Total</u>
3/3/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
3/3/2016	Stamford Central School Dollars for Scholars	Stamford	Scholarships	501(C)(3) Not fo	\$7,000.00
3/3/2016	Trout Creek Community Church	Trout Creek	Furnace	Religious	\$2,500.00
3/3/2016	Walton Historical Society	Walton	Lift and Books	501(C)(3) Not fo	\$2,585.00
3/16/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$20,000.00
3/16/2016	Hanford Mills Museum	East Meredith	I Love New York	501(C)(3) Not fo	\$50,000.00
3/16/2016	Hobart Fire Department	Hobart	Gym Memberships	Municipality	\$1,200.00
3/16/2016	Margaretville Health Foundation	Margaretville	Website	501(C)(3) Not fo	\$3,250.00
3/16/2016	SUNY Research Foundation	Delhi	O'Connor Center for Community Service	School	\$30,000.00
3/23/2016	Catskill Forest Association	Arkville	2016 Operating Expenses	501(C)(3) Not fo	\$73,750.00
3/23/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
3/23/2016	Rotary Club of Delhi People Who Care	Delhi	After Prom Party	501(C)(4) Not fo	\$1,667.00
3/3/2016	O'Connor Hospital	Delhi	Mammography Unit and Nurse Call Systems	501(C)(3) Not fo	\$107,021.37
<u>April 2016</u>					<u>March 2016 Total</u>
4/6/2016	Deposit Community Center, Inc.	Deposit	Windows	501(C)(3) Not fo	\$3,114.00
					\$301,473.37

Payment Date	Organization	Location	Purpose	Status	Payment Amount
4/6/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$20,000.00
4/20/2016	Catskill Revitalization Corporation	Stamford	Crane, wheels, bearings, trucking	501(C)(3) Not fo	\$15,000.00
4/25/2016	Catskill Revitalization Corporation	Stamford	2016 Operating Expenses	501(C)(3) Not fo	\$75,000.00
4/25/2016	Hampstead Stage Company	Center Barnstead	2016 Programing	501(C)(3) Not fo	\$1,200.00
4/25/2016	M-ARK Project, Inc.	Arkville	Electric Vehilce Charging Stations	501(C)(3) Not fo	\$4,847.00
4/25/2016	M-ARK Project, Inc.	Arkville	BBQ Competition	501(C)(3) Not fo	\$4,425.00
4/25/2016	M-ARK Project, Inc.	Arkville	Main Street Event	501(C)(3) Not fo	\$5,000.00
4/25/2016	St. James' Church	Delhi	Senior Day Program	Religious	\$2,000.00
<u>April 2016 Total</u>					\$130,586.00
<u>May 2016</u>					
5/3/2016	Delaware County Senior Council, Inc.	Delhi	Bus	501(C)(3) Not fo	\$5,000.00
5/3/2016	Foundation for the Open Eye	Margaretville	Summer Theater Workshop	501(C)(3) Not fo	\$1,000.00
5/3/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
5/3/2016	South Kortright Central School	South Kortright	Creative Crafts Class	School	\$1,000.00
5/3/2016	Town of Hamden	Hamden	Flags and Markers	Municipality	\$300.00
5/3/2016	Town of Hamden	Hamden	Flags and Markers	Municipality	\$375.00
5/3/2016	Village of Fleischmanns	Fleischmanns	Roof deadline extended to 12/15	Municipality	\$734.00
5/13/2016	Catskill Center for Conservation and Develop	Arkville	Erpf Gallery Upgrades	501(C)(3) Not fo	\$2,500.00
5/13/2016	Catskill Center for Conservation and Develop	Arkville	Birding Conference	501(C)(3) Not fo	\$2,500.00
5/13/2016	Catskill Center for Conservation and Develop	Arkville	Stream Watch Program	501(C)(3) Not fo	\$4,200.00
5/13/2016	Franklin Stock Company at Chapel Hall, Inc.	Franklin	David Byrd Project 11/15 Resignedated "Th	501(C)(3) Not fo	\$5,000.00
5/13/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$20,000.00
5/13/2016	Headwaters Soccer Club	North Blenheim	Counselors	501(C)(3) Not fo	\$3,333.00
5/13/2016	Hobart United Methodist Church	Hobart	Community Gardens	Religious	\$1,000.00
5/13/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
5/13/2016	Little Delaware Youth Ensemble	Oneonta	Annual Workshops, Concert	501(C)(3) Not fo	\$1,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
5/13/2016	Zadock Pratt Museum, Inc.	Prattsville	Coloring Book/Quilts	501(C)(3) Not fo	\$5,000.00
5/13/2016	Zadock Pratt Museum, Inc.	Prattsville	Salary	501(C)(3) Not fo	\$3,000.00
5/16/2016	Catskill Forest Association	Arkville	Endowment	501(C)(3) Not fo	\$4,197.00
5/19/2016	Catskill Revitalization Corporation	Stamford	Equipment - Lo Rail, Frog	501(C)(3) Not fo	\$2,375.00
5/19/2016	Catskill Revitalization Corporation	Stamford	Route 38 Crossing	501(C)(3) Not fo	\$10,000.00
<u>May 2016 Total</u>					\$75,014.00
<u>June 2016</u>					
6/20/2016	Delaware County Office of Employment and Tr	Delhi	Tractor	Municipality	\$2,573.00
6/20/2016	Delhi Campus Ministry	Delhi	Annual Grant	Religious	\$10,000.00
6/20/2016	Fairview Public Library	Margaretville	Entranceway	501(C)(3) Not fo	\$20,000.00
6/20/2016	Grand Gorge Community Action Group	Grand Gorge	Little League Equipment	501(C)(3) Not fo	\$1,000.00
6/20/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$25,000.00
6/20/2016	Margaretville Central School Dollars for Schola	Margaretville	Scholarships	501(C)(3) Not fo	\$5,500.00
6/20/2016	M-ARK Project, Inc.	Arkville	Main Street Events	501(C)(3) Not fo	\$3,500.00
6/20/2016	M-ARK Project, Inc.	Arkville	Local Wisdom	501(C)(3) Not fo	\$1,000.00
6/20/2016	M-ARK Project, Inc.	Arkville	Fire Hall Engineering Fees	501(C)(3) Not fo	\$1,187.00
6/20/2016	M-ARK Project, Inc.	Arkville	BBQ Competition	501(C)(3) Not fo	\$575.00
6/20/2016	Mt Utsayantha Regional Art League	Stamford	Equipment & Upgrades	501(C)(3) Not fo	\$635.00
6/20/2016	South Kortright Central School	South Kortright	Special Education Equipment	School	\$600.00
6/20/2016	South Kortright Central School	South Kortright	Track & Field Tent	School	\$1,000.00
6/20/2016	South Kortright Central School	South Kortright	Artist fees	School	\$280.00
6/20/2016	South Kortright Central School	South Kortright	Desks and Stools	School	\$1,000.00
6/20/2016	Stamford Christmas Feeling Fund	Stamford	Annual Grant	501(C)(3) Not fo	\$3,000.00
6/20/2016	United Ministry of Delhi	Delhi	EVAN Equipment	Religious	\$1,000.00
6/20/2016	Walton Dollars for Scholars	Walton	Scholarships	501(C)(3) Not fo	\$8,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
<u>July 2016</u>					<u>June 2016 Total</u>
7/16/2016	Catskill Forest Association	Arkville	2016 Operating Expenses	501(C)(3) Not fo	\$85,850.00
7/13/2016	Andes Society for History & Culture	Andes	Endowment Deadline 12/17	501(C)(3) Not fo	\$73,750.00
7/13/2016	Catskill Center for Conservation and Develop	Arkville	Exhibit	501(C)(3) Not fo	\$1,550.00
7/13/2016	Charlotte Valley Central School Dollars for Sch	East Meredith	Scholarships	501(C)(3) Not fo	\$2,000.00
7/13/2016	Delaware Academy and Central School	Delhi	Memorial Plantings	501(C)(3) Not fo	\$3,671.00
7/13/2016	Delaware County Historical Assoc.	Delhi	Roof	School	\$500.00
7/13/2016	Delaware County Historical Assoc.	Delhi	4th Grade Field Days	501(C)(3) Not fo	\$20,000.00
7/13/2016	Delaware County Historical Assoc.	Delhi	2016 Operating Expenses	501(C)(3) Not fo	\$950.00
7/13/2016	Hancock Community Education Foundation	Hancock	Summer Programs	501(C)(3) Not fo	\$9,000.00
7/13/2016	Hancock Partners Inc	Hancock	2016 Programming	501(C)(3) Not fo	\$5,000.00
7/13/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$5,000.00
7/13/2016	Rotary Club of Delhi People Who Care	Delhi	After Prom Party	501(C)(4) Not fo	\$25,000.00
7/13/2016	Sacred Heart Church	Stamford	Bat Remediation	501(C)(4) Not fo	\$1,666.00
7/13/2016	South Kortright Central School	South Kortright	Art Class Supplies	Religious	\$1,375.00
7/13/2016	South Kortright Central School	South Kortright	Field Trip	School	\$1,700.00
7/13/2016	South Kortright Central School	South Kortright	Field Trip	School	\$500.00
7/21/2016	Catskill Revitalization Corporation	Stamford	2016 Operating Expenses	School	\$2,760.00
7/26/2016	Charlotte Valley Presbyterian Church	Davenport	Siding	501(C)(3) Not fo	\$75,000.00
7/26/2016	Delaware County Office of Employment and Tr	Delhi	2016 Youth Employment Programs	Religious	\$20,000.00
7/26/2016	Foundation for the Open Eye	Margaretville	2016 Programming Expenses	Municipality	\$45,000.00
7/26/2016	Franklin Stock Company at Chapel Hall, Inc.	Franklin	2016 Programming & Operating Expenses	501(C)(3) Not fo	\$5,600.00
7/26/2016	Harpersfield Historical Society	Harpersfield	Shed	501(C)(3) Not fo	\$7,500.00
7/26/2016	Stamford Village Improvement Association	Stamford	Ice Skate Rink	501(C)(3) Not fo	\$5,000.00
7/26/2016	Town of Roxbury	Roxbury	Kirkside Park Bridge	501(C)(3) Not fo	\$2,800.00
				Municipality	\$5,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
7/26/2016	Woodchuck Lodge, Inc.	Roxbury	Books	501(C)(3) Not fo	\$1,800.00
<u>July 2016 Total</u>					\$322,122.00
<u>August 2016</u>					
8/1/2016	Delaware County Historical Assoc.	Delhi	Advertising	501(C)(3) Not fo	\$1,070.00
8/1/2016	Jefferson United Methodist Church	Jefferson	Siding	Religious	\$1,500.00
8/1/2016	Sidney Dollars for Scholars	Sidney	Scholarships	501(C)(3) Not fo	\$8,871.00
8/1/2016	Sidney Dollars for Scholars	Sidney	Scholarships	501(C)(3) Not fo	\$370.00
8/5/2016	Broome Community College Foundation, Inc.	Binghamton	Scholarships	School	\$15,000.00
8/5/2016	Cazenovia College	Cazenovia	Scholarships	School	\$10,000.00
8/5/2016	College Foundation at Delhi, Inc.	Delhi	Nursing Scholarships	501(C)(3) Not fo	\$14,500.00
8/5/2016	College Foundation at Delhi, Inc.	Delhi	Vo-Ed Scholarships	501(C)(3) Not fo	\$15,000.00
8/5/2016	College Foundation at Delhi, Inc.	Delhi	Masters in Nursing	501(C)(3) Not fo	\$5,000.00
8/5/2016	Cornell University	Ithaca	Scholarships	School	\$7,500.00
8/5/2016	Empire State College Foundation	Saratoga Springs	Scholarships	School	\$10,000.00
8/5/2016	Foundation of the SUNY at Binghamton	Binghamton	Nursing Scholarships	School	\$5,000.00
8/5/2016	Hartwick College	Oneonta	Nursing Scholarships	School	\$2,500.00
8/5/2016	Ithaca College	Ithaca	Scholarships	501(C)(3) Not fo	\$5,000.00
8/5/2016	Paul Smith's College	Paul Smiths	Scholarships	501(C)(3) Not fo	\$20,000.00
8/5/2016	Rensselaer Polytechnic Institute	Troy	Scholarships	School	\$10,000.00
8/5/2016	Sage Colleges	Troy	Scholarships	School	\$7,500.00
8/5/2016	State University College at Oneonta Foundation	Oneonta	Masters in Education	501(C)(3) Not fo	\$7,500.00
8/5/2016	State University College at Oneonta Foundation	Oneonta	Scholarships	501(C)(3) Not fo	\$25,000.00
8/5/2016	Sullivan County Community College Fdn	Loch Sheldrake	Scholarships	501(C)(3) Not fo	\$7,500.00
8/5/2016	SUNY Ag & Tech College Fnd Cobleskill	Cobleskill	Scholarships	501(C)(3) Not fo	\$12,500.00
8/5/2016	Syracuse University	Syracuse	Scholarships	School	\$7,500.00
8/5/2016	Wells College	Aurora	Scholarships	501(C)(3) Not fo	\$5,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
8/10/2016	Big Indian Native American Cultural Ctr	Big Indian	Sound Equipment	501(C)(3) Not fo	\$443.00
8/10/2016	Bloomville Fire Department	Bloomville	Radios	Municipality	\$1,518.00
8/10/2016	Book Trust	Denver	Books	501(C)(3) Not fo	\$4,610.00
8/10/2016	Delaware Academy and Central School	Delhi	German Trip	School	\$5,000.00
8/10/2016	Foundation of the SUNY at Binghamton	Binghamton	Scholarship	School	\$10,000.00
8/10/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$25,000.00
8/10/2016	Pine Hill Community Center	Pine Hill	Summer Camp 6/16 toward 2016 Kool Kid	501(C)(3) Not fo	\$3,000.00
8/10/2016	West Kortright Centre, Inc.	East Meredith	Endowment	501(C)(3) Not fo	\$4,710.00
8/10/2016	West Kortright Centre, Inc.	East Meredith	2016 Programming	501(C)(3) Not fo	\$20,000.00
8/15/2016	Broome Community College Foundation, Inc.	Binghamton	Scholarship	School	\$10,000.00
8/15/2016	M-ARK Project, Inc.	Arkville	2016-2017 Operating Expenses	501(C)(3) Not fo	\$10,000.00
8/15/2016	M-ARK Project, Inc.	Arkville	Home Repairs	501(C)(3) Not fo	\$2,600.00
8/23/2016	Bright Hill Press/Word Thursdays	Treadwell	2016 Youth Programming	501(C)(3) Not fo	\$5,000.00
8/23/2016	Oneonta Dollars for Scholars	Oneonta	Scholarships	501(C)(3) Not fo	\$500.00
8/23/2016	Oneonta Dollars for Scholars	Oneonta	Scholarships	501(C)(3) Not fo	\$500.00
8/23/2016	United Ministry of Delhi	Delhi	Play School Supplies	Religious	\$520.00
8/23/2016	Village of Franklin	Franklin	Pool Cover	Municipality	\$3,750.00
8/23/2016	Wesleyan University		Scholarship	501(C)(3) Not fo	\$10,000.00
August 2016 Total					\$320,962.00
September 2016					
9/6/2016	Deposit Community Center, Inc.	Deposit	Toys & Fencing	501(C)(3) Not fo	\$3,000.00
9/6/2016	First Night Oneonta	Oneonta	Hot Air Balloon Festival	501(C)(3) Not fo	\$4,000.00
9/6/2016	Foothills Performing Arts Center, Inc.	Oneonta	Fundraising	501(C)(3) Not fo	\$10,000.00
9/6/2016	Kirkside of Roxbury, Inc.	Roxbury	2016 - 2017 Operating Expenses	501(C)(3) Not fo	\$2,000.00
9/6/2016	Kirkside of Roxbury, Inc.	Roxbury	2015-2016 Operating Expenses	501(C)(3) Not fo	\$1,250.00
9/6/2016	Little Delaware Youth Ensemble	Oneonta	Website Upgrades	501(C)(3) Not fo	\$765.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
9/6/2016	Town of Delhi	Delhi	Playground	Municipality	\$613.00
9/6/2016	Town of Stamford	Hobart	Playground Upgrades	Municipality	\$12,500.00
9/6/2016	Village of Delhi	Delhi	Interns	Municipality	\$500.00
9/6/2016	William B. Ogden Free Library	Walton	Summer Reading Program	501(C)(3) Not fo	\$395.00
9/19/2016	Catskill Revitalization Corporation	Stamford	Rake	501(C)(3) Not fo	\$12,500.00
9/19/2016	Foundation for the Open Eye	Margaretville	2016 Programming Expenses	501(C)(3) Not fo	\$3,682.00
9/19/2016	M-ARK Project, Inc.	Arkville	Main Street Events	501(C)(3) Not fo	\$1,400.00
9/19/2016	M-ARK Project, Inc.	Arkville	Garden Fest Events	501(C)(3) Not fo	\$2,425.00
9/19/2016	M-ARK Project, Inc.	Arkville	Business Marketing	501(C)(3) Not fo	\$826.00
9/19/2016	M-ARK Project, Inc.	Arkville	Chamber Office Equipment	501(C)(3) Not fo	\$1,450.00
9/19/2016	M-ARK Project, Inc.	Arkville	Home Repairs	501(C)(3) Not fo	\$2,400.00
9/19/2016	M-ARK Project, Inc.	Arkville	Signs	501(C)(3) Not fo	\$5,000.00
9/19/2016	M-ARK Project, Inc.	Arkville	Main Street Margaretville	501(C)(3) Not fo	\$5,000.00
9/19/2016	M-ARK Project, Inc.	Arkville	Certifications	501(C)(3) Not fo	\$4,900.00
9/19/2016	South Kortright Central School	South Kortright	Reading Program	School	\$2,500.00
9/19/2016	St. Paul's Episcopal Church	Franklin	Painting	Religious	\$1,200.00
9/22/2016	Catskill Forest Association	Arkville	2016 Operating Expenses	501(C)(3) Not fo	\$73,750.00
9/22/2016	Community Church of Delhi	Delhi	Building Addition	Religious	\$30,000.00
9/22/2016	Frost Valley YMCA	Claryville	Scholarships	501(C)(3) Not fo	\$1,000.00
9/22/2016	Village of Delhi	Delhi	Volleyball	Municipality	\$1,000.00
9/22/2016	Village of Delhi	Delhi	Summer Basketball	Municipality	\$1,000.00
9/22/2016	Village of Margaretville	Margaretville	Signs	Municipality	\$5,000.00
9/22/2016	Village of Margaretville	Margaretville	Computers	Municipality	\$730.00
September 2016 Total					\$190,786.00
October 2016					
10/5/2016	Foothills Performing Arts Center, Inc.	Oneonta	Fundraising Event	501(C)(3) Not fo	\$15,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
10/5/2016	Friends of Music of Stamford, NY	Stamford	Concert	501(C)(3) Not fo	\$1,900.00
10/5/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$26,000.00
10/5/2016	Hatherleigh Foundation	Hobart	School Food Program	501(C)(3) Not fo	\$1,000.00
10/6/2016	DCMO BOCES	Sidney Center	Weekend Backpack Program	501(C)(3) Not fo	\$2,640.00
10/11/2016	Catskill Mountain Christian Center	Margaretville	Sound System	501(C)(3) Not fo	\$5,000.00
10/11/2016	Catskill Mountain Christian Center	Margaretville	Sidewalks	501(C)(3) Not fo	\$550.00
10/11/2016	Conservation Alliance of New York	Oneonta	Annual Grant	501(C)(3) Not fo	\$5,000.00
10/11/2016	Family Planning of South Central NY	Oneonta	Teens Count	501(C)(3) Not fo	\$4,630.00
10/11/2016	Roxbury Arts Group, Inc.	Roxbury	Arts Symposium 2/15 redes \$1,385 toward	501(C)(3) Not fo	\$1,385.00
10/11/2016	St. Paul's Episcopal Church	Franklin	Repairs	Religious	\$700.00
10/14/2016	Foothills Performing Arts Center, Inc.	Oneonta	Emergency Repairs	501(C)(3) Not fo	\$2,500.00
10/21/2016	Catskill Symphony Orchestra, Inc.	Oneonta	Concert	501(C)(3) Not fo	\$4,500.00
10/24/2016	Catskill Revitalization Corporation	Stamford	2016 Operating Expenses	501(C)(3) Not fo	\$75,000.00
10/24/2016	Catskill Revitalization Corporation	Stamford	Motive Power Repairs	501(C)(3) Not fo	\$1,000.00
10/24/2016	Catskill Revitalization Corporation	Stamford	Motive Power Repairs	501(C)(3) Not fo	\$10,000.00
10/31/2016	Hamden Presbyterian Church	Hamden	Commercial Dishwasher	Religious	\$2,000.00
10/31/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$26,000.00
10/31/2016	Jefferson Historical Society	Jefferson	Building Repairs & Painting	501(C)(3) Not fo	\$10,000.00
<u>October 2016 Total</u>					\$194,805.00
<u>November 2016</u>					
11/4/2016	Foundation for the Open Eye	Margaretville	2016 Programming Expenses	501(C)(3) Not fo	\$2,718.00
11/4/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$26,000.00
11/4/2016	Town of Hamden	Hamden	Cemetery Fencing	Municipality	\$4,575.00
11/4/2016	Walton Theatre Preservation Association	Walton	Windows, Electric	501(C)(3) Not fo	\$6,225.00
11/10/2016	Andes Central School	Andes	The Lion King	School	\$5,000.00
11/10/2016	Deposit Community Theatre and Performing Ar	Deposit	Building Repairs	501(C)(3) Not fo	\$5,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
11/10/2016	Meredith Historical Society	Meridale	Foundation Repairs	501(C)(3) Not fo	\$1,500.00
11/29/2016	St. Innocent Orthodox Mission	Oneonta	Land and Building	Religious	\$20,000.00
<u>December 2016</u>					<u>November 2016 Total</u>
12/2/2016	Delaware County Historical Assoc.	Delhi	2016 Operating Expenses	501(C)(3) Not fo	\$11,000.00
12/2/2016	Hampstead Stage Company	Center Barnstead	2016 Programming	501(C)(3) Not fo	\$582.00
12/14/2016	College Foundation at Delhi, Inc.	Delhi	Musical Concert Redes to AmeriCorp 10/0	501(C)(3) Not fo	\$4,970.00
12/14/2016	First Presbyterian Church of Delhi	Delhi	Thrift Store	Religious	\$4,650.00
12/14/2016	Foothills Performing Arts Center, Inc.	Oneonta	Emergency Repairs	501(C)(3) Not fo	\$5,000.00
12/14/2016	Hanford Mills Museum	East Meredith	2016 Operating Expenses	501(C)(3) Not fo	\$26,000.00
12/14/2016	Jay Gould Memorial Reformed Church	Roxbury	Pipe Organ Repairs	Religious	\$2,350.00
12/14/2016	Leatherstocking Council Boy Scouts	Utica	Camperships - Annual Grant	501(C)(3) Not fo	\$4,000.00
12/14/2016	Stamford Community Dollars for Scholars	Stamford	Scholarships	501(C)(3) Not fo	\$4,000.00
12/15/2016	American Cancer Society Delaware County Uni	Johnson City	Annual Grant	501(C)(3) Not fo	\$5,000.00
12/15/2016	American Heart Association Mid-State New Yo	Syracuse	Annual Grant	501(C)(3) Not fo	\$5,000.00
12/15/2016	Delaware County Youth Bureau	Delhi	Annual Grant	Municipality	\$2,000.00
12/15/2016	Delhi Community Fund, Inc.	Delhi.	Annual Grant	501(C)(3) Not fo	\$3,000.00
12/15/2016	Girl Scouts of NYPENN Pathways, Inc	Johnson City	Annual Grant	501(C)(3) Not fo	\$20,000.00
12/15/2016	Girl Scouts of NYPENN Pathways, Inc	Johnson City	Annual Grant	501(C)(3) Not fo	\$4,000.00
12/15/2016	Hobart Fire Department	Hobart	Annual Grant	Municipality	\$2,000.00
12/15/2016	Hobart Historical Society	Hobart	Annual Grant	501(C)(3) Not fo	\$1,000.00
12/15/2016	Hobart Presbyterian Church	Hobart	Annual Grant	Religious	\$3,000.00
12/15/2016	Hobart United Methodist Church	Hobart	Annual Grant	Religious	\$4,000.00
12/15/2016	Leatherstocking Council Boy Scouts	Utica	Local Troop Support - Annual Grant	501(C)(3) Not fo	\$10,000.00
12/15/2016	St. Peter's Protestant Episcopal Church	Stamford	Annual Grant	Religious	\$3,000.00
12/15/2016	The Foundation Center	New York	Annual Grant	501(C)(3) Not fo	\$4,000.00

Payment Date	Organization	Location	Purpose	Status	Payment Amount
12/15/2016	The Salvation Army	Syracuse	Annual Grant	501(C)(3) Not fo	\$2,000.00
12/15/2016	Town of Delhi	Delhi	Pool	Municipality	\$30,000.00
12/15/2016	Town of Delhi	Delhi	Pool Insulation	Municipality	\$270,000.00
12/15/2016	United Ministry of Delhi	Delhi	Annual Grant	Religious	\$3,000.00
12/20/2016	Andes Central School	Andes	Travel Expenses	School	\$5,000.00
12/20/2016	Catskill Forest Association	Arkville	2017 Operating Expenses	501(C)(3) Not fo	\$73,750.00
12/20/2016	Catskill Revitalization Corporation	Stamford	Ties	501(C)(3) Not fo	\$5,000.00
12/20/2016	Catskill Revitalization Corporation	Stamford	Trail	501(C)(3) Not fo	\$12,500.00
12/20/2016	Sidney Memorial Public Library	Sidney	Projector	501(C)(3) Not fo	\$3,000.00
12/20/2016	South Kortright Central School Dollars for Sch	Bloomville	Scholarships	501(C)(3) Not fo	\$6,500.00
<u>December 2016 Total</u>					<u>\$539,302.00</u>
Grand Total:					\$2,761,920.37

THE A. LINDSAY & OLIVE B. O'CONNOR FOUNDATION, INC.

EIN 16-6063485

FORM 990 PF SCHEDULE

PART XV, LINE 3(b)

2016

FUTURE GRANTS

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<u>1998</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
15-Jun-98	\$80,000.00	\$0.00	\$80,000.00
Delhi -- Delaware County Planning Board			
U&D Railroad Historical Society - Roxbury Train Station deadline 12/17			
1998 Subtotals	\$80,000.00	\$0.00	\$80,000.00
	1.64%	0.00%	100.00%
<u>1999</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
28-Sep-99	\$50,000.00	\$28,939.00	\$21,061.00
Delhi -- Greater Delhi Area Foundation			
Endowment deadline 12/17			
1999 Subtotals	\$50,000.00	\$28,939.00	\$21,061.00
	1.02%	57.88%	42.12%
<u>2000</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
21-Sep-00	\$80,000.00	\$0.00	\$80,000.00
Delhi -- Greater Delhi Area Foundation			
Purchase Building and Property - 10/15 redes hard asset, site specific project 12/17			
2000 Subtotals	\$80,000.00	\$0.00	\$80,000.00
	1.64%	0.00%	100.00%
<u>2002</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
17-Jun-02	\$57,000.00	\$28,500.00	\$28,500.00
Delhi -- Delaware County Planning Board			
2003 Town Planning Advisory Service deadline 12/17 9/08 redes toward Ag Farmland			

O'Connor Foundation Grants with Remaining Balances

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2002 Subtotals	\$57,000.00	\$28,500.00	\$28,500.00
	1.17%	50.00%	50.00%

<u>2003</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
04-Nov-03	\$56,000.00	\$28,000.00	\$28,000.00
Delhi -- Delaware County Planning Board			
Town Planning Advisory Service deadline 12/17 9/08 redes toward Legal Assistance P			
2003 Subtotals	\$56,000.00	\$28,000.00	\$28,000.00
	1.15%	50.00%	50.00%

<u>2004</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
06-Aug-04	\$25,000.00	\$0.00	\$25,000.00
Delhi -- Village of Delhi			
Community Open Air Pavilion deadline 12/17 6/12 redes toward handicapped access,			
2004 Subtotals	\$25,000.00	\$0.00	\$25,000.00
	0.51%	0.00%	100.00%

<u>2005</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
11-Oct-05	\$265,000.00	\$235,365.00	\$29,635.00
East Meredith -- Hanford Mills Museum			
2006 Operating Exp & projects- waterwheel, steam engine, turbine, feedmill, apprentice			
12-Oct-05	\$100,000.00	\$70,000.00	\$30,000.00
Stamford -- Catskill Revitalization Corporation			
Pullman Railroad Car Deadline 12/17			

O'Connor Foundation Grants with Remaining Balances

06-Jan-17

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2005 Subtotals	\$365,000.00 7.48%	\$305,365.00 83.66%	\$59,635.00 16.34%
<u>2006</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
02-Oct-06	\$50,000.00	\$0.00	\$50,000.00
East Meredith -- Hanford Mills Museum Steam Engine deadline 12/17			
02-Oct-06	\$100,000.00	\$0.00	\$100,000.00
Oneonta -- Foothills Performing Arts Center, Inc. Endowment deadline extended to 12/17			
2006 Subtotals	\$150,000.00 3.07%	\$0.00 0.00%	\$150,000.00 100.00%
<u>2007</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
24-Oct-07	\$25,000.00	\$16,032.00	\$8,968.00
Andes -- Andes Society for History & Culture Endowment Deadline 12/17			
24-Oct-07	\$30,000.00	\$0.00	\$30,000.00
East Meredith -- Hanford Mills Museum Steam Engine - contingent on funds to complete a phase Deadline 12/17			
24-Oct-07	\$10,000.00	\$3,759.00	\$6,241.00
Prattsville -- Zadock Pratt Museum, Inc. Matching Endowment Deadline 12/17			
24-Oct-07	\$200,000.00	\$0.00	\$200,000.00
Stamford -- Catskill Revitalization Corporation O&W Dairy Museum Construction Costs Roxbury Deadline 12/17, Redes 12/12 toward			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 4**

2007 Subtotals	\$265,000.00	\$19,791.00	\$245,209.00
	5.43%	7.47%	92.53%

<u>2008</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
31-Oct-08	\$250,000.00	\$0.00	\$250,000.00
Fly Creek -- The Walter Rich Charitable Foundation			
Endowment deadline 12/17			

2008 Subtotals	\$250,000.00	\$0.00	\$250,000.00
	5.12%	0.00%	100.00%

<u>2009</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
15-Jun-09	\$7,500.00	\$3,000.00	\$4,500.00
Stamford -- Catskill Revitalization Corporation			
Legal Right of Way deadline extended to 12/17			

2009 Subtotals	\$7,500.00	\$3,000.00	\$4,500.00
	0.15%	40.00%	60.00%

<u>2011</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
14-Jun-11	\$5,000.00	\$3,000.00	\$2,000.00
Delhi -- Catskill Development Foundation, Inc.			
Senior Computer Training 2/14 reded toward "Cottage Industry" workshops. Deadline 1			

03-Oct-11	\$62,000.00	\$58,726.00	\$3,274.00
East Meredith -- Hanford Mills Museum			
Turbine Project deadline 12/17			

O'Connor Foundation Grants with Remaining Balances

06-Jan-17

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13-Jun-11	\$200,000.00	\$0.00	\$200,000.00
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Stamford -- Catskill Revitalization Corporation

Trail Redes 12/12 toward cost of Ulster Cty RR development. Deadline 12/17

03-Oct-11	\$50,000.00	\$13,116.00	\$36,884.00
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Stamford -- Catskill Revitalization Corporation

Riprap Deadline 12/17

2011 Subtotals	\$317,000.00	\$74,842.00	\$242,158.00
	6.49%	23.61%	76.39%

<u>2012</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
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11-Jun-12	\$30,000.00	\$24,350.00	\$5,650.00
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Delhi -- Delaware County Historical Assoc.

Endowment 6/15 deadline 12/31/17

2012 Subtotals	\$30,000.00	\$24,350.00	\$5,650.00
	0.61%	81.17%	18.83%

<u>2013</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
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11-Mar-13	\$2,000.00	\$0.00	\$2,000.00
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Albany -- Albany Law School

Scholarships

04-Jun-13	\$25,000.00	\$0.00	\$25,000.00
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Arkville -- M-ARK Project, Inc.

Community Garden

13-Mar-13	\$1,260.00	\$0.00	\$1,260.00
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Binghamton -- Roberson Memorial, Inc.

Transportation & Programming

O'Connor Foundation Grants with Remaining Balances

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31-May-13	\$3,330.00	\$0.00	\$3,330.00
Bloomville -- Bloomville United Methodist Church Fence and Floor Repairs			
13-Mar-13	\$3,425.00	\$0.00	\$3,425.00
Delhi -- Habitat for Humanity of Delaware County, Inc. Office Establishment			
04-Jun-13	\$213,000.00	\$0.00	\$213,000.00
Delhi -- Town of Delhi Pool			
13-Sep-13	\$20,000.00	\$18,758.00	\$1,242.00
Delhi -- Town of Delhi Playground			
13-Mar-13	\$2,500.00	\$390.00	\$2,110.00
East Meredith -- Hanford Mills Museum Transportation Expenses			
04-Jun-13	\$7,500.00	\$4,950.00	\$2,550.00
East Meredith -- Hanford Mills Museum Development			
04-Jun-13	\$20,000.00	\$1,465.00	\$18,535.00
East Meredith -- Hanford Mills Museum Hardware Store			
18-Jun-13	\$5,000.00	\$0.00	\$5,000.00
Fleischmanns -- Village of Fleischmanns Museum Repairs			

O'Connor Foundation Grants with Remaining Balances

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31-May-13	\$4,950.00	\$2,700.00	\$2,250.00
Hobart -- Hobart Fire Department Gym Memberships			
12-Dec-13	\$5,000.00	\$3,334.00	\$1,666.00
Oneonta -- Little Delaware Youth Ensemble Foothills Rent			
17-Jun-13	\$72,500.00	\$15,150.00	\$57,350.00
Prattsville -- Zadock Pratt Museum, Inc. Flood Repairs			
17-Jul-13	\$1,000.00	\$0.00	\$1,000.00
Roxbury -- Manhattan Country School Farm Workshop			
12-Dec-13	\$5,000.00	\$4,680.00	\$320.00
Sidney -- Tri-Town Boys & Girls Club, Inc. It Takes a Village Program			
07-Jan-13	\$100,000.00	\$0.00	\$100,000.00
Stamford -- Catskill Revitalization Corporation Purchase Track Materials (Ulster)			
04-Jun-13	\$50,000.00	\$46,845.00	\$3,155.00
Stamford -- Catskill Revitalization Corporation Ties			
05-Jun-13	\$84,420.00	\$0.00	\$84,420.00
Stamford -- Catskill Revitalization Corporation Gilboa Train Station - transferred from Western Catskills (1999 grant)			

O'Connor Foundation Grants with Remaining Balances

06-Jan-17

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09-Oct-13	\$2,250.00	\$0.00	\$2,250.00
Worcester -- Worcester Free Library Consultant Fees			

2013 Subtotals	\$628,135.00	\$98,272.00	\$529,863.00
	12.86%	15.65%	84.35%

<u>2014</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
25-Jun-14	\$2,935.00	\$860.00	\$2,075.00
Andes -- ACS Community Scholarship Fund Scholarships			
25-Jun-14	\$3,000.00	\$0.00	\$3,000.00
Andes -- ACS Community Scholarship Fund Scholarships			
24-Jun-14	\$3,500.00	\$0.00	\$3,500.00
Arkville -- M-ARK Project, Inc. Old Baptist Church Paint			
18-Sep-14	\$2,500.00	\$0.00	\$2,500.00
Delhi -- Delaware County Sheriff's Office Cemetery Repairs			
04-Apr-14	\$1,650.00	\$0.00	\$1,650.00
Delhi -- Delhi Campus Child Care Center, Inc Services and Transportation Expenses			
24-Jun-14	\$15,000.00	\$13,164.00	\$1,836.00
Denver -- Book Trust Books			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 9**

04-Apr-14	\$1,400.00	\$500.00	\$900.00
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Fleischmanns -- Greater Fleischmanns Museum of Memories
Headwaters History Days

18-Mar-14	\$5,000.00	\$1,667.00	\$3,333.00
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Hamden -- Delaware Opportunities, Inc.
Big Buddy Program

21-Mar-14	\$10,000.00	\$0.00	\$10,000.00
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Hamilton -- Colgate University
Scholarships

04-Apr-14	\$1,524.00	\$1,377.00	\$147.00
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Hobart -- Village of Hobart
Little League Field repairs

17-Mar-14	\$1,000.00	\$0.00	\$1,000.00
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Margaretville -- Margaretville Central School
Visual Arts Program

24-Jun-14	\$25,000.00	\$0.00	\$25,000.00
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Roxbury -- Kirkside of Roxbury, Inc.
Endowment

04-Apr-14	\$2,682.00	\$0.00	\$2,682.00
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Roxbury -- Roxbury Arts Group, Inc.
Dance Festival

22-Sep-14	\$20,000.00	\$0.00	\$20,000.00
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Roxbury -- Roxbury Arts Group, Inc.
Stamford Operating Expenses

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 10**

26-Jun-14	\$4,250.00	\$0.00	\$4,250.00
Roxbury -- Town of Roxbury Clock Repairs			
17-Mar-14	\$1,000.00	\$636.00	\$364.00
Sidney -- Tri-Town Boys & Girls Club, Inc. Cooking Program			
19-May-14	\$800.00	\$0.00	\$800.00
South Kortright -- South Kortright Central School Travel Expenses 8/16 redesignated toward another play during the 2016- 2017 school y			
18-Sep-14	\$5,000.00	\$0.00	\$5,000.00
South Kortright -- South Kortright Central School Sources of Strength			
08-Sep-14	\$10,000.00	\$8,832.00	\$1,168.00
Stamford -- Catskill Revitalization Corporation Equipment - Lo Rail, Frog			
22-Sep-14	\$25,000.00	\$1,000.00	\$24,000.00
Stamford -- Catskill Revitalization Corporation Track Crew			
2014 Subtotals	\$141,241.00	\$28,036.00	\$113,205.00
	2.89%	19.85%	80.15%

<u>2015</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
30-Jun-15	\$25,000.00	\$4,197.00	\$20,803.00
Arkville -- Catskill Forest Association Endowment			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 11**

19-Oct-15	\$4,724.00	\$0.00	\$4,724.00
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Bovina Center -- Bovina Public Library
Computer

23-Nov-15	\$20,000.00	\$0.00	\$20,000.00
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Bovina Center -- Bovina Public Library
Endowment

29-Jun-15	\$5,000.00	\$0.00	\$5,000.00
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De Lancey -- Delancey United Presbyterian Church
Elevator

30-Jun-15	\$3,350.00	\$2,573.00	\$777.00
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Delhi -- Delaware County Office of Employment and Training
Tractor

03-Mar-15	\$8,000.00	\$7,614.00	\$386.00
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East Meredith -- Charlotte Valley Central School Dollars for Scholars
Scholarships

02-Apr-15	\$5,000.00	\$275.00	\$4,725.00
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East Meredith -- Hanford Mills Museum
Miles of Smiles

30-Jun-15	\$280,000.00	\$254,000.00	\$26,000.00
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East Meredith -- Hanford Mills Museum
2016 Operating Expenses

30-Jun-15	\$25,000.00	\$0.00	\$25,000.00
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East Meredith -- Hanford Mills Museum
Projects - roofs, master plan, plow truck, parking lot

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 12**

11-Mar-15	\$10,000.00	\$0.00	\$10,000.00
Endicott -- American Red Cross in Delaware County Southern Tier Chapter Annual Grant			
30-Jun-15	\$14,000.00	\$0.00	\$14,000.00
Grand Gorge -- Grand Gorge Fire District - Rescue Squad Flooring			
29-Jun-15	\$1,500.00	\$675.00	\$825.00
Hamden -- Town of Hamden Flags and Markers			
11-Mar-15	\$5,000.00	\$0.00	\$5,000.00
Hamilton -- Colgate University Scholarships			
23-Nov-15	\$3,000.00	\$2,000.00	\$1,000.00
Hobart -- Hatherleigh Foundation School Food Program			
02-Apr-15	\$5,000.00	\$0.00	\$5,000.00
Jefferson -- Jefferson Volunteer Rescue Squad Monitor			
06-Oct-15	\$30,000.00	\$0.00	\$30,000.00
Liberty -- Bethel Woods Center for the Arts, Inc. Project Implementation - trail			
29-Jun-15	\$5,000.00	\$0.00	\$5,000.00
Margaretville -- Foundation for the Open Eye Walkway			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 13**

11-Feb-15	\$4,823.00	\$3,250.00	\$1,573.00
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Margaretville -- Margaretville Health Foundation
Website

11-Aug-15	\$4,820.00	\$0.00	\$4,820.00
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Margaretville -- Town of Middletown
Intern

30-Sep-15	\$1,750.00	\$0.00	\$1,750.00
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Margaretville -- Town of Middletown
Responder Training

23-Nov-15	\$2,140.00	\$1,500.00	\$640.00
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Meridale -- Meredith Historical Society
Foundation Repairs

17-Apr-15	\$10,000.00	\$5,000.00	\$5,000.00
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New York -- Resource Generation, Inc.
General Expenses

30-Jun-15	\$10,000.00	\$6,666.00	\$3,334.00
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North Blenheim -- Headwaters Soccer Club
Counselors

03-Mar-15	\$3,000.00	\$0.00	\$3,000.00
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Otego -- Unatego Dollars for Scholars
Scholarships

30-Sep-15	\$5,000.00	\$0.00	\$5,000.00
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Prattsville -- Prattsville Art Project, Inc.
Salaries

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 14**

29-Jun-15	\$5,000.00	\$0.00	\$5,000.00
Roxbury -- Greater Roxbury Learning Initiative Corp Magazine			
30-Jun-15	\$20,000.00	\$0.00	\$20,000.00
Roxbury -- Roxbury Arts Group, Inc. 2015 Programming & Operating Expenses			
11-Aug-15	\$5,000.00	\$0.00	\$5,000.00
Roxbury -- Roxbury Arts Group, Inc. Music Events			
06-Oct-15	\$20,000.00	\$0.00	\$20,000.00
Roxbury -- Roxbury Arts Group, Inc. 2016 Operating & Programming Expenses			
06-Oct-15	\$10,000.00	\$0.00	\$10,000.00
Roxbury -- Roxbury Arts Group, Inc. 2016 Stamford Expenses			
29-Jun-15	\$3,800.00	\$0.00	\$3,800.00
South Kortright -- South Kortright Central School Afterschool Programming			
29-Jun-15	\$3,000.00	\$0.00	\$3,000.00
South Kortright -- South Kortright Central School Scholarships			
30-Jul-15	\$515.00	\$0.00	\$515.00
South Kortright -- South Kortright Central School Field Trip 6/16 redesignated 6th graders to Amazing Adaptations in Troy, NY.			

O'Connor Foundation Grants with Remaining Balances

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30-Jun-15	\$25,000.00	\$11,200.00	\$13,800.00
Stamford -- Catskill Revitalization Corporation			
Motive Power Repairs			

27-May-15	\$1,000.00	\$0.00	\$1,000.00
Walton -- Walton Citizen's Task Force			
Landscaping			

2015 Subtotals	\$584,422.00	\$298,950.00	\$285,472.00
	11.97%	51.15%	48.85%

<u>2016</u>	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
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13-Jun-16	\$10,000.00	\$0.00	\$10,000.00
Arkville -- Catskill Center for Conservation and Development			
3 Art Exhibits			

13-Jun-16	\$295,000.00	\$73,750.00	\$221,250.00
Arkville -- Catskill Forest Association			
2017 Operating Expenses			

13-Jun-16	\$20,000.00	\$10,000.00	\$10,000.00
Arkville -- M-ARK Project, Inc.			
2016-2017 Operating Expenses			

02-Mar-16	\$10,000.00	\$5,000.00	\$5,000.00
Aurora -- Wells College			
Scholarships			

02-Mar-16	\$30,000.00	\$15,000.00	\$15,000.00
Binghamton -- Broome Community College Foundation, Inc.			
Scholarships			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 16**

31-Mar-16	\$1,200.00	\$0.00	\$1,200.00
Bloomville -- St. Paul's Episcopal Church Bloomville Engineering Fees			
13-Jun-16	\$20,000.00	\$0.00	\$20,000.00
Bloomville -- St. Paul's Episcopal Church Bloomville Foundation			
30-Nov-16	\$5,000.00	\$0.00	\$5,000.00
Bloomville -- St. Paul's Episcopal Church Bloomville Roof			
31-Mar-16	\$2,500.00	\$0.00	\$2,500.00
Bovina Center -- Bovina Historical Society Drainage and Exterminator			
02-Mar-16	\$20,000.00	\$10,000.00	\$10,000.00
Cazenovia -- Cazenovia College Scholarships			
29-Feb-16	\$4,800.00	\$1,782.00	\$3,018.00
Center Barnstead -- Hampstead Stage Company 2016 Programming			
02-Mar-16	\$25,000.00	\$12,500.00	\$12,500.00
Cobleskill -- SUNY Ag & Tech College Fnd Cobleskill Scholarships			
31-Mar-16	\$5,000.00	\$0.00	\$5,000.00
Delhi -- Catskill Development Foundation, Inc. Leadership Programs			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 17**

02-Mar-16	\$29,000.00	\$14,500.00	\$14,500.00
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Delhi -- College Foundation at Delhi, Inc.
Nursing Scholarships

02-Mar-16	\$30,000.00	\$15,000.00	\$15,000.00
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Delhi -- College Foundation at Delhi, Inc.
Vo-Ed Scholarships

05-Apr-16	\$10,000.00	\$5,000.00	\$5,000.00
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Delhi -- College Foundation at Delhi, Inc.
Masters in Nursing

23-Jun-16	\$5,000.00	\$0.00	\$5,000.00
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Delhi -- Delaware Academy and Central School
Spanish Club Trip

02-Mar-16	\$3,000.00	\$0.00	\$3,000.00
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Delhi -- Delaware County Department of Social Services
Annual Grant

13-Jun-16	\$20,000.00	\$0.00	\$20,000.00
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Delhi -- Delaware County Historical Assoc.
2017 Operating and Programming Expenses

13-Jun-16	\$30,000.00	\$0.00	\$30,000.00
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Delhi -- Research Foundation of the State University of New York
2017 Operating Expenses

30-Nov-16	\$5,000.00	\$0.00	\$5,000.00
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Delhi -- Rotary Club of Delhi
After Prom Parties

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 18**

24-Oct-16	\$5,000.00	\$0.00	\$5,000.00
Deposit -- Deposit NY Community Historical Society Roof			
29-Feb-16	\$5,000.00	\$0.00	\$5,000.00
Downsville -- Downsville Central School After Prom Parties			
29-Feb-16	\$5,000.00	\$0.00	\$5,000.00
Downsville -- Downsville Fire District AED & Stretcher			
28-Mar-16	\$6,000.00	\$0.00	\$6,000.00
East Meredith -- Charlotte Valley Central School Dollars for Scholars Scholarships			
13-Jun-16	\$280,000.00	\$0.00	\$280,000.00
East Meredith -- Hanford Mills Museum 2017 Operating Expenses			
13-Jun-16	\$50,000.00	\$0.00	\$50,000.00
East Meredith -- Hanford Mills Museum I Love New York			
13-Jun-16	\$20,000.00	\$4,710.00	\$15,290.00
East Meredith -- West Kortright Centre, Inc. Endowment			
02-Mar-16	\$5,000.00	\$0.00	\$5,000.00
Endicott -- American Red Cross in Delaware County Southern Tier Chapter Annual Grant			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 19**

02-Mar-16	\$10,000.00	\$0.00	\$10,000.00
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Endicott -- American Red Cross in Delaware County Southern Tier Chapter
Annual Grant

28-Mar-16	\$1,000.00	\$0.00	\$1,000.00
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Fly Creek -- Girls on the Run of Central New York LTD
Registration Fees

28-Mar-16	\$1,000.00	\$0.00	\$1,000.00
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Franklin -- Franklin Free Library
Summer Reading Program

13-Jun-16	\$25,000.00	\$0.00	\$25,000.00
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Franklin -- Franklin Free Library
Handicapped Bathroom and Access

13-Jun-16	\$15,000.00	\$7,500.00	\$7,500.00
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Franklin -- Franklin Stock Company at Chapel Hall, Inc.
2016 Programming & Operating Expenses

30-Nov-16	\$635.00	\$0.00	\$635.00
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Franklin -- St. Paul's Episcopal Church Franklin
Building Repairs

23-Jun-16	\$2,285.00	\$0.00	\$2,285.00
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Gilboa -- Gilboa Historical Society
Exhibit Expansion

25-Jan-16	\$5,000.00	\$0.00	\$5,000.00
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Harpersfield -- Harpersfield Historical Society
Endowment

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 20**

31-Mar-16	\$5,000.00	\$0.00	\$5,000.00
Highmount -- Belleayre Conservatory, Inc. Website & Interns			
13-Jun-16	\$5,000.00	\$0.00	\$5,000.00
Hobart -- Hobart Community Foundation 2016 Festival of Women Writers			
13-Jun-16	\$10,000.00	\$0.00	\$10,000.00
Hobart -- Hobart Fire Department Emergency Squad Load Lift System			
23-Jun-16	\$5,000.00	\$0.00	\$5,000.00
Hobart -- Revitalization, Education & Activities Committee of Hobart Little League Equipment			
02-Mar-16	\$15,000.00	\$7,500.00	\$7,500.00
Ithaca -- Cornell University Scholarships			
02-Mar-16	\$10,000.00	\$5,000.00	\$5,000.00
Ithaca -- Ithaca College Scholarships			
02-Mar-16	\$15,000.00	\$7,500.00	\$7,500.00
Loch Sheldrake -- Sullivan County Community College Fdn Scholarships			
28-Mar-16	\$890.00	\$0.00	\$890.00
Margaretville -- Margaretville Central School Battle of the Books			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 21**

23-Jun-16	\$2,400.00	\$0.00	\$2,400.00
Margaretville -- Town of Middletown Swim Lessons			
19-Sep-16	\$10,000.00	\$7,500.00	\$2,500.00
Oneonta -- Foothills Performing Arts Center, Inc. Emergency Repairs			
02-Mar-16	\$5,000.00	\$2,500.00	\$2,500.00
Oneonta -- Hartwick College Nursing Scholarships			
28-Mar-16	\$2,000.00	\$500.00	\$1,500.00
Oneonta -- Oneonta Dollars for Scholars Scholarships			
02-Mar-16	\$15,000.00	\$7,500.00	\$7,500.00
Oneonta -- State University College at Oneonta Foundation Masters in Education			
02-Mar-16	\$50,000.00	\$25,000.00	\$25,000.00
Oneonta -- State University College at Oneonta Foundation Scholarships			
28-Mar-16	\$3,000.00	\$0.00	\$3,000.00
Otego -- Unatego Dollars for Scholars Scholarships			
02-Mar-16	\$40,000.00	\$20,000.00	\$20,000.00
Paul Smiths -- Paul Smith's College Scholarships			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 22**

23-Jun-16	\$2,665.00	\$0.00	\$2,665.00
Poughkeepsie -- Spark Media Project, Inc. Ulster County Expansion			
19-Sep-16	\$18,000.00	\$0.00	\$18,000.00
Prattsville -- Zadock Pratt Museum, Inc. 2017 Salary Expenses			
13-Jun-16	\$24,000.00	\$2,000.00	\$22,000.00
Roxbury -- Kirkside of Roxbury, Inc. 2016 - 2017 Operating Expenses			
28-Mar-16	\$1,000.00	\$0.00	\$1,000.00
Roxbury -- Roxbury Arts Group, Inc. Workshop Scholarships			
31-Mar-16	\$1,500.00	\$0.00	\$1,500.00
Roxbury -- Roxbury Arts Group, Inc. LOCO7 Events			
02-Mar-16	\$20,000.00	\$10,000.00	\$10,000.00
Saratoga Springs -- Empire State College Foundation Scholarships			
31-Mar-16	\$5,000.00	\$0.00	\$5,000.00
Schoharie -- Schoharie Reformed Church Electrical Upgrades			
23-Jun-16	\$5,000.00	\$0.00	\$5,000.00
Schoharie -- Schoharie Reformed Church Fellowship Hall			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 23**

23-Jun-16	\$5,000.00	\$0.00	\$5,000.00
Schoharie -- Schoharie Reformed Church Kitchen			
31-Mar-16	\$5,000.00	\$0.00	\$5,000.00
Shandaken -- Town of Shandaken Park Upgrades and Repairs			
28-Mar-16	\$10,000.00	\$8,871.00	\$1,129.00
Sidney -- Sidney Dollars for Scholars Scholarships			
20-Sep-16	\$2,345.00	\$0.00	\$2,345.00
Sidney -- Village of Sidney Senior Meals Stove			
12-Aug-16	\$4,100.00	\$2,640.00	\$1,460.00
Sidney Center -- DCMO BOCES Weekend Backpack Program			
23-Jun-16	\$500.00	\$0.00	\$500.00
South Kortright -- South Kortright Central School Technology Class Equipment			
13-Jun-16	\$50,000.00	\$0.00	\$50,000.00
Stamford -- Catskill Revitalization Corporation 2017 I Love New York			
13-Jun-16	\$300,000.00	\$0.00	\$300,000.00
Stamford -- Catskill Revitalization Corporation 2017 Operating Expenses			

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 24**

19-Sep-16	\$50,000.00	\$0.00	\$50,000.00
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Stamford -- Catskill Revitalization Corporation
Emergency Grant

13-Jun-16	\$10,000.00	\$0.00	\$10,000.00
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Stamford -- First Presbyterian Church of Stamford
Stained Glass Windows

31-Mar-16	\$1,512.00	\$1,375.00	\$137.00
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Stamford -- Sacred Heart Church
Bat Remediation

13-Jun-16	\$10,000.00	\$0.00	\$10,000.00
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Stamford -- Sacred Heart Church
Building Repairs

23-Jun-16	\$4,758.00	\$0.00	\$4,758.00
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Stamford -- Village of Stamford
LED light installation

02-Mar-16	\$15,000.00	\$7,500.00	\$7,500.00
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Syracuse -- Syracuse University
Scholarships

02-Mar-16	\$20,000.00	\$10,000.00	\$10,000.00
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Troy -- Rensselaer Polytechnic Institute
Scholarships

02-Mar-16	\$15,000.00	\$7,500.00	\$7,500.00
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Troy -- Sage Colleges
Scholarships

O'Connor Foundation Grants with Remaining Balances**06-Jan-17****Page 25**

20-Sep-16	\$500.00	\$0.00	\$500.00
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Walton -- Walton Education Foundation

Warrior Run/Walk

30-Nov-16	\$5,000.00	\$0.00	\$5,000.00
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Walton -- William B. Ogden Free Library

Chimney

25-Jan-16	\$712.00	\$0.00	\$712.00
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Worcester -- Worcester Free Library

Books and Bags

2016 Subtotals	\$1,796,302.00	\$307,628.00	\$1,488,674.00
	36.79%	17.13%	82.87%

	<u>Approved</u>	<u>Paid to Date</u>	<u>Balance</u>
<u>Grand Totals:</u>	\$4,882,600.00	\$1,245,673.00	\$3,636,927.00
	100.00%	25.51%	74.49%