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Form 990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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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 THE GORDON A. CAIN FOUNDATION		A Employer identification number 20-8483773
Number and street (or P O box number if mail is not delivered to street address) 8 GREENWAY PLAZA	Room/suite 606	B Telephone number 713-840-7896
City or town, state or province, country, and ZIP or foreign postal code HOUSTON, TX 77046		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) \$ 17,381,528.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received				
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	575,016.	554,646.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	630,183.			
	b Gross sales price for all assets on line 6a	9,071,890.			
	7 Capital gain net income (from Part IV, line 2)		630,183.		
	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	48.	48.	0.	STATEMENT 2	
12 Total. Add lines 1 through 11	1,205,247.	1,184,877.	0.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.	0.	0.
	14 Other employee salaries and wages	11,312.	11,312.	0.	0.
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees	21,680.	21,680.	0.	0.
	c Other professional fees				
	17 Interest				
	18 Taxes	25,913.	3,104.	0.	0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	122,896.	122,896.	0.	0.
	24 Total operating and administrative expenses. Add lines 13 through 23	181,801.	158,992.	0.	0.
	25 Contributions, gifts, grants paid	828,500.			828,500.
26 Total expenses and disbursements. Add lines 24 and 25	1,010,301.	158,992.	0.	828,500.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	194,946.				
b Net investment income (if negative, enter -0-)		1,025,885.			
c Adjusted net income (if negative, enter -0-)			0.		

623501 11-23-16 LHA For Paperwork Reduction Act Notice, see instructions.

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11070509 756800 2006416

2016.03040 THE GORDON A. CAIN FOUNDATI 20064161

SCANNED MAY 29 2017

Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing	59,694.	75,608.	75,608.	
	2 Savings and temporary cash investments	244,634.	221,103.	221,103.	
	3 Accounts receivable ▶ 29,209.				
	Less: allowance for doubtful accounts ▶	21,828.	29,209.	29,209.	
	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	9,120.	2,301.	2,301.	
	10a Investments - U.S. and state government obligations STMT 6	602,166.	624,141.	632,594.	
	b Investments - corporate stock STMT 7	12,106,823.	12,507,067.	15,950,260.	
	c Investments - corporate bonds STMT 8	474,056.	337,702.	332,621.	
	Liabilities	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶					
12 Investments - mortgage loans					
13 Investments - other STMT 9		221,191.	136,949.	137,832.	
14 Land, buildings, and equipment basis ▶ 750.					
Less accumulated depreciation ▶ 750.					
15 Other assets (describe ▶)					
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		13,739,512.	13,934,080.	17,381,528.	
17 Accounts payable and accrued expenses					
18 Grants payable					
Net Assets or Fund Balances	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶ STATEMENT 10)	378.	0.		
23 Total liabilities (add lines 17 through 22)	378.	0.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐				
	24 Unrestricted and complete lines 24 through 26 and lines 30 and 31.				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ ☒				
	27 Capital stock, trust principal, or current funds	11,922,824.	11,922,824.		
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29 Retained earnings, accumulated income, endowment, or other funds	1,816,310.	2,011,256.		
30 Total net assets or fund balances	13,739,134.	13,934,080.			
31 Total liabilities and net assets/fund balances	13,739,512.	13,934,080.			

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	13,739,134.
2 Enter amount from Part I, line 27a	2	194,946.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	13,934,080.
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	13,934,080.

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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				
b	SEE ATTACHED STATEMENT			
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				
b				
c				
d				
e	9,071,890.	8,441,707.	630,183.	
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				
b				
c				
d				
e			630,183.	
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		2 630,183.
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		{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7		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	780,950.	16,370,288.	.047705
2014	838,500.	16,613,851.	.050470
2013	665,500.	15,504,237.	.042924
2012	582,500.	14,120,209.	.041253
2011	552,000.	13,353,708.	.041337

2 Total of line 1, column (d)	2	.223689
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	.044738
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	16,469,783.
5 Multiply line 4 by line 3	5	736,825.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	10,259.
7 Add lines 5 and 6	7	747,084.
8 Enter qualifying distributions from Part XII, line 4 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.	8	828,500.

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	10,259.
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	10,259.
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	10,259.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a 12,560.		
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	12,560.	
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	2,301.	
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☒ 2,301. Refunded ☐ 0.	11	0.	

Part VII-A Statements Regarding Activities

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

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Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X
14 The books are in care of ► CAIN FAMILY OFFICE Telephone no. ► 713-840-7896 Located at ► 8 GREENWAY PLAZA, SUITE 606, HOUSTON, TX ZIP+4 ► 77046		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	16	X

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

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

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

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

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

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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
SEE STATEMENT 11		0.	0.	0.

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

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

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

▶ 0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	16,426,746.
b	Average of monthly cash balances	1b	293,846.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	16,720,592.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	16,720,592.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	250,809.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	16,469,783.
6	Minimum investment return. Enter 5% of line 5	6	823,489.

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	823,489.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	10,259.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	10,259.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	813,230.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	813,230.
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	813,230.

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	828,500.
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	828,500.
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	10,259.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	818,241.

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				813,230.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014	4,061.			
e From 2015				
f Total of lines 3a through e	4,061.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$ 828,500.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				813,230.
e Remaining amount distributed out of corpus	15,270.			
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	19,331.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	19,331.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014	4,061.			
d Excess from 2015				
e Excess from 2016	15,270.			

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)

- 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 ☐ 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 STATEMENT 12

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				
ALLEY THEATRE 615 TEXAS AVENUE HOUSTON, TX 77002	NONE	PUBLIC	UNRESTRICTED	155,000.
AMERICAN HERITAGE EDUCATION FOUNDATION 3501 W ALABAMA, SUITE 20 HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	10,000.
BUFFALO BAYOU PARTNERSHIP 1113 VINE STREET, SUITE 215 HOUSTON, TX 77002	NONE	PUBLIC	UNRESTRICTED	5,000.
CASA DE ESPERANZA P.O. BOX 66581 HOUSTON, TX 77266	NONE	PUBLIC	UNRESTRICTED	5,000.
CHILD ADVOCATES INC 2401 PORTSMOUTH, STE 300 HOUSTON, TX 77098	NONE	PUBLIC	UNRESTRICTED	10,000.
Total	SEE CONTINUATION SHEET(S)			828,500.
b Approved for future payment				
NONE				
Total				0.

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 UBS FINANCIAL SERVICES INC		P	01/01/15	12/31/16
b NORTHERN TRUST #3890 - SEE ATTACHED STATEMENT		P	01/01/16	12/31/16
c NORTHERN TRUST #3890 - SEE ATTACHED STATEMENT		P	01/01/15	12/31/16
d NORTHERN TRUST #5403 - SEE ATTACHED STATEMENT		P	01/01/16	12/31/16
e NORTHERN TRUST #5403 - SEE ATTACHED STATEMENT		P	01/01/15	12/31/16
f ENERGY TRANSFER EQUITY		P	01/01/15	12/31/16
g CAPITAL GAINS DIVIDENDS				
h				
i				
j				
k				
l				
m				
n				
o				

(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 411,775.		263,469.	148,306.
b 4,824,473.		4,821,495.	2,978.
c 372,378.		363,543.	8,835.
d 1,379,974.		1,443,505.	<63,531.>
e 2,071,352.		1,549,695.	521,657.
f 25.			25.
g 11,913.			11,913.
h			
i			
j			
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			148,306.
b			2,978.
c			8,835.
d			<63,531.>
e			521,657.
f			25.
g			11,913.
h			
i			
j			
k			
l			
m			
n			
o			

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

630,183.

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

THE GORDON A. CAIN FOUNDATION

20-8483773

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CITIZENS AGAINST GOVERNMENT WASTE 1301 CONNECTICUT AVE NW STE 400 WASHINGTON, DC 20036	NONE	PUBLIC	UNRESTRICTED	15,000.
CRIME STOPPERS OF HOUSTON P.O. BOX 541654 HOUSTON, TX 77254-1654	NONE	PUBLIC	UNRESTRICTED	5,000.
DEPRESSION & BIPOLAR SUPPORT ALLIANCE 3800 BUFFALO SPEEDWAY, STE 300 HOUSTON, TX 77089	NONE	PUBLIC	UNRESTRICTED	5,000.
GOOD SAMARITAN FOUNDATION OF TEXAS INC 5615 KIRBY DR., STE 610 HOUSTON, TX 77005-2462	NONE	PUBLIC	UNRESTRICTED	25,000.
GOODMAN INSTITUTE FOR PUBLIC POLICY RESEARCH 6335 W NORTHWEST HWY, STE 2111 DALLAS, TX 75225	NONE	PUBLIC	UNRESTRICTED	10,000.
HOLOCAUST MUSEUM HOUSTON 5401 CAROLINE STREET HOUSTON, TX 77004	NONE	PUBLIC	UNRESTRICTED	10,000.
HOUSTON BOTANIC GARDEN 3701 KIRBY DRIVE HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	25,000.
HOUSTON FOOD BANK 535 PORTWALL ST HOUSTON, TX 77029	NONE	PUBLIC	UNRESTRICTED	5,000.
HOUSTON MUSEUM OF NATURAL SCIENCE ONE HERMANN CIRCLE DR HOUSTON, TX 77030	NONE	PUBLIC	UNRESTRICTED	20,000.
MEDIA RESEARCH CENTER, INC 325 S PATRICK ST ALEXANDRIA, VA 22314	NONE	PUBLIC	UNRESTRICTED	50,000.
Total from continuation sheets				643,500.

THE GORDON A. CAIN FOUNDATION

20-8483773

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MEMORIAL ASSISTANCE MINISTRIES 1625 BLALOCK RD HOUSTON, TX 77080	NONE	PUBLIC	UNRESTRICTED	500.
MENNINGER CLINIC 2801 GESSNER DRIVE HOUSTON, TX 77080	NONE	PUBLIC	UNRESTRICTED	10,000.
MENTAL HEALTH AMERICA OF GREATER HOUSTON FOUNDATION, INC 2211 NORFOLK ST, STE 810 HOUSTON, TX 77098	NONE	PUBLIC	UNRESTRICTED	5,000.
MISCHER NEUROSCIENCE INSTITUTE 6411 FANNIN ST HOUSTON, TX 77030	NONE	PUBLIC	UNRESTRICTED	1,000.
MUSEUM OF FINE ARTS HOUSTON P.O. BOX 6826 HOUSTON, TX 77265-6826	NONE	PUBLIC	UNRESTRICTED	205,000.
NATIONAL CENTER FOR PUBLIC POLICY RESEARCH 501 CAPITAL COURT, N.E. STE WASHINGTON, DC 20002	NONE	PUBLIC	UNRESTRICTED	10,000.
NATIONAL INFANTRY FOUNDATION 1775 LEGACY WAY, SUITE 220 COLUMBUS, GA 31903	NONE	PUBLIC	UNRESTRICTED	50,000.
NATIONAL LEGAL AND POLICY CENTER 107 PARK WASHINGTON COURT FALLS CHURCH, VA 75251	NONE	PUBLIC	UNRESTRICTED	10,000.
NATIONAL RIFLE ASSOCIATION OF AMERICA 11250 WAPLES MILL ROAD FAIRFAX, VA 22030	NONE	PUBLIC	UNRESTRICTED	15,000.
PHILANTHROPY ROUNDTABLE 1150 17TH STREET, NW, SUITE 503 WASHINGTON, DC 20036	NONE	PUBLIC	UNRESTRICTED	1,000.
Total from continuation sheets				

THE GORDON A. CAIN FOUNDATION

20-8483773

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PROJECT GRAD HOUSTON P.O. BOX 1558 HOUSTON, TX 77220-5568	NONE	PUBLIC	UNRESTRICTED	5,000.
RICE UNIVERSITY- JAMES CROWNOVER SCHOLARS PROGRAM 6100 MAIN ST HOUSTON, TX 77005	NONE	PUBLIC	UNRESTRICTED	10,000.
SAN JACINTO MUSEUM OF HISTORY ONE MONUMENT CIRCLE LA PORTE, TX 77571-8385	NONE	PUBLIC	UNRESTRICTED	10,000.
SIGHT INTO SOUND 3935 ESSEX LANE HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	5,000.
STAART 102 N. OXFORD AVENUE, APT. 4 LOS ANGELES, CA 90004	NONE	PUBLIC	UNRESTRICTED	10,000.
ST MARTIN'S EPISCOPAL CHURCH 717 SAGE ROAD HOUSTON, TX 77056	NONE	PUBLIC	UNRESTRICTED	25,000.
TEXAS PUBLIC POLICY FOUNDATION 901 CONGRESS AVE AUSTIN, TX 78701	NONE	PUBLIC	UNRESTRICTED	10,000.
THE BILL OF RIGHTS INSTITUTE 200 NORTH GLEBE ROAD ARLINGTON, VA 22203	NONE	PUBLIC	UNRESTRICTED	5,000.
THE CAROLINE DELUCA SCHOLAR P.O. BOX 300630 HOUSTON, TX 77230-0630	NONE	PUBLIC	UNRESTRICTED	3,000.
THE CENTER FOR HEARING AND SPEECH 3636 W DALLAS HOUSTON, TX 77019	NONE	PUBLIC	UNRESTRICTED	10,000.
Total from continuation sheets				

THE GORDON A. CAIN FOUNDATION

20-8483773

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE GARDEN CLUB OF HOUSTON 42121 SAN FELIPE PMB 486 HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	1,000.
THE INDEPENDENT INSTITUTE 100 SWAN WAY OAKLAND, CA 94621	NONE	PUBLIC	UNRESTRICTED	5,000.
THEATRE UNDER THE STARS, INC 800 BAGBY, STE 200 HOUSTON, TX 77002	NONE	PUBLIC	UNRESTRICTED	5,000.
TREES FOR HOUSTON P.O. BOX 130096 HOUSTON, TX 77219	NONE	PUBLIC	UNRESTRICTED	5,000.
TRINITY UNIVERSITY ONE TRINITY PLACE SAN ANTONIO, TX 78212	NONE	PUBLIC	UNRESTRICTED	15,000.
UNITED SERVICE ORGANIZATION - HOUSTON 2111 WILSON BLVD, STE 12 ARLINGTON, VA 22201	NONE	PUBLIC	UNRESTRICTED	25,000.
UTHEALTH 7000 FANNIN HOUSTON, TX 77030	NONE	PUBLIC	UNRESTRICTED	15,000.
YOUNG AUDIENCES OF HOUSTON 4450 POST OAK PLACE HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	2,000.
Total from continuation sheets				

FORM 990-PF

DIVIDENDS AND INTEREST FROM SECURITIES

STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
ENERGY TRANSFER EQUITY	356.	0.	356.	356.	356.
ENERGY TRANSFER EQUITY	290.	0.	290.	290.	290.
NORTHERN TRUST #3889	37.	0.	37.	37.	37.
NORTHERN TRUST #3890	36,591.	0.	36,591.	36,591.	36,591.
NORTHERN TRUST #3890 - CAPITAL GAIN DISTRIBUTIONS	30.	30.	0.	0.	0.
NORTHERN TRUST #3890 - NONTAXABLE	1,370.	0.	1,370.	0.	1,370.
NORTHERN TRUST #3891	4.	0.	4.	4.	4.
NORTHERN TRUST #3891 - CAPITAL GAIN DISTRIBUTIONS	320.	320.	0.	0.	0.
NORTHERN TRUST #3892 - CAPITAL GAIN DISTRIBUTION	34.	34.	0.	0.	0.
NORTHERN TRUST #5403	466,132.	0.	466,132.	466,132.	466,132.
NORTHERN TRUST #5403	2,750.	2,750.	0.	0.	0.
NORTHERN TRUST #5403 - NONTAXABLE	19,000.	0.	19,000.	0.	19,000.
UBS FINANCIAL SERVICES INC	51,236.	0.	51,236.	51,236.	51,236.
UBS FINANCIAL SERVICES INC	8,779.	8,779.	0.	0.	0.
TO PART I, LINE 4	586,929.	11,913.	575,016.	554,646.	575,016.

FORM 990-PF	OTHER INCOME	STATEMENT	2
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY INCOME - ENERGY TRANSFER EQUITY	<107.>	<107.>	0.
NET RENTAL REAL ESTATE INCOME - ENERGY TRANSFER EQUITY	113.	113.	0.
OTHER NET RENTAL INCOME - ENERGY TRANSFER EQUITY	1.	1.	0.
ROYALTIES - ENERGY TRANSFER EQUITY	2.	2.	0.
NET SECTION 1231 GAIN - ENERGY TRANSFER EQUITY	39.	39.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	48.	48.	0.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	21,680.	21,680.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	21,680.	21,680.	0.	0.

FORM 990-PF	TAXES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	2,040.	2,040.	0.	0.
PAYROLL TAX	1,064.	1,064.	0.	0.
EXCISE TAX EXPENSE	22,809.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	25,913.	3,104.	0.	0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BROKERAGE FEES	122,726.	122,726.	0.	0.
INVESTMENT INTEREST EXPENSE				
- ENERGY TRANSFER EQUITY	6.	6.	0.	0.
OFFICE EXPENSE	164.	164.	0.	0.
TO FORM 990-PF, PG 1, LN 23	122,896.	122,896.	0.	0.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	6
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
GOVERNMENT OBLIGATIONS	X		624,141.	632,594.
TOTAL U.S. GOVERNMENT OBLIGATIONS			624,141.	632,594.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			624,141.	632,594.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	12,507,067.	15,950,260.
TOTAL TO FORM 990-PF, PART II, LINE 10B	12,507,067.	15,950,260.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	337,702.	332,621.
TOTAL TO FORM 990-PF, PART II, LINE 10C	337,702.	332,621.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
OTHER INVESTMENTS	COST	136,949.	137,832.
TOTAL TO FORM 990-PF, PART II, LINE 13		136,949.	137,832.

FORM 990-PF	OTHER LIABILITIES	STATEMENT	10
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DESCRIPTION	BOY AMOUNT	EOY AMOUNT
PAYROLL TAX PAYABLE	378.	0.
TOTAL TO FORM 990-PF, PART II, LINE 22	378.	0.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS STATEMENT 11
 TRUSTEES AND FOUNDATION MANAGERS

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN EXPENSE CONTRIB ACCOUNT
JAMES D. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	CHARMAIN, PRESIDENT, DIREC 20.00	0.	0. 0.
SHARYN A. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 10.00	0.	0. 0.
ALYSON A. NICHOLAS 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 0.00	0.	0. 0.
JAMES K. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 0.00	0.	0. 0.
JOHN M. SULLIVAN 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	SECRETARY, TREASURER, DIRE 5.00	0.	0. 0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0. 0.

FORM 990-PF	GRANT APPLICATION SUBMISSION INFORMATION	STATEMENT 12
	PART XV, LINES 2A THROUGH 2D	

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

JAMES D. WEAVER
8 GREENWAY PLAZA, SUITE 606
HOUSTON, TX 77046

TELEPHONE NUMBER	NAME OF GRANT PROGRAM
713-840-7896	THE GORDON A CAIN FOUNDATION

FORM AND CONTENT OF APPLICATIONS

YOUR REQUEST FOR FUNDING SHOULD BE SUBMITTED AS A FORMAL PROPOSAL. IT SHOULD INCLUDE A DETAILED EXPLANATION OF THE PURPOSE AND OBJECTIVES OF THE PROPOSED PROJECT OR ACTIVITY, THE MOST RECENT AUDITED FINANCIAL STATEMENTS, ANNUAL BUDGET, PROJECTED BUDGET IF APPLICABLE, A LIST OF MAJOR SOURCES OF SUPPORT, YOUR STAFF DESCRIPTION, LIST OF THE BOARD OF TRUSTEES, THE MOST RECENT COPY OF YOUR ORGANIZATIONS 501(C)(3) TAX-EXEMPT LETTER FROM THE IRS, AND A THE DESCRIPTION OF AN EVALUATION PLAN.

ANY SUBMISSION DEADLINES

THE FIRST DAY OF THE MONTH PRIOR TO THE MONTH OF THE BOARD MEETING (USUALLY IN APR, SEPT, DEC)

RESTRICTIONS AND LIMITATIONS ON AWARDS

NONE

2016 Tax Information Statement

Page 7 of 102
Ref: WXT

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

2016 Proceeds from Broker and Barter Exchange Transactions

Sales are listed at Gross Proceeds less commissions and option premiums.
Cost or Other Basis amounts shown with a "U" are unknown or unsubstantiated.

Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales										
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JANUARY									
01F032617	01/04/2016	12/03/2015	25,828.13	25,769.53			58.60		0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES JANUARY									
01F040610	01/04/2016	12/03/2015	21,184.38	21,106.25			78.13		0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 30 YEARS SETTLES JAN									
02R052610	01/04/2016	12/03/2015	34,356.72	34,100.00			256.72		0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD 10/31/2012 .75% DUE 10-31-2017 REG									
912828TW0	01/04/2016	11/05/2015	24,878.91	24,964.84			-85.93		0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/30/2015 2% DUE 11-30-2022 REG									
912828M80	01/05/2016	11/30/2015	9,968.75	10,006.25			-37.50		0.00	0.00
49000.0	UNITED STATES TREAS NTS 1.625% DUE									
912828M98	01/05/2016	Various	48,611.60	48,938.55			-326.95		0.00	0.00
6000.0	UNITED STATES TREAS NTS DTD 12/31/2015 1.75% 31 DEC 2020									
912828N48	01/05/2016	01/05/2016	6,004.45	5,985.00			19.45		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JANUARY									
01F022410	01/08/2016	12/09/2015	10,146.88	10,104.69			42.19		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES JANUARY									
01F032419	01/08/2016	12/09/2015	26,273.44	26,238.28			35.16		0.00	0.00

This is important tax information and is being furnished to you.

2016 Tax Information Statement

Page 8 of 102
Ref: WXT

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Sales are listed at Gross Proceeds less commissions and option premiums.
Cost or Other Basis amounts shown with a "U" are unknown or unsubstantiated.

Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
20000.0	FNMA SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES JANUARY									
01F040610	01/08/2016	01/08/2016	21,253.13	21,253.13			0.00		0.00	0.00
710.88	AMERICREDIT FLTGT RT 6.141% DUE 04-09-2018									
03065KAC5	01/08/2016	01/14/2015	710.88	710.88			0.00		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JANUARY									
01F022410	01/12/2016	01/12/2016	5,085.55	5,085.55			0.00		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3% 15 YEARS SETTLES JANUARY									
01F030413	01/12/2016	01/12/2016	25,929.69	25,929.69			0.00		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES JANUARY									
01F032419	01/12/2016	01/12/2016	26,335.94	26,335.94			0.00		0.00	0.00
5000.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RNO	01/13/2016	11/24/2015	4,857.23	4,857.23			129.68		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/15/2015 2.25% 15 NOV 2025									
912828M56	01/13/2016	11/16/2015	4,996.88	4,996.88			79.88		0.00	0.00
5000.0	ANHEUSER-BUSCH 3.65% DUE 02-01-2026 UE 02-01-2026									
035242AP1	01/14/2016	01/13/2016	4,991.65	4,991.65			-24.45		0.00	0.00
35000.0	GNMA II JUMBOS 3.0% MAT 30 YEARS SETTLES JANUARY									
21H030617	01/14/2016	12/10/2015	35,460.74	35,460.74			326.76		0.00	0.00

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2016 Tax Information Statement

Recipient's Name and Address:

26-93890

Account Number:

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Ref: WXT

THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Recipient's Tax ID Number:
XX-XXX3773

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
5000.0	UNITED STATES TREAS NTS DTD 12/31/2015 2.125% DUE 12-31-2022 REG									
912828N30	01/14/2016	01/05/2016	5,076.56	5,021.68			54.88		0.00	0.00
3000.0	FEDEX CORP 4.75% DUE 11-15-2045	11-15-2045								
31428XBES	01/15/2016	10/20/2015	2,968.02	2,972.37			-4.35		0.00	0.00
5000.0	LOWES COS INC 4.375% DUE 09-15-2045	09-15-2045								
548661DJ3	01/15/2016	09/10/2015	5,184.65	4,961.95			222.70		0.00	0.00
792.99	SANTANDER DRIVE AUTO RECEIVABLES TR 2015 NT CL A-2-B 09-17-2018 REG									
80284BAC8	01/15/2016	04/15/2015	792.99	792.99			0.00		0.00	0.00
5000.0	HSBC FIN CORP 6.676% DUE 01-15-2021									
40429CGD8	01/19/2016	11/10/2015	5,706.00	5,793.05			-87.05		0.00	0.00
458.09	GNMA POOL #MA2601 3.5% 02-20-2045 BEO									
36179Q3J8	01/20/2016	03/18/2015	458.09	481.78			-23.69		0.00	0.00
537.23	GM FINL AUTOMOBILE 1.1% DUE 12-20-2017									
38013PAB5	01/20/2016	03/18/2015	537.23	537.20			0.03		0.00	0.00
3000.0	UNITED STATES TREAS NTS 1% DUE 12-31-2017 REG									
912828N55	01/20/2016	01/04/2016	3,010.55	2,998.48			12.07		0.00	0.00
2000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023 3% DUE 02-01-2023 REG									
035242ALO	01/21/2016	01/14/2016	2,004.66	1,991.47			13.19		0.00	0.00

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Ref: WXT

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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3000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023 3% DUE 02-01-2023 REG									
035242AL0	01/21/2016	01/14/2016	3,009.39	2,987.20			22.19		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES FEBRUARY									
01F040628	01/22/2016	01/04/2016	15,950.39	15,860.16			90.23		0.00	0.00
3000.0	CANADIAN NAT RES LTD 3.9% DUE 02-01-2025									
136385AV3	01/22/2016	09/14/2015	2,373.21	2,819.82			-446.61		0.00	0.00
164.77	FNMA POOL #AS5666 4% 08-01-2045 BEO									
3138WFJL1	01/25/2016	09/09/2015	164.77	175.84			-11.07		0.00	0.00
342.31	FNMA POOL #AW8597 3% 08-01-2029 BEO									
3138XYRT3	01/25/2016	04/10/2015	342.31	359.10			-16.79		0.00	0.00
139.5	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	01/25/2016	08/05/2015	139.50	144.21			-4.71		0.00	0.00
5000.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RNO	01/25/2016	Various	5,070.90	5,055.08			15.82		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 12/31/2015 1.75% 31 DEC 2020									
912828N48	01/27/2016	01/19/2016	5,079.49	5,063.28			16.21		0.00	0.00
3000.0	SEMPRA ENERGY 2.4% DUE 03-15-2020									
816851AW9	01/28/2016	01/27/2016	2,931.00	2,931.78			-0.78		0.00	0.00

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2016 Tax Information Statement

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Recipient's Name and Address:

26-93890

Account Number:

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

THE GORDON A CAIN FOUNDATION

XX-XXX3773

Recipient's Tax ID Number:

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

Ref: WXT

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6822.45	SANTANDER DRIVE AUTO RECEIVABLES TR 2015 NT CL A-2-B 09-17-2018									
80284BAC8	01/29/2016	04/15/2015	6,821.65	6,822.45			-0.80		0.00	0.00
44000.0	UNITED STATES TREAS NTS DTD 12/15/2015 1.25% DUE 12-15-2018 REG									
912828N22	02/01/2016	Various	44,317.97	44,240.31			77.66		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 12/31/2015 2.125% DUE 12-31-2022 REG									
912828N30	02/01/2016	01/05/2016	5,139.45	5,021.68			117.77		0.00	0.00
57000.0	UNITED STATES TREAS NTS DTD 12/31/2015 1.75% 31 DEC 2020									
912828N48	02/01/2016	Various	58,042.44	57,143.79			898.65		0.00	0.00
27000.0	UNITED STATES TREAS NTS 1% DUE 12-31-2017 REG									
912828N55	02/01/2016	Various	27,094.92	27,005.03			89.89		0.00	0.00
3000.0	METLIFE INC 3.6% 13 NOV 2025									
59156RBQ0	02/02/2016	11/10/2015	3,002.07	3,020.19			-18.12		0.00	0.00
5000.0	SHELL INTL FIN B V 1.625% DUE 11-10-2018 11-10-2018 REG									
822582BM3	02/02/2016	11/05/2015	4,922.20	4,983.55			-61.35		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES FEBRUARY									
01F032625	02/03/2016	01/04/2016	26,195.31	25,775.39			419.92		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES FEBRUARY									
01F040628	02/03/2016	01/04/2016	5,339.26	5,286.72			52.54		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES FEBRUARY									
01F042624	02/03/2016	01/22/2016	16,296.09	16,248.63			47.46		0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES FEB									
02R052628	02/03/2016	01/04/2016	34,448.75	34,349.45			99.30		0.00	0.00
2000.0	HALLIBURTON CO 3.8% DUE 11-15-2025	11-15-2025								
406216BG5	02/03/2016	11/05/2015	1,839.18	1,994.38			-155.20		0.00	0.00
0.01	SANTANDER DRIVE AUTO RECEIVABLES TR 2015 NT CL A-2-B 09-17-2018									
80284BAC8	02/04/2016	04/15/2015	0.01	0.01			0.00		0.00	0.00
1000.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RN0	02/04/2016	01/15/2016	1,034.06	1,010.55			23.51		0.00	0.00
500.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RN0	02/04/2016	01/15/2016	516.95	505.27			11.68		0.00	0.00
500.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RN0	02/04/2016	01/15/2016	517.50	505.27			12.23		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES FEBRUARY									
01F022428	02/08/2016	01/08/2016	10,264.06	10,129.30			134.76		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES FEBRUARY									
01F032427	02/08/2016	01/08/2016	26,453.13	26,243.16			209.97		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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15000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES FEBRUARY									
01F040628	02/09/2016	02/09/2016	16,042.97	16,042.97			0.00		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES FEBRUARY									
01F040628	02/09/2016	02/09/2016	5,347.66	5,347.66			0.00		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES FEBRUARY									
01F042624	02/09/2016	02/09/2016	16,297.27	16,297.27			0.00		0.00	0.00
35000.0	GNMA II JUMBOS 3.0 MAT 30 YEARS SETTLES FEBRUARY									
21H030625	02/12/2016	01/14/2016	36,148.44	35,716.41			432.03		0.00	0.00
11000.0	NOBLE HLDG INTL LTD GTD SR NT 4.625 DUE 03-01-2021									
65504LAF4	02/12/2016	Various	5,857.50	10,223.99			-4,366.49		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/15/2015 2.25% 15 NOV 2025									
912828M56	02/12/2016	Various	5,230.47	5,156.17			74.30		0.00	0.00
12000.0	UNITED STATES TREAS BDS 00245 2.875% DUE 08-15-2045 REG									
912810RN0	02/16/2016	Various	12,573.75	11,785.51			788.23		0.00	0.00
5000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	02/16/2016	02/16/2016	5,375.98	5,377.08			-1.10		0.00	0.00
7000.0	UNITED STATES TREAS NTS DTD 11/15/2015 2.25% 15 NOV 2025									
912828M56	02/16/2016	Various	7,296.25	7,007.15			289.10		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

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Recipient's Tax ID Number: XX-XXX3773

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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5000.0	CONAGRA FOODS INC 6.625% DUE 08-15-2039									
205887BN1	02/17/2016	06/09/2015	5,918.15	5,358.85			559.30		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828PA6	02/18/2016	02/16/2016	4,932.62	4,932.81			-0.19		0.00	0.00
20108.37	GNMA POOL #MA2601 3.5% 02-20-2045 BEO									
36179Q3J8	02/19/2016	03/18/2015	21,214.36	21,148.35			66.01		0.00	0.00
10000.0	UTD STATES TREAS 1 75% DUE 01-31-2023									
912828P38	02/19/2016	02/01/2016	10,151.56	10,024.61			126.95		0.00	0.00
315.13	GNMA POOL #MA2601 3.5% 02-20-2045 BEO									
36179Q3J8	02/22/2016	03/18/2015	315.13	331.43			-16.30		0.00	0.00
514.16	GM FINL AUTOMOBILE 1.1% DUE 12-20-2017									
38013PAB5	02/22/2016	03/18/2015	514.16	514.13			0.03		0.00	0.00
5000.0	ONCOR ELEC 2.95% DUE 04-01-2025									
68233JAZ7	02/23/2016	11/10/2015	4,895.70	4,730.19			165.51		0.00	0.00
500.0	UTD STATES TREAS 1.375% DUE 01-31-2021									
912828N89	02/23/2016	02/01/2016	503.98	500.31			3.67		0.00	0.00
600.0	UTD STATES TREAS 1.375% DUE 01-31-2021									
912828N89	02/23/2016	02/01/2016	604.88	600.37			4.51		0.00	0.00

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THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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☐ Corrected ☐ FATCA

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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700.0	UTD STATES TREAS	1.375% DUE 01-31-2021								
912828N89	02/23/2016	02/01/2016	705.58	700.44			5.14		0.00	0.00
400.0	UTD STATES TREAS	1.375% DUE 01-31-2021								
912828N89	02/23/2016	02/01/2016	403.19	400.25			2.94		0.00	0.00
5000.0	UTD STATES TREAS	1.375% DUE 01-31-2021								
912828N89	02/23/2016	02/12/2016	5,037.70	5,045.51			-7.81		0.00	0.00
1800.0	UTD STATES TREAS	1.375% DUE 01-31-2021								
912828N89	02/23/2016	02/01/2016	1,815.47	1,801.13			14.34		0.00	0.00
1000.0	UTD STATES TREAS	1.375% DUE 01-31-2021								
912828N89	02/23/2016	02/01/2016	1,007.81	1,000.63			7.18		0.00	0.00
2000.0	ANADARKO PETE CORP	3.45% DUE 07-15-2024								
032511BJ5	02/24/2016	12/16/2015	1,534.36	1,721.08			-186.72		0.00	0.00
241.71	FNMA POOL #AS5666	4% 08-01-2045 BEO								
3138WJL1	02/25/2016	09/09/2015	241.71	257.95			-16.24		0.00	0.00
26.16	FNMA POOL #AS6413	2.5% 01-01-2031 BEO								
3138WJDT8	02/25/2016	12/17/2015	26.16	26.38			-0.22		0.00	0.00
272.14	FNMA POOL #AW8597	3% 08-01-2029 BEO								
3138XYRT3	02/25/2016	04/10/2015	272.14	285.49			-13.35		0.00	0.00

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2016 Tax Information Statement

Page 16 of 102
Ref: WXT

Account Number: 26-93890
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91.59	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	02/25/2016	08/05/2015	91.59	94.68			-3.09		0.00	0.00
61.25	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	02/25/2016	12/11/2015	61.25	63.34			-2.09		0.00	0.00
5000.0	GEN MTRS FINL CO 3.1% DUE 01-15-2019 01-15-2019									
37045XBB1	02/25/2016	10/07/2015	4,941.05	4,997.70			-56.65		0.00	0.00
3000.0	UTD STATES TREAS 1.375% DUE 01-31-2021									
912828N89	02/25/2016	02/01/2016	3,029.65	3,001.88			27.77		0.00	0.00
2000.0	UTD TECHNOLOGIES 3.1% DUE 06-01-2022 06-01-2022 USD1000									
913017BY0	02/26/2016	10/09/2015	2,076.02	2,033.72			42.30		0.00	0.00
2000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023 3% DUE 02-01-2023 REG									
035242AL0	02/29/2016	01/14/2016	2,055.96	1,991.44			64.52		0.00	0.00
2000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023 3% DUE 02-01-2023 REG									
035242AL0	02/29/2016	01/14/2016	2,057.46	1,991.44			66.02		0.00	0.00
4000.0	VISA INC 3.15% DUE 12-14-2025									
92826CAD4	02/29/2016	Various	4,140.80	3,997.24			143.56		0.00	0.00
2000.0	VISA INC 3.15% DUE 12-14-2025									
92826CAD4	02/29/2016	12/10/2015	2,073.80	2,000.60			73.20		0.00	0.00

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P.O. BOX 803878
CHICAGO, IL 60680

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49000.0	UNITED STATES TREAS NTS DTD 01/15/2016									
912828N63	03/01/2016	Various	49,220.12	49,188.12			32.00		0.00	0.00
49000.0	UTD STATES TREAS 1.375% DUE 01-31-2021									
912828N89	03/01/2016	02/01/2016	49,298.59	49,030.62			267.97		0.00	0.00
27000.0	UTD STATES TREAS .75% DUE 01-31-2018									
912828P20	03/01/2016	02/01/2016	26,962.03	26,972.58			-10.55		0.00	0.00
4000.0	VISA INC 3.15% DUE 12-14-2025									
92826CAD4	03/01/2016	12/09/2015	4,115.64	3,985.36			130.28		0.00	0.00
1000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023 3% DUE 02-01-2023 REG									
035242AL0	03/03/2016	01/14/2016	1,024.72	995.72			29.00		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE									
01F032633	03/04/2016	02/03/2016	26,148.44	26,136.72			11.72		0.00	0.00
5000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/04/2016	02/29/2016	4,938.28	4,977.15			-38.87		0.00	0.00
5000.0	FEDERAL NATIONAL MORTGAGE ASSOC									
01F040636	03/07/2016	02/03/2016	5,332.03	5,328.71			3.32		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES MARCH									
01F042632	03/07/2016	02/03/2016	16,300.20	16,268.55			31.65		0.00	0.00

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Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number:
26-93890
XX-XXX3773

Recipient's Tax ID Number:

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
31000.0	FHLMC GOLD TBA POOL #9999999 5.5 DUE 03-15-2030 REG									
02R052636	03/07/2016	02/03/2016	34,521.41	34,414.84			106.57		0.00	0.00
5000.0	LOCKHEED MARTIN 3.55% DUE 01-15-2026									
539830BH1	03/07/2016	Various	5,180.60	4,979.45			201.15		0.00	0.00
2000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	03/07/2016	02/16/2016	2,120.00	2,150.83			-30.83		0.00	0.00
3000.0	UTD TECHNOLOGIES 3.1% DUE 06-01-2022 USD1000									
913017BV0	03/07/2016	10/09/2015	3,089.61	3,050.58			39.03		0.00	0.00
4000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	03/08/2016	02/29/2016	1,930.20	1,947.02			-16.82		0.00	0.00
2000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	03/08/2016	02/23/2016	1,962.73	1,983.44			-20.71		0.00	0.00
3000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	03/09/2016	Various	2,926.64	2,973.13			-46.49		0.00	0.00
10000.0	FNMA 2.5 15 YEARS SETTLES MAR									
01F022436	03/10/2016	02/08/2016	10,214.06	10,248.44			-34.38		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES MARCH									
01F032435	03/10/2016	02/08/2016	26,363.28	26,417.97			-54.69		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
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CHICAGO, IL 60680

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25000.0	FNMA SINGLE FAMILY MORTGAGE									
01F032633	03/10/2016	03/10/2016	26,087.89	26,087.89			0.00		0.00	0.00
6000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/11/2016	03/01/2016	5,898.75	5,970.00			-71.25		0.00	0.00
2000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/11/2016	Various	1,967.50	1,990.43			-22.93		0.00	0.00
2000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/11/2016	02/29/2016	1,967.34	1,990.86			-23.52		0.00	0.00
5000.0	AMERN INTL GROUP 3.3% DUE 03-01-2021									
026874DG9	03/15/2016	Various	5,033.85	5,014.99			18.86		0.00	0.00
35000.0	GNMA II JUMBOS 3.0 MAT 30 YEARS SETTLES MARCH									
21H030633	03/15/2016	02/12/2016	36,045.90	36,080.08			-34.18		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 MAT 30 YEARS SETTLES MARCH									
21H032639	03/15/2016	02/19/2016	21,062.50	21,100.00			-37.50		0.00	0.00
1000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/15/2016	03/01/2016	982.50	995.00			-12.50		0.00	0.00
11000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/15/2016	03/01/2016	10,810.94	10,945.00			-134.06		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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5000.0	ANHEUSER-BUSCH 3.65% DUE 02-01-2026 UE	02-01-2026								
035242AP1	03/16/2016	Various	5,230.40	5,159.58			70.82		0.00	0.00
4000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP	11-15-2043 REG								
912803EE9	03/16/2016	Various	1,887.84	1,903.64			-15.80		0.00	0.00
4000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/16/2016	03/01/2016	3,925.00	3,980.00			-55.00		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 MAT 30 YEARS SETTLES MARCH									
21H032639	03/17/2016	03/17/2016	21,126.56	21,126.56			0.00		0.00	0.00
2000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	03/17/2016	02/29/2016	1,949.84	1,979.38			-29.54		0.00	0.00
3000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	03/18/2016	Various	2,931.56	2,969.06			-37.50		0.00	0.00
5000.0	DIRECTV HLDGS LLC 3.8% DUE 03-15-2022									
25459HBF1	03/21/2016	08/18/2015	5,005.00	4,927.60			77.40		0.00	0.00
2000.0	GILEAD SCIENCES 4.75% DUE 03-01-2046									
375558BD4	03/21/2016	11/03/2015	2,198.44	2,014.26			184.18		0.00	0.00
5000.0	CENOVUS ENERGY INC 6.75% DUE 11-15-2039									
15135UAF6	03/22/2016	08/06/2015	4,783.30	5,559.95			-776.65		0.00	0.00

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620.45	FNMA POOL #AS5666 4% 08-01-2045 BEO									
3138WFL1	03/25/2016	09/09/2015	620.45	662.14			-41.69		0.00	0.00
27.95	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD7	03/25/2016	12/17/2015	27.95	28.19			-0.24		0.00	0.00
208.73	FNMA POOL #AW8597 3% 08-01-2029 BEO									
3138XYRT3	03/25/2016	04/10/2015	208.73	218.97			-10.24		0.00	0.00
141.46	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YRSY0	03/25/2016	08/05/2015	141.46	146.24			-4.78		0.00	0.00
56.07	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	03/25/2016	12/11/2015	56.07	57.98			-1.91		0.00	0.00
3000.0	MCDONALDS CORP 4.875% DUE 12-09-2045 12-09-2045									
58013MFA7	03/29/2016	Various	3,299.43	2,990.94			308.49		0.00	0.00
10000.0	UNITED STATES TREAS 1.625% DUE 02-15-2026 REG									
912828P46	03/29/2016	Various	9,800.79	9,825.68			-24.89		0.00	0.00
14000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	03/29/2016	03/01/2016	13,905.39	13,930.00			-24.61		0.00	0.00
1000.0	MACYS RETAIL HLDGS 2.875 DUE 02-15-2023									
55616XAH0	03/30/2016	09/04/2015	948.44	943.86			4.58		0.00	0.00

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THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

Account Number: 26-93890
 Recipient's Tax ID Number: XX-XXX3773

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THE NORTHERN TRUST COMPANY
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1000.0	MACYS RETAIL HLDGS 2.875 DUE 02-15-2023									
55616XAH0	03/31/2016	09/04/2015	948.51	943.86			4.65		0.00	0.00
5000.0	BSTN PPTYS LTD 3.8% DUE 02-01-2024									
10112RAW4	04/01/2016	10/09/2015	5,251.75	5,120.55			131.20		0.00	0.00
4000.0	UNITED STATES TREAS NTS DTD 02/29/2016 1.5% DUE 02-28-2023 REG									
912828P79	04/01/2016	02/29/2016	3,981.88	3,984.22			-12.34		0.00	0.00
21000.0	UTD STATES TREAS 1.125% DUE 02-28-2021									
912828P87	04/01/2016	Various	20,889.12	20,809.58			79.54		0.00	0.00
700.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/04/2016	03/29/2016	760.16	758.62			1.54		0.00	0.00
200.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/04/2016	03/29/2016	217.09	216.75			0.34		0.00	0.00
1100.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/04/2016	03/29/2016	1,194.02	1,192.13			1.89		0.00	0.00
5000.0	UTD STATES TREAS 1.5% DUE 03-31-2023									
912828Q29	04/04/2016	03/31/2016	4,991.41	4,986.33			5.08		0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD 03/31/2016 1.25% DUE 03-31-2021 REG									
912828Q37	04/05/2016	04/01/2016	25,072.27	25,023.44			48.83		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
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Account Number: 26-93890
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25000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES APRIL									
01F030645	04/06/2016	04/05/2016	25,667.97	25,698.24			-30.27		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES APRIL									
01F040644	04/06/2016	03/07/2016	5,341.41	5,324.02			17.39		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES APRIL									
01F042640	04/06/2016	03/07/2016	16,309.57	16,283.79			25.78		0.00	0.00
31000.0	FHLMC GOLD 5.5 TBA POOL 30YR APRIL 47209-2029 REG									
02R052644	04/06/2016	03/07/2016	34,514.14	34,511.72			2.42		0.00	0.00
1000.0	GILEAD SCIENCES 4.75% DUE 03-01-2046									
375558BD4	04/11/2016	11/03/2015	1,103.45	1,007.13			96.32		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES APRIL									
01F022444	04/12/2016	03/10/2016	10,282.81	10,196.48			86.33		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES APRIL									
01F032443	04/12/2016	03/10/2016	26,390.63	26,334.96			55.67		0.00	0.00
3000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	04/14/2016	04/01/2016	2,955.47	2,953.13			2.34		0.00	0.00
35000.0	GNMA II JUMBOS 3.0 MAT 30 YEARS SETTLES APRIL									
21H030641	04/15/2016	03/15/2016	36,312.50	35,972.07			340.43		0.00	0.00

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20000.0	GNMA II JUMBOS 3.5 MAT 30 YEARS SETTLES APRIL									
21H032647	04/15/2016	03/15/2016	21,153.13	21,021.88			131.25		0.00	0.00
3000.0	KINDER MORGAN INC 2% DUE 12-01-2017									
49456BAD3	04/18/2016	12/03/2015	2,962.62	2,842.80			119.82		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES MAY									
01F030652	04/19/2016	04/06/2016	25,634.77	25,618.16			16.61		0.00	0.00
1000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/19/2016	04/11/2016	1,084.45	1,089.06			-4.61		0.00	0.00
2000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/20/2016	Various	2,142.58	2,152.20			-9.62		0.00	0.00
2000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	04/21/2016	Various	2,126.25	2,138.88			-12.63		0.00	0.00
878.29	FNMA POOL #AS5666 4% 08-01-2045 BEO									
3138WFJL1	04/25/2016	09/09/2015	878.29	937.30			-59.01		0.00	0.00
46.36	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGDT8	04/25/2016	12/17/2015	46.36	46.75			-0.39		0.00	0.00
217.7	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YRSY0	04/25/2016	08/05/2015	217.70	225.06			-7.36		0.00	0.00

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26-93890

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XX-XXX3773

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77.25	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	04/25/2016	12/11/2015	77.25	79.88			-2.63		0.00	0.00
120.28	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVJC2	04/25/2016	03/04/2016	120.28	125.88			-5.60		0.00	0.00
21919.76	FNMA POOL #AS5666 4% 08-01-2045 BEO									
3138WFJL1	04/26/2016	09/09/2015	23,361.67	23,392.49			-30.82		0.00	0.00
4000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	04/27/2016	04/01/2016	3,917.50	3,937.50			-20.00		0.00	0.00
4000.0	U S BANCORP MEDIUM TERM SUB NTS 2.95 DUE07-15-2022									
91159JAA4	04/28/2016	09/30/2015	4,107.88	3,988.40			119.48		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	04/28/2016	Various	4,912.30	4,921.56			-9.26		0.00	0.00
9000.0	UTD STATES TREAS 1.5% DUE 03-31-2023									
912828Q29	05/02/2016	Various	8,928.28	8,954.22			-25.94		0.00	0.00
51000.0	UNITED STATES TREAS NTS DTD 03/31/2016 1 25% DUE 03-31-2021 REG									
912828Q37	05/02/2016	Various	50,855.88	50,994.92			-139.04		0.00	0.00
2000.0	UNITED STATES TREAS NTS DTD 03/31/2016 .875% DUE 03-31-2018 REG									
912828Q45	05/02/2016	Various	2,003.43	2,005.14			-1.71		0.00	0.00

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27000.0	UNITED STATES TREAS NTS DTD 02/28/2013	75% DUE 02-28-2018 REG								
912828UR9	05/02/2016	03/01/2016	26,989.45	26,960.98			28.47		0.00	0.00
5000.0	ANHEUSER-BUSCH 3.3% DUE 02-01-2023	3% DUE 02-01-2023 REG								
035242AL0	05/03/2016	03/16/2016	5,217.75	5,159.95			57.80		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 683	1.625% DUE 02-15-2026 REG								
912828P46	05/03/2016	Various	4,928.13	4,920.61			7.52		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS	SETTLES MAY								
01F040651	05/05/2016	04/06/2016	5,341.41	5,334.57			6.84		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5% 30 YEARS	SETTLES MAY								
01F042657	05/05/2016	04/06/2016	16,338.28	16,297.27			41.01		0.00	0.00
31000.0	FHLMC GOLD TBA POOL #99999999	5.5 05-01-2029								
02R052651	05/05/2016	04/06/2016	34,482.66	34,509.30			-26.64		0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD 04/30/2016									
912828Q78	05/06/2016	Various	25,238.28	25,086.80			151.48		0.00	0.00
5000.0	LOEWS CORP 3.75% DUE 04-01-2026									
540424AS7	05/10/2016	Various	5,214.15	5,117.28			96.87		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 04/30/2016									
912828Q78	05/10/2016	05/10/2016	5,041.02	5,043.16			-2.14		0.00	0.00

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2016 Tax Information Statement

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Account Number:
Recipient's Tax ID Number:

26-93890
XX-XXX3773

☐ Corrected ☐ FATCA

☐ 2nd TIN notice

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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Description of property

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10000.0	WELLS FARGO COML 3.37% DUE 01-15-2059									
95000CAZ6	05/10/2016	02/18/2016	10,516.02	10,099.69			416.33		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES MAY									
01F022451	05/12/2016	04/12/2016	10,305.86	10,265.63			40.23		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES MAY									
01F032450	05/12/2016	04/12/2016	26,503.91	26,366.21			137.70		0.00	0.00
2000.0	ACE INA HLDGS INC 4.35% DUE 11-03-2045									
00440EAW7	05/13/2016	10/27/2015	2,201.46	1,995.00			206.46		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES MAY									
01F022451	05/13/2016	05/13/2016	10,306.25	10,306.25			0.00		0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE									
01F032666	05/13/2016	05/06/2016	20,959.38	20,978.13			-18.75		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0% 30 YEARS SETTLES JUNE									
01F040669	05/13/2016	05/05/2016	5,341.41	5,335.74			5.67		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 4.5% 30 YEARS SETTLES JUNE									
01F042665	05/13/2016	05/05/2016	16,357.03	16,324.22			32.81		0.00	0.00
5000.0	AMERN INTL GROUP 3.3% DUE 03-01-2021									
026874DG9	05/13/2016	02/23/2016	5,134.05	4,995.40			138.65		0.00	0.00

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Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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2000.0	ANHEUSER-BUSCH 4.9% DUE 02-01-2046									
035242AN6	05/13/2016	01/13/2016	2,246.90	2,021.88			225.02		0.00	0.00
2000.0	APPLE INC 4.65% DUE 02-23-2046									
037833BX7	05/13/2016	02/16/2016	2,174.86	1,988.46			186.40		0.00	0.00
5000.0	BERKSHIRE HATHAWAY 3.125% DUE 03-15-202603-15-2026									
084670BS6	05/13/2016	Various	5,194.50	5,018.98			175.52		0.00	0.00
5000.0	BURL NORTHN SANTA 3% DUE 03-15-2023 03-15-2023 REG									
12189LAM3	05/13/2016	08/06/2015	5,209.65	4,874.36			335.29		0.00	0.00
2000.0	CVS HEALTH CORP 5.125% DUE 07-20-2045									
126650CN8	05/13/2016	07/14/2015	2,312.10	2,014.28			297.82		0.00	0.00
5000.0	CATERPILLAR FINL SERVICE MTN 2.5% DUE 11-13-2020									
14912L6N6	05/13/2016	11/09/2015	5,155.85	4,995.55			160.30		0.00	0.00
5000.0	MEDTRONIC INC 3.15% DUE 03-15-2022									
585055BR6	05/13/2016	12/08/2015	5,301.30	5,078.40			222.90		0.00	0.00
2000.0	VERIZON 4.862% DUE 08-21-2046									
92343VCK8	05/13/2016	04/20/2016	2,120.28	2,157.64			-37.36		0.00	0.00
35000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES MAY 3.0%									
21H030658	05/16/2016	04/15/2016	36,345.31	36,229.10			116.21		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
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THE NORTHERN TRUST COMPANY
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20000.0	GNMA II JUMBOS 3.5 30 YEARS SETTLES MAY									
21H032654	05/16/2016	04/15/2016	21,150.00	21,114.06			35.94		0.00	0.00
12000.0	US TREASURY N/B 3.0% 11-15-2045 REG									
912810RP5	05/16/2016	Various	13,076.72	12,738.34			338.38		0.00	0.00
26000.0	UNITED STATES TREAS NTS DTD 683 1.625% DUE 02-15-2026 REG									
912828P46	05/16/2016	Various	25,711.56	25,559.21			152.35		0.00	0.00
63000.0	UTD STATES TREAS .75% DUE 02-15-2019									
912828P53	05/16/2016	Various	62,756.37	62,625.94			130.43		0.00	0.00
10000.0	GS MTG SECS TR 3.506% DUE 10-10-2048									
36250VAD4	05/20/2016	12/22/2015	10,527.34	10,047.27			480.07		0.00	0.00
10000.0	MORGAN STANLEY CAP 3.594% DUE 03-15-204903-15-2049									
61766CAE9	05/20/2016	02/19/2016	10,634.38	10,299.28			335.10		0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	05/20/2016	05/16/2016	4,892.97	4,950.00			-57.03		0.00	0.00
5000.0	AT&T INC 5% DUE 03-01-2021									
00206RDA7	05/23/2016	03/21/2016	5,506.65	5,000.00			506.65		0.00	0.00
5000.0	ACTAVIS FDG SCS 3% DUE 03-12-2020									
00507UAP6	05/23/2016	11/05/2015	5,057.35	5,025.20			32.15		0.00	0.00

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15000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE									
01F032666	05/23/2016	05/06/2016	15,688.48	15,733.59			-45.11		0.00	0.00
468.33	FNMA POOL #AS5666 4% 08-01-2045 BEO									
3138WFJL1	05/25/2016	09/09/2015	468.33	499.80			-31.47		0.00	0.00
30.35	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	05/25/2016	12/17/2015	30.35	30.61			-0.26		0.00	0.00
116.96	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	05/25/2016	08/05/2015	116.96	120.91			-3.95		0.00	0.00
93.72	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	05/25/2016	12/11/2015	93.72	96.91			-3.19		0.00	0.00
177.3	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVJC2	05/25/2016	03/04/2016	177.30	185.56			-8.26		0.00	0.00
5000.0	DOMINION RES INC 3.9% DUE 10-01-2025 10-01-2025									
25746UCE7	05/26/2016	10/22/2015	5,179.65	5,135.25			44.40		0.00	0.00
3000.0	MICROSOFT CORP 4.45% DUE 11-03-2045									
594918BL7	05/26/2016	10/29/2015	3,338.64	3,037.08			301.56		0.00	0.00
2000.0	NOVARTIS SECS INVT 5.125% DUE 02-10-201902-10-2019 REG									
66989GAA8	05/26/2016	09/30/2015	2,194.58	2,228.00			-33.42		0.00	0.00

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THE NORTHERN TRUST COMPANY
P.O. BOX 803878
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Recipient's Name and Address:
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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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42000.0	UNITED STATES TREAS NTS DTD 04/30/2016									
912828Q78	05/31/2016	Various	41,962.27	42,101.95			-139.68		0.00	0.00
29000.0	UNITED STATES TREAS NTS DTD 04/30/2016	75% 30 APR 2018								
912828Q94	05/31/2016	05/02/2016	28,920.70	28,978.48			-57.78		0.00	0.00
13000.0	UNITED STATES TREAS NTS DTD 04/30/2016	1.625% DUE 04-30-2023 REG								
912828R28	05/31/2016	Various	12,959.38	13,006.72			-47.34		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 05/31/2016	.875% 31 MAY 2018								
912828R51	06/01/2016	05/31/2016	4,997.66	4,998.05			-0.39		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE									
01F032666	06/02/2016	05/06/2016	5,230.47	5,244.53			-14.06		0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	06/02/2016	05/16/2016	4,920.31	4,950.00			-29.69		0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CERTIFICATE (PC)30 YEARS SETTLES JUNE									
02R052669	06/07/2016	05/05/2016	34,565.00	34,470.55			94.45		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE									
01F032666	06/08/2016	06/08/2016	15,757.03	15,757.03			0.00		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE									
01F032666	06/08/2016	06/08/2016	26,261.72	26,261.72			0.00		0.00	0.00

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THE GORDON A CAIN FOUNDATION
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HOUSTON, TX 77046-0892

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5000.0	FNMA SINGLE FAMILY MORTGAGE 4.0% 30 YEARS SETTLES JUNE									
01F040669	06/08/2016	06/08/2016	5,353.52	5,353.52			0.00		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JUNE									
01F022469	06/13/2016	05/12/2016	10,320.31	10,287.11			33.20		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES JUNE									
01F032468	06/13/2016	05/12/2016	26,511.72	26,467.77			43.95		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JUNE									
01F022469	06/14/2016	06/14/2016	10,320.31	10,320.31			0.00		0.00	0.00
35000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES JUNE									
21H030666	06/14/2016	05/16/2016	36,394.53	36,275.59			118.94		0.00	0.00
20000.0	GNMA II JUMBOS 3.5% 30 YEARS SETTLES JUNE									
21H032662	06/14/2016	05/16/2016	21,162.50	21,124.22			38.28		0.00	0.00
35000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES JUNE									
21H030666	06/15/2016	06/15/2016	36,389.06	36,389.06			0.00		0.00	0.00
20000.0	GNMA II JUMBOS 3.5% 30 YEARS SETTLES JUNE									
21H032662	06/15/2016	06/15/2016	21,175.00	21,175.00			0.00		0.00	0.00
444.9	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATY4	06/15/2016	04/26/2016	444.90	476.46			-31.56		0.00	0.00

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 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
 Ref: WXT

Account Number: 26-93890
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63000.0	UNITED STATES TREAS NTS	DTD 05/15/2016								
912828R44	06/15/2016	05/16/2016	63,061.52	62,899.10			162.42		0.00	0.00
5000.0	ACTAVIS FDG SCS	3.45% DUE 03-15-2022								
00507UAR2	06/23/2016	10/30/2015	5,143.30	4,975.55			167.75		0.00	0.00
42.31	FNMA POOL #AS6413	2.5% 01-01-2031 BEO								
3138WGD78	06/27/2016	12/17/2015	42.31	42.67			-0.36		0.00	0.00
273.63	FNMA POOL #AZ0862	3.5% 07-01-2045 BEO								
3138YR5Y0	06/27/2016	08/05/2015	273.63	282.88			-9.25		0.00	0.00
120.3	FNMA POOL #BC0133	3% 12-01-2030 BEO								
3140EUEF2	06/27/2016	12/11/2015	120.30	124.40			-4.10		0.00	0.00
152.18	FNMA POOL #BC1158	3.5% 02-01-2046 BEO								
3140EVJC2	06/27/2016	03/04/2016	152.18	159.27			-7.09		0.00	0.00
1000.0	UNITED STATES TREAS BDS	DTD 00247 2.5% DUE 02-15-2046 REG								
912810RQ3	06/28/2016	06/06/2016	1,047.97	987.70			60.27		0.00	0.00
2800.0	UNITED STATES TREAS BDS	DTD 00247 2.5% DUE 02-15-2046 REG								
912810RQ3	06/28/2016	06/06/2016	2,934.75	2,765.55			169.20		0.00	0.00
1200.0	UNITED STATES TREAS BDS	DTD 00247 2.5% DUE 02-15-2046 REG								
912810RQ3	06/28/2016	06/06/2016	1,257.38	1,185.23			72.15		0.00	0.00

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24000.0	UNITED STATES TREAS NTS DTD 05/31/2016	05/31/2016	23,990.62	23,990.62			128.44		0.00	0.00
912828R51	06/28/2016	05/31/2016	24,119.06	23,990.62						
28000.0	UTD STATES TREAS 1.625% DUE 05-31-2023									
912828R69	06/28/2016	Various	28,684.69	27,938.71			745.98		0.00	0.00
47000.0	UNITED STATES TREAS NTS DTD 05/31/2016	05/31/2016	1,375% DUE 05-31-2021 REG							
912828R77	06/28/2016	Various	47,860.72	46,982.81			877.91		0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	06/29/2016	05/16/2016	5,063.09	4,950.00			113.09		0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 5.5 30 YEARS SETTLES JUL									
02R052677	07/06/2016	06/07/2016	34,606.17	34,555.31			50.86		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JULY									
01F022477	07/07/2016	06/13/2016	10,371.88	10,301.56			70.32		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES JULY									
01F032476	07/07/2016	06/13/2016	26,503.91	26,467.77			36.14		0.00	0.00
5000.0	AMERICAN INTERNATIONAL GROUP INC BNDS 3.75% DUE 07-10-2025 REG									
026874DD6	07/07/2016	02/12/2016	5,136.50	4,667.73			468.77		0.00	0.00
2000.0	NOBLE ENERGY INC 5.05% DUE 11-15-2044									
655044AJ4	07/07/2016	02/04/2016	2,072.78	1,472.43			600.35		0.00	0.00

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8 GREENWAY PLZ STE 606
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3000.0	PRUDENTIAL FINL 5.625 DUE 06-15-2043									
744320AM4	07/08/2016	03/16/2016	3,138.75	3,056.25			82.50		0.00	0.00
4000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	07/08/2016	Various	4,086.88	4,083.12			3.76		0.00	0.00
12000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	07/11/2016	Various	6,692.04	5,822.00			870.04		0.00	0.00
7000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	07/11/2016	Various	7,124.14	7,017.19			106.95		0.00	0.00
35000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES JULY									
21H030674	07/12/2016	06/14/2016	36,651.56	36,324.80			326.76		0.00	0.00
25000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES AUGUST									
21H030682	07/12/2016	07/12/2016	26,130.86	26,130.86			0.00		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 30 YEARS SETTLES JUL JULY									
21H032670	07/12/2016	06/14/2016	21,243.75	21,128.91			114.84		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 30 YEARS SETTLES AUG AUGUST									
21H032688	07/12/2016	07/12/2016	21,216.41	21,216.41			0.00		0.00	0.00
5000.0	UTD STATES TREAS .625% DUE 06-30-2018									
912828R93	07/12/2016	06/28/2016	4,993.95	5,001.17			-7.22		0.00	0.00

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2016 Tax Information Statement

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
10000.0	GNMA II JUMBOS 3% 30 YEARS SETTLES AUGUST									
21H030682	07/13/2016	07/12/2016	10,458.20	10,452.34			5.86		0.00	0.00
309.62	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATY4	07/15/2016	04/26/2016	309.62	331.58			-21.96		0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	07/19/2016	05/16/2016	5,034.18	4,950.00			84.18		0.00	0.00
63000.0	UNITED STATES TREAS NTS DTD 06/15/2016 .875% DUE 06-15-2019 REG									
912828R85	07/21/2016	06/15/2016	63,184.57	63,054.14			130.43		0.00	0.00
42.31	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	07/25/2016	12/17/2015	42.31	42.67			-0.36		0.00	0.00
304.97	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	07/25/2016	08/05/2015	304.97	315.27			-10.30		0.00	0.00
99.14	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	07/25/2016	12/11/2015	99.14	102.52			-3.38		0.00	0.00
225.78	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EJJC2	07/25/2016	07/14/2016	225.78	238.06			-12.28		0.00	0.00
2000.0	MOLSON COORS 4.2% DUE 07-15-2046 07-15-2046 REG									
60871RAH3	07/27/2016	06/28/2016	2,094.74	2,021.68			73.06		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
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2000.0	MOLSON COORS 4.2% DUE 07-15-2046	07-15-2046 REG								
60871RAH3	07/27/2016	Various	2,100.50	2,021.68			78.82		0.00	0.00
2000.0	PLAINS ALL AMERN PIPELN L P/PAA 4.9% 02-15-2045									
72650RBH4	07/28/2016	02/04/2016	1,793.28	1,408.05			385.23		0.00	0.00
3000.0	MACYS RETAIL HLDGS 2.875% DUE 02-15-2023									
55616XAH0	08/01/2016	09/04/2015	2,922.69	2,838.80			83.89		0.00	0.00
19000.0	UTD STATES TREAS .625% DUE 06-30-2018									
912828R93	08/01/2016	06/28/2016	18,979.96	19,004.46			-24.50		0.00	0.00
57000.0	UNITED STATES TREAS NTS DTD 06/30/2016 1.125% DUE 06-30-2021 REG									
912828S27	08/01/2016	Various	57,178.51	57,324.15			-145.64		0.00	0.00
28000.0	UNITED STATES TREAS NTS DTD 06/30/2016 1.375% DUE 06-30-2023 REG									
912828S35	08/01/2016	06/28/2016	28,105.00	28,195.11			-90.11		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 07/31/2016 1.125% 31 JUL 2021									
912828S76	08/01/2016	07/29/2016	5,012.89	5,022.07			-9.18		0.00	0.00
2000.0	UNITED STATES TREAS NTS DTD 08/01/2016 .75% 31 JUL 2018									
912828S68	08/02/2016	08/01/2016	2,003.05	2,002.50			0.55		0.00	0.00
5000.0	CIMAREX ENERGY CO 4.375% DUE 06-01-2024									
171796AC5	08/03/2016	Various	5,177.10	4,900.33			276.77		0.00	0.00

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10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES AUGUST									
01F022485	08/05/2016	07/07/2016	10,348.44	10,358.59			-10.15		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES AUGUST									
01F032484	08/05/2016	07/07/2016	26,445.31	26,478.52			-33.21		0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES AUG									
02R052685	08/05/2016	07/06/2016	34,531.09	34,606.17			-75.08		0.00	0.00
24999.61	GNMA POOL #MA2444 3% 12-20-2044 BEO									
36179QWD9	08/08/2016	07/12/2016	26,201.75	26,130.46			71.29		0.00	0.00
706.87	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATY4	08/15/2016	04/26/2016	706.87	757.01			-50.14		0.00	0.00
20000.02	GNMAII POOL #MA3034 SER 2045 3.5% 08-20-2045									
36179RLP2	08/15/2016	07/12/2016	21,231.28	21,216.43			14.85		0.00	0.00
19200.0	UNITED STATES TREAS BDS DTD 00247 2.5% DUE 02-15-2046 REG									
912810RQ3	08/15/2016	Various	20,311.47	19,211.48			1,099.99		0.00	0.00
36000.0	UNITED STATES TREAS NTS 1.625% DUE 05-15-2026									
912828R36	08/15/2016	Various	36,241.25	35,414.69			826.56		0.00	0.00
62000.0	UNITED STATES TREAS NTS DTD 07/15/2016 .75% DUE 07-15-2019 REG									
912828S43	08/15/2016	Various	61,835.31	61,961.26			-125.95		0.00	0.00

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Recipient's Tax ID Number: XX-XXX3773

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Ref: WXT
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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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42.95	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	08/25/2016	12/17/2015	42.95	43.31			-0.36		0.00	0.00
114.66	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	08/25/2016	12/11/2015	114.66	118.57			-3.91		0.00	0.00
409.93	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVJC2	08/25/2016	07/14/2016	409.93	432.22			-22.29		0.00	0.00
4000.0	GENERAL MTRS CO 6.75% DUE 04-01-2046 04-01-2046									
37045VAL4	08/26/2016	Various	5,165.04	4,121.86			1,043.18		0.00	0.00
17000.0	UNITED STATES TREAS NTS DTD 08/01/2016 7.5% 31 JUL 2018									
912828S68	08/29/2016	08/01/2016	16,979.41	17,021.25			-41.84		0.00	0.00
61000.0	UNITED STATES TREAS NTS DTD 07/31/2016 1.125% 31 JUL 2021									
912828S76	08/29/2016	Various	60,799.84	61,195.79			-395.95		0.00	0.00
34000.0	UNITED STATES TREAS NTS DTD 07/31/2016 1.25% DUE 07-31-2023 REG									
912828S92	08/29/2016	Various	33,575.00	33,834.94			-259.94		0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES SEPTEMBER									
01F030694	09/06/2016	Various	31,101.56	31,061.13			40.43		0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 5.5 30 YEARS SETTLES SEP									
02R052693	09/06/2016	08/05/2016	34,792.66	34,523.83			268.83		0.00	0.00

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5000.0	PLAINS ALL AMER PIPELINE BNDS 4.65% DUE 10-15-2025									
72650RBJ0	09/07/2016	06/23/2016	5,182.75	4,940.65			242.10		0.00	0.00
1000.0	UNITED STATES OF AMER TREAS BONDS DTD 05/15/2016 2.5% DUE 05-15-2046 REG									
912810RS9	09/07/2016	08/15/2016	1,059.22	1,060.00			-0.78		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES SEPTEMBER									
01F022493	09/08/2016	08/05/2016	10,350.00	10,331.64			18.36		0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES SEPTEMBER									
01F032492	09/08/2016	08/05/2016	26,421.88	26,423.83			-1.95		0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 5.5 30 YEARS SETTLES SEP									
02R052693	09/09/2016	09/09/2016	34,884.69	34,884.69			0.00		0.00	0.00
5000.0	UNITED STATES OF AMER TREAS NOTES .75% DUE 08-31-2018									
9128282C3	09/09/2016	09/06/2016	4,995.70	5,001.76			-6.06		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 MAT 30 YEARS SETTLES SEPTEMBER									
21H032696	09/12/2016	08/15/2016	21,170.31	21,201.56			-31.25		0.00	0.00
1000.0	UNITED STATES TREAS NTS 0.75% BDS 15/08/19 USD100 .75% DUE 08-15-2019 REG									
9128282B5	09/13/2016	08/15/2016	994.26	997.20			-2.94		0.00	0.00
1000.0	UNITED STATES OF AMER TREAS NOTES .75% DUE 08-31-2018									
9128282C3	09/13/2016	09/06/2016	998.98	1,000.35			-1.37		0.00	0.00

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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
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CHICAGO, IL 60680

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6000.0	UNITED STATES TREAS NTS 1.125% DUE 08-31-2021 REG									
9128282F6	09/13/2016	08/29/2016	5,966.72	5,983.33			-16.61		0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.125% DUE 08-31-2021 REG									
9128282F6	09/14/2016	08/29/2016	4,981.84	4,986.11			-4.27		0.00	0.00
363.85	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATY4	09/15/2016	04/26/2016	363.85	389.66			-25.81		0.00	0.00
2000.0	UNITED STATES OF AMER TREAS BONDS DTD 05/15/2016 2.5% DUE 05-15-2046 REG									
912810RS9	09/15/2016	08/15/2016	2,004.38	2,120.00			-115.62		0.00	0.00
48000.0	UNITED STATES TREAS NTS 1.125% DUE 08-31-2021 REG									
9128282F6	09/16/2016	08/29/2016	47,868.75	47,866.68			2.07		0.00	0.00
2000.0	UNITED STATES TREAS NTS 1.125% DUE 08-31-2021 REG									
9128282F6	09/19/2016	08/29/2016	1,990.70	1,994.44			-3.74		0.00	0.00
28.31	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	09/26/2016	12/17/2015	28.31	28.55			-0.24		0.00	0.00
110.22	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	09/26/2016	12/11/2015	110.22	113.97			-3.75		0.00	0.00
970.15	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVJC2	09/26/2016	07/14/2016	970.15	1,022.90			-52.75		0.00	0.00

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26-93890

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XX-XXX3773

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1000.0	UNITED STATES TREAS NTS DTD 08/15/2016	1.5% 15 AUG 2026								
9128282A7	09/29/2016	09/07/2016	994.34	997.03			-2.69		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 08/15/2016	1.5% 15 AUG 2026								
9128282A7	09/29/2016	Various	4,973.44	4,984.23			-10.79		0.00	0.00
59000.0	UNITED STATES TREAS NTS 0.75% BDS 15/08/19	USD100 .75% DUE								
9128282B5	08-15-2019 REG 10/03/2016	08/15/2016	58,755.70	58,834.52			-78.82		0.00	0.00
38000.0	UNITED STATES OF AMER TREAS NOTES .75% DUE	08-31-2018								
9128282C3	10/03/2016	Various	37,979.22	37,986.13			-6.91		0.00	0.00
34000.0	UNITED STATES TREAS NTS 1.375 BDS 31/08/23	USD100 1.375 DUE								
9128282D1	08-31-2023 REG 10/03/2016	08/29/2016	33,849.92	33,836.22			13.70		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 09/30/2016	.75% 30 SEP 2018								
912828T42	10/04/2016	10/03/2016	4,992.97	4,996.48			-3.51		0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS	SETTLES OCTOBER								
01F0306A1	10/05/2016	09/06/2016	31,094.53	31,041.80			52.73		0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3% 30 YEARS	SETTLES NOVEMBER								
01F0306B9	10/05/2016	10/05/2016	31,001.95	31,026.56			-24.61		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 2.5 MAT 15 YEARS	SETTLES OCTOBER								
01F0224A0	10/06/2016	09/08/2016	10,328.13	10,333.59			-5.46		0.00	0.00

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25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES OCTOBER									
01F0324A9	10/06/2016	09/08/2016	26,367.19	26,410.16			-42.97		0.00	0.00
20000.0	GNMA II JUMBOS 3.5 30 YEARS SETTLES OCT OCTOBER									
21H0326A3	10/11/2016	09/12/2016	21,196.88	21,153.13			43.75		0.00	0.00
1000.0	DEUTSCHE BK AG 6% DUE 09-01-2017 LONDON NT 6 DUE 09-01-2017 BEO									
25152CMN3	10/13/2016	10/05/2016	1,023.06	1,021.85			1.21		0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 08/15/2016 1.5% 15 AUG 2026									
9128282A7	10/13/2016	08/15/2016	9,794.53	9,965.62			-171.09		0.00	0.00
2000.0	UNITED STATES TREAS NTS DTD 08/15/2016 1.5% 15 AUG 2026									
9128282A7	10/13/2016	08/15/2016	1,957.97	1,993.13			-35.16		0.00	0.00
6000.0	UNITED STATES TREAS NTS WI TREASURY NOTE 875% DUE 09-15-2019 REG									
9128282G4	10/13/2016	10/03/2016	5,979.61	5,995.31			-15.70		0.00	0.00
3000.0	UTD STATES TREAS 1.375% DUE 09-30-2023									
9128282T6	10/13/2016	10/03/2016	2,967.42	2,984.57			-17.15		0.00	0.00
1000.0	DEUTSCHE BK AG 6% DUE 09-01-2017 LONDON NT 6 DUE 09-01-2017 BEO									
25152CMN3	10/17/2016	09/29/2016	1,024.58	1,016.93			7.65		0.00	0.00
935.89	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATY4	10/17/2016	04/26/2016	935.89	1,002.28			-66.39		0.00	0.00

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1000.0	UNITED STATES TREAS NTS DTD 08/15/2016	1.5% 15 AUG 2026								
9128282A7	10/17/2016	08/15/2016	975.78	996.56			-20.78		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES NOVEMBER									
01F0324B7	10/19/2016	10/06/2016	15,814.45	15,809.77			4.68		0.00	0.00
83000.0	UNITED STATES TREAS NTS W/ TREASURY NOTE 8.75% DUE 09-15-2019 REG									
9128282G4	10/24/2016	Various	82,636.88	82,874.23			-237.35		0.00	0.00
3000.0	BK NEW YORK MELLON FLTG RT 4.5% DUE 12-29-2049									
064058AB6	10/25/2016	Various	2,928.75	2,718.23			210.52		0.00	0.00
56.85	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	10/25/2016	12/17/2015	56.85	57.33			-0.48		0.00	0.00
91.36	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	10/25/2016	12/11/2015	91.36	94.47			-3.11		0.00	0.00
903.83	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVCJ2	10/25/2016	07/14/2016	903.83	952.98			-49.15		0.00	0.00
20000.0	GNMA II JUMBOS 3.5% 30 YEARS SETTLES NOVEMBER									
21H0326B1	10/27/2016	10/11/2016	21,155.47	21,175.00			-19.53		0.00	0.00
31000.0	UTD STATES TREAS 1.375% DUE 09-30-2023									
912828T26	10/31/2016	10/03/2016	30,514.06	30,840.60			-326.54		0.00	0.00

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 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

Account Number: 26-93890
 Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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33000.0	UNITED STATES TREAS NTS DTD 09/30/2016 .75% 30 SEP 2018									
912828T42	10/31/2016	10/03/2016	32,930.39	32,976.80			-46.41		0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES NOVEMBER									
01F0306B9	11/08/2016	11/08/2016	30,829.69	30,829.69			0.00		0.00	0.00
3000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	11/08/2016	07/29/2016	1,466.85	1,667.37			-200.52		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES NOVEMBER									
01F0224B8	11/09/2016	Various	15,391.41	15,467.19			-75.78		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES NOVEMBER									
01F0324B7	11/09/2016	10/06/2016	10,537.50	10,539.84			-2.34		0.00	0.00
10000.0	UNITED STATES OF AMER TREAS BONDS DTD 05/15/2016 2.5% DUE 05-15-2046 REG									
912810RS9	11/09/2016	08/15/2016	9,492.58	10,600.00			-1,107.42		0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD .5% DUE 03-31-2017 REG									
912828J92	11/09/2016	09/30/2016	25,000.98	25,003.91			-2.93		0.00	0.00
15000.0	UNITED STATES TREASURY 1.25% DUE 10-31-2021 REG									
912828T67	11/10/2016	Various	14,799.02	14,926.37			-127.35		0.00	0.00
5000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES NOVEMBER									
01F0224B8	11/14/2016	11/14/2016	5,074.22	5,074.22			0.00		0.00	0.00

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THE NORTHERN TRUST COMPANY
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THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

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28000.0	UNITED STATES OF AMER TREAS BONDS DTD 05/15/2016 2.5% DUE 05-15-2046 REG	Various	25,217.52	28,845.83			-3,628.32		0.00	0.00
21000.0	UNITED STATES TREAS NTS DTD 08/15/2016 1.5% 15 AUG 2026	Various	19,619.41	20,916.25			-1,296.84		0.00	0.00
9128282A7										
83000.0	UNITED STATES TREAS NTS DTD 10/15/2016 1.0% 15 OCT 2019		82,419.65	82,948.13			-528.48		0.00	0.00
912828T59										
276.9	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO		276.90	296.54			-19.64		0.00	0.00
31335ATY4										
20000.0	GNMA II JUMBOS 3.5% 30 YEARS SETTLES NOVNOVEMBER		20,981.25	20,981.25			0.00		0.00	0.00
21H0326B1										
5000.0	UNITED STATES TREAS NTS DTD 11/15/2016 2.0% 15 NOV 2026		4,901.95	4,894.92			7.03		0.00	0.00
912828U24										
53.22	FNMA POOL #AS6413 2.5% 01-01-2031 BEO		53.22	53.67			-0.45		0.00	0.00
3138WGD78										
188.3	FNMA POOL #BC0133 3% 12-01-2030 BEO		188.30	194.71			-6.41		0.00	0.00
3140EUEF2										
931.05	FNMA POOL #BC1158 3.5% 02-01-2046 BEO		931.05	981.68			-50.63		0.00	0.00
3140EVJC2										

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30000.0	UNITED STATES TREASURY 1.25% DUE 10-31-2021 REG									
912828T67	11/28/2016	11/09/2016	29,171.57	29,850.00			-678.43		0.00	0.00
33000.0	UNITED STATES TREAS NTS DTD 10/31/2016 .75% 31 OCT 2018									
912828T83	11/28/2016	10/31/2016	32,743.48	32,938.13			-194.65		0.00	0.00
34000.0	UNITED STATES TREAS NTS TREASURY NOTE									
912828T91	11/28/2016	Various	32,897.66	34,004.61			-1,106.95		0.00	0.00
30000.0	UNITED STATES TREAS NTS US TREASURY N/B									
912828U65	11/29/2016	11/28/2016	29,940.23	29,911.01			29.22		0.00	0.00
5000.0	BNSF RY CO BD 6.613 DUE 12-15-2055 /01-15-2011 BEO									
05567SAA0	11/30/2016	04/04/2016	5,743.75	5,650.00			93.75		0.00	0.00
2000.0	DUKE ENERGY CORP 3.75% DUE 09-01-2046									
26441CAT2	12/02/2016	09/15/2016	1,793.36	1,900.00			-106.64		0.00	0.00
3000.0	UNITED STATES TREAS NTS DTD 11/15/2016 2.0% 15 NOV 2026									
912828U24	12/02/2016	11/14/2016	2,899.69	2,936.95			-37.26		0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES DECEMBER									
01F0306C7	12/06/2016	11/10/2016	14,928.52	15,183.98			-255.46		0.00	0.00
5000.0	UNITED STATES TREAS NTS US TREASURY N/B									
912828U65	12/06/2016	11/30/2016	4,979.88	4,983.01			-3.13		0.00	0.00

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26-93890

Account Number:

THE NORTHERN TRUST COMPANY

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P.O. BOX 803878

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15000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES DECEMBER									
01F0224C6	12/12/2016	11/09/2016	15,018.75	15,367.97			-349.22		0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES DECEMBER									
01F0324C5	12/12/2016	11/09/2016	10,406.25	10,530.08			-123.83		0.00	0.00
59000.0	UNITED STATES TREAS NTS DTD 11/15/2016 1.0% 15 NOV 2019									
912828U32	12/14/2016	11/14/2016	58,078.13	58,564.42			-486.29		0.00	0.00
319.89	FHLMC GOLD G60567 4 06-01-2043 0% 06-01-2046 BEO									
31335ATV4	12/15/2016	04/26/2016	319.89	342.58			-22.69		0.00	0.00
24000.0	UNITED STATES TREAS NTS DTD 11/15/2016 1.0% 15 NOV 2019									
912828U32	12/19/2016	11/14/2016	23,643.75	23,822.81			-179.06		0.00	0.00
25000.0	UNITED STATES TREAS NTS US TREASURY N/B									
912828U65	12/19/2016	11/30/2016	24,679.69	24,915.03			-235.34		0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD 11/15/2016 2.0% 15 NOV 2026									
912828U24	12/22/2016	Various	23,805.65	24,303.99			-498.34		0.00	0.00
45000.0	UNITED STATES TREAS NTS DTD 00498 .875% DUE 07-15-2017 REG									
912828WT3	12/22/2016	12/15/2016	45,050.98	45,047.46			3.52		0.00	0.00
609.45	FNMA POOL #BC1158 3.5% 02-01-2046 BEO									
3140EVJC2	12/27/2016	07/14/2016	609.45	642.59			-33.14		0.00	0.00

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HOUSTON, TX 77046-0892

Account Number: 26-93890
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THE NORTHERN TRUST COMPANY
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11000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JANUARY									
01F032617	12/28/2016	12/19/2016	11,206.25	11,152.54			53.71		0.00	0.00
Total Short Term Sales			4,824,473.31	4,821,494.82	0.00	0.00	2,978.47		0.00	0.00

Long Term Sales

34.92	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT									
07388VAE8	1-12-2045 BEO	01/12/2016	01/08/2009	34.92	27.47		7.45		0.00	0.00
5200.35	CMO J P MORGAN CHASE 2006-CIBC14 A-M 5.6301 DUE 12-12-2044 REG									
46625YA29	01/12/2016 05/15/2014			5,200.35	5,560.32		-359.97		0.00	0.00
16.12	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU									
46629YAC3	DUE 5.44 6-12-47	01/12/2016	10/06/2010	16.12	17.24		-1.12		0.00	0.00
931.33	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE									
61749MAV1	08-12-2041 BEO	01/12/2016	05/11/2010	931.33	989.69		-58.36		0.00	0.00
5000.0	CITIGROUP INC 3.75% DUE 06-16-2024									
172967HT1	01/14/2016 12/31/2014			5,070.20	5,119.15		-48.95		0.00	0.00
265.43	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128MBA87	01/15/2016 04/11/2011			265.43	282.19		-16.76		0.00	0.00

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276.62	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	01/15/2016	09/11/2013	276.62	276.57			0.05		0.00	0.00
331.29	HYUNDAI AUTO RECEIVABLES TR 2014-A 3.79 07-16-2018									
44890RAC5	01/15/2016	01/28/2014	331.29	331.23			0.06		0.00	0.00
495.27	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	01/15/2016	07/23/2013	495.27	495.25			0.02		0.00	0.00
755.94	TOYOTA AUTO .67% DUE 12-15-2017									
89231MAC9	01/15/2016	03/11/2014	755.94	755.80			0.14		0.00	0.00
5000.0	TRANSCANADA PIPELINES LTD .75 DUE 01-15-2016									
89352HAH2	01/15/2016	09/17/2014	5,000.00	5,004.80			-4.80		0.00	0.00
10.94	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	01/25/2016	07/27/2009	10.94	10.89			0.05		0.00	0.00
342.21	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO									
3138AKF79	01/25/2016	08/08/2011	342.21	362.53			-20.32		0.00	0.00
153.64	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	01/25/2016	08/08/2014	153.64	152.08			1.56		0.00	0.00
106.9	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	01/25/2016	08/29/2013	106.90	106.96			-0.06		0.00	0.00

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106.49	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	01/25/2016	11/19/2010	106.49	116.24			-9.75		0.00	0.00
16.8	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	01/25/2016	06/09/2010	16.80	18.07			-1.27		0.00	0.00
47.36	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	01/25/2016	06/09/2010	47.36	51.24			-3.88		0.00	0.00
144.32	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	01/25/2016	08/08/2011	144.32	148.83			-4.51		0.00	0.00
241.6	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	01/25/2016	04/04/2011	241.60	253.11			-11.51		0.00	0.00
400.99	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	01/25/2016	03/26/2013	400.99	441.59			-40.60		0.00	0.00
53.45	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	01/25/2016	04/04/2011	53.45	54.48			-1.03		0.00	0.00
5000.0	MONDELEZ INTERNATIONAL 4.125 02-09-2016									
50075NBB9	01/25/2016	03/28/2012	5,003.95	5,436.80			-432.85		0.00	0.00
6000.0	AMERN ELEC PWR CO 1.65% DUE 12-15-2017									
025537AF8	01/28/2016	Various	5,949.72	6,000.66			-50.94		0.00	0.00

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5000.0	VERIZON 3.45% DUE 03-15-2021									
92343VCC6	01/28/2016	09/16/2014	5,155.85	5,114.25			41.60		0.00	0.00
4529.62	AMERICREDIT FLTGT RT .6141% DUE 04-09-2018									
03055KAC5	01/29/2016	01/14/2015	4,528.91	4,529.62			-0.71		0.00	0.00
15000.0	TORONTO DOMINION BK SR MEDIUM TERM BK NTVAR RT 09-09-2016									
89114QAL2	01/29/2016	09/05/2013	15,016.14	15,000.00			16.14		0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 02/15/2013 2% DUE 02-15-2023 REG									
912828UN8	02/01/2016	09/15/2014	5,099.41	4,854.60			244.81		0.00	0.00
11.21	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	02/12/2016	01/08/2009	11.21	8.83			2.38		0.00	0.00
635.43	CMO J P MORGAN CHASE 2006-CIBC14 A-M 5.6301 DUE 12-12-2044 REG									
46625YA29	02/12/2016	05/15/2014	635.43	679.41			-43.98		0.00	0.00
18.01	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	02/12/2016	10/06/2010	18.01	19.26			-1.25		0.00	0.00
423.28	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE 08-12-2041 BEO									
61749MAV1	02/12/2016	05/11/2010	423.28	449.80			-26.52		0.00	0.00
1000.0	NOBLE HLDG INTL LTD 5.25% 15 MAR 2042									
65504LAK3	02/12/2016	06/02/2014	410.00	1,026.43			-616.43		0.00	0.00

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199.95	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128MBA87	02/16/2016	04/11/2011	199.95	212.57			-12.62		0.00	0.00
258.57	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	02/16/2016	09/11/2013	258.57	258.52			0.05		0.00	0.00
298.01	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	02/16/2016	01/28/2014	298.01	297.96			0.05		0.00	0.00
454.74	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	02/16/2016	07/23/2013	454.74	454.72			0.02		0.00	0.00
689.49	TOYOTA AUTO .67% DUE 12-15-2017									
89231MAC9	02/16/2016	03/11/2014	689.49	689.36			0.13		0.00	0.00
11.0	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	02/25/2016	07/27/2009	11.00	10.95			0.05		0.00	0.00
266.99	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	02/25/2016	08/08/2011	266.99	282.84			-15.85		0.00	0.00
176.09	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	02/25/2016	08/08/2014	176.09	174.30			1.79		0.00	0.00
132.06	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	02/25/2016	08/29/2013	132.06	132.13			-0.07		0.00	0.00

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Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
97.81	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	02/25/2016	11/19/2010	97.81	106.77			-8.96		0.00	0.00
16.86	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	02/25/2016	06/09/2010	16.86	18.14			-1.28		0.00	0.00
91.75	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	02/25/2016	06/09/2010	91.75	99.26			-7.51		0.00	0.00
154.88	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	02/25/2016	08/08/2011	154.88	159.72			-4.84		0.00	0.00
243.54	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	02/25/2016	04/04/2011	243.54	255.15			-11.61		0.00	0.00
201.24	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	02/25/2016	03/26/2013	201.24	221.62			-20.38		0.00	0.00
42.06	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	02/25/2016	04/04/2011	42.06	42.87			-0.81		0.00	0.00
5000.0	AMERICAN EXPRESS CREDIT CORP 2.125 DUE 03-18-2019									
0258M0DK2	02/26/2016	07/30/2014	4,987.80	4,992.05			-4.25		0.00	0.00
5000.0	FORD MTR CR CO LLC FLTGT RT MTN DUE 11-08-2016									
34540RAA4	03/09/2016	01/09/2015	4,976.51	4,976.51			0.00		0.00	0.00

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Ref: WXT

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

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THE GORDON A CAIN FOUNDATION
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7164.16	TOYOTA AUTO	.67% DUE 12-15-2017								
89231MAC9	03/09/2016	03/11/2014	7,153.81	7,162.84			-9.03		0.00	0.00
38.26	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT									
07388VAE8	1-12-2045 BEO 03/14/2016	01/08/2009	38.26	30.11			8.15		0.00	0.00
112.51	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU									
46629YAC3	DUE 5.44 6-12-47 03/14/2016	10/06/2010	112.51	120.30			-7.79		0.00	0.00
1152.35	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE									
61749MAV1	08-12-2041 BEO 03/14/2016	05/11/2010	1,152.35	1,224.55			-72.20		0.00	0.00
167.06	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	03/15/2016	04/11/2011	167.06	177.61			-10.55		0.00	0.00
234.91	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	03/15/2016	09/11/2013	234.91	234.87			0.04		0.00	0.00
289.5	HYUNDAI AUTO RECEIVABLES TR 2014-A A3 .79 07-16-2018									
44890RAC5	03/15/2016	01/28/2014	289.50	289.45			0.05		0.00	0.00
435.27	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	03/15/2016	07/23/2013	435.27	435.25			0.02		0.00	0.00
10000 0	US TREAS BD STRIPPED PRIN PMT 05-15-2043REG									
912803EC3	03/17/2016	08/25/2014	4,690.40	4,130.73			559.67		0.00	0.00

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8 GREENWAY PLZ STE 606
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8000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	03/17/2016	12/10/2013	3,790.32	2,585.96			1,204.36		0.00	0.00
5000.0	DIRECTV HLDG/FIN 5 DUE 03-01-2021									
25459HBA2	03/21/2016	03/07/2011	5,005.00	4,976.00			29.00		0.00	0.00
492.65	GNMA POOL #MA2601 3.5% 02-20-2045 BEO									
36179Q3J8	03/21/2016	03/18/2015	492.65	518.13			-25.48		0.00	0.00
538.74	GM FINL AUTOMOBILE 1.1% DUE 12-20-2017									
38013PAB5	03/21/2016	03/18/2015	538.74	538.71			0.03		0.00	0.00
4000.0	DOW CHEM CO 4.25% DUE 11-15-2020									
260543CC5	03/22/2016	11/02/2011	4,334.24	4,101.92			232.32		0.00	0.00
14.1	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	03/25/2016	07/27/2009	14.10	14.04			0.06		0.00	0.00
134.21	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	03/25/2016	08/08/2011	134.21	142.18			-7.97		0.00	0.00
307.68	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	03/25/2016	08/08/2014	307.68	304.56			3.12		0.00	0.00
176.19	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	03/25/2016	08/29/2013	176.19	176.29			-0.10		0.00	0.00

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104.56	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	03/25/2016	11/19/2010	104.56	114.13			-9.57		0.00	0.00
17.18	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	03/25/2016	06/09/2010	17.18	18.48			-1.30		0.00	0.00
14.22	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	03/25/2016	06/09/2010	14.22	15.38			-1.16		0.00	0.00
38.42	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	03/25/2016	08/08/2011	38.42	39.62			-1.20		0.00	0.00
114.87	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	03/25/2016	04/04/2011	114.87	120.34			-5.47		0.00	0.00
142.4	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	03/25/2016	03/26/2013	142.40	156.82			-14.42		0.00	0.00
37.2	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	03/25/2016	04/04/2011	37.20	37.92			-0.72		0.00	0.00
5000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	03/28/2016	12/10/2013	2,432.30	1,618.39			813.91		0.00	0.00
5000.0	KIMCO RLTY CORP 3.125% DUE 06-01-2023									
49446RAK5	03/31/2016	05/27/2014	4,943.25	4,862.96			80.29		0.00	0.00

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5000.0	DUKE RLTY LTD	3.625 DUE 04-15-2023								
26441YAX5	04/01/2016	07/21/2014	5,018.95	4,971.65			47.30		0.00	0.00
1775.9	KENTUCKY ASSET / LIABILITY COMM GEN FD REV 3.165% 04-01-2018 BEO TAXABLE									
491189FC5	04/01/2016	08/18/2010	1,775.90	1,775.90			0.00		0.00	0.00
5000.0	VERIZON NEW YORK	7.375% DUE 04-01-2032 04-01-2032/03-31-2032 BEO								
92344XAB5	04/04/2016	03/14/2013	6,009.60	6,343.60			-334.00		0.00	0.00
99.78	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	04/12/2016	01/08/2009	99.78	78.56			21.22		0.00	0.00
17.76	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	04/12/2016	10/06/2010	17.76	18.99			-1.23		0.00	0.00
645.82	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE 08-12-2041 BEO									
61749MAV1	04/12/2016	05/11/2010	645.82	686.29			-40.47		0.00	0.00
353.75	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128MBA87	04/15/2016	04/11/2011	353.75	376.08			-22.33		0.00	0.00
257.64	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	04/15/2016	09/11/2013	257.64	257.59			0.05		0.00	0.00
319.94	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	04/15/2016	01/28/2014	319.94	319.88			0.06		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

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427.09	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	04/15/2016	07/23/2013	427.09	427.07			0.02		0.00	0.00
606.86	GM FINL AUTOMOBILE 1.1% DUE 12-20-2017									
38013PAB5	04/20/2016	03/18/2015	606.86	606.82			0.04		0.00	0.00
11.12	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	04/25/2016	07/27/2009	11.12	11.07			0.05		0.00	0.00
220.41	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	04/25/2016	08/08/2011	220.41	233.50			-13.09		0.00	0.00
188.76	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	04/25/2016	08/08/2014	188.76	186.84			1.92		0.00	0.00
167.9	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	04/25/2016	08/29/2013	167.90	167.99			-0.09		0.00	0.00
395.9	FNMA POOL #AW8597 3% 08-01-2029 BEO									
3138XYRT3	04/25/2016	04/10/2015	395.90	415.32			-19.42		0.00	0.00
82.88	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	04/25/2016	11/19/2010	82.88	90.47			-7.59		0.00	0.00
16.77	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	04/25/2016	06/09/2010	16.77	18.04			-1.27		0.00	0.00

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8 GREENWAY PLZ STE 606
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182.09	FNMA POOL #983363 6% 08-01-2038 BEO										
31415LML8	04/25/2016	06/09/2010	182.09	197.00			-14.91		0.00	0.00	0.00
169.47	FNMA POOL #AB2270 4% 02-01-2041 BEO										
31416XQY9	04/25/2016	08/08/2011	169.47	174.77			-5.30		0.00	0.00	0.00
8.47	FNMA POOL #AD4333 5% 03-01-2040 BEO										
31418RY70	04/25/2016	04/04/2011	8.47	8.87			-0.40		0.00	0.00	0.00
213.69	FNMA POOL #AD6942 5% 06-01-2040 BEO										
31418UWC4	04/25/2016	03/26/2013	213.69	235.33			-21.64		0.00	0.00	0.00
12.94	FNMA POOL #AE1589 4.5% 10-01-2040 BEO										
31419BXT7	04/25/2016	04/04/2011	12.94	13.19			-0.25		0.00	0.00	0.00
5000.0	JPMORGAN CHASE & 4.4% DUE 07-22-2020										
46625HHS2	05/10/2016	03/26/2014	5,440.95	5,406.55			34.40		0.00	0.00	0.00
11.97	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO										
07388VAE8	05/12/2016	01/08/2009	11.97	9.42			2.55		0.00	0.00	0.00
4.18	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44.6-12-47										
46629YAC3	05/12/2016	10/06/2010	4.18	4.47			-0.29		0.00	0.00	0.00
651.28	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE 08-12-2041 BEO										
61749MAV1	05/12/2016	05/11/2010	651.28	692.09			-40.81		0.00	0.00	0.00

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 HOUSTON, TX 77046-0892

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10000.0	CNH EQUIP TR	1.05% DUE 11-15-2019	11-15-2019							
12632XAC2	05/13/2016	10/16/2014	9,900.00	9,999.61			-99.61		0.00	0.00
10000.0	CAP 1 MULTI-ASSET	2.08% DUE 03-15-2023								
14041NEV9	05/13/2016	05/12/2015	10,000.00	9,999.55			0.45		0.00	0.00
5000.0	RABOBANK NEDERLAND	4.5 DUE 01-11-2021								
21685WBT3	05/13/2016	01/04/2011	5,530.90	4,986.45			544.45		0.00	0.00
19420.25	FNMA POOL #AW8597	3% 08-01-2029 BEO								
3138XYRT3	05/13/2016	04/10/2015	20,321.47	20,373.07			-51.60		0.00	0.00
5000.0	GENERAL ELEC CO	4.125% DUE 10-09-2042								
369604BF9	05/13/2016	Various	5,387.65	4,808.84			578.81		0.00	0.00
6341.31	GM FINL AUTOMOBILE	1.1% DUE 12-20-2017								
38013PAB5	05/13/2016	03/18/2015	6,306.88	6,340.94			-34.06		0.00	0.00
5000.0	JPMORGAN CHASE &	4.4% DUE 07-22-2020								
46625HHS2	05/13/2016	03/26/2014	5,435.60	5,406.55			29.05		0.00	0.00
2000.0	21ST CENTY FOX	6.15% DUE 02-15-2041								
90131HBO7	05/13/2016	11/02/2011	2,460.10	2,304.16			155.94		0.00	0.00
20000.0	CMO SER 12-C9 CL A3	2.87% DUE 11-15-2045REG								
92930RBB7	05/13/2016	Various	20,700.00	20,286.29			413.71		0.00	0.00

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5000.0	DEERE JOHN CAP CORP MEDIUM TERM NTS-BOOKFLTG RATE 1-16-2018									
24422ESU4	05/16/2016	01/13/2015	4,995.06	5,000.00			-4.94		0.00	0.00
223.39	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	05/16/2016	04/11/2011	223.39	237.49			-14.10		0.00	0.00
228.4	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	05/16/2016	09/11/2013	228.40	228.36			0.04		0.00	0.00
283.7	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	05/16/2016	01/28/2014	283.70	283.65			0.05		0.00	0.00
385.04	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	05/16/2016	07/23/2013	385.04	385.03			0.01		0.00	0.00
5000.0	UNITEDHEALTH GROUP 5.95% DUE 02-15-2041									
91324PBQ4	05/16/2016	02/14/2011	6,641.95	4,973.70			1,668.25		0.00	0.00
10000.0	COMM 2015-CCRE22 3.309% DUE 03-10-2048 03-10-2048									
12592X8D7	05/20/2016	03/16/2015	10,411.33	10,299.20			112.13		0.00	0.00
5000.0	CDN PAC RY CO NEW NT 4.45 DUE 03-15-2023									
13645RAK0	05/23/2016	04/13/2015	5,418.75	5,558.25			-139.50		0.00	0.00
5000.0	KEYCORP MEDIUM TERM SR NTS BOOK ENTRY MTN 5.1% DUE 03-24-2021									
49326EED1	05/23/2016	03/28/2012	5,542.45	5,536.60			5.85		0.00	0.00

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Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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5000.0	LINCOLN NATL CORP SR NT 8.75 DUE 07-01-2019									
534187AX7	05/23/2016	03/28/2012	5,912.60	6,384.50			-471.90		0.00	0.00
12.7	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	05/25/2016	07/27/2009	12.70	12.64			0.06		0.00	0.00
325.26	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	05/25/2016	08/08/2011	325.26	344.57			-19.31		0.00	0.00
196.4	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	05/25/2016	08/08/2014	196.40	194.41			1.99		0.00	0.00
186.71	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	05/25/2016	08/29/2013	186.71	186.81			-0.10		0.00	0.00
247.28	FNMA POOL #AW8597 3% 08-01-2029 BEO									
3138XYRT3	05/25/2016	04/10/2015	247.28	259.41			-12.13		0.00	0.00
96.37	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	05/25/2016	11/19/2010	96.37	105.19			-8.82		0.00	0.00
16.85	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	05/25/2016	06/09/2010	16.85	18.12			-1.27		0.00	0.00
357.89	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	05/25/2016	06/09/2010	357.89	387.19			-29.30		0.00	0.00

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THE NORTHERN TRUST COMPANY
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Recipient's Name and Address:
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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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383.4	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	05/25/2016	08/08/2011	383.40	395.38			-11.98		0.00	0.00
8.66	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	05/25/2016	04/04/2011	8.66	9.07			-0.41		0.00	0.00
203.91	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	05/25/2016	03/26/2013	203.91	224.56			-20.65		0.00	0.00
16.23	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	05/25/2016	04/04/2011	16.23	16.54			-0.31		0.00	0.00
5000.0	PPL CAP FDG INC 3.4% DUE 06-01-2023									
69352PAF0	05/26/2016	05/21/2013	5,147.45	4,985.25			162.20		0.00	0.00
5000.0	TELEFONICA SA 5.877% DUE 07-15-2019									
87938WAH6	05/26/2016	03/14/2013	5,540.65	5,507.35			33.30		0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 05/31/2014 375% DUE 05-31-2016 REG									
912828WM8	05/31/2016	09/26/2014	10,000.00	9,992.19			7.81		0.00	0.00
935.26	SMALL BUSINESS ADMIN GTD DEV PARTN CTF PARTN SER 2012-20L CL 1									
83162CVE0	1.93 12-01-2032	06/01/2016	935.26	895.53			39.73		0.00	0.00
5000.0	KINDER MORGAN 6.5% DUE 09-01-2039									
494550BD7	06/06/2016	12/01/2011	5,026.25	5,369.25			-343.00		0.00	0.00

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11.1	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO	06/13/2016	01/08/2009	11.10	8.74		2.36		0.00	0.00
07388VAE8										
541.67	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47	06/13/2016	10/06/2010	541.67	579.16		-37.49		0.00	0.00
46629YAC3										
359.73	CMO MORGAN STANLEY CAP I TR 2006-TOP23 SER 2006-T23 CL-A4 DUE 08-12-2041 BEO	06/13/2016	05/11/2010	359.73	382.27		-22.54		0.00	0.00
61749MAV1										
210.87	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO	06/15/2016	04/11/2011	210.87	224.18		-13.31		0.00	0.00
3128M8A87										
218.15	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018	06/15/2016	09/11/2013	218.15	218.11		0.04		0.00	0.00
44890QAC7										
280.76	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018	06/15/2016	01/28/2014	280.76	280.71		0.05		0.00	0.00
44890RAC5										
392.04	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017	06/15/2016	07/23/2013	392.04	392.02		0.02		0.00	0.00
58768WAC3										
5000.0	PLAINS ALL AMERN 8.75% DUE 05-01-2019	06/23/2016	04/15/2009	5,688.95	5,118.80		570.15		0.00	0.00
72650RAU6										
11.24	FNMA POOL #463205 4.6% 09-01-2019 BEO	06/27/2016	07/27/2009	11.24	11.19		0.05		0.00	0.00
31381KR27										

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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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332.02	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	06/27/2016	08/08/2011	332.02	351.73			-19.71		0.00	0.00
128.13	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	06/27/2016	08/08/2014	128.13	126.83			1.30		0.00	0.00
228.99	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	06/27/2016	08/29/2013	228.99	229.12			-0.13		0.00	0.00
83.37	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	06/27/2016	11/19/2010	83.37	91.00			-7.63		0.00	0.00
17.02	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	06/27/2016	06/09/2010	17.02	18.31			-1.29		0.00	0.00
94.22	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	06/27/2016	06/09/2010	94.22	101.93			-7.71		0.00	0.00
311.73	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	06/27/2016	08/08/2011	311.73	321.47			-9.74		0.00	0.00
74.5	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	06/27/2016	04/04/2011	74.50	78.05			-3.55		0.00	0.00
204.46	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	06/27/2016	03/26/2013	204.46	225.16			-20.70		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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1.85	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	06/27/2016	04/04/2011	1.85	1.89			-0.04		0.00	0.00
3000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG									
912803EE9	07/11/2016	Various	1,673.01	980.36			692.65		0.00	0.00
132.87	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	07/12/2016	01/08/2009	132.87	104.67			28.20		0.00	0.00
204.4	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	07/12/2016	10/06/2010	204.40	218.55			-14.15		0.00	0.00
19352.65	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	07/14/2016	08/29/2013	20,625.70	19,363.25			1,262.45		0.00	0.00
228.1	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	07/15/2016	04/11/2011	228.10	242.50			-14.40		0.00	0.00
211.72	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	07/15/2016	09/11/2013	211.72	211.68			0.04		0.00	0.00
283.67	HYUNDAI AUTO RECEIVABLES TR 2014-A A3 79 07-16-2018									
44890RAC5	07/15/2016	01/28/2014	283.67	283.62			0.05		0.00	0.00
333.71	MERCEDES-BENZ AUTO SER 2013-1 CL A-3.78 DUE 08-15-2017									
58768WAC3	07/15/2016	07/23/2013	333.71	333.70			0.01		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

Account Number:

26-93890

Recipient's Tax ID Number:

XX-XXX3773

THE NORTHERN TRUST COMPANY

P.O. BOX 803878

CHICAGO, IL 60680

☐ 2nd TIN notice

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12.81	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	07/25/2016	07/27/2009	12.81	12.75			0.06		0.00	0.00
275.92	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	07/25/2016	08/08/2011	275.92	292.30			-16.38		0.00	0.00
276.51	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	07/25/2016	08/08/2014	276.51	273.70			2.81		0.00	0.00
301.19	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	07/25/2016	08/29/2013	301.19	301.36			-0.17		0.00	0.00
81.95	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	07/25/2016	11/19/2010	81.95	89.45			-7.50		0.00	0.00
17.87	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	07/25/2016	06/09/2010	17.87	19.22			-1.35		0.00	0.00
278.48	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	07/25/2016	06/09/2010	278.48	301.28			-22.80		0.00	0.00
358.89	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	07/25/2016	08/08/2011	358.89	370.11			-11.22		0.00	0.00
182.82	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	07/25/2016	04/04/2011	182.82	191.53			-8.71		0.00	0.00

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8 GREENWAY PLZ STE 606
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88.06	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	07/25/2016	03/26/2013	88.06	96.98			-8.92		0.00	0.00
27.81	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	07/25/2016	04/04/2011	27.81	28.35			-0.54		0.00	0.00
11.15	CMO BEAR STEARNS COM1L MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	08/12/2016	01/08/2009	11.15	8.79			2.36		0.00	0.00
785.81	CMO J P MORGAN CHASE COM1L MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	08/12/2016	10/06/2010	785.81	840.20			-54.39		0.00	0.00
134.56	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	08/15/2016	04/11/2011	134.56	143.05			-8.49		0.00	0.00
205.29	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	08/15/2016	09/11/2013	205.29	205.25			0.04		0.00	0.00
275.33	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	08/15/2016	01/28/2014	275.33	275.28			0.05		0.00	0.00
11.36	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	08/25/2016	07/27/2009	11.36	11.31			0.05		0.00	0.00
347.11	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO									
3138AKF79	08/25/2016	08/08/2011	347.11	367.72			-20.61		0.00	0.00

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261.55	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	08/25/2016	08/08/2014	261.55	258.89			2.66		0.00	0.00
237.67	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	08/25/2016	08/29/2013	237.67	237.80			-0.13		0.00	0.00
276.44	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	08/25/2016	08/05/2015	276.44	285.78			-9.34		0.00	0.00
67.16	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	08/25/2016	11/19/2010	67.16	73.31			-6.15		0.00	0.00
17.12	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	08/25/2016	06/09/2010	17.12	18.41			-1.29		0.00	0.00
244.7	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	08/25/2016	06/09/2010	244.70	264.74			-20.04		0.00	0.00
616.12	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	08/25/2016	08/08/2011	616.12	635.37			-19.25		0.00	0.00
308.7	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	08/25/2016	04/04/2011	308.70	323.41			-14.71		0.00	0.00
211.5	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	08/25/2016	03/26/2013	211.50	232.91			-21.41		0.00	0.00

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29.39	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	08/25/2016	04/04/2011	29.39	29.96			-0.57		0.00	0.00
0.01	FNMA POOL #AS0353 3.5% 09-01-2043 BEO									
3138W9MB3	08/26/2016	08/29/2013	0.01	0.01			0.00		0.00	0.00
4000.0	WELLS FARGO & CO 5.9% DUE 12-29-2049 12-29-2049									
949746RG8	09/07/2016	09/19/2014	4,265.00	4,155.00			110.00		0.00	0.00
631.65	CMO BEAR STEARNS COM1 MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	09/12/2016	01/08/2009	631.65	497.86			133.79		0.00	0.00
2805.25	CMO J P MORGAN CHASE COM1 MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	09/12/2016	Various	2,805.25	2,750.75			54.50		0.00	0.00
206.38	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	09/15/2016	04/11/2011	206.38	219.41			-13.03		0.00	0.00
194.38	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	09/15/2016	09/11/2013	194.38	194.35			0.03		0.00	0.00
259.04	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	09/15/2016	01/28/2014	259.04	258.99			0.05		0.00	0.00
11.41	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	09/26/2016	07/27/2009	11.41	11.36			0.05		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusp Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
151.55	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	09/26/2016	08/08/2011	151.55	160.55			-9.00		0.00	0.00
378.66	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	09/26/2016	08/08/2014	378.66	374.81			3.85		0.00	0.00
518.05	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	09/26/2016	08/05/2015	518.05	535.55			-17.50		0.00	0.00
104.73	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	09/26/2016	11/19/2010	104.73	114.32			-9.59		0.00	0.00
17.4	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	09/26/2016	06/09/2010	17.40	18.72			-1.32		0.00	0.00
97.29	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	09/26/2016	06/09/2010	97.29	105.26			-7.97		0.00	0.00
160.61	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	09/26/2016	08/08/2011	160.61	165.63			-5.02		0.00	0.00
103.64	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	09/26/2016	04/04/2011	103.64	108.58			-4.94		0.00	0.00
21.77	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	09/26/2016	03/26/2013	21.77	23.97			-2.20		0.00	0.00

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Ref: WXT

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
49.45	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	09/26/2016	04/04/2011	49.45	50.41			-0.96		0.00	0.00
346.85	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO									
07388VAE8	10/12/2016	01/08/2009	346.85	273.45			73.40		0.00	0.00
2180.86	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47									
46629YAC3	10/13/2016	07/23/2009	2,180.86	1,780.10			400.76		0.00	0.00
178.99	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	10/17/2016	04/11/2011	178.99	190.29			-11.30		0.00	0.00
193.63	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	10/17/2016	09/11/2013	193.63	193.60			0.03		0.00	0.00
245.75	HYUNDAI AUTO RECEIVABLES TR 2014-A A3 79 07-16-2018									
44890RAC5	10/17/2016	01/28/2014	245.75	245.71			0.04		0.00	0.00
5000.0	BK NEW YORK MELLON FLTGT RT 4.5% DUE 12-29-2049									
064058AB6	10/24/2016	10/28/2014	4,875.00	4,750.00			125.00		0.00	0.00
12.98	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	10/25/2016	07/27/2009	12.98	12.92			0.06		0.00	0.00
404.37	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO									
3138AKF79	10/25/2016	08/08/2011	404.37	428.38			-24.01		0.00	0.00

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Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
276.67	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	10/25/2016	08/08/2014	276.67	273.86			2.81		0.00	0.00
379.45	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	10/25/2016	08/05/2015	379.45	392.27			-12.82		0.00	0.00
79.94	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	10/25/2016	11/19/2010	79.94	87.26			-7.32		0.00	0.00
17.53	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	10/25/2016	06/09/2010	17.53	18.86			-1.33		0.00	0.00
121.18	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	10/25/2016	06/09/2010	121.18	131.10			-9.92		0.00	0.00
36.07	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	10/25/2016	08/08/2011	36.07	37.20			-1.13		0.00	0.00
7.95	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	10/25/2016	04/04/2011	7.95	8.33			-0.38		0.00	0.00
209.31	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	10/25/2016	03/26/2013	209.31	230.50			-21.19		0.00	0.00
51.33	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	10/25/2016	04/04/2011	51.33	52.32			-0.99		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

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THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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Description of property

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7000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP	11-15-2043	REG							
912803EE9	11/08/2016	12/31/2013	3,422.65	2,308.77			1,113.88		0.00	0.00
2313.34	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT									
07388VAE8	11/14/2016	01/08/2009	2,313.34	1,824.26			489.08		0.00	0.00
2503.13	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU									
46629YAC3	DUE 5.44 6-12-47 11/14/2016	07/23/2009	2,503.13	2,043.53			459.60		0.00	0.00
182.33	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	11/15/2016	04/11/2011	182.33	193.84			-11.51		0.00	0.00
159.12	HYUNDAI AUTO 1.01% DUE 02-15-2018 02-15-2018									
44890QAC7	11/15/2016	09/11/2013	159.12	159.09			0.03		0.00	0.00
230.95	HYUNDAI AUTO RECEIVABLES TR 2014-A A3.79 07-16-2018									
44890RAC5	11/15/2016	01/28/2014	230.95	230.91			0.04		0.00	0.00
11.53	FNMA POOL #463205 4.6% 09-01-2019 BEO									
31381KR27	11/25/2016	07/27/2009	11.53	11.48			0.05		0.00	0.00
244.11	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO									
3138AKF79	11/25/2016	08/08/2011	244.11	258.60			-14.49		0.00	0.00
231.66	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	11/25/2016	08/08/2014	231.66	229.31			2.35		0.00	0.00

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Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
431.53	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	11/25/2016	08/05/2015	431.53	446.11			-14.58		0.00	0.00
52.8	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	11/25/2016	11/19/2010	52.80	57.63			-4.83		0.00	0.00
17.65	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	11/25/2016	06/09/2010	17.65	18.98			-1.33		0.00	0.00
99.32	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	11/25/2016	06/09/2010	99.32	107.45			-8.13		0.00	0.00
148.5	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	11/25/2016	08/08/2011	148.50	153.14			-4.64		0.00	0.00
8.13	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	11/25/2016	04/04/2011	8.13	8.52			-0.39		0.00	0.00
397.42	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	11/25/2016	03/26/2013	397.42	437.66			-40.24		0.00	0.00
61.9	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	11/25/2016	04/04/2011	61.90	63.10			-1.20		0.00	0.00
5000.0	CITIGROUP INC 3.75% DUE 06-16-2024									
172967HT1	11/28/2016	12/09/2014	5,117.15	5,112.55			4.60		0.00	0.00

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-93890
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
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CHICAGO, IL 60680

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1160.6	SMALL BUSINESS ADMIN GTD DEV PARTN CTF PARTN SER 2012-20L CL 1									
83162CVE0	1.93 12-01-2032	05/20/2014	1,160.60	1,112.54			48.06		0.00	0.00
1186.94	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT									
07388VAE8	1-12-2045 BEO	12/12/2016	1,186.94	936.21			250.73		0.00	0.00
2604.35	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU									
46629YAC3	DUE 5.44 6-12-47	07/23/2009	2,604.35	2,126.50			477.85		0.00	0.00
149.98	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO									
3128M8A87	12/15/2016	04/11/2011	149.98	159.45			-9.47		0.00	0.00
218.23	HYUNDAI AUTO RECEIVABLES TR 2014-A A3 .79 07-16-2018									
44890RAC5	12/15/2016	01/28/2014	218.23	218.19			0.04		0.00	0.00
13.1	FNMA POOL #463205 4 6% 09-01-2019 BEO									
31381KR27	12/27/2016	07/27/2009	13.10	13.04			0.06		0.00	0.00
456.12	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO									
3138AKF79	12/27/2016	08/08/2011	456.12	483.20			-27.08		0.00	0.00
351.79	FNMA POOL #AS0774 3% 10-01-2043 BEO									
3138W92G4	12/27/2016	08/08/2014	351.79	348.22			3.57		0.00	0.00
37.19	FNMA POOL #AS6413 2.5% 01-01-2031 BEO									
3138WGD78	12/27/2016	12/17/2015	37.19	37.50			-0.31		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Account Number: 26-93890
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8 GREENWAY PLZ STE 606
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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
535.79	FNMA POOL #AZ0862 3.5% 07-01-2045 BEO									
3138YR5Y0	12/27/2016	08/05/2015	535.79	553.89			-18.10		0.00	0.00
193.04	FNMA POOL #BC0133 3% 12-01-2030 BEO									
3140EUEF2	12/27/2016	12/11/2015	193.04	199.62			-6.58		0.00	0.00
67.91	FNMA POOL #889691 6% 07-01-2038 BEO									
31410KNG5	12/27/2016	11/19/2010	67.91	74.13			-6.22		0.00	0.00
17.92	FNMA POOL #932268 5.5% 11-01-2039 BEO									
31412QW54	12/27/2016	06/09/2010	17.92	19.28			-1.36		0.00	0.00
11.93	FNMA POOL #983363 6% 08-01-2038 BEO									
31415LML8	12/27/2016	06/09/2010	11.93	12.91			-0.98		0.00	0.00
474.73	FNMA POOL #AB2270 4% 02-01-2041 BEO									
31416XQY9	12/27/2016	08/08/2011	474.73	489.57			-14.84		0.00	0.00
93.82	FNMA POOL #AD4333 5% 03-01-2040 BEO									
31418RY70	12/27/2016	04/04/2011	93.82	98.29			-4.47		0.00	0.00
180.11	FNMA POOL #AD6942 5% 06-01-2040 BEO									
31418UWC4	12/27/2016	03/26/2013	180.11	198.35			-18.24		0.00	0.00
5.98	FNMA POOL #AE1589 4.5% 10-01-2040 BEO									
31419BXT7	12/27/2016	04/04/2011	5.98	6.10			-0.12		0.00	0.00
Total Long Term Sales			372,377.57	363,543.23	0.00	0.00	8,834.34		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Account Number: 26-95403
Recipient's Tax ID Number: XX-XXX3773

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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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2016 Proceeds from Broker and Barter Exchange Transactions

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales										
1333.0	WILLIAMS COS INC									
969457100	01/12/2016	Various	21,771.35	64,815.82			-43,044.47		0.00	0.00
428.0	GAMESTOP CORP CL A COM									
36467W109	01/14/2016	11/30/2015	11,070.27	15,204.53			-4,134.26		0.00	0.00
3093.0	GAMESTOP CORP CL A COM									
36467W109	01/14/2016	Various	79,316.05	109,532.24			-30,216.19		0.00	0.00
0.08	#REORG/CALIFORNIA RES REVERSE STOCK SPLIT CALIFORNIA RES									
13057Q107	2113AJ16/1/2016	07/29/2015	0.08	0.10			-0.02		0.00	0.00
191.0	MCDONALDS CORP									
580135101	04/05/2016	10/06/2015	24,184.82	19,435.47			4,749.35		0.00	0.00
766.0	VIACOM INC									
92553P201	04/05/2016	09/03/2015	29,672.05	32,789.09			-3,117.04		0.00	0.00
3109.0	VIACOM INC									
92553P201	04/05/2016	Various	120,401.48	136,525.11			-16,123.63		0.00	0.00
163.0	#REORG/CALIFORNIA RES REVERSE STOCK SPLIT CALIFORNIA RES									
13057Q107	2113AJ16/1/2016	07/29/2015	195.70	201.65			-5.95		0.00	0.00
2317.0	SEAGATE TECHNOLOGY PLC COM USD0.00001									
G7945M107	04/14/2016	11/30/2015	64,137.33	82,593.18			-18,455.85		0.00	0.00

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1230.0	SEAGATE TECHNOLOGY PLC COM USD0.000001									
G7945M107	04/14/2016	Various	34,677.00	44,093.62			-9,416.62		0.00	0.00
13.0	AMGEN INC									
031162100	05/13/2016	03/22/2016	1,980.11	1,958.36			21.75		0.00	0.00
60.0	BB&T CORP									
054937107	05/13/2016	05/28/2015	1,980.55	2,391.59			-411.04		0.00	0.00
29.0	BOEING CO									
097023105	05/13/2016	09/16/2015	3,833.42	3,961.31			-127.89		0.00	0.00
96.0	CMS ENERGY CORP									
125896100	05/13/2016	01/14/2016	4,017.51	3,496.99			520.52		0.00	0.00
128.0	CISCO SYS INC									
17275R102	05/13/2016	04/19/2016	3,386.80	3,632.85			-246.05		0.00	0.00
83.0	COCA COLA CO									
191216100	05/13/2016	02/10/2016	3,754.00	3,547.84			206.16		0.00	0.00
21.0	CROWN CASTLE INTL CORP NEW COM									
22822V101	05/13/2016	04/19/2016	1,884.07	1,847.47			36.60		0.00	0.00
24.0	GENERAL MILLS INC									
370334104	05/13/2016	11/30/2015	1,543.28	1,393.78			149.50		0.00	0.00

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Account Number: 26-95403
Recipient's Tax ID Number: XX-XXX3773

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

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47.0	GENUINE PARTS CO									
372460105	05/13/2016	02/10/2016	4,510.49	4,079.88			430.61		0.00	0.00
50.0	GLAXO PLC									
37733W105	05/13/2016	04/14/2016	2,091.45	2,128.88			-37.43		0.00	0.00
45.0	J P MORGAN CHASE & CO									
46625H100	05/13/2016	01/14/2016	2,748.99	2,604.16			144.83		0.00	0.00
44.0	LAMAR ADVERTISING CO NEW CL A CL A									
512816109	05/13/2016	04/06/2016	2,775.01	2,729.98			45.03		0.00	0.00
20.0	LOCKHEED MARTIN CORP									
539830109	05/13/2016	02/10/2016	4,839.18	4,314.49			524.69		0.00	0.00
17.0	MACQUARIE INFRASTRUCTURE CORP MEMBERSHIP INT COM STK									
55608B105	05/13/2016	06/30/2015	1,177.90	1,344.84			-166.94		0.00	0.00
97.0	MATTTEL INC									
577081102	05/13/2016	01/14/2016	2,992.38	2,514.08			478.30		0.00	0.00
44.0	MERCK & CO INC									
58933Y105	05/13/2016	04/05/2016	2,369.34	2,399.82			-30.48		0.00	0.00
60.0	MICROSOFT CORP COM									
594918104	05/13/2016	10/07/2015	3,062.93	2,796.51			266.42		0.00	0.00

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THE GORDON A CAIN FOUNDATION

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CHICAGO, IL 60680

HOUSTON, TX 77046-0892

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13.0	MID-AMER APT CMNTYS INC COM									
59522J103	05/13/2016	11/05/2015	1,325.45	1,119.45			206.00		0.00	0.00
15.0	NEXTERA ENERGY INC COM									
65339F101	05/13/2016	09/16/2015	1,808.51	1,462.65			345.86		0.00	0.00
15.0	OCCIDENTAL PETROLEUM CORP									
674599105	05/13/2016	07/29/2015	1,128.72	1,055.60			73.12		0.00	0.00
27.0	PAYCHEX INC									
704326107	05/13/2016	10/28/2015	1,395.32	1,411.87			-16.55		0.00	0.00
87.0	PEOPLES UTD FINL INC COM									
712704105	05/13/2016	10/28/2015	1,304.97	1,442.95			-137.98		0.00	0.00
28.0	PEPSICO INC									
713448108	05/13/2016	05/28/2015	2,908.57	2,709.84			198.73		0.00	0.00
144.0	PFIZER INC									
717081103	05/13/2016	03/22/2016	4,769.17	4,379.93			389.24		0.00	0.00
57.0	PROCTER & GAMBLE CO									
742718109	05/13/2016	02/10/2016	4,621.45	4,683.54			-62.09		0.00	0.00
23.0	ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	05/13/2016	11/30/2015	1,150.89	1,153.74			-2.85		0.00	0.00

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15.0	SCHLUMBERGER LTD ISIN #AN8068571086									
806857108	05/13/2016	08/27/2015	1,087.62	1,099.32			-11.70		0.00	0.00
9.0	SIMON PPTY GROUP INC NEW									
828806109	05/13/2016	07/28/2015	1,773.14	1,675.14			98.00		0.00	0.00
35.0	WAL MART STORES INC									
931142103	05/13/2016	04/14/2016	2,272.15	2,415.69			-143.54		0.00	0.00
1601.0	SCHLUMBERGER LTD ISIN #AN8068571086									
806857108	05/25/2016	08/27/2015	123,429.12	117,333.60			6,095.52		0.00	0.00
324.0	NEXTERA ENERGY INC COM									
65339F101	07/14/2016	09/16/2015	41,058.55	31,593.28			9,465.27		0.00	0.00
713.0	GENERAL MILLS INC									
370334104	08/04/2016	Various	50,085.44	41,239.75			8,845.69		0.00	0.00
524.0	GENUINE PARTS CO									
372460105	08/04/2016	Various	52,817.52	44,647.26			8,170.26		0.00	0.00
274.0	GENUINE PARTS CO									
372460105	08/04/2016	02/10/2016	27,589.82	23,784.81			3,805.01		0.00	0.00
541.0	GENUINE PARTS CO									
372460105	08/05/2016	09/09/2015	54,921.66	45,352.35			9,569.31		0.00	0.00

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CHICAGO, IL 60680

HOUSTON, TX 77046-0892

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445.0	GENUINE PARTS CO								
372460105	08/05/2016	09/09/2015	45,241.58	37,304.61			7,936.97	0.00	0.00
625.0	GENUINE PARTS CO								
372460105	08/08/2016	Various	63,555.24	50,058.15			13,497.09	0.00	0.00
528.0	MID-AMER APT CMNTYS INC COM								
59522J103	10/07/2016	Various	45,184.93	45,461.44			-276.51	0.00	0.00
941.0	MID-AMER APT CMNTYS INC COM								
59522J103	10/07/2016	Various	80,331.41	80,862.25			-530.84	0.00	0.00
39.0	CMS ENERGY CORP								
125896100	10/31/2016	01/14/2016	1,640.11	1,420.65			219.46	0.00	0.00
104.0	CISCO SYS INC								
17275R102	10/31/2016	06/08/2016	3,187.70	3,041.34			146.36	0.00	0.00
20.0	CROWN CASTLE INTL CORP NEW COM								
22822V101	10/31/2016	07/07/2016	1,826.96	2,034.70			-207.74	0.00	0.00
27.0	DOW CHEMICAL CO								
260543103	10/31/2016	06/07/2016	1,451.75	1,454.20			-2.45	0.00	0.00
76.0	GLAXO PLC								
37733W105	10/31/2016	07/07/2016	3,043.05	3,306.30			-263.25	0.00	0.00

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32.0	INTERNATIONAL PAPER CO									
460146103	10/31/2016	06/07/2016	1,438.04	1,407.87			30.17		0.00	0.00
22.0	J P MORGAN CHASE & CO									
46625H100	10/31/2016	10/07/2016	1,525.00	1,498.81			26.19		0.00	0.00
32.0	LAMAR ADVERTISING CO NEW CL A CL A									
512816109	10/31/2016	04/06/2016	2,025.23	1,978.04			47.19		0.00	0.00
11.0	LOCKHEED MARTIN CORP									
539830109	10/31/2016	02/10/2016	2,709.35	2,372.97			336.38		0.00	0.00
77.0	MATTEL INC									
577081102	10/31/2016	06/29/2016	2,429.29	2,340.46			88.83		0.00	0.00
34.0	MERC & CO INC									
58933Y105	10/31/2016	06/08/2016	2,002.21	1,961.34			40.87		0.00	0.00
27.0	MICROSOFT CORP COM									
594918104	10/31/2016	10/07/2016	1,621.85	1,561.60			60.25		0.00	0.00
23.0	OCCIDENTAL PETROLEUM CORP									
674599105	10/31/2016	05/24/2016	1,670.91	1,750.79			-79.88		0.00	0.00
142.0	PFIZER INC									
717081103	10/31/2016	07/07/2016	4,506.98	5,088.26			-581.28		0.00	0.00

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28.0	PROCTER & GAMBLE CO									
742718109	10/31/2016	02/10/2016	2,431.46	2,300.69			130.77		0.00	0.00
24.0	WAL MART STORES INC									
931142103	10/31/2016	04/14/2016	1,679.96	1,656.48			23.48		0.00	0.00
598.0	OCCIDENTAL PETROLEUM CORP									
674599105	11/02/2016	05/24/2016	40,397.25	45,520.54			-5,123.29		0.00	0.00
1022.0	GLAXO PLC									
37733W105	11/23/2016	Various	38,874.91	44,232.54			-5,357.63		0.00	0.00
1700.0	GLAXO PLC									
37733W105	11/23/2016	Various	64,582.44	72,379.81			-7,797.37		0.00	0.00
25.0	AMGEN INC									
031162100	12/14/2016	03/22/2016	3,716.02	3,766.07			-50.05		0.00	0.00
58.0	BOEING CO									
097023105	12/14/2016	11/02/2016	8,985.14	8,249.19			735.95		0.00	0.00
111.0	CMS ENERGY CORP									
125896100	12/14/2016	01/14/2016	4,537.84	4,043.40			494.44		0.00	0.00
287.0	CISCO SYS INC									
17275R102	12/14/2016	06/08/2016	8,763.23	8,392.94			370.29		0.00	0.00

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161.0	COCA COLA CO									
191216100	12/14/2016	07/19/2016	6,643.63	7,343.42			-699.79		0.00	0.00
50.0	CROWN CASTLE INTL CORP NEW COM									
22822V101	12/14/2016	07/07/2016	4,318.04	5,082.23			-764.19		0.00	0.00
91.0	DOW CHEMICAL CO									
260543103	12/14/2016	06/07/2016	5,257.93	4,901.18			356.75		0.00	0.00
52.0	EPR PTYS COM SH BEN INT COM SH BEN INT									
26884U109	12/14/2016	Various	3,613.88	3,612.44			1.44		0.00	0.00
94.0	GLAXO PLC									
37733W105	12/14/2016	04/14/2016	3,576.97	3,989.72			-412.75		0.00	0.00
38.0	INTL BUSINESS MACHINES CORP									
459200101	12/14/2016	08/04/2016	6,411.22	6,129.74			281.48		0.00	0.00
105.0	INTERNATIONAL PAPER CO									
460146103	12/14/2016	11/16/2016	5,582.57	5,046.49			536.08		0.00	0.00
99.0	J P MORGAN CHASE & CO									
46625H100	12/14/2016	10/07/2016	8,393.00	6,744.66			1,648.34		0.00	0.00
92.0	LAMAR ADVERTISING CO NEW CL A CL A									
512816109	12/14/2016	04/06/2016	6,208.83	5,686.88			521.95		0.00	0.00

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47.0	ELI LILLY & CO									
532457108	12/14/2016	11/23/2016	3,181.36	3,127.26			54.10		0.00	0.00
31.0	LOCKHEED MARTIN CORP									
539830109	12/14/2016	02/10/2016	7,842.73	6,687.46			1,155.27		0.00	0.00
166.0	MATTEL INC									
577081102	12/14/2016	06/29/2016	4,920.31	4,982.59			-62.28		0.00	0.00
102.0	MERCK & CO INC									
58933Y105	12/14/2016	06/08/2016	6,310.87	5,884.01			426.86		0.00	0.00
85.0	METLIFE INC									
59156R108	12/14/2016	10/21/2016	4,805.23	3,947.63			857.60		0.00	0.00
174.0	MICROSOFT CORP COM									
594918104	12/14/2016	10/07/2016	10,939.47	10,063.62			875.85		0.00	0.00
49.0	OCCIDENTAL PETROLEUM CORP									
674599105	12/14/2016	05/24/2016	3,484.73	3,729.94			-245.21		0.00	0.00
288.0	PFIZER INC									
717081103	12/14/2016	07/07/2016	9,438.99	10,319.85			-880.86		0.00	0.00
82.0	PROCTER & GAMBLE CO									
742718109	12/14/2016	02/10/2016	6,942.05	6,737.73			204.32		0.00	0.00

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157.0	SOUTHERN CO									
842587107	12/14/2016	07/14/2016	7,631.03	8,391.16			-760.13		0.00	0.00
67.0	TUPPERWARE CORP									
899896104	12/14/2016	08/08/2016	3,673.94	4,325.96			-652.02		0.00	0.00
71.0	WAL MART STORES INC									
931142103	12/14/2016	04/14/2016	5,073.64	4,900.40			173.24		0.00	0.00
119.0	WELLS FARGO & CO NEW									
949746101	12/14/2016	06/29/2016	6,541.73	5,531.24			1,010.49		0.00	0.00
Total Short Term Sales			1,379,973.60	1,443,505.46	0.00	0.00	-63,531.86		0.00	0.00
Long Term Sales										
581.0	CONOCOPHILLIPS									
20825C104	01/12/2016	Various	23,615.05	34,929.00			-11,313.95		0.00	0.00
3556.0	WILLIAMS COS INC									
969457100	01/12/2016	Various	58,078.72	122,219.41			-64,140.69		0.00	0.00
1138.0	DOW CHEMICAL CO									
260543103	01/14/2016	01/07/2013	49,306.13	38,173.30			11,132.83		0.00	0.00

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1022.0	DOW CHEMICAL CO									
260543103	01/14/2016	01/07/2013	44,216.52	34,282.17			9,934.35		0.00	0.00
46.0	CONOCOPHILLIPS									
20825C104	02/10/2016	12/22/2010	1,534.61	2,343.51			-808.90		0.00	0.00
2308.0	CONOCOPHILLIPS									
20825C104	02/10/2016	Various	76,997.58	131,244.90			-54,247.32		0.00	0.00
1037.0	CONOCOPHILLIPS									
20825C104	02/10/2016	Various	34,633.90	21,285.54			13,348.36		0.00	0.00
479.0	CONOCOPHILLIPS									
20825C104	02/10/2016	09/13/2011	15,997.72	23,765.42			-7,767.70		0.00	0.00
317.0	KIMBERLY CLARK CORP									
494368103	03/22/2016	Various	42,238.93	20,565.17			21,673.76		0.00	0.00
1560.0	REPUBLIC SVCS INC									
760759100	03/22/2016	11/07/2013	74,331.59	53,377.58			20,954.01		0.00	0.00
1513.0	REPUBLIC SVCS INC									
760759100	03/22/2016	11/07/2013	72,001.48	51,769.41			20,232.07		0.00	0.00
88.0	MCDONALDS CORP									
580135101	04/05/2016	Various	11,142.75	8,549.57			2,593.18		0.00	0.00

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2016 Tax Information Statement

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Account Number: 26-95403
Recipient's Tax ID Number: XX-XXX3773

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

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275.0	DIGITAL RLTY TR INC COM									
253868103	04/06/2016	11/10/2014	24,481.34	18,859.69			5,621.65		0.00	0.00
272.0	DIGITAL RLTY TR INC COM									
253868103	04/06/2016	Various	24,223.14	16,318.90			7,904.24		0.00	0.00
719.0	WELLS FARGO & CO NEW									
949746101	04/06/2016	05/09/2013	34,158.72	27,540.29			6,618.43		0.00	0.00
343.0	DIGITAL RLTY TR INC COM									
253868103	04/19/2016	05/16/2014	30,351.89	20,240.70			10,111.19		0.00	0.00
280.0	MFC ISHARES TR BOX USD INVT GRADE CORPBD ETF									
464287242	04/19/2016	04/01/2011	33,507.36	30,338.00			3,169.36		0.00	0.00
879.0	LEGGETT & PLATT INC									
524660107	04/19/2016	09/11/2014	41,797.11	30,968.23			10,828.88		0.00	0.00
1193.0	LEGGETT & PLATT INC									
524660107	04/19/2016	Various	56,645.26	42,232.48			14,412.78		0.00	0.00
1172.0	LEGGETT & PLATT INC									
524660107	04/19/2016	Various	55,683.90	41,189.52			14,494.38		0.00	0.00
106.0	AT&T INC									
00206R102	05/13/2016	02/12/2015	4,150.33	3,659.25			491.08		0.00	0.00

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HOUSTON, TX 77046-0892

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23.0	ABBVIE INC COM USD0.01									
00287Y109	05/13/2016	02/19/2013	1,421.36	871.99			549.37		0.00	0.00
10.0	ALLSTATE CORP DEP SH REPSTG 1/1000TH PERP PFD SER E									
020002879	05/13/2016	09/15/2014	279.39	258.20			21.19		0.00	0.00
82.0	ALTRIA GROUP INC									
02209S103	05/13/2016	09/13/2011	5,288.06	2,148.40			3,139.66		0.00	0.00
15.0	BANK AMER CORP DEP SHS REPSTG 1/1000TH PFD SER W 6.625%									
060505344	05/13/2016	01/07/2015	398.99	390.64			8.35		0.00	0.00
15.0	CAP 1 FINL CORP DEPOSITARY SHS REPSTG 1/40TH INT PERP PFD SER C 6.25%									
14040H600	05/13/2016	02/04/2015	397.34	382.87			14.47		0.00	0.00
90.0	CENTERPOINT ENERGY INC COM									
15189T107	05/13/2016	03/08/2013	1,973.65	1,960.30			13.35		0.00	0.00
23.0	CHEVRONTEXACO CORP COM									
166764100	05/13/2016	12/13/2013	2,313.28	2,770.46			-457.18		0.00	0.00
21.0	CINCINNATI FINANCIAL CORP									
172062101	05/13/2016	12/12/2014	1,418.51	1,079.11			339.40		0.00	0.00
21.0	DIGITAL RLTY TR INC COM									
253868103	05/13/2016	05/16/2014	1,971.43	1,239.23			732.20		0.00	0.00

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29.0	DOMINION RES INC VA NEW									
25746U109	05/13/2016	02/11/2015	2,089.40	2,194.51			-105.11		0.00	0.00
38.0	DUKE ENERGY CORP NEW COM NEW									
26441C204	05/13/2016	03/07/2013	3,063.87	2,647.96			415.91		0.00	0.00
19.0	EPR PPTYS COM SH BEN INT COM SH BEN INT									
26884U109	05/13/2016	06/03/2014	1,339.66	1,028.70			310.96		0.00	0.00
88.0	EXXON MOBIL CORP									
30231G102	05/13/2016	01/13/2015	7,793.99	7,958.67			-164.68		0.00	0.00
128.0	GENERAL ELECTRIC CO									
369604103	05/13/2016	Various	3,782.31	3,318.65			463.66		0.00	0.00
11.0	GOLDMAN SACHS DEPOSITORY SHS REPSTG 1/1000TH PERP PFD SER I 5.95%									
38145G209	05/13/2016	09/22/2014	283.24	266.20			17.04		0.00	0.00
65.0	INTEL CORP COM									
458140100	05/13/2016	12/12/2011	1,938.90	1,554.80			384.10		0.00	0.00
17.0	MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	05/13/2016	04/01/2011	2,039.10	1,841.95			197.15		0.00	0.00
19.0	MFC ISHARES IBOXX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	05/13/2016	07/19/2011	1,573.73	1,729.89			-156.16		0.00	0.00

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55.0	MFC ISHARES U.S. PREFERRED STOCK ETF									
464288687	05/13/2016	03/28/2013	2,153.75	2,228.49			-74.74		0.00	0.00
12.0	JOHNSON & JOHNSON									
478160104	05/13/2016	02/14/2013	1,361.85	910.45			451.40		0.00	0.00
11.0	JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	05/13/2016	07/29/2014	278.29	256.00			22.29		0.00	0.00
10.0	JPMORGAN CHASE & DEPOSITARY SH REPSTG 1/400TH PFD SER T 6.70%									
48127A161	05/13/2016	10/09/2014	277.79	258.68			19.11		0.00	0.00
16.0	KIMBERLY CLARK CORP									
494368103	05/13/2016	07/19/2011	2,068.27	1,025.34			1,042.93		0.00	0.00
37.0	MAXIM INTEGRATED PRODS INC									
57772K101	05/13/2016	07/25/2014	1,327.16	1,073.52			253.64		0.00	0.00
22.0	MCDONALDS CORP									
580135101	05/13/2016	11/01/2013	2,836.17	2,131.11			705.06		0.00	0.00
35.0	NATIONAL RETAIL PPTYS INC COM STK									
637417106	05/13/2016	11/10/2014	1,629.56	1,343.67			285.89		0.00	0.00
33.0	PHILIP MORRIS INTERNATIONAL									
718172109	05/13/2016	12/12/2011	3,326.98	2,475.66			851.32		0.00	0.00

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68.0	REYNOLDS AMERICAN INC COM									
761713106	05/13/2016	03/08/2011	3,459.76	1,166.52			2,293.24		0.00	0.00
11.0	UNITED PARCEL SERVICE INC CL B									
911312106	05/13/2016	04/27/2015	1,103.71	1,074.30			29.41		0.00	0.00
74.0	VERIZON COMMUNICATIONS									
92343V104	05/13/2016	04/01/2011	3,765.03	2,841.59			923.44		0.00	0.00
23.0	WASTE MGMT INC DEL									
94106L109	05/13/2016	06/17/2013	1,409.17	932.64			476.53		0.00	0.00
34.0	WEINGARTEN RLTY INVS COM									
948741103	05/13/2016	10/24/2014	1,291.63	1,187.49			104.14		0.00	0.00
30.0	WELLS FARGO & CO NEW									
949746101	05/13/2016	05/09/2013	1,446.56	1,149.11			297.45		0.00	0.00
1491.0	WASTE MGMT INC DEL									
94106L109	05/25/2016	06/17/2013	90,518.27	60,459.46			30,058.81		0.00	0.00
858.0	WASTE MGMT INC DEL									
94106L109	05/25/2016	06/17/2013	52,075.17	34,791.56			17,283.61		0.00	0.00
118.0	WASTE MGMT INC DEL									
94106L109	05/25/2016	06/17/2013	7,175.62	4,784.85			2,390.77		0.00	0.00

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792.0	ALTRIA GROUP INC									
02209S103	06/07/2016	Various	51,669.27	20,716.56			30,952.71		0.00	0.00
122.0	ALTRIA GROUP INC									
02209S103	06/08/2016	04/01/2011	7,997.55	3,174.44			4,823.11		0.00	0.00
914.0	ALTRIA GROUP INC									
02209S103	06/08/2016	04/01/2011	59,851.98	23,782.28			36,069.70		0.00	0.00
1444.0	REYNOLDS AMERICAN INC COM									
761713106	06/08/2016	03/08/2011	73,005.60	24,771.39			48,234.21		0.00	0.00
219.0	DIGITAL RLTY TR INC COM									
253868103	06/29/2016	05/16/2014	23,571.92	12,923.36			10,648.56		0.00	0.00
360.0	EPR PPTYS COM SH BEN INT									
26884U109	06/29/2016	06/03/2014	28,346.00	19,476.17			8,869.83		0.00	0.00
959.0	DIGITAL RLTY TR INC COM									
253868103	07/07/2016	Various	104,437.04	55,600.36			48,836.68		0.00	0.00
290.0	DIGITAL RLTY TR INC COM									
253868103	07/07/2016	Various	31,894.89	17,008.63			14,886.26		0.00	0.00
1249.0	NEXTERA ENERGY INC COM									
65339F101	07/14/2016	01/10/2014	158,278.20	108,836.74			49,441.46		0.00	0.00

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173.0	GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I									
38145G209	5.95% 07/19/2016 Various		4,564.38	4,184.21			380.17		0.00	0.00
152.0	JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	07/19/2016 07/29/2014		3,980.77	3,537.39			443.38		0.00	0.00
235.0	GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I									
38145G209	5.95% 07/20/2016 Various		6,185.47	5,681.03			504.44		0.00	0.00
387.0	JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	07/20/2016 Various		10,076.22	8,964.13			1,112.09		0.00	0.00
77.0	GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I									
38145G209	5.95% 07/21/2016 09/23/2014		2,026.34	1,861.17			165.17		0.00	0.00
221.0	GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I									
38145G209	5.95% 07/22/2016 Various		5,734.07	5,333.69			400.38		0.00	0.00
275.0	JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	07/22/2016 07/31/2014		7,163.12	6,276.30			886.82		0.00	0.00
241.0	GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I									
38145G209	5.95% 07/26/2016 Various		6,246.63	5,785.50			461.13		0.00	0.00
421.0	JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	07/26/2016 07/31/2014		10,988.66	9,608.44			1,380.22		0.00	0.00

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115.0										
38145G209	07/27/2016	09/17/2014	2,982.95	2,758.85			224.10		0.00	0.00
55.0										
38145G209	07/28/2016	09/17/2014	1,423.32	1,319.45			103.87		0.00	0.00
72.0										
38145G209	07/29/2016	09/17/2014	1,862.71	1,727.28			135.43		0.00	0.00
1388.0										
761713106	10/21/2016	12/10/2010	75,263.48	22,415.16			52,848.32		0.00	0.00
976.0										
761713106	10/21/2016	Various	52,958.35	15,819.82			37,138.53		0.00	0.00
513.0										
761713106	10/21/2016	03/08/2011	27,835.69	8,800.36			19,035.33		0.00	0.00
100.0										
00206R102	10/31/2016	02/12/2015	3,665.92	3,452.12			213.80		0.00	0.00
71.0										
02209S103	10/31/2016	04/01/2011	4,689.44	1,847.42			2,842.02		0.00	0.00
20.0										
097023105	10/31/2016	09/16/2015	2,847.73	2,731.94			115.79		0.00	0.00

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86.0	CENTERPOINT ENERGY INC COM									
15189T107	10/31/2016	Various	1,969.78	1,736.60			233.18		0.00	0.00
22.0	CHEVRONTEXACO CORP COM									
166764100	10/31/2016	12/13/2013	2,304.44	2,650.01			-345.57		0.00	0.00
20.0	CINCINNATI FINANCIAL CORP									
172062101	10/31/2016	12/12/2014	1,416.16	1,027.72			388.44		0.00	0.00
27.0	DOMINION RES INC VA NEW									
25746U109	10/31/2016	02/11/2015	2,019.01	2,043.16			-24.15		0.00	0.00
36.0	DUKE ENERGY CORP NEW COM NEW									
26441C204	10/31/2016	Various	2,878.49	2,315.06			563.43		0.00	0.00
19.0	EPR PPTYS COM SH BEN INT									
26884U109	10/31/2016	06/03/2014	1,380.50	1,026.32			354.18		0.00	0.00
42.0	EXXON MOBIL CORP									
30231G102	10/31/2016	01/13/2015	3,484.66	3,798.45			-313.79		0.00	0.00
122.0	GENERAL ELECTRIC CO									
369604103	10/31/2016	02/14/2014	3,553.78	3,129.58			424.20		0.00	0.00
61.0	INTEL CORP COM									
458140100	10/31/2016	12/12/2011	2,127.63	1,459.12			668.51		0.00	0.00

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11.0	MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	10/31/2016	12/22/2010	1,330.42	1,191.74			138.68		0.00	0.00
17.0	MFC ISHARES IBOXX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	10/31/2016	07/19/2011	1,461.45	1,547.80			-86.35		0.00	0.00
35.0	MAXIM INTEGRATED PRODS INC									
57772K101	10/31/2016	07/25/2014	1,390.51	1,015.49			375.02		0.00	0.00
15.0	MCDONALDS CORP									
580135101	10/31/2016	11/01/2013	1,687.76	1,453.03			234.73		0.00	0.00
34.0	NATIONAL RETAIL PPTYS INC COM STK									
637417106	10/31/2016	11/10/2014	1,546.96	1,300.65			246.31		0.00	0.00
26.0	PAYCHEX INC									
704326107	10/31/2016	10/28/2015	1,433.86	1,359.58			74.28		0.00	0.00
83.0	PEOPLES UTD FINL INC COM									
712704105	10/31/2016	10/28/2015	1,348.72	1,376.60			-27.88		0.00	0.00
27.0	PEPSICO INC									
713448108	10/31/2016	05/28/2015	2,892.17	2,613.06			279.11		0.00	0.00
33.0	PHILIP MORRIS INTERNATIONAL									
718172109	10/31/2016	12/12/2011	3,175.19	2,475.66			699.53		0.00	0.00

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2016 Tax Information Statement

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Ref: WXT

Account Number: 26-95403
Recipient's Tax ID Number: XX-XXX3773

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
8.0	SIMON PTY GROUP INC NEW									
828806109	10/31/2016	07/28/2015	1,485.56	1,489.01			-3.45		0.00	0.00
70.0	VERIZON COMMUNICATIONS									
92343V104	10/31/2016	04/01/2011	3,366.22	2,687.99			678.23		0.00	0.00
488.0	CINCINNATI FINANCIAL CORP									
172062101	11/30/2016	12/12/2014	37,560.98	25,076.37			12,484.61		0.00	0.00
287.0	AT&T INC									
00206R102	12/14/2016	02/12/2015	11,810.31	9,907.58			1,902.73		0.00	0.00
84.0	ABBVIE INC COM USD0.01									
00287Y109	12/14/2016	02/19/2013	5,190.43	3,184.68			2,005.75		0.00	0.00
178.0	ALTRIA GROUP INC									
02209S103	12/14/2016	04/01/2011	11,781.06	4,631.56			7,149.50		0.00	0.00
124.0	BB&T CORP									
054937107	12/14/2016	05/28/2015	5,804.22	4,942.62			861.60		0.00	0.00
246.0	CENTERPOINT ENERGY INC COM									
15183T107	12/14/2016	09/13/2011	5,946.77	4,878.18			1,068.59		0.00	0.00
65.0	CHEVRONTEXACO CORP COM									
166764100	12/14/2016	12/13/2013	7,580.32	7,829.58			-249.26		0.00	0.00

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45.0	CINCINNATI FINANCIAL CORP									
172062101	12/14/2016	12/12/2014	3,472.34	2,312.37			1,159.97		0.00	0.00
80.0	DOMINION RES INC VA NEW									
25746U109	12/14/2016	02/11/2015	5,950.81	6,053.82			-103.01		0.00	0.00
102.0	DUKE ENERGY CORP NEW COM NEW									
26441C204	12/14/2016	12/12/2011	7,714.82	6,285.17			1,429.65		0.00	0.00
120.0	EXXON MOBIL CORP									
30231G102	12/14/2016	01/13/2015	10,910.29	10,852.73			57.56		0.00	0.00
350.0	GENERAL ELECTRIC CO									
369604103	12/14/2016	02/14/2014	11,031.02	8,978.31			2,052.71		0.00	0.00
59.0	GENERAL MILLS INC									
370334104	12/14/2016	09/22/2015	3,710.42	3,361.06			349.36		0.00	0.00
175.0	INTEL CORP COM									
458140100	12/14/2016	Various	6,406.10	4,101.16			2,304.94		0.00	0.00
32.0	MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	12/14/2016	Various	3,712.55	3,465.77			246.78		0.00	0.00
50.0	MFC ISHARES IBOXX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	12/14/2016	07/19/2011	4,311.76	4,552.34			-240.58		0.00	0.00

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208.0	MFC ISHARES U.S. PREFERRED STOCK ETF									
464288687	12/14/2016	03/28/2013	7,673.26	8,427.74			-754.48		0.00	0.00
40.0	KIMBERLY CLARK CORP									
494368103	12/14/2016	07/19/2011	4,593.49	2,563.36			2,030.13		0.00	0.00
61.0	MACQUARIE INFRASTRUCTURE CORP MEMBERSHIP INT COM STK									
55608B105	12/14/2016	06/30/2015	5,010.83	4,720.95			289.88		0.00	0.00
100.0	MAXIM INTEGRATED PRODS INC									
57772K101	12/14/2016	07/25/2014	3,881.10	2,901.41			979.69		0.00	0.00
45.0	MCDONALDS CORP									
580135101	12/14/2016	11/01/2013	5,528.14	4,359.08			1,169.06		0.00	0.00
97.0	NATIONAL RETAIL PPTYS INC COM STK									
637417106	12/14/2016	11/10/2014	4,090.42	3,710.68			379.74		0.00	0.00
76.0	PAYCHEX INC									
704326107	12/14/2016	10/28/2015	4,602.18	3,974.16			628.02		0.00	0.00
238.0	PEOPLES UTD FINL INC COM									
712704105	12/14/2016	10/28/2015	4,559.41	3,947.37			612.04		0.00	0.00
79.0	PEPSICO INC									
713448108	12/14/2016	05/28/2015	8,266.37	7,645.63			620.74		0.00	0.00

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92.0	PHILIP MORRIS INTERNATIONAL									
718172109	12/14/2016	Various	8,349.72	6,558.40			1,791.32		0.00	0.00
85.0	REYNOLDS AMERICAN INC COM									
761713106	12/14/2016	12/10/2010	4,713.11	1,372.69			3,340.42		0.00	0.00
84.0	ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	12/14/2016	11/30/2015	4,790.96	4,213.67			577.29		0.00	0.00
27.0	SIMON PPTY GROUP INC NEW									
828806109	12/14/2016	07/28/2015	4,908.83	5,025.41			-116.58		0.00	0.00
43.0	UNITED PARCEL SERVICE INC CL B									
911312106	12/14/2016	04/27/2015	5,045.24	4,199.55			845.69		0.00	0.00
201.0	VERIZON COMMUNICATIONS									
92343V104	12/14/2016	Various	10,373.34	7,689.60			2,683.74		0.00	0.00
123.0	WEINGARTEN RLTY INVS COM									
948741103	12/14/2016	10/24/2014	4,305.69	4,295.91			9.78		0.00	0.00
Total Long Term Sales			2,071,352.24	1,549,694.74	0.00	0.00	521,657.50		0.00	0.00

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