EXTENDED TO NOVEMBER 15, 2017

Form **990-PF**

Department of the Treasury Internal Revenue Service

# Return of Private Foundation

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

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

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

OMB No 1545-0052

**2016**

Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation: CHARLES O. LEE, JR. & LOUISE K. LEE CHARITABLE FOUNDATION

A Employer identification number: 20-6559686

Number and street (or P O box number if mail is not delivered to street address): 6905 TELEGRAPH ROAD, STE. 125 — Room/suite

B Telephone number: 248-644-7222

City or town, state or province, country, and ZIP or foreign postal code: BLOOMFIELD HILLS, MI 48301

C If exemption application is pending, check here ▶ ☐

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization: ☒ 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) ▶$ 18,652,028.

J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis.)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).) | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|
| **Revenue** | | | | |
| 1 Contributions, gifts, grants, etc., received | | | N/A | |
| 2 Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| 3 Interest on savings and temporary cash investments | 91. | 91. | | STATEMENT 1 |
| 4 Dividends and interest from securities | 475,732. | 475,732. | | STATEMENT 2 |
| 5a Gross rents | | | | |
| b Net rental income or (loss) | | | | |
| 6a Net gain or (loss) from sale of assets not on line 10 | 406,849. | | | |
| b Gross sales price for all assets on line 6a 1,757,747. | | | | |
| 7 Capital gain net income (from Part IV, line 2) | | 406,849. | | |
| 8 Net short-term capital gain | | | | |
| 9 Income modifications | | | | |
| 10a Gross sales less returns and allowances | | | | |
| b Less Cost of goods sold | | | | |
| c Gross profit or (loss) | | | | |
| 11 Other income | | | | |
| 12 Total. Add lines 1 through 11 | 882,672. | 882,672. | | |
| **Operating and Administrative Expenses** | | | | |
| 13 Compensation of officers, directors, trustees, etc | 58,500. | 35,100. | | 23,400. |
| 14 Other employee salaries and wages | | | | |
| 15 Pension plans, employee benefits | | | | |
| 16a Legal fees STMT 3 | 8,341. | 4,171. | | 4,171. |
| b Accounting fees STMT 4 | 2,400. | 1,200. | | 1,200. |
| c Other professional fees STMT 5 | 55,246. | 55,246. | | 0. |
| 17 Interest | | | | |
| 18 Taxes STMT 6 | 18,696. | 8,696. | | 0. |
| 19 Depreciation and depletion | | | | |
| 20 Occupancy | | | | |
| 21 Travel, conferences, and meetings | | | | |
| 22 Printing and publications | | | | |
| 23 Other expenses | | | | |
| 24 Total operating and administrative expenses. Add lines 13 through 23 | 143,183. | 104,413. | | 28,771. |
| 25 Contributions, gifts, grants paid | 865,000. | | | 865,000. |
| 26 Total expenses and disbursements. Add lines 24 and 25 | 1,008,183. | 104,413. | | 893,771. |
| 27 Subtract line 26 from line 12: | | | | |
| a Excess of revenue over expenses and disbursements | -125,511. | | | |
| b Net investment income (if negative, enter -0-) | | 778,259. | | |
| 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 | 1,056. | 1,302. | 1,302. |
| | 2 Savings and temporary cash investments | 626,852. | 596,762. | 596,762. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock STMT 7 | 11,198,260. | 11,102,593. | 18,053,964. |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I) | 11,826,168. | 11,700,657. | 18,652,028. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | 0. | 0. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 11,826,168. | 11,700,657. | |
| | 30 **Total net assets or fund balances** | 11,826,168. | 11,700,657. | |
| | 31 **Total liabilities and net assets/fund balances** | 11,826,168. | 11,700,657. | |

**Part III Analysis of Changes in Net Assets or Fund Balances**

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 11,826,168. |
| 2 | Enter amount from Part I, line 27a | 2 | -125,511. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 11,700,657. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 11,700,657. |

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

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | PUBLICLY TRADED SECURITIES | P | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 1,757,747. | | 1,350,898. | 406,849. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | 406,849. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 406,849.

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 | 934,719. | 18,039,190. | .051816 |
| 2014 | 868,614. | 18,989,938. | .045741 |
| 2013 | 783,356. | 17,615,783. | .044469 |
| 2012 | 756,648. | 15,743,589. | .048061 |
| 2011 | 670,030. | 15,259,123. | .043910 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | .233997 |
| 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 | .046799 |
| 4 | Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 | 4 | 18,273,008. |
| 5 | Multiply line 4 by line 3 | 5 | 855,159. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 7,783. |
| 7 | Add lines 5 and 6 | 7 | 862,942. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 893,771. |

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

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

| | | | | |
|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter. ________ (attach copy of letter if necessary-see instructions) | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b | | 1 | 7,783. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 2 | 0. |
| 3 | Add lines 1 and 2 | | 3 | 7,783. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 4 | 0. |
| 5 | **Tax based on investment income** Subtract line 4 from line 3. If zero or less, enter -0- | | 5 | 7,783. |
| 6 | Credits/Payments. | | | |
| a | 2016 estimated tax payments and 2015 overpayment credited to 2016 | 6a 9,048. | | |
| b | Exempt foreign organizations - tax withheld at source | 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c 7,000. | | |
| d | Backup withholding erroneously withheld | 6d | | |
| 7 | Total credits and payments. Add lines 6a through 6d | | 7 | 16,048. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | 8,265. |
| 11 | Enter the amount of line 10 to be: Credited to 2017 estimated tax ▶ | 8,265. Refunded ▶ | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? | 1b | | X |
| | *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ MI | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

## Part VII-A Statements Regarding Activities *(continued)*

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ EDGAR W. PUGH, JR. Telephone no. ▶248-644-7222
Located at ▶6905 TELEGRAPH ROAD, SUITE 125, BLOOMFIELD HILLS, ZIP+4 ▶48301

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶ | | | |

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

**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)? | 1b | | X |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | |
| a | At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)* N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? | 4b | | X |

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| EDGAR W. PUGH, JR.<br>6905 TELEGRAPH RD., SUITE 125<br>BLOOMFIELD HILLS, MI 48301 | TRUSTEE<br>7.00 | 58,500. | 0. | 0. |

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

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

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

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

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

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NICHOLAS H. SAFFORD & CO. INC.<br>9 CLEAVES ST., ROCKPORT, MA 01966 | INVESTMENT MANAGEMENT | 53,208. |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 0 |

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

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

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>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 | 17,602,503. |
| b | Average of monthly cash balances | 1b | 948,774. |
| c | Fair market value of all other assets | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 18,551,277. |
| 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 | 18,551,277. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 278,269. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 18,273,008. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 913,650. |

## 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 | 913,650. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 | 2a | 7,783. | | |
| b | Income tax for 2016. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 7,783. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 905,867. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 0. |
| 5 | Add lines 3 and 4 | | | 5 | 905,867. |
| 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 | 905,867. |

## 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 | 893,771. |
| 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 | 893,771. |
| 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 | 7,783. |
| 6 | **Adjusted qualifying distributions** Subtract line 5 from line 4 | 6 | 885,988. |

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

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

| | (a) Corpus | (b) Years prior to 2015 | (c) 2015 | (d) 2016 |
|---|---|---|---|---|
| 1 Distributable amount for 2016 from Part XI, line 7 | | | | 905,867. |
| 2 Undistributed income, if any, as of the end of 2016 | | | | |
| a Enter amount for 2015 only | | | 864,553. | |
| 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: ▶ $ 893,771. | | | | |
| a Applied to 2015, but not more than line 2a | | | 864,553. | |
| 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 | | | | 29,218. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0. | | | 0. |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017 | | | | 876,649. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2011 not applied on line 5 or line 7 | 0. | | | |
| 9 Excess distributions carryover to 2017 Subtract lines 7 and 8 from line 6a | 0. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2012 | | | | |
| b Excess from 2013 | | | | |
| c Excess from 2014 | | | | |
| d Excess from 2015 | | | | |
| e Excess from 2016 | | | | |

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

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

c Any submission deadlines:

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

**Part XV Supplementary Information** (continued)

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

| Recipient 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* | | | | |
| HILLSDALE COLLEGE<br>33 EAST COLLEGE STREET<br>HILLSDALE, MI 49242 | N/A | PC | TO TEACH INVESTMENT ANALYSIS & MGMT., ECONOMICS AND FOR STUDENT SCHOLARSHIPS. | 865,000. |
| Total | | | ▶ 3a | 865,000. |
| b *Approved for future payment* | | | | |
| NONE | | | | |
| Total | | | ▶ 3b | 0. |

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

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 91. | |
| 4 Dividends and interest from securities | | | 14 | 475,732. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 406,849. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | 0. | | 882,672. | 0. |

13 Total. Add line 12, columns (b), (d), and (e) 13 882,672.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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

Signature of officer or trustee: [signature] Date: 10/07/17 Title: Trustee

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| LYNNE M. HUISMANN | LYNNE M. HUISMANN | 06/28/17 | | P00053811 |

Firm's name ▶ PLANTE & MORAN, PLLC — Firm's EIN ▶ 38-1357951

Firm's address ▶ 2601 CAMBRIDGE CT., STE. 500 AUBURN HILLS, MI 48326 — Phone no. (248) 375-7100

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 |
|---|---|---|---|
| WELLS FARGO | 91. | 91. | |
| TOTAL TO PART I, LINE 3 | 91. | 91. | |

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 |
|---|---|---|---|---|---|
| WELLS FARGO | 475,732. | 0. | 475,732. | 475,732. | |
| TO PART I, LINE 4 | 475,732. | 0. | 475,732. | 475,732. | |

FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL FEES | 8,341. | 4,171. | | 4,171. |
| TO FM 990-PF, PG 1, LN 16A | 8,341. | 4,171. | | 4,171. |

FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING FEES | 2,400. | 1,200. | | 1,200. |
| TO FORM 990-PF, PG 1, LN 16B | 2,400. | 1,200. | | 1,200. |

FORM 990-PF — OTHER PROFESSIONAL FEES — STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| INVESTMENT FEES | 55,246. | 55,246. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 55,246. | 55,246. | | 0. |

FORM 990-PF — TAXES — STATEMENT 6

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN TAX PAID | 8,696. | 8,696. | | 0. |
| FEDERAL EXCISE TAX | 10,000. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 18,696. | 8,696. | | 0. |

FORM 990-PF — CORPORATE STOCK — STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| CORPORATE STOCK - SEE ATTACHED | 11,102,593. | 18,053,964. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 11,102,593. | 18,053,964. |

WELLS FARGO ADVISORS

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
DECEMBER 1, 2016 - DECEMBER 31, 2016

## Stocks, options & ETFs

### Stocks and ETFs

This section may include foreign equity securities that may be denominated in currencies other than US dollars The amounts, annual income and annual yield on your statement for such securities will be estimated based on prevailing exchange rates and the amount does not necessarily reflect the rate you will receive if converted to US dollars The "Quantity" field reflects total shares held, regardless of the currency in which your shares are denominated Please contact Your Financial Advisor if you have additional questions regarding your foreign security holdings.

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| ABBOTT LABORATORIES<br>ABT | | | | | | | | | |
| Acquired 04/16/05 L nc | | 2,180 | 23.54 | 51,338 52 | | 83,733.80 | 32,395.28 | | |
| Acquired 04/16/05 L nc | | 20 | 23 54 | 471.00 | | 768.20 | 297.20 | | |
| Acquired 04/16/05 L nc | | 430 | 23.54 | 10,126.41 | | 16,516.30 | 6,389.89 | | |
| Acquired 07/20/08 L nc | | 800 | 27.55 | 22,041.68 | | 30,728.00 | 8,686 32 | | |
| Acquired 07/20/08 L nc | | 800 | 27 55 | 22,041 68 | | 30,728.00 | 8,686 32 | | |
| Acquired 07/20/08 L nc | | 100 | 27.55 | 2,755.21 | | 3,841.00 | 1,085.79 | | |
| Acquired 07/20/08 L nc | | 1,500 | 27.55 | 41,328.15 | | 57,615.00 | 16,286.85 | | |
| Acquired 07/20/08 L nc | | 200 | 27.55 | 5,510.42 | | 7,682 00 | 2,171 58 | | |
| **Total** | **1.24** | **6,030** | **$25.81** | **$155,613.07** | **38.4100** | **$231,612.30** | **$75,999.23** | **$6,391.80** | **2.76** |
| ABBVIE INC<br>ABBV | | | | | | | | | |
| Acquired 04/16/05 L nc | | 2,180 | 25.53 | 55,672.23 | | 136,511 60 | 80,839 37 | | |
| Acquired 04/16/05 L nc | | 20 | 25.53 | 510.75 | | 1,252 40 | 741.65 | | |
| Acquired 04/16/05 L nc | | 430 | 25.53 | 10,981.22 | | 26,926 60 | 15,945 38 | | |
| Acquired 07/20/08 L nc | | 800 | 29.87 | 23,902.32 | | 50,096.00 | 26,193.68 | | |
| Acquired 07/20/08 L nc | | 400 | 29.87 | 11,951.16 | | 25,048 00 | 13,096.84 | | |
| Acquired 07/20/08 L nc | | 200 | 29.88 | 5,975 58 | | 12,524.00 | 6,548.42 | | |
| **Total** | **1.35** | **4,030** | **$27.05** | **$108,993.26** | **62.6200** | **$252,358.60** | **$143,365.34** | **$10,316.80** | **4.09** |
| ACCENTURE PLC IRELAND<br>SHARES CLASS A<br>ACN | | | | | | | | | |
| Acquired 03/21/16 S | 0 63 | 1,000 | 108.23 | 108,853.53 | 117 1300 | 117,130 00 | 8,276.47 | 2,420.00 | 2.06 |
| AIR PRODUCTS & CHEMICALS<br>INC<br>APD | | | | | | | | | |
| Acquired 04/16/05 L nc | | 990 | 52.20 | 51,683.34 | | 142,381.80 | 90,698.46 | | |
| Acquired 04/16/05 L nc | | 200 | 52.20 | 10,441 08 | | 28,764.00 | 18,322.92 | | |
| Acquired 12/20/06 L nc | | 350 | 65.98 | 23,276.90 | | 50,337 00 | 27,060.10 | | |
| Acquired 03/22/07 L nc | | 100 | 68 93 | 6,986 77 | | 14,382.00 | 7,395 23 | | |
| Acquired 07/20/08 L nc | | 1,000 | 89 17 | 89,175.64 | | 143,820 00 | 54,644 36 | | |
| Acquired 07/20/08 L nc | | 200 | 89.17 | 17,835 13 | | 28,764.00 | 10,928.87 | | |

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DECEMBER 1, 2016 - DECEMBER 31, 2016

# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 07/20/08 L nc | | 200 | 89 17 | 17,835.13 | | 28,764.00 | 10,928 87 | | |
| Acquired 07/20/08 L nc | | 150 | 89 17 | 13,376.35 | | 21,573 00 | 8,196 65 | | |
| Acquired 07/20/08 L nc | | 200 | 89.17 | 17,835 13 | | 28,764 00 | 10,928 87 | | |
| Acquired 07/20/08 L nc | | 250 | 89 17 | 22,293.91 | | 35,955 00 | 13,661 09 | | |
| **Total** | **2.81** | **3,640** | **$74.38** | **$270,739.38** | **143.8200** | **$523,504.80** | **$252,765.42** | **$12,521.60** | **2.39** |
| ALPHABET INC VOTING CAP STK CL A GOOGL | | | | | | | | | |
| Acquired 03/21/16 S | 0 53 | 125 | 761.84 | 95,638 57 | 792 4500 | 99,056 25 | 3,417 68 | N/A | N/A |
| ALPHABET INC NON VOTING CAP STK CL C GOOG | | | | | | | | | |
| Acquired 10/21/16 S | 0.52 | 125 | 797 46 | 100,104 85 | 771 8200 | 96,477 50 | -3,627 35 | N/A | N/A |
| AMBEV SA ADR SPONSORED ADR ABEV | | | | | | | | | |
| Acquired 07/30/10 L nc | | 25,000 | 4 37 | 109,901 80 | | 122,750 00 | 12,848 20 | | |
| Acquired 12/22/10 L nc | | 7,500 | 6 01 | 45,322.28 | | 36,825 00 | -8,497 28 | | |
| **Total** | **0.86** | **32,500** | **$4.78** | **$155,224.08** | **4.9100** | **$159,575.00** | **$4,350.92** | **$5,395.00** | **3.38** |
| ATMOS ENERGY CORP ATO | | | | | | | | | |
| Acquired 05/06/10 L nc | 1.39 | 3,500 | 29 00 | 102,056.65 | 74 1500 | 259,525 00 | 157,468 35 | 6,300.00 | 2.42 |
| AUTOMATIC DATA PROCESSING ADP | | | | | | | | | |
| Acquired 04/16/05 L nc | | 700 | 34.42 | 24,096.20 | | 71,946 00 | 47,849 80 | | |
| Acquired 07/20/08 L nc | | 3,425 | 36.96 | 126,602 39 | | 352,021.50 | 225,419 11 | | |
| Acquired 07/20/08 L nc | | 6,375 | 36 96 | 235,646 77 | | 655,222.50 | 419,575.73 | | |
| **Total** | **5.79** | **10,500** | **$36.79** | **$386,345.36** | **102.7800** | **$1,079,190.00** | **$692,844.64** | **$23,940.00** | **2.22** |
| BID CORP LTD BPPPF | | | | | | | | | |
| Acquired 06/09/16 S | | 9,805 | N/A## | N/A | | 177,960 75 | N/A | | |
| Acquired 10/21/16 S | | 4,945 | 18.68 | 93,076 89 | | 89,751.75 | -3,325.14 | | |
| **Total** | **1.44** | **14,750** | | **$93,076.89** | **18.1500** | **$267,712.50** | **-$3,325.14** | **$2,598.95** | **0.97** |
| CANADIAN NATL RY CO CNI | | | | | | | | | |
| Acquired 12/05/05 L nc | | 800 | 20 19 | 16,287 07 | | 53,920 00 | 37,632 93 | | |

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**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
DECEMBER 1, 2016 - DECEMBER 31, 2016

# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 12/05/05 L nc | | 400 | 20.19 | 8,146.51 | | 26,960.00 | 18,813 49 | | |
| Acquired 12/05/05 L nc | | 400 | 20 19 | 8,141.52 | | 26,960 00 | 18,818 48 | | |
| Acquired 12/05/05 L nc | | 400 | 20.20 | 8,146.55 | | 26,960.00 | 18,813 45 | | |
| Acquired 10/27/09 L nc | | 800 | 24 34 | 19,667.97 | | 53,920.00 | 34,252.03 | | |
| Acquired 11/04/09 L nc | | 1,700 | 25.44 | 43,561 72 | | 114,580.00 | 71,018 28 | | |
| Acquired 12/22/10 L nc | | 1,000 | 33.12 | 33,380.16 | | 67,400.00 | 34,019.84 | | |
| **Total** | **1.99** | **5,500** | **$24.97** | **$137,331.50** | **67.4000** | **$370,700.00** | **$233,368.50** | **$6,378.35** | **1.72** |
| CERNER CORP<br>CERN | | | | | | | | | |
| Acquired 10/21/16 S | 0 38 | 1,500 | 58 60 | 88,467.03 | 47.3700 | 71,055.00 | -17,412.03 | N/A | N/A |
| CISCO SYSTEMS INC<br>CSCO | | | | | | | | | |
| Acquired 03/21/16 S | 0.53 | 3,250 | 28 22 | 92,379.77 | 30.2200 | 98,215.00 | 5,835.23 | 3,380 00 | 3 44 |
| COCA COLA AMATIL LIMITED ORDINARY A$0.50 PAR<br>CCLAF | | | | | | | | | |
| Acquired 07/30/10 L nc | | 10,000 | 10.45 | 105,095.00 | | 75,300.00 | -29,795.00 | | |
| Acquired 11/19/10 L nc | | 2,500 | 11.70 | 29,553.72 | | 18,825.00 | -10,728 72 | | |
| Acquired 10/18/11 L | | 4,000 | 12.56 | 50,350.00 | | 30,120 00 | -20,230 00 | | |
| Acquired 04/13/12 L | | 7,000 | 12 94 | 91,175.00 | | 52,710.00 | -38,465.00 | | |
| **Total** | **0.95** | **23,500** | **$11.75** | **$276,173.72** | **7.5300** | **$176,955.00** | **-$99,218.72** | **$10,006.30** | **5.65** |
| COCHLEAR LIMITED<br>CHEOF | | | | | | | | | |
| Acquired 08/06/12 L | 0.36 | 750 | 70.60 | 53,245 00 | 88.7384 | 66,553 80 | 13,308.80 | 1,784 55 | 2.68 |
| COLGATE-PALMOLIVE CO<br>CL | | | | | | | | | |
| Acquired 05/04/05 L nc | | 400 | 25 02 | 10,008.00 | | 26,176.00 | 16,168 00 | | |
| Acquired 05/04/05 L nc | | 1,600 | 25.02 | 40,032 00 | | 104,704 00 | 64,672.00 | | |
| Acquired 07/20/08 L nc | | 800 | 34 46 | 27,573 00 | | 52,352 00 | 24,779.00 | | |
| Acquired 07/20/08 L nc | | 700 | 34.46 | 24,126 38 | | 45,808.00 | 21,681 62 | | |
| Acquired 07/20/08 L nc | | 100 | 34 46 | 3,446.62 | | 6,544.00 | 3,097 38 | | |
| Acquired 07/20/08 L nc | | 800 | 34.46 | 27,573.00 | | 52,352.00 | 24,779.00 | | |
| Acquired 07/20/08 L nc | | 200 | 34.46 | 6,893 25 | | 13,088.00 | 6,194.75 | | |
| Acquired 07/20/08 L nc | | 400 | 34.46 | 13,786.50 | | 26,176.00 | 12,389 50 | | |
| Acquired 02/18/11 L | | 1,500 | 39.28 | 59,275 87 | | 98,160 00 | 38,884.13 | | |
| **Total** | **2.28** | **6,500** | **$32.73** | **$212,714.62** | **65.4400** | **$425,360.00** | **$212,645.38** | **$10,140.00** | **2.38** |

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| CONOCOPHILLIPS | | | | | | | | | |
| COP | | | | | | | | | |
| Acquired 07/17/06 L nc | | 500 | 50 40 | 25,395 72 | | 25,070 00 | -325 72 | | |
| Acquired 12/20/06 L nc | | 200 | 56 79 | 11,447 87 | | 10,028.00 | -1,419 87 | | |
| Acquired 12/19/07 L nc | | 300 | 64 42 | 19,461.98 | | 15,042 00 | -4,419 98 | | |
| Acquired 10/27/09 L nc | | 500 | 39.63 | 19,993 42 | | 25,070 00 | 5,076 58 | | |
| Acquired 05/06/10 L nc | | 1,500 | 43.55 | 65,679.71 | | 75,210 00 | 9,530 29 | | |
| Acquired 11/19/10 L nc | | 1,500 | 47 59 | 71,753 59 | | 75,210.00 | 3,456 41 | | |
| Acquired 12/08/14 L | | 2,000 | 65 36 | 131,428.12 | | 100,280 00 | -31,148 12 | | |
| **Total** | **1.75** | **6,500** | **$53.10** | **$345,160.41** | **50.1400** | **$325,910.00** | **-$19,250.41** | **$6,500.00** | **1.99** |
| COTY INC CL A | | | | | | | | | |
| COTY | | | | | | | | | |
| Acquired 07/20/08 L nc | 0 04 | 441 | 16.30 | 7,190 13 | 18 3100 | 8,074.71 | 884.58 | 55 12 | 0.68 |
| CSL LIMITED | | | | | | | | | |
| CMXHF | | | | | | | | | |
| Acquired 12/22/10 L nc | | 2,000 | 36.50 | 73,426 30 | | 143,720.00 | 70,293.70 | | |
| Acquired 08/06/12 L | | 500 | 43.04 | 21,719 50 | | 35,930.00 | 14,210 50 | | |
| **Total** | **0.96** | **2,500** | **$38.06** | **$95,145.80** | **71.8600** | **$179,650.00** | **$84,504.20** | **$3,080.25** | **1.71** |
| DAIRY FARM INTL HLDG LTD | | | | | | | | | |
| UNSPON ADR | | | | | | | | | |
| DFIHY | | | | | | | | | |
| Acquired 12/12/08 L nc | | 625 | 19.75 | 12,471 83 | | 22,468.75 | 9,996 92 | | |
| Acquired 12/12/08 L nc | | 625 | 19.75 | 12,471.83 | | 22,468 75 | 9,996 92 | | |
| Acquired 04/15/09 L nc | | 1,750 | 23 15 | 40,831 09 | | 62,912 50 | 22,081 41 | | |
| Acquired 10/27/09 L nc | | 500 | 30.25 | 15,287.22 | | 17,975 00 | 2,687 78 | | |
| Acquired 03/11/10 L nc | | 2,000 | 31.10 | 62,592 82 | | 71,900 00 | 9,307 18 | | |
| Acquired 05/06/10 L nc | | 2,000 | 34.55 | 69,514.21 | | 71,900 00 | 2,385 79 | | |
| Acquired 11/19/10 L nc | | 1,250 | 41 10 | 51,713 27 | | 44,937 50 | -6,775 77 | | |
| **Total** | **1.69** | **8,750** | **$30.27** | **$264,882.27** | **35.9500** | **$314,562.50** | **$49,680.23** | **$7,971.25** | **2.53** |
| DIAGEO PLC | | | | | | | | | |
| SPONSORED ADR NEW | | | | | | | | | |
| DEO | | | | | | | | | |
| Acquired 10/26/06 L nc | | 450 | 74 50 | 33,775 84 | | 46,773 00 | 12,997.16 | | |
| Acquired 10/26/06 L nc | | 120 | 74.50 | 9,031.00 | | 12,472 80 | 3,441 80 | | |
| Acquired 12/20/06 L nc | | 250 | 78 11 | 19,671.00 | | 25,985 00 | 6,314 00 | | |
| Acquired 03/22/07 L nc | | 400 | 78.84 | 31,764.14 | | 41,576 00 | 9,811 86 | | |
| Acquired 03/22/07 L nc | | 130 | 78 80 | 10,346 50 | | 13,512.20 | 3,165.70 | | |
| Acquired 07/20/08 L nc | | 225 | 72.93 | 16,409.25 | | 23,386.50 | 6,977 25 | | |

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
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**U/A DTD 04/16/2005**
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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 07/20/08 L nc | | 75 | 72.93 | 5,469 75 | | 7,795.50 | 2,325.75 | | |
| Acquired 07/20/08 L nc | | 150 | 72 93 | 10,939.50 | | 15,591.00 | 4,651 50 | | |
| **Total** | **1.00** | **1,800** | **$76.34** | **$137,406.98** | **103.9400** | **$187,092.00** | **$49,685.02** | **$5,608.80** | **3.00** |
| ECOLAB INC<br>ECL | | | | | | | | | |
| Acquired 03/04/13 L | 0.13 | 200 | 76 69 | 15,486.34 | 117 2200 | 23,444 00 | 7,957 66 | 296.00 | 1 26 |
| EMERSON ELECTRIC CO<br>EMR | | | | | | | | | |
| Acquired 09/24/07 L nc | | 350 | 50.36 | 17,825.82 | | 19,512.50 | 1,686.68 | | |
| Acquired 12/19/07 L nc | | 750 | 55.06 | 41,595.56 | | 41,812.50 | 216.94 | | |
| Acquired 07/20/08 L nc | | 250 | 50 42 | 12,606.25 | | 13,937 50 | 1,331 25 | | |
| Acquired 07/20/08 L nc | | 250 | 50.42 | 12,606.25 | | 13,937.50 | 1,331.25 | | |
| Acquired 12/12/08 L nc | | 500 | 31.64 | 16,014 11 | | 27,875.00 | 11,860.89 | | |
| Acquired 01/21/09 L nc | | 200 | 32.78 | 6,629.58 | | 11,150.00 | 4,520 42 | | |
| Acquired 01/21/09 L nc | | 200 | 32.79 | 6,626.61 | | 11,150 00 | 4,523 39 | | |
| Acquired 04/13/12 L | | 1,600 | 50.38 | 81,055 51 | | 89,200.00 | 8,144.49 | | |
| **Total** | **1.23** | **4,100** | **$47.55** | **$194,959.69** | **55.7500** | **$228,575.00** | **$33,615.31** | **$7,872.00** | **3.44** |
| EXXON MOBIL CORP<br>XOM | | | | | | | | | |
| Acquired 04/16/05 L nc | | 1,053 | 57.06 | 60,086 81 | | 95,043 78 | 34,956 97 | | |
| Acquired 04/16/05 L nc | | 1,072 | 57 06 | 61,171 00 | | 96,758.72 | 35,587 72 | | |
| Acquired 04/16/05 L nc | | 452 | 57.06 | 25,792.25 | | 40,797.52 | 15,005 27 | | |
| Acquired 07/20/08 L nc | | 911 | 81.39 | 74,146.29 | | 82,226.86 | 8,080.57 | | |
| Acquired 07/20/08 L nc | | 2,512 | 81.39 | 204,451.68 | | 226,733.12 | 22,281 44 | | |
| **Total** | **2.90** | **6,000** | **$70.94** | **$425,648.03** | **90.2600** | **$541,560.00** | **$115,911.97** | **$18,000.00** | **3.32** |
| FACEBOOK INC<br>CLASS A<br>FB | | | | | | | | | |
| Acquired 03/21/16 S | | 500 | 111.86 | 56,336.35 | | 57,525.00 | 1,188.65 | | |
| Acquired 10/21/16 S | | 750 | 131 59 | 99,270 93 | | 86,287.50 | -12,983.43 | | |
| **Total** | **0.77** | **1,250** | **$124.49** | **$155,607.28** | **115.0500** | **$143,812.50** | **-$11,794.78** | **N/A** | **N/A** |
| GENERAL ELECTRIC COMPANY<br>GE | | | | | | | | | |
| Acquired 07/20/08 L nc | | 2,400 | 27 89 | 66,936.00 | | 75,840.00 | 8,904 00 | | |
| Acquired 07/20/08 L nc | | 2,400 | 27.89 | 66,936.00 | | 75,840.00 | 8,904.00 | | |
| **Total** | **0.81** | **4,800** | **$27.89** | **$133,872.00** | **31.6000** | **$151,680.00** | **$17,808.00** | **$4,608.00** | **3.04** |

**CHARLES O LEE JR & LOUISE K**
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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| GENERAL MILLS INC | | | | | | | | | |
| GIS | | | | | | | | | |
| Acquired 07/20/08 L nc | | 1,200 | 31 69 | 38,028 00 | | 74,124.00 | 36,096 00 | | |
| Acquired 07/20/08 L nc | | 200 | 31 69 | 6,338 00 | | 12,354 00 | 6,016.00 | | |
| Acquired 07/20/08 L nc | | 200 | 31 69 | 6,338.00 | | 12,354 00 | 6,016.00 | | |
| Acquired 07/20/08 L nc | | 1,200 | 31.69 | 38,028 00 | | 74,124 00 | 36,096 00 | | |
| Acquired 11/19/10 L nc | | 1,000 | 35 19 | 35,479.19 | | 61,770 00 | 26,290.81 | | |
| **Total** | **1.26** | **3,800** | **$32.69** | **$124,211.19** | **61.7700** | **$234,726.00** | **$110,514.81** | **$7,296.00** | **3.11** |
| GENUINE PARTS CO COM | | | | | | | | | |
| GPC | | | | | | | | | |
| Acquired 12/22/10 L nc | | 2,000 | 51.50 | 103,535 75 | | 191,080.00 | 87,544.25 | | |
| Acquired 02/18/11 L | | 1,250 | 54 87 | 68,973 88 | | 119,425 00 | 50,451.12 | | |
| Acquired 04/18/11 L | | 2,250 | 51.44 | 116,310 09 | | 214,965 00 | 98,654 91 | | |
| **Total** | **2.82** | **5,500** | **$52.51** | **$288,819.72** | **95.5400** | **$525,470.00** | **$236,650.28** | **$14,465.00** | **2.75** |
| HEINEKEN HOLDING NV | | | | | | | | | |
| HKHHF | | | | | | | | | |
| Acquired 03/22/07 L nc | | 1,000 | 44 45 | 44,765 58 | | 69,700 00 | 24,934 42 | | |
| Acquired 03/22/07 L nc | | 250 | 44.45 | 11,251.96 | | 17,425 00 | 6,173 04 | | |
| Acquired 04/18/11 L | | 1,050 | 50 00 | 52,765.90 | | 73,185 00 | 20,419 10 | | |
| Acquired 06/11/15 L | | 800 | 72.21 | 58,158 58 | | 55,760.00 | -2,398 58 | | |
| **Total** | **1.16** | **3,100** | **$53.85** | **$166,942.02** | **69.7000** | **$216,070.00** | **$49,127.98** | **$4,512.05** | **2.09** |
| INTEL CORP | | | | | | | | | |
| INTC | | | | | | | | | |
| Acquired 07/17/06 L nc | | 1,750 | 17 86 | 31,563 30 | | 63,472.50 | 31,909 20 | | |
| Acquired 07/17/06 L nc | | 500 | 17 88 | 9,073 63 | | 18,135.00 | 9,061.37 | | |
| Acquired 10/26/06 L nc | | 1,250 | 21 73 | 27,438 24 | | 45,337 50 | 17,899 26 | | |
| Acquired 07/20/08 L nc | | 550 | 21.96 | 12,078 00 | | 19,948.50 | 7,870 50 | | |
| Acquired 07/20/08 L nc | | 75 | 21 96 | 1,647.00 | | 2,720 25 | 1,073 25 | | |
| Acquired 07/20/08 L nc | | 625 | 21 96 | 13,725.00 | | 22,668 75 | 8,943.75 | | |
| **Total** | **0.92** | **4,750** | **$20.11** | **$95,525.17** | **36.2700** | **$172,282.50** | **$76,757.33** | **$4,940.00** | **2.87** |
| INTUIT INC | | | | | | | | | |
| INTU | | | | | | | | | |
| Acquired 10/21/16 S | 0 61 | 1,000 | 108 51 | 109,144 53 | 114 6100 | 114,610 00 | 5,465.47 | 1,360 00 | 1.18 |
| JACK HENRY & ASSOC INC | | | | | | | | | |
| JKHY | | | | | | | | | |
| Acquired 09/18/15 L | 0 24 | 500 | 69 61 | 35,136.12 | 88.7800 | 44,390 00 | 9,253.88 | 560 00 | 1 26 |

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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| JARDINE MATHESON HLDGS LTD-UNSP ADR JMHLY | | | | | | | | | |
| Acquired 03/27/08 L nc | | 800 | 30.60 | 24,715.68 | | 44,376.00 | 19,660.32 | | |
| Acquired 06/25/08 L nc | | 800 | 29.05 | 23,471.34 | | 44,376.00 | 20,904.66 | | |
| Acquired 06/25/08 L nc | | 250 | 29.15 | 7,390.00 | | 13,867.50 | 6,477.50 | | |
| Acquired 07/20/08 L nc | | 500 | 30 82 | 15,412.50 | | 27,735.00 | 12,322 50 | | |
| Acquired 07/20/08 L nc | | 500 | 30.82 | 15,412.50 | | 27,735.00 | 12,322.50 | | |
| Acquired 12/12/08 L nc | | 500 | 17 00 | 8,627.25 | | 27,735 00 | 19,107 75 | | |
| Acquired 04/15/09 L nc | | 1,650 | 20.90 | 34,782.11 | | 91,525.50 | 56,743.39 | | |
| Acquired 07/28/09 L nc | | 1,500 | 28.35 | 42,842.83 | | 83,205.00 | 40,362.17 | | |
| Acquired 10/27/09 L nc | | 1,000 | 31 26 | 31,528 58 | | 55,470 00 | 23,941 42 | | |
| Acquired 03/11/10 L nc | | 2,000 | 32.94 | 66,222.51 | | 110,940.00 | 44,717.49 | | |
| **Total** | **2.83** | **9,500** | **$28.46** | **$270,405.30** | **55.4700** | **$526,965.00** | **$256,559.70** | **$12,863.00** | **2.44** |
| JOHNSON & JOHNSON JNJ | | | | | | | | | |
| Acquired 07/20/08 L nc | | 16,550 | 67.68 | 1,120,228.12 | | 1,906,725 50 | 786,497.38 | | |
| Acquired 07/20/08 L nc | | 126 | 67.68 | 8,528.63 | | 14,516.46 | 5,987.83 | | |
| Acquired 07/20/08 L nc | | 74 | 67.68 | 5,008 88 | | 8,525.54 | 3,516.66 | | |
| **Total** | **10.35** | **16,750** | **$67.69** | **$1,133,765.63** | **115.2100** | **$1,929,767.50** | **$796,001.87** | **$53,600.00** | **2.78** |
| LINEAR TECHNOLOGY COR LLTC | | | | | | | | | |
| Acquired 05/04/05 L nc | | 350 | 36 28 | 12,698.00 | | 21,822.50 | 9,124.50 | | |
| Acquired 05/04/05 L nc | | 400 | 36 28 | 14,512.00 | | 24,940.00 | 10,428.00 | | |
| Acquired 05/04/05 L nc | | 800 | 36.28 | 29,024.00 | | 49,880.00 | 20,856.00 | | |
| Acquired 05/04/05 L nc | | 400 | 36.28 | 14,512 00 | | 24,940.00 | 10,428.00 | | |
| Acquired 05/04/05 L nc | | 400 | 36 28 | 14,512.00 | | 24,940.00 | 10,428.00 | | |
| Acquired 05/04/05 L nc | | 200 | 36 28 | 7,256 00 | | 12,470.00 | 5,214.00 | | |
| Acquired 05/04/05 L nc | | 150 | 36 28 | 5,442.00 | | 9,352.50 | 3,910 50 | | |
| Acquired 11/17/05 L nc | | 250 | 34.12 | 8,670.03 | | 15,587.50 | 6,917.47 | | |
| Acquired 07/20/08 L nc | | 800 | 33 32 | 26,657 92 | | 49,880.00 | 23,222 08 | | |
| Acquired 07/20/08 L nc | | 200 | 33 32 | 6,664.48 | | 12,470.00 | 5,805 52 | | |
| Acquired 07/20/08 L nc | | 600 | 33 32 | 19,993.44 | | 37,410.00 | 17,416 56 | | |
| Acquired 07/20/08 L nc | | 400 | 33.32 | 13,328.96 | | 24,940.00 | 11,611.04 | | |
| Acquired 07/30/10 L nc | | 1,000 | 31.41 | 31,686.07 | | 62,350.00 | 30,663.93 | | |
| Acquired 12/22/10 L nc | | 1,000 | 34.61 | 34,895.09 | | 62,350.00 | 27,454.91 | | |
| **Total** | **2.32** | **6,950** | **$34.51** | **$239,851.99** | **62.3500** | **$433,332.50** | **$193,480.51** | **$8,896.00** | **2.05** |

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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| MCDONALDS CORP<br>MCD | | | | | | | | | |
| Acquired 03/27/08 L nc | | 200 | 55 64 | 11,232 06 | | 24,344.00 | 13,111 94 | | |
| Acquired 06/25/08 L nc | | 650 | 57.53 | 37,674 56 | | 79,118.00 | 41,443 44 | | |
| Acquired 07/20/08 L nc | | 1,800 | 60 25 | 108,450 00 | | 219,096.00 | 110,646 00 | | |
| Acquired 07/20/08 L nc | | 896 | 60 25 | 53,984 00 | | 109,061.12 | 55,077 12 | | |
| Acquired 12/12/08 L nc | | 200 | 59 77 | 12,058.06 | | 24,344 00 | 12,285 94 | | |
| Acquired 01/21/09 L nc | | 400 | 57.77 | 23,318 05 | | 48,688.00 | 25,369 95 | | |
| **Total** | **2.71** | **4,146** | **$59.51** | **$246,716.73** | **121.7200** | **$504,651.12** | **$257,934.39** | **$15,588.96** | **3.09** |
| MEDTRONIC PLC<br>MDT | | | | | | | | | |
| Acquired 01/27/15 L | 0.84 | 2,200 | 76 21 | 167,670 21<br>168,097.20 | 71 2300 | 156,706 00 | -10,964 21 | 3,784 00 | 2 41 |
| MERCK & CO INC NEW<br>MRK | | | | | | | | | |
| Acquired 04/16/05 L nc | | 2,589.71420 | 20 57 | 53,289.83 | | 152,456 47 | 99,166.64 | | |
| Acquired 04/16/05 L nc | | 409.95475 | 20 57 | 8,435 83 | | 24,134.04 | 15,698 21 | | |
| Acquired 07/20/08 L nc | | 3,343 33105 | 20.80 | 69,557 99 | | 196,821.90 | 127,263 91 | | |
| Acquired 12/22/10 L nc | | 1,500 | 36.21 | 54,680 96 | | 88,305.00 | 33,624 04 | | |
| **Total** | **2.48** | **7,843** | **$23.71** | **$185,964.61** | **58.8700** | **$461,717.41** | **$275,752.80** | **$14,744.84** | **3.19** |
| MICROSOFT CORP<br>MSFT | | | | | | | | | |
| Acquired 01/30/12 L | | 3,250 | 29 53 | 96,478 75 | | 201,955.00 | 105,476 25 | | |
| Acquired 06/11/15 L | | 500 | 46 36 | 23,430 58 | | 31,070 00 | 7,639 42 | | |
| Acquired 03/21/16 S | | 1,750 | 53 78 | 94,720 23 | | 108,745.00 | 14,024 77 | | |
| **Total** | **1.83** | **5,500** | **$39.02** | **$214,629.56** | **62.1400** | **$341,770.00** | **$127,140.44** | **$8,580.00** | **2.51** |
| NESTLE S A REG ADR<br>NSRGY | | | | | | | | | |
| Acquired 11/17/05 L nc | | 312 | 30.22 | 9,532 25 | | 22,382 88 | 12,850.63 | | |
| Acquired 12/05/05 L nc | | 1,375 | 30.20 | 41,864 41 | | 98,642.50 | 56,778 09 | | |
| Acquired 04/06/06 L nc | | 1,125 | 29 22 | 33,121 06 | | 80,707.50 | 47,586 44 | | |
| Acquired 12/12/08 L nc | | 500 | 34 80 | 17,540 90 | | 35,870 00 | 18,329 10 | | |
| Acquired 12/12/08 L nc | | 500 | 34.80 | 17,540.90 | | 35,870 00 | 18,329.10 | | |
| Acquired 03/04/13 L | | 500 | 69 53 | 35,032.71 | | 35,870 00 | 837.29 | | |
| **Total** | **1.66** | **4,312** | **$35.86** | **$154,632.23** | **71.7400** | **$309,342.88** | **$154,710.65** | **$8,395.46** | **2.71** |

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
DECEMBER 1, 2016 - DECEMBER 31, 2016

## Stocks, options & ETFs

### Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| NEXTERA ENERGY INC | | | | | | | | | |
| NEE | | | | | | | | | |
| Acquired 04/15/09 L nc | | 750 | 50 53 | 38,178 42 | | 89,595.00 | 51,416 58 | | |
| Acquired 07/28/09 L nc | | 500 | 56.98 | 28,733.95 | | 59,730.00 | 30,996.05 | | |
| Acquired 10/27/09 L nc | | 1,250 | 50.69 | 63,747.96 | | 149,325.00 | 85,577 04 | | |
| **Total** | **1.60** | **2,500** | **$52.26** | **$130,660.33** | **119.4600** | **$298,650.00** | **$167,989.67** | **$8,700.00** | **2.91** |
| NORFOLK SOUTHERN CORP | | | | | | | | | |
| NSC | | | | | | | | | |
| Acquired 05/11/06 L nc | | 200 | 55.90 | 11,296.00 | | 21,614.00 | 10,318.00 | | |
| Acquired 12/12/08 L nc | | 750 | 44.79 | 33,801.28 | | 81,052.50 | 47,251 22 | | |
| Acquired 12/12/08 L nc | | 750 | 44 79 | 33,801.27 | | 81,052 50 | 47,251 23 | | |
| Acquired 02/18/11 L | | 1,000 | 65 42 | 65,770 40 | | 108,070 00 | 42,299 60 | | |
| Acquired 10/10/13 L | | 750 | 78.81 | 59,486.58 | | 81,052.50 | 21,565.92 | | |
| **Total** | **2.00** | **3,450** | **$59.18** | **$204,155.53** | **108.0700** | **$372,841.50** | **$168,685.97** | **$8,142.00** | **2.18** |
| NOVARTIS AG | | | | | | | | | |
| SPON ADR | | | | | | | | | |
| NVS | | | | | | | | | |
| Acquired 12/22/10 L nc | | 1,300 | 59 04 | 77,174 38 | | 94,692.00 | 17,517.62 | | |
| Acquired 02/18/11 L | | 800 | 57 32 | 46,155 80 | | 58,272 00 | 12,116.20 | | |
| Acquired 10/18/11 L | | 1,300 | 57.71 | 75,419.96 | | 94,692.00 | 19,272.04 | | |
| **Total** | **1.33** | **3,400** | **$58.46** | **$198,750.14** | **72.8400** | **$247,656.00** | **$48,905.86** | **$7,830.20** | **3.16** |
| NOVO NORDISK A S ADR | | | | | | | | | |
| NVO | | | | | | | | | |
| Acquired 10/21/16 S | 0.48 | 2,500 | 41.57 | 104,599.47 | 35 8600 | 89,650.00 | -14,949.47 | 2,575 00 | 2.87 |
| PAYCHEX INC | | | | | | | | | |
| PAYX | | | | | | | | | |
| Acquired 04/16/05 L nc | | 50 | 31.97 | 1,598.63 | | 3,044 00 | 1,445.37 | | |
| Acquired 04/16/05 L nc | | 450 | 31.97 | 14,387.63 | | 27,396.00 | 13,008.37 | | |
| Acquired 04/16/05 L nc | | 150 | 31.97 | 4,795.88 | | 9,132.00 | 4,336.12 | | |
| Acquired 04/16/05 L nc | | 150 | 31.97 | 4,795.88 | | 9,132.00 | 4,336.12 | | |
| Acquired 04/16/05 L nc | | 150 | 31.97 | 4,795.88 | | 9,132 00 | 4,336.12 | | |
| Acquired 04/16/05 L nc | | 250 | 31 97 | 7,993.13 | | 15,220.00 | 7,226.87 | | |
| Acquired 04/16/05 L nc | | 250 | 31.97 | 7,993.13 | | 15,220 00 | 7,226.87 | | |
| Acquired 04/16/05 L nc | | 40 | 31.97 | 1,278.90 | | 2,435.20 | 1,156.30 | | |
| Acquired 04/16/05 L nc | | 210 | 31.97 | 6,714.23 | | 12,784 80 | 6,070.57 | | |
| Acquired 04/16/05 L nc | | 100 | 31 97 | 3,197.25 | | 6,088.00 | 2,890.75 | | |
| Acquired 05/04/05 L nc | | 250 | 30 67 | 7,667.50 | | 15,220 00 | 7,552.50 | | |

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
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# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 05/04/05 L nc | | 100 | 30.67 | 3,067.00 | | 6,088 00 | 3,021 00 | | |
| Acquired 06/11/15 L | | 1,000 | 48 27 | 48,646 99 | | 60,880.00 | 12,233 01 | | |
| **Total** | **1.03** | **3,150** | **$37.12** | **$116,932.03** | **60.8800** | **$191,772.00** | **$74,839.97** | **$5,796.00** | **3.02** |
| PAYCOM SOFTWARE INC | | | | | | | | | |
| PAYC | | | | | | | | | |
| Acquired 10/21/16 S | 0 43 | 1,750 | 49.74 | 87,618 01 | 45 4900 | 79,607 50 | -8,010 51 | N/A | N/A |
| PEPSICO INCORPORATED | | | | | | | | | |
| PEP | | | | | | | | | |
| Acquired 09/01/05 L nc | | 1,000 | 55.15 | 55,567 54 | | 104,630 00 | 49,062 46 | | |
| Acquired 09/01/05 L nc | | 550 | 54 91 | 30,396.66 | | 57,546 50 | 27,149.84 | | |
| Acquired 12/05/05 L nc | | 350 | 59 83 | 21,177 50 | | 36,620 50 | 15,443 00 | | |
| Acquired 04/06/06 L nc | | 350 | 57 88 | 20,456 50 | | 36,620.50 | 16,164.00 | | |
| **Total** | **1.26** | **2,250** | **$56.71** | **$127,598.20** | **104.6300** | **$235,417.50** | **$107,819.30** | **$6,772.50** | **2.88** |
| PRAXAIR INC | | | | | | | | | |
| PX | | | | | | | | | |
| Acquired 12/12/08 L nc | | 375 | 54 71 | 20,663 82 | | 43,946 25 | 23,282 43 | | |
| Acquired 12/12/08 L nc | | 375 | 54.71 | 20,663 80 | | 43,946.25 | 23,282.45 | | |
| Acquired 04/15/09 L nc | | 500 | 68 06 | 34,291 32 | | 58,595 00 | 24,303 68 | | |
| Acquired 03/11/10 L nc | | 750 | 79 15 | 59,712 22 | | 87,892 50 | 28,180 28 | | |
| **Total** | **1.26** | **2,000** | **$67.67** | **$135,331.16** | **117.1900** | **$234,380.00** | **$99,048.84** | **$6,000.00** | **2.56** |
| PROCTER & GAMBLE CO | | | | | | | | | |
| PG | | | | | | | | | |
| Acquired 07/20/08 L nc | | 2,450 | 63.64 | 155,918 00 | | 205,996 00 | 50,078 00 | | |
| Acquired 07/20/08 L nc | | 1,600 | 63.64 | 101,824 00 | | 134,528.00 | 32,704.00 | | |
| Acquired 07/20/08 L nc | | 200 | 63.64 | 12,728 00 | | 16,816 00 | 4,088 00 | | |
| Acquired 07/20/08 L nc | | 637 | 63.64 | 40,538 68 | | 53,558.96 | 13,020.28 | | |
| **Total** | **2.20** | **4,887** | **$63.64** | **$311,008.68** | **84.0800** | **$410,898.96** | **$99,890.28** | **$13,087.38** | **3.19** |
| QUALCOMM INC | | | | | | | | | |
| QCOM | | | | | | | | | |
| Acquired 04/16/05 L nc | | 310 | 32.93 | 10,210 62 | | 20,212.00 | 10,001.38 | | |
| Acquired 04/16/05 L nc | | 800 | 32.93 | 26,350 00 | | 52,160 00 | 25,810 00 | | |
| Acquired 04/16/05 L nc | | 400 | 32 93 | 13,175 00 | | 26,080.00 | 12,905 00 | | |
| Acquired 04/16/05 L nc | | 600 | 32.93 | 19,762 50 | | 39,120.00 | 19,357 50 | | |
| Acquired 04/16/05 L nc | | 390 | 32 93 | 12,845.63 | | 25,428 00 | 12,582 37 | | |
| Acquired 04/16/05 L nc | | 300 | 32.93 | 9,881 25 | | 19,560.00 | 9,678 75 | | |
| **Total** | **0.98** | **2,800** | **$32.94** | **$92,225.00** | **65.2000** | **$182,560.00** | **$90,335.00** | **$5,936.00** | **3.25** |

**CHARLES O LEE JR & LOUISE K**
**LEE CHARITABLE FOUNDATION T TR**
**EDGAR W PUGH TTEE**
**U/A DTD 04/16/2005**
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## Stocks, options & ETFs

### Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| RECKITT BENCKISER GROUP PLC RBGPF | | | | | | | | | |
| Acquired 04/21/14 L | | 600 | 81.18 | 49,051.67 | | 50,898.00 | 1,846.33 | | |
| Acquired 06/11/15 L | | 600 | 89.65 | 54,156 69 | | 50,898.00 | -3,258 69 | | |
| **Total** | **0.55** | **1,200** | **$86.01** | **$103,208.36** | **84.8300** | **$101,796.00** | **-$1,412.36** | **$2,179.32** | **2.14** |
| STRYKER CORP SYK | | | | | | | | | |
| Acquired 04/16/05 L nc | | 600 | 46.14 | 27,685.50 | | 71,886.00 | 44,200.50 | | |
| Acquired 04/16/05 L nc | | 400 | 46 14 | 18,457 00 | | 47,924.00 | 29,467.00 | | |
| Acquired 04/16/05 L nc | | 560 | 46.14 | 25,839.80 | | 67,093.60 | 41,253 80 | | |
| Acquired 04/16/05 L nc | | 440 | 46.14 | 20,302.70 | | 52,716.40 | 32,413 70 | | |
| Acquired 05/04/05 L nc | | 200 | 49 45 | 9,890.00 | | 23,962 00 | 14,072.00 | | |
| Acquired 05/04/05 L nc | | 900 | 49.45 | 44,505 00 | | 107,829.00 | 63,324 00 | | |
| **Total** | **1.99** | **3,100** | **$47.32** | **$146,680.00** | **119.8100** | **$371,411.00** | **$224,731.00** | **$5,270.00** | **1.42** |
| SUNCOR ENERGY INC NEW SU | | | | | | | | | |
| Acquired 10/27/09 L nc | | 1,000 | 35.05 | 35,337 86 | | 32,690.00 | -2,647.86 | | |
| Acquired 05/06/10 L nc | | 1,500 | 31 35 | 47,356.78 | | 49,035.00 | 1,678.22 | | |
| Acquired 11/19/10 L nc | | 2,500 | 34.32 | 86,293 78 | | 81,725.00 | -4,568 78 | | |
| Acquired 12/22/10 L nc | | 1,500 | 37 65 | 56,848 86 | | 49,035.00 | -7,813.86 | | |
| Acquired 12/08/14 L | | 2,000 | 29 51 | 59,542 21 | | 65,380 00 | 5,837 79 | | |
| **Total** | **1.49** | **8,500** | **$33.57** | **$285,379.49** | **32.6900** | **$277,865.00** | **-$7,514.49** | **$7,622.80** | **2.74** |
| SYSCO CORPORATION SYY | | | | | | | | | |
| Acquired 04/16/05 L nc | | 700 | 35.18 | 24,629 50 | | 38,759.00 | 14,129.50 | | |
| Acquired 04/16/05 L nc | | 500 | 35.18 | 17,592.50 | | 27,685.00 | 10,092.50 | | |
| Acquired 04/16/05 L nc | | 700 | 35.18 | 24,629.50 | | 38,759.00 | 14,129.50 | | |
| Acquired 04/16/05 L nc | | 400 | 35.18 | 14,074.00 | | 22,148.00 | 8,074.00 | | |
| Acquired 04/16/05 L nc | | 300 | 35.18 | 10,555.50 | | 16,611.00 | 6,055.50 | | |
| Acquired 04/16/05 L nc | | 20 | 35 18 | 703.70 | | 1,107.40 | 403.70 | | |
| Acquired 04/16/05 L nc | | 250 | 35.18 | 8,796.25 | | 13,842 50 | 5,046.25 | | |
| Acquired 04/16/05 L nc | | 500 | 35.18 | 17,592 50 | | 27,685.00 | 10,092 50 | | |
| Acquired 04/16/05 L nc | | 250 | 35.18 | 8,796.25 | | 13,842.50 | 5,046.25 | | |
| Acquired 07/20/08 L nc | | 800 | 29.32 | 23,458.00 | | 44,296.00 | 20,838.00 | | |
| Acquired 07/20/08 L nc | | 400 | 29.32 | 11,729 00 | | 22,148 00 | 10,419 00 | | |
| Acquired 07/20/08 L nc | | 400 | 29.32 | 11,729 00 | | 22,148.00 | 10,419 00 | | |
| Acquired 07/20/08 L nc | | 200 | 29.32 | 5,864 50 | | 11,074 00 | 5,209 50 | | |
| Acquired 07/20/08 L nc | | 400 | 29.32 | 11,729.00 | | 22,148.00 | 10,419.00 | | |

CHARLES O LEE JR & LOUISE K
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## Stocks, options & ETFs

### Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 07/20/08 L nc | | 200 | 29 32 | 5,864 50 | | 11,074.00 | 5,209.50 | | |
| Acquired 07/20/08 L nc | | 200 | 29.32 | 5,864.50 | | 11,074.00 | 5,209 50 | | |
| Acquired 07/20/08 L nc | | 400 | 29 32 | 11,729 00 | | 22,148.00 | 10,419.00 | | |
| Acquired 07/20/08 L nc | | 400 | 29.32 | 11,729 00 | | 22,148.00 | 10,419.00 | | |
| Acquired 07/20/08 L nc | | 600 | 29 32 | 17,593.50 | | 33,222 00 | 15,628 50 | | |
| Acquired 07/20/08 L nc | | 200 | 29 32 | 5,864 50 | | 11,074 00 | 5,209 50 | | |
| Acquired 07/20/08 L nc | | 300 | 29 32 | 8,796 75 | | 16,611 00 | 7,814 25 | | |
| Acquired 07/20/08 L nc | | 300 | 29.32 | 8,796 75 | | 16,611 00 | 7,814 25 | | |
| Acquired 07/28/09 L nc | | 2,600 | 23.23 | 60,820 29 | | 143,962.00 | 83,141.71 | | |
| Acquired 11/04/09 L nc | | 580 | 26.73 | 15,672 06 | | 32,114.60 | 16,442.54 | | |
| **Total** | **3.44** | **11,600** | **$29.71** | **$344,610.05** | **55.3700** | **$642,292.00** | **$297,681.95** | **$15,312.00** | **2.38** |
| THAI BEVERAGE PCL | | | | | | | | | |
| TBVPF | | | | | | | | | |
| Acquired 10/10/13 L | | 60,000 | 0 42 | 25,946 00 | | 35,028 00 | 9,082 00 | | |
| Acquired 10/21/16 S | | 50,000 | 0 70 | 35,757 00 | | 29,190 00 | -6,567 00 | | |
| **Total** | **0.34** | **110,000** | **$0.56** | **$61,703.00** | **0.5838** | **$64,218.00** | **$2,515.00** | **$2,464.00** | **3.84** |
| UNILEVER N V | | | | | | | | | |
| UN | | | | | | | | | |
| Acquired 10/18/11 L | | 3,000 | 33 67 | 101,510.30 | | 123,180 00 | 21,669 70 | | |
| Acquired 04/13/12 L | | 1,500 | 32 36 | 48,884.15 | | 61,590.00 | 12,705 85 | | |
| Acquired 08/06/12 L | | 1,250 | 35.39 | 44,540 38 | | 51,325.00 | 6,784 62 | | |
| Acquired 03/04/13 L | | 1,000 | 39.29 | 39,590 52 | | 41,060.00 | 1,469.48 | | |
| Acquired 04/21/14 L | | 850 | 42.24 | 36,219 12 | | 34,901.00 | -1,318 12 | | |
| **Total** | **1.67** | **7,600** | **$35.62** | **$270,744.47** | **41.0600** | **$312,056.00** | **$41,311.53** | **$9,059.20** | **2.90** |
| UNION PACIFIC CORP | | | | | | | | | |
| UNP | | | | | | | | | |
| Acquired 07/20/08 L nc | | 1,500 | 36.33 | 54,495 00 | | 155,520 00 | 101,025 00 | | |
| Acquired 07/20/08 L nc | | 1,500 | 36 33 | 54,495.00 | | 155,520.00 | 101,025 00 | | |
| **Total** | **1.67** | **3,000** | **$36.33** | **$108,990.00** | **103.6800** | **$311,040.00** | **$202,050.00** | **$7,260.00** | **2.33** |
| UNITED TECHNOLOGIES CORP | | | | | | | | | |
| UTX | | | | | | | | | |
| Acquired 05/11/06 L nc | | 175 | 65 71 | 11,601 50 | | 19,183 50 | 7,582.00 | | |
| Acquired 07/17/06 L nc | | 75 | 58 56 | 4,483 00 | | 8,221 50 | 3,738 50 | | |
| Acquired 05/06/10 L nc | | 1,250 | 73 00 | 91,711 88 | | 137,025 00 | 45,313 12 | | |
| Acquired 04/21/14 L | | 175 | 118 68 | 20,870 00 | | 19,183.50 | -1,686 50 | | |
| **Total** | **0.98** | **1,675** | **$76.82** | **$128,666.38** | **109.6200** | **$183,613.50** | **$54,947.12** | **$4,422.00** | **2.41** |

# Stocks, options & ETFs

## Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| VERIZON COMMUNICATIONS COM VZ | | | | | | | | | |
| Acquired 12/22/10 L nc | 0.72 | 2,500 | 35.14 | 88,353.89 | 53.3800 | 133,450.00 | 45,096.11 | 5,775.00 | 4.32 |
| WALGREENS BOOTS ALLIANCE INC WBA | | | | | | | | | |
| Acquired 04/06/06 L nc | | 800 | 43 29 | 34,901.71 | | 66,208.00 | 31,306.29 | | |
| Acquired 06/25/07 L nc | | 750 | 44.10 | 33,340.77 | | 62,070.00 | 28,729.23 | | |
| Acquired 03/21/16 S | | 550 | 83.82 | 46,467.42 | | 45,518.00 | -949.42 | | |
| **Total** | **0.93** | **2,100** | **$54.62** | **$114,709.90** | **82.7600** | **$173,796.00** | **$59,086.10** | **$3,150.00** | **1.81** |
| 3M CO MMM | | | | | | | | | |
| Acquired 07/20/08 L nc | | 1,900 | 68 86 | 130,848.25 | | 339,283.00 | 208,434 75 | | |
| Acquired 07/20/08 L nc | | 2,400 | 68 86 | 165,282.00 | | 428,568.00 | 263,286.00 | | |
| **Total** | **4.12** | **4,300** | **$68.87** | **$296,130.25** | **178.5700** | **$767,851.00** | **$471,720.75** | **$19,092.00** | **2.49** |
| **Total Stocks and ETFs** | **96.79** | | | **$11,102,593** **$11,105,405** | | **$18,053,964.33** | **$6,772,218.02** | **$461,595.48** | **2.56** |
| **Total Stocks, options & ETFs** | **96.79** | | | **$11,102,593** | | **$18,053,964.33** | **$6,772,218.02** | **$461,595.48** | **2.56** |

## Cost information for one or more securities is not available If you have cost information and would like to see it on future statements, contact Your Financial Advisor
nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS