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For calendar year 2016, or tax year beginning 01-01-2016

, and ending 12-31-2016

Name of foundation THE CURTIS W MCGRAW FOUNDATION		A Employer identification number 22-1761678	
% ROCKEFELLER & CO			
Number and street (or P O box number if mail is not delivered to street address) C/O RTC NA P O BOX 5016	Room/suite	B Telephone number (see instructions)	
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 101855016		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)▶ \$ 25,243,043	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐	

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) (see instructions))		(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 (attach schedule)	0			
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	155,247	155,247		
	4 Dividends and interest from securities	348,990	348,990		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	1,288,708			
	b Gross sales price for all assets on line 6a _____ 11,399,886				
	7 Capital gain net income (from Part IV, line 2)		1,288,708		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances _____				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	1,792,945	1,792,945		
	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	3,838	2,559	0	1,279
	b Accounting fees (attach schedule)	11,600	7,733	0	3,867
	c Other professional fees (attach schedule)	137,870	137,870		
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	44,212	28,512		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	59,739	51,409		8,330
	24 Total operating and administrative expenses. Add lines 13 through 23	257,259	228,083	0	13,476
	25 Contributions, gifts, grants paid	1,231,250			1,231,250
	26 Total expenses and disbursements. Add lines 24 and 25	1,488,509	228,083	0	1,244,726
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	304,436			
	b Net investment income (if negative, enter -0-)		1,564,862		
c Adjusted net income(if negative, enter -0-)					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value			
Assets	1	Cash—non-interest-bearing	536,785	806,914	806,914		
	2	Savings and temporary cash investments					
	3	Accounts receivable ▶ <u>26,418</u>					
		Less allowance for doubtful accounts ▶ _____	66,041	26,418	26,418		
	4	Pledges receivable ▶ _____					
		Less allowance for doubtful accounts ▶ _____					
	5	Grants receivable					
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)					
	7	Other notes and loans receivable (attach schedule) ▶ _____					
		Less allowance for doubtful accounts ▶ _____					
	8	Inventories for sale or use					
	9	Prepaid expenses and deferred charges					
	10a	Investments—U S and state government obligations (attach schedule)	3,134,246	3,058,461	3,042,546		
	b	Investments—corporate stock (attach schedule)	10,969,958	11,182,723	14,667,518		
	c	Investments—corporate bonds (attach schedule)	3,683,153	3,417,199	3,410,362		
	11	Investments—land, buildings, and equipment basis ▶ _____					
	Less accumulated depreciation (attach schedule) ▶ _____						
12	Investments—mortgage loans						
13	Investments—other (attach schedule)	677,583	847,612	3,289,285			
14	Land, buildings, and equipment basis ▶ _____						
	Less accumulated depreciation (attach schedule) ▶ _____						
15	Other assets (describe ▶ _____)						
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	19,067,766	19,339,327	25,243,043			
Liabilities	17	Accounts payable and accrued expenses	0	0			
	18	Grants payable					
	19	Deferred revenue					
	20	Loans from officers, directors, trustees, and other disqualified persons					
	21	Mortgages and other notes payable (attach schedule)					
	22	Other liabilities (describe ▶ _____)					
	23	Total liabilities (add lines 17 through 22)	0	0			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.						
	24	Unrestricted					
	25	Temporarily restricted					
	26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.						
	27	Capital stock, trust principal, or current funds	19,067,766	19,339,327			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund					
	29	Retained earnings, accumulated income, endowment, or other funds	0	0			
	30	Total net assets or fund balances (see instructions)	19,067,766	19,339,327			
31	Total liabilities and net assets/fund balances (see instructions) .	19,067,766	19,339,327				

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	19,067,766
2	Enter amount from Part I, line 27a	2	304,436
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	19,372,202
5	Decreases not included in line 2 (itemize) ▶ _____	5	32,875
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	19,339,327

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)
1 a SEE STATEMENT - ST COVERED	P		
b SEE STATEMENT - LT COVERED	P		
c SEE STATEMENT - LT NON-COVERED	P		
d F/X GAIN / (LOSS)	P		
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 3,674,097		3,749,205	-73,129
b 6,071,544		5,588,229	504,534
c 1,465,248		849,936	668,306
d 12			12
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-75,108
b			483,315
c			615,312
d			12
e			

2 Capital gain net income or (net capital loss)	2	1,288,708
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) (see instructions) If (loss), enter -0- in Part I, line 8	3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	1,230,859	26,144,699	0 047079
2014	1,161,467	26,583,308	0 043692
2013	1,132,817	24,115,601	0 046974
2012	1,139,970	21,545,323	0 05291
2011	1,133,241	21,394,416	0 052969

2 Total of line 1, column (d)	2	0 243624
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	0 048725
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	25,162,464
5 Multiply line 4 by line 3	5	1,226,041
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	15,649
7 Add lines 5 and 6	7	1,241,690
8 Enter qualifying distributions from Part XII, line 4	8	1,244,726

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	15,649
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	
3	Add lines 1 and 2.	3	15,649
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	15,649
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	29,470
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	15,000
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	44,470
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	28,821
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 28,821 Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>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</i>	1b	No
c Did the foundation file Form 1120-POL for this year?	1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>	2	No
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? <i>If "Yes," attach a conformed copy of the changes</i>	3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>	5	No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NJ _____		
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? <i>If "No," attach explanation</i> .	8b	Yes
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)? <i>If "Yes," complete Part XIV</i>	9	No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>	10	No

Part VII-A Statements Regarding Activities (continued)

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		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address NA	13	Yes	
14	The books are in care of ROCKEFELLER & CO Telephone no (212) 549-5100			

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15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ☐ and enter the amount of tax-exempt interest received or accrued during the year 15			
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 instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). If "Yes," enter the name of the foreign country NA	16	Yes	No

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.

1a	During the year did the foundation (either directly or indirectly)		Yes	No
	(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. ☐	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		No
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 20 , 20 , 20 , 20			
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) ☐	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20 , 20 , 20 , 20			
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). ☐	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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

5a During the year did the foundation pay or incur any amount to (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☒ No (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No Organizations relying on a current notice regarding disaster assistance check here. ☐ Yes ☒ No	5b		
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d)</i>			
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No			
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No <i>If "Yes" to 6b, file Form 8870</i>	6b		No
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No			
b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No	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 (see instructions).				
(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CURTIS M WEBSTER 2 CORNELIA STREET NEW YORK, NY 10014	TRUSTEE & PRESIDENT 0	0	0	0
SAMUEL W LAMBERT III 115 NORTH ROAD PRINCETON, NJ 08540	SECRETARY-TREASURER & TRUSTEE 0	0	0	0
THEO M WEBSTER 62 STONE STREET NEW BRUNSWICK, NJ 08901	VICE PRESIDENT & TRUSTEE 0	0	0	0
STEPHEN N ALLEN 115 HARRIS ROAD PRINCETON, NJ 08540	VP & TRUSTEE 0	0	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
Total number of other employees paid over \$50,000.			▶	

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ROCKEFELLER & CO	INVESTMENT MGMT/ACTG	138,970
10 ROCKEFELLER PLAZA3RD FLOOR		
NEW YORK, NY 10020		
Total number of others receiving over \$50,000 for professional services. ▶		

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

Part IX-B Summary of Program-Related Investments (see instructions)	
Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	

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	21,982,105
b	Average of monthly cash balances.	1b	624,119
c	Fair market value of all other assets (see instructions).	1c	2,939,425
d	Total (add lines 1a, b, and c).	1d	25,545,649
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	25,545,649
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	383,185
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	25,162,464
6	Minimum investment return. Enter 5% of line 5.	6	1,258,123

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	1,258,123
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	15,649
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	15,649
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	1,242,474
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	1,242,474
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	1,242,474

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	1,244,726
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	1,244,726
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 (see instructions).	5	15,649
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,229,077

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				1,242,474
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 2014, 2013, 2012		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011. 84,866				
b From 2012. 93,221				
c From 2013.				
d From 2014.				
e From 2015.				
f Total of lines 3a through e.	178,087			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 1,244,726				
a Applied to 2015, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2016 distributable amount.				1,242,474
e Remaining amount distributed out of corpus	2,252			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	180,339			
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.				
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 instructions			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).				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).	84,866			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	95,473			
10 Analysis of line 9				
a Excess from 2012. 93,221				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.				
e Excess from 2016. 2,252				

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

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a 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 organization had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

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

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

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 email address of the person to whom applications should be addressed

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			3a	1,231,250
b <i>Approved for future payment</i>				
Total			3b	

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments			14	155,247	
4 Dividends and interest from securities. . . .			14	348,990	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory			18	1,288,708	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal Add columns (b), (d), and (e). .				1,792,945	
13 Total. Add line 12, columns (b), (d), and (e).			13		1,792,945

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

Part XVII

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

[illegible]

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

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

(a) Name of organization	(b) Type of organization	(c) Description of relationship

**Sign
Here**

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

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

**Paid
Preparer
Use Only**

Print/Type preparer's name Richard J Coster	Preparer's Signature	Date 2017-05-26	Check if self-employed ☐	PTIN P02002378
Firm's name ▶ Rockefeller & Co Inc				Firm's EIN ▶
Firm's address ▶ 10 Rockefeller Plaza 3rd Floor New York, NY 10020				Phone no (212) 549-5100

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
101 151 Moore Street Princeton, NJ 08540			General Fund	5,000
A Better Chance 240 West 35th Street 9th floor New York, NY 10001			General Fund	10,000
Aids Resource Foundation for Children 182 Roseville Avenue Newark, NJ 07107			General Fund	7,500
Alzheimer's Association 225 North Michigan Avenue Chicago, IL 60601			General Fund	5,000
American Cancer Society PO Box 22718 Oklahoma City, OK 73123			General Fund	7,500
American Red Cross 2025 E Street NW Washington, DC 20006			General Fund	5,000
American Repertory Ballet 80 Albany Street New Brunswick, NJ 08901			General Fund	10,000
Amnesty International of the USA Inc 5 Penn Plaza New York, NY 10001			General Fund	10,000
Assisting Children in Need 2 Cornelia Street Apt 402 New York, NY 10014			General Fund	50,000
Blue Curtain 115 Harris Road Princeton, NJ 08540			General Fund	40,000
Brooklyn Ballet 145 Hicks Street Suite A-45 Brooklyn, NY 11201			General Fund	7,500
Calpulli Mexican Dance Company 9110 34th Avenue Apt 5B Jackson Heights, NY 11372			General Fund	7,500
Cancer Hope Network Two North Road Suite A Chester, NJ 07930			General Fund	5,000
CARE 151 Ellis Street NE Atlanta, GA 30303			General Fund	5,000
Cause Effective 505 Eighth Avenue Suite 1212 New York, NY 10018			General Fund	10,000
Total ►				1,231,250
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Centurion Ministries 221 Witherspoon Street Princeton, NJ 08542			General Fund	10,000
City Parks Foundation 830 Fifth Avenue Room 280 New York, NY 10021			General Fund	7,500
Citymeals-on-Wheels 355 Lexington Avenue New York, NY 10017			General Fund	5,000
Corner House 369 Witherspoon Street Princeton, NJ 08540			General Fund	10,000
Council of NJ Grantmakers 101 West State Street Trenton, NJ 08608			General Fund	250
Crawford House Inc 362 Sunset Road Skillman, NJ 08558			General Fund	10,000
Drug Policy Alliance 925 Ninth Avenue New York, NY 10019			General Fund	10,000
El Puente de Williamsburg Inc 211 South 4th Street Brooklyn, NY 11211			General Fund	20,000
Safe in Hunterdon 47 East Main Street Flemington, NJ 08822			General Fund	10,000
First Baptist Church of Princeton PO Box 501 Princeton, NJ 08540			General Fund	5,000
Foxcroft School PO Box 5555 Middleburg, VA 20118			General Fund	5,000
NYC Lab School 333 West 17th Street New York, NY 10011			General Fund	3,500
MOTHERS2MOTHERS INTERNATIONAL 1622 N Curson Avenue Los Angeles, CA 90046			General Fund	10,000
Green Faith 46 Bayard Street Suite 401 New Brunswick, NJ 08901			General Fund	2,500
Historic Morven 55 Stockton Street Princeton, NJ 08540			General Fund	5,000
Total ►				1,231,250
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Hitops 21 Wiggins Street Princeton, NJ 08540			General Fund	7,500
Home Front 1880 Princeton Avenue Lawrenceville, NJ 08648			General Fund	10,000
Housing Initiatives of Princeton 11 Mercer Street Princeton, NJ 08540			General Fund	7,500
Interfaith Caregivers TrentonFaith In Action 229 Lawrence Road Lawrenceville, NJ 08648			General Fund	7,500
ISLES 10 Wood Street Trenton, NJ 08618			General Fund	15,000
Jewish Renaissance Foundation PO Box 2506 149 Kearny Avenue Perth Amboy, NJ 08862			General Fund	2,500
La Mama 74A East 4th Street New York, NY 10003			General Fund	5,000
Lebanese American University 475 Riverside Drive New York, NY 10115			General Fund	10,000
Lighthouse Guild International 111 East 59th Street New York, NY 10022			General Fund	2,500
Mariachi Academy of New York 1775 Third Avenue New York, NY 10014			General Fund	10,000
Mary Jacobs Memorial Library 64 Washington Street Rocky Hill, NJ 08553			General Fund	5,000
McCarter Theater 91 University Place Princeton, NJ 08540			General Fund	25,000
Mercer Street Friends 151 Mercer Street Trenton, NJ 08611			General Fund	5,000
Metropolitan Opera Lincoln Center New York, NY 10023			General Fund	10,000
Montgomery Township Emergency Medical Services In P O Box 105 Belle Mead, NJ 08502			General Fund	2,500
Total ►				1,231,250
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Montgomery Township Fire Department #2 P O Box 267 Blawenbergl, NJ 08504			General Fund	2,500
NAMI Mercer NJ 88 Lakedale Drive Lawrenceville, NJ 08648			General Fund	7,500
Nassau Presbyterian Church 61 Nassau Street Princeton, NJ 08542			General Fund	15,000
New Jersey Aids Partnership 15 Princess Road Lawrenceville, NJ 08648			General Fund	2,500
New Jersey Conservation Foundation Bamboo Brook Far Hills, NJ 07931			General Fund	7,500
New Jersey SEEDS Center 303-309 Washington Street 4th floor Newark, NJ 07102			General Fund	7,500
North Country SPCA PO Box 55 7700 State Route 9N Elizabethtown, NY 12932			General Fund	5,000
Partnership for the Delaware Estuary Inc 1009 Philadelphia Pike Wilmington, DE 19809			General Fund	7,500
Passage Theatre Company P O Box 967 Trenton, NJ 08605			General Fund	5,000
Philabundance P O Box 37555 Philadelphia, PA 19148			General Fund	5,000
Planned Parenthood of North Central & South NJ 437 East State Street Trenton, NJ 08608			General Fund	50,000
Playgroup Cooperative 32 Carmine Street New York, NY 10014			General Fund	2,500
Presbyterian Church of the Big Wood P O Box 660 Ketchum, ID 83340			General Fund	5,000
Princeton Adult School P O Box 701 Princeton, NJ 08542			General Fund	2,500
Princeton Symphony Orchestra P O Box 250 Princeton, NJ 08540			General Fund	7,500
Total ► 3a				1,231,250

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Princeton Child Development Institute 300 Cold Soil Road Princeton, NJ 08540			General Fund	7,500
Princeton Day School P O Box 75 Princeton, NJ 08542			General Fund	50,000
Princeton Friends School 470 Quaker Road Princeton, NJ 08540			General Fund	35,000
Princeton Public Library 65 Witherspoon Street Princeton, NJ 08542			General Fund	7,500
Princeton Senior Resource Center Spruce Circle Princeton, NJ 08540			General Fund	10,000
Princeton University P O Box 46 Princeton, NJ 08544			General Fund	5,000
Princeton YMCA Paul Robeson Place Princeton, NJ 08540			General Fund	5,000
Princeton-Blairstown Center 158 Millbrook Road Blairstown, NJ 07825			General Fund	7,500
Princeton-YWCA Paul Robeson Place Princeton, NJ 08540			General Fund	5,000
Rutgers University Foundation 7 College Avenue New Brunswick, NJ 08901			General Fund	10,000
Sarah Lawrence College 1 Mead Way Bronxville, NY 10708			General Fund	2,500
Second Wind 759 State Road Princeton, NJ 08540			General Fund	10,000
Sheridan College Foundation P O Box 6328 Sheridan, WY 82801			General Fund	5,000
Small Animal Rescue League 900 Herrontown Road Princeton, NJ 08540			General Fund	5,000
Visions & Pathways PO Box 6871 Bridgewater, NJ 08807			General Fund	7,500
Total ▶ 3a				1,231,250

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
Stony Brook-Millstone Watersheds Assoc 31 Titus Mill Road Pennington, NJ 08534			General Fund	10,000
Synergos Institue Inc 51 Madison Avenue 21st Floor New York, NY 10110			General Fund	5,000
TASIS Foundation Inc 112 S Royal Street Alexandria, VA 22314			General Fund	50,000
The Builders Association 55 Washington Street 312D Brooklyn, NY 11201			General Fund	10,000
The Career Wardrobe 1211 Chesnut Street- Suite 205 Philadelphia, PA 19107			General Fund	5,000
Arm in Arm 123 East Hanover Street Trenton, NJ 08608			General Fund	15,000
The Drumthwacket Foundation Inc 354 Stockton Street Princeton, NJ 08540			General Fund	5,000
The Foundation Fighting Blindness 14 Nassau Street Princeton, NJ 08542			General Fund	5,000
The Joy of Athletics Foundation 13928 Mountain View Place Sylmar, CA 91342			General Fund	7,500
The Lawrenceville School P O Box 6125 Lawrenceville, NJ 08648			General Fund	15,000
Newgrange School and Education Center 526 South Olden Avenue Hamilton, NJ 08629			General Fund	2,500
The Trenton Area Soup Kitchen P O Box 872 Trenton, NJ 08605			General Fund	15,000
TIGHAR 2812 Fawkes Drive Wilmington, DE 19808			General Fund	30,000
Trinity Counseling Service 22 Stockton Street Princeton, NJ 08540			General Fund	5,000
VOLUNTEERCONNECT INC 120 JOHN STREET SUITE 7 PRINCETON, NJ 08542			General Fund	5,000
Total ►				1,231,250
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
VOICES P O Box 404 Princeton, NJ 08534			General Fund	2,500
Womanspace Inc 1212 Stuyvesant Avenue Trenton, NJ 08618			General Fund	10,000
Women Helping Women 224 Main Street Metuchen, NJ 08840			General Fund	5,000
Women's Entrepreneurial Foundation 73 Vreeland Avenue Hamilton, NJ 08610			General Fund	5,000
Zufall Health Center of Somerville 95 Veterans Memorial Drive East Somerville, NJ 08876			General Fund	5,000
ST FRANCIS FOOD PANTIRES & SHELTERS 450 SEVENTH AVENUE NEW YORK, NY 10123			GENERAL FUND	5,000
UIH FAMILY PARTNERS 864 BELLEVUE AVENUE TRENTON, NJ 08618			GENERAL FUND	5,000
LEARNING ALLY 20 ROSZEL ROAD PRINCETON, NJ 08540			GENERAL FUND	2,500
PRINCETON HEALTHCARE SYSTEM FOUNDATION 253 WITHERSPOON STREET PRINCETON, NJ 08540			GENERAL FUND	100,000
POWDERMILL NATURE RESERVE HC 64 BOX 453 RECTOR, PA 15677			GENERAL FUND	7,500
INSTITUTO ARTE TEATRAL INTERNACIONAL INC 64 EAST 4 STREET 2ND FL NEW YORK, NY 10003			GENERAL FUND	10,000
INTAR THEATRE POB 756 NEW YORK, NY 10108			GENERAL FUND	10,000
PROVIDENCE CATHOLIC SCHOOL INC 1215 N ST MARYS STREET SAN ANTONIO, TX 78215			GENERAL FUND	10,000
ST ANN'S WAREHOUSE INC 55 WASHINGTON STREET SUITE 458 BROOKLYN, NY 11201			GENERAL FUND	2,500
ISAMU NOGUCHI FOUNDATION & GARDEN MUSEUM 3237 VERNON BLVD LONG ISLAND CITY, NY 11106			GENERAL FUND	10,000
Total ►				1,231,250
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
FRIENDS OF PRINCETON OPEN SPACES PO Box 374 PRINCETON, NJ 08542			GENERAL FUND	7,500
PRINCETON CHARTER SCHOOL 100 BUNN DRIVE PRINCETON, NJ 08540			GENERAL FUND	10,000
PRINCETON ART MUSEUM PRINCETON UNIVERSITY POB 35 PRINCETON, NJ 08544			GENERAL FUND	5,000
COALITION FOR HISPANIC FAMILY SERVICES 3158 WYCKOFF AVENUE NEW YORK, NY 11237			GENERAL FUND	10,000
BOYS' & GIRLS' CLUB OF TRENTON-MERCER COUNTY INC 212 CENTRE STREET TRENTON, NJ 08611			General Fund	20,000
PINELANDS PRESERVATION ALLIANCE INC 17 PEMBERTON ROAD SOUTHAMPTON, NJ 08088			GENERAL FUND	10,000
STATE THEATRE 15 LIVINGSTON AVENUE NEW BRUNSWICK, NJ 08901			GENERAL FUND	10,000
YOUNG SCHOLARS INSTITUTE 399 W STATE STREET TRENTON, NJ 08618			GENERAL FUND	5,000
BALLET HISPANICO OF NEW YORK 167 WEST 89 STREET NEW YORK, NY 10024			GENERAL FUND	2,500
MONTANA OUTDOOR SCIENCE SCHOOL PO Box 502 Bozeman, MT 59771			GENERAL FUND	5,000
Arts Council of Princeton 102 Witherspoon Street Princeton, NJ 08542			GENERAL FUND	2,500
AMERICAN RED CROSS 2025 E STREET NW WASHINGTON, DC 20006			HAITI RELIEF	5,000
MOTHERS OUT FRONT 30 Bow Street Cambridge, MA 02138			GENERAL FUND	5,000
NJTV PUBLIC MEDIA PO Box 5776 Englewood, NJ 07631			GENERAL FUND	2,500
FRICK FOUNDATION 1 East 70th Street NEW YORK, NY 10021			GENERAL FUND	20,000
Total ►				1,231,250
3a				

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
MONMOUTH COUNTY LIBRARY 125 Symmes Drive Manalapan, NJ 07726			GENERAL FUND	2,500
GATHERING FOR JUSTICE 310 West 43rd St 14th Floor New York, NY 10036			GENERAL FUND	5,000
Total ▶ 3a				1,231,250

TY 2016 Accounting Fees Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ROCKEFELLER&CO ACCOUNTING FEES	11,600	7,733		3,867

TY 2016 All Other Program Related Investments Schedule

Name: THE CURTIS W MCGRAW FOUNDATION
EIN: 22-1761678

Category	Amount
NONE	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2016 Depreciation Schedule

Name: THE CURTIS W MCGRAW FOUNDATION

EIN: 22-1761678

TY 2016 Investments Corporate Bonds Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678

Name of Bond	End of Year Book Value	End of Year Fair Market Value
AMERICAN EXPRESS 8.125%	178,743	176,295
ANHEUSER-BUSCH 5.375%	164,555	164,695
BANK OF AMERICA 5.30%	188,435	188,448
CITIGROUP INC 2.50%	200,777	200,903
DUKE ENERGY INDIANA 3.75%	143,407	145,854
FEDERAL FARM CREDIT BNK 4.875%	173,227	173,307
FIFTH THIRD BANK 2.15%	196,066	196,232
GOLDMAN SACHS GROUP 3.625%	198,026	206,325
HOME DEPOT INC 3.00%	195,958	186,641
JP MORGAN CHASE 6.00%	177,545	178,533
KROGER COMPANY 4.00%	207,754	207,659
LUBRIZOL CORP 8.875%	144,909	144,832
MORGAN STANLEY 6.25%	190,801	186,430
NVR INC CORP 3.95%	144,032	138,604
PNC BANK 2.70%	198,221	194,915
UNITED PARCEL SERVICE 1.125%	135,841	135,941
US BANCORP 2.20%	201,452	199,690
VERIZON COMMUNICATIONS 5.15%	199,224	206,774
WACHOVIA CORP 5.75%	178,226	178,284
CVS HEALTH CORP 4%	0	0

Name of Bond	End of Year Book Value	End of Year Fair Market Value
PNC FUNDING CORP 5.125	0	0
FFCB 4.875% 1/17/17	0	0
FHLB .625% DUE 12/28/16	0	0
MORGAN STANLEY 5.45%	0	0
WALT DISNEY CO 1.35%	0	0

TY 2016 Investments Corporate Stock Schedule

Name: THE CURTIS W MCGRAW FOUNDATION
EIN: 22-1761678

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ABBOTT LABORATORIES	192,478	177,800
ABN AMRO GROUP N.V. - CVA	142,936	154,017
ALPHABET INC. - CLASS A	17,177	56,264
ALPHABET INC. - CLASS C	187,947	419,870
AMANDA CO. LTD	96,337	167,839
AMAZON.COM INC	235,034	248,207
ATLAS COPCO AB - A SHARES	138,630	156,577
BAIDU.COM, INC.	153,993	143,530
BECTON DICKINSON & CO.	135,624	166,212
BERKELEY GROUP HOLDINGS PLC	139,391	135,453
BIOGEN IDEC INC.	176,190	174,402
BP PLC - SPONS ADR	285,448	293,882
CABOT OIL & GAS CORPORATION	168,750	146,771
CAPITAL ONE FINANCIAL CORP.	198,065	278,383
CEMEX S.A. DE C.V.SPONS ADR	151,833	141,320
CERNER CORPORATION	215,612	176,690
COMPAGNIE DE SAINT-GOBAIN	203,478	208,089
COMPASS GROUP PLC	261,309	264,053
CONOCOPHILLIPS	266,089	293,068
CVS HEALTH CORPORATION	467,878	371,903
DELPHI AUTOMOTIVE PLC	99,542	205,418
FACEBOOK INC.	379,063	347,796
GRUPO FINANCIERO BANTORE SER O	115,416	106,746
HEIDELBERG CEMENT AG	238,812	291,289
HYUNDAI MOTOR CO - PREF	44,716	48,540
HYUNDAI MOTOR CO - 2ND PREF	140,406	144,485
ILLUMINA, INC,	139,415	129,833
ING GROEP N.V.	280,193	389,381
J.P. MORGAN CHASE	186,652	490,904
KANSAI ELECTRIC POWER COMPANY	260,747	299,146

Name of Stock	End of Year Book Value	End of Year Fair Market Value
KINDER MORGAN INC.	231,830	311,478
KOREA ELECTRIC POWER CORP.	248,218	340,042
KYOCERA CORPORATION	279,200	279,064
LUXOTTICA GROUP S.P.A.	133,587	149,242
MICROSOFT CORP.	125,264	331,206
NABTESCO CORP.	104,285	100,246
NGK SPARK PLUG CO.	85,779	133,653
NIKE INC. - CL B	201,278	176,228
NIPPON TELEGRAPH AND TELEPHONE	246,237	345,352
NOVARTIS AG - ADR	198,991	263,972
ORACLE CORPORATION	190,446	233,392
ORIX CORP.	221,270	228,332
PENTAIR, PLC	265,250	234,597
PRUDENCIAL PLC	260,093	357,088
PT BANK RAKYAT INDONESIA	96,287	88,301
REGENERON PHARMACEUTICALS	70,237	141,697
REINSURANCE GROUP OF AMERICA	157,715	326,026
ROYAL CARIBBEAN CRUISES LTD	158,260	363,519
S&P GLOBAL INC	1	586,093
SANFRAN SA	119,200	303,239
SAMSUNG SDI CO LTD	107,599	98,176
SHIRE PLC - ADR	321,562	320,314
SOUTHWEST AIRLINES CO.	297,884	372,454
ST. JUDE MEDICAL	86,606	129,266
SWEDBANK AB	145,340	236,579
SYNCHRONY FINANCIAL	178,681	178,775
TENCENT HOLDINGS LIMITED	169,782	203,080
TOKYO GAS CO. LTD	106,071	99,767
ULTRAGENYX PHARMACEUTICAL INC.	90,555	76,427
UNITED CONTINENTAL HOLDINGS IN	104,668	217,255

Name of Stock	End of Year Book Value	End of Year Fair Market Value
VISA INC - CLASS A	242,509	333,301
WEC ENERGY GROUP, INC.	94,095	118,590
WELLS FARGO COMPANY	124,782	362,899
AFLAC, INC.	0	0
ALIBABA GROUP HOLDING LTD	0	0
ANNALY CAPITAL MANAGEMENT	0	0
BAXALTA INC	0	0
BUFFALO WILD WINGS INC	0	0
CHEVRON CORPORATION	0	0
COMCAST CORPORATION	0	0
CTRIIP.COM INTERNATIONAL-ADR	0	0
EXPRESS SCRIPTS HOLDING INC.	0	0
GOOGLE INC - CLASS C	0	0
INTERXION HOLDING NV	0	0
JOHNSON MATTHEY PLC	0	0
LLOYDS TBS GROUP PLC	0	0
MALLINCKRODT PLC	0	0
MERCK & CO. INC.	0	0
NAVER CORP	0	0
PT SEMEN INDONESIA (PERSERO)	0	0
ROCHE HOLDINGS AG	0	0
SBA COMMUNICATIONS	0	0
SMC CORPORATION	0	0
TE CONNECTIVITY LIM	0	0
USG CORPORATION	0	0

TY 2016 Investments Government Obligations Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678**US Government Securities - End
of Year Book Value:**

1,502,132

**US Government Securities - End
of Year Fair Market Value:**

1,511,879

**State & Local Government
Securities - End of Year Book
Value:**

1,556,329

**State & Local Government
Securities - End of Year Fair
Market Value:**

1,530,667

TY 2016 Investments - Other Schedule

Name: THE CURTIS W MCGRAW FOUNDATION

EIN: 22-1761678

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
5500 FUND LP	AT COST	847,612	3,289,285

TY 2016 Legal Fees Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
DRINKER BIDDLE & REATH LLP	3,838	2,559		1,279

TY 2016 Other Decreases Schedule

Name: THE CURTIS W MCGRAW FOUNDATION
EIN: 22-1761678

Description	Amount
BOOK TO TAX ADJUSTMENT	32,875

TY 2016 Other Expenses Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MEMBERSHIP DUES	8,300			8,300
FEES	30			30
PORTFOLIO DEDUCTIONS THRU K-1	40,076	40,076		
BANK CHARGES	119	119		
CUSTODY FEES	11,214	11,214		

TY 2016 Other Professional Fees Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ROCKEFELLER & CO - INVESTMENT	127,370	127,370		
MERRILL LYNCH - CONSULTING FEE	10,500	10,500		

TY 2016 Taxes Schedule**Name:** THE CURTIS W MCGRAW FOUNDATION**EIN:** 22-1761678

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
US EXCISE TAX-EST PYMTS	15,700			
FOREIGN TAX ON DIVIDENDS RECD	28,512	28,512		

Short Term Covered Regular Gain/Loss

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
Shares	Description of Property	Date Acquired	Date Sold	Proceeds	Cost	Code	Adjustment	Gain or (Loss)
450 0000	Abbott Laboratories	07/12/16	12/02/16	17,081 67	19,099 30		-	(2,017 63)
127 0000	Aflac, Inc	12/23/15	07/13/16	9,303 35	7,644 26		-	1,659 09
54 0000	Aflac, Inc	12/28/15	07/13/16	3,955 75	3,237 78		-	717 97
296 0000	Aflac, Inc	01/04/16	07/15/16	21,715 36	17,364 31		-	4,351 05
99 0000	Aflac, Inc	12/28/15	07/15/16	7,262 91	5,935 92		-	1,326 99
192 0000	Aflac, Inc	12/22/15	07/15/16	14,085 64	11,302 21		-	2,783 43
913 0000	Alibaba Group Holding Ltd	01/30/15	01/06/16	70,734 38	83,277 65		-	(12,543 27)
163 0000	Alibaba Group Holding Ltd	01/30/15	01/05/16	12,710 88	14,867 75		-	(2,156 87)
489 0000	Alibaba Group Holding Ltd	01/16/15	01/05/16	38,132 64	47,261 16		-	(9,128 52)
75 0000	Alibaba Group Holding Ltd	03/17/15	01/08/16	5,425 53	6,360 60		-	(935 07)
316 0000	Alibaba Group Holding Ltd	01/30/15	01/08/16	22,859 55	28,823 37		-	(5,963 82)
289 0000	Alibaba Group Holding Ltd	03/17/15	01/15/16	20,106 17	24,509 51		-	(4,403 34)
364 0000	Alibaba Group Holding Ltd	03/18/15	01/15/16	25,324 03	30,536 98		-	(5,212 95)
30 0000	Amazon Com Inc	06/23/16	12/02/16	22,230 11	21,577 14		-	652 97
28,000 0000	Amex Credit Co 2 8% 09/19/2016	11/09/15	09/19/16	28,000 00	28,000 00		-	-
9,000 0000	American Exp 8 125% 05/20/19	09/22/16	12/02/16	10,269 63	10,416 59	B	(1 64)	(145 32)
170,000 0000	Anheuser Busch 1 125% 01/27/17	08/16/16	12/09/16	170,166 60	170,080 08	B	(0 23)	86 75
10,000 0000	Anheuser Busch 1 125% 01/27/17	08/16/16	12/02/16	10,009 80	10,004 90	B	(0 12)	5 02
132 0000	Annaly Capital Management Inc	08/20/15	04/28/16	1,354 29	1,344 96	B	11 60	(2 27)
369 0000	Annaly Capital Management Inc	12/23/15	10/24/16	3,734 68	3,466 37	B	28 52	239 79
62 0000	Annaly Capital Management Inc	12/22/15	10/24/16	627 51	582 43	B	2 86	42 22
723 0000	Annaly Capital Management Inc	12/22/15	10/25/16	7,424 11	6,689 89	B	135 49	598 73
1,147 0000	Annaly Capital Management Inc	12/29/15	10/25/16	11,777 94	10,613 14	B	0 66	1,164 14
473 0000	Apple Inc	01/21/16	05/31/16	47,104 14	45,854 13		-	1,250 01
202 0000	Apple Inc	04/28/16	05/31/16	20,116 36	19,407 82		-	708 54
91 0000	Apple Inc	02/17/16	05/31/16	9,062 32	8,825 59		-	236 73
77 0000	Apple Inc	04/27/16	05/31/16	7,668 12	7,442 71		-	225 41
146 0000	Apple Inc	02/10/16	05/31/16	14,539 55	14,031 97		-	507 58
312 0000	Apple Inc	01/27/16	05/31/16	31,070 81	30,051 06		-	1,019 75
511 0000	Apple Inc	01/20/16	05/31/16	50,888 40	48,973 98		-	1,914 42
61 0000	Apple Inc	04/27/16	05/31/16	6,074 74	5,952 23		-	122 51
440 0000	Apple Inc	01/20/16	06/01/16	43,652 46	42,169 38		-	1,483 08
841 0000	Apple Inc	01/20/16	06/02/16	81,775 13	80,601 02		-	1,174 11
97 0000	Apple Inc	05/05/16	06/20/16	9,272 26	9,056 76		-	215 50
216 0000	Apple Inc	02/12/16	06/20/16	20,647 51	20,297 69		-	349 82
764 0000	Apple Inc	01/27/16	06/20/16	73,031 00	72,724 17		-	306 83
213 0000	Apple Inc	04/29/16	06/20/16	20,360 74	19,863 27		-	497 47
169 0000	Apple Inc	01/20/16	06/20/16	16,154 76	16,196 88		-	(42 12)
500 0000	Atlas Copco AB - A Shs	07/20/16	12/05/16	15,352 46	14,045 52		-	1,306 94
10,000 0000	Bank of Amer 5 3% 03/15/17	11/28/16	12/02/16	10,100 00	10,121 27	B	(1 25)	(20 02)
1,065 0000	Baxalta Inc	06/24/15	03/30/16	42,891 41	34,918 58		-	7,972 83
912 0000	Baxalta Inc	06/25/15	03/30/16	36,729 54	30,073 75		-	6,655 79
101 0000	Baxalta Inc	06/24/15	03/31/16	4,080 79	3,311 53		-	769 26
732 0000	Baxalta Inc	06/22/15	03/31/16	29,575 59	23,435 13		-	6,140 46
350 0000	Baxalta Inc	06/19/15	03/31/16	14,141 34	11,220 23		-	2,921 11
532 0000	Baxalta Inc	07/01/15	04/01/16	21,585 91	16,718 74		-	4,867 17
629 0000	Baxalta Inc	06/22/15	04/01/16	25,521 69	20,137 56		-	5,384 13
274 0000	Baxalta Inc	06/23/15	04/01/16	11,117 55	8,771 40		-	2,346 15
21 0000	Baxalta Inc	07/01/15	04/04/16	870 11	659 95		-	210 16
319 0000	Baxalta Inc	07/02/15	04/04/16	13,217 41	9,895 32		-	3,322 09
956 0000	Baxalta Inc	07/10/15	04/04/16	39,610 81	29,253 31		-	10,357 50
10 0000	Becton Dickinson & Co	10/05/15	04/28/16	1,601 56	1,366 16		-	235 40
128 0000	Berkeley Group Holdings plc	09/01/16	12/05/16	4,534 26	4,735 08		-	(200 82)
225 0000	Berkeley Group Holdings plc	09/06/16	12/05/16	7,970 38	8,474 32	B	0 01	(503 95)
56 0000	Biogen Idec Inc	11/07/16	12/02/16	16,740 27	16,532 86		-	207 41
7 0000	Buffalo Wild Wings Inc	07/17/15	04/28/16	912 08	1,208 60	B	(19 59)	(276 93)
74 0000	Buffalo Wild Wings Inc	10/29/15	09/28/16	10,705 66	11,264 54	B	(42 47)	(516 41)
103 0000	Buffalo Wild Wings Inc	10/30/15	09/28/16	14,901 13	15,679 01	B	(14 00)	(763 88)
20 0000	Buffalo Wild Wings Inc	11/02/15	09/27/16	2,978 14	3,028 70	B	28 37	(78 93)
41 0000	Buffalo Wild Wings Inc	10/30/15	09/27/16	6,105 20	6,295 35	B	(59 77)	(130 38)
22 0000	Cerner Corporation	12/01/15	04/28/16	1,260 35	1,317 80		-	(57 45)
10,000 0000	Citigroup Inc 2 5% 09/26/2018	11/28/16	12/02/16	10,094 90	10,115 16	B	(0 15)	(20 11)
33 0000	Compagnie de Saint-Gobain	05/27/15	04/28/16	1,520 49	1,571 10		-	(50 61)
1,285 0000	Compass Group PLC	06/20/16	12/05/16	21,837 40	24,901 70		-	(3,064 30)
79,000 0000	CVS Health 4% 12/05/23	10/15/15	04/06/16	87,005 07	84,269 35	B	(155 72)	2,891 44
13,000 0000	CVS Health 4% 12/05/23	10/15/15	04/06/16	14,317 29	13,867 11	B	(3 48)	453 66
69,000 0000	CVS Health 4% 12/05/23	10/15/15	04/06/16	75,991 77	73,602 34	B	130 24	2,259 19

Short Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
22 0000	CVS Health Corporation	07/30/15	04/28/16	2,244 17	2,479 81		-	(235 64)
24 0000	Delphi Automotive PLC	01/21/16	04/28/16	1,784 36	1,587 70		-	196 66
400 0000	Delphi Automotive PLC	01/21/16	12/02/16	25,635 48	26,461 68		-	(826 20)
87 0000	Express Scripts Holding, Inc	02/02/16	04/01/16	5,980 69	6,195 31		-	(214 62)
214 0000	Express Scripts Holding, Inc	02/02/16	04/04/16	14,711 11	15,239 05		-	(527 94)
428 0000	Express Scripts Holding, Inc	02/03/16	04/05/16	28,742 31	29,846 62		-	(1,104 31)
27 0000	ABN AMRO Group N V - CVA	12/03/15	04/28/16	575 65	579 26		-	(3 61)
12,000 0000	GS Group Inc 3 625% 01/22/23	11/28/16	12/02/16	12,277 92	12,301 45	B	(0 13)	(23 40)
1,000 0000	Grupo Financiero Banorte	10/25/16	12/02/16	4,721 49	4,721 49	B	1,407 00	(1,407 00)
109 0000	HeidelbergCement AG	06/20/16	12/05/16	9,896 78	9,146 41		-	750 37
254 0000	HeidelbergCement AG	06/20/16	12/06/16	22,795 43	21,313 64		-	1,481 79
169 0000	HeidelbergCement AG	06/20/16	12/07/16	15,429 68	14,181 13		-	1,248 55
85 0000	HeidelbergCement AG	06/20/16	12/08/16	7,853 86	7,132 52		-	721 34
6 0000	HeidelbergCement AG	06/20/16	12/19/16	546 42	503 47		-	42 95
11,000 0000	Home Depot 3% 04/01/26	05/10/16	12/02/16	10,950 94	11,531 40	B	(1 15)	(579 31)
5 0000	Illumina, Inc	04/20/16	04/28/16	683 68	683 68	B	9 56	(9 56)
92 0000	Illumina, Inc	04/20/16	12/02/16	11,798 75	12,759 50	B	(3 88)	(956 87)
196 0000	ING Groep	06/02/15	04/28/16	2,466 85	3,260 66	B	13 91	(807 72)
1 0000	ING Groep	07/09/15	04/28/16	12 59	16 64	B	(0 57)	(3 48)
141,000 0000	Intl Bk Recon 1 25% 04/26/19	04/07/16	10/04/16	141,014 10	141,000 00		-	14 10
113 0000	Kinder Morgan, Inc	12/15/15	04/28/16	2,005 70	1,829 10		-	176 60
1,359 0000	Kinder Morgan, Inc	12/15/15	12/02/16	29,177 23	21,997 72		-	7,179 51
512 0000	Korea Electric Power Corp	10/18/16	12/05/16	18,937 26	23,955 28	B	(282 22)	(4,735 80)
328 0000	Korea Electric Power Corp	10/17/16	12/05/16	12,131 68	15,346 35	B	(111 63)	(3,103 04)
500 0000	Kyocera Corporation	04/28/16	12/05/16	23,943 16	26,215 03		-	(2,271 87)
250 0000	Luxottica Group S p A	07/25/16	12/05/16	13,679 95	12,516 22		-	1,163 73
21 0000	Mallinckrodt PLC	10/16/15	04/28/16	1,355 94	1,660 15	B	(236 12)	(68 09)
1 0000	Naver Corp	10/07/15	04/28/16	592 11	482 85	B	(4 33)	113 59
22 0000	Naver Corp	10/07/15	08/25/16	15,761 97	10,622 74	B	(95 21)	5,234 44
200 0000	NGK Spark Plug Co , Ltd	05/11/16	12/05/16	4,275 09	3,758 90	B	0 03	516 16
200 0000	NGK Spark Plug Co , Ltd	05/13/16	12/05/16	4,275 09	3,721 58		-	553 51
200 0000	NGK Spark Plug Co , Ltd	05/17/16	12/05/16	4,275 09	3,757 68		-	517 41
100 0000	NGK Spark Plug Co , Ltd	05/18/16	12/21/16	2,321 93	1,843 58		-	478 35
100 0000	NGK Spark Plug Co , Ltd	05/18/16	12/27/16	2,231 21	1,843 57		-	387 64
300 0000	NGK Spark Plug Co , Ltd	05/12/16	12/28/16	6,725 70	5,519 32		-	1,206 38
100 0000	NGK Spark Plug Co , Ltd	05/13/16	12/20/16	2,302 52	1,860 77	B	0 02	441 73
100 0000	NGK Spark Plug Co , Ltd	05/12/16	12/29/16	2,235 01	1,839 78		-	395 23
100 0000	NGK Spark Plug Co , Ltd	05/12/16	12/30/16	2,233 86	1,839 77		-	394 09
313 0000	Nike Inc - CL B	07/14/16	12/02/16	15,824 96	18,299 01		-	(2,474 05)
700 0000	Nippon Telegraph and Telephone	09/28/16	12/05/16	28,250 96	32,918 74		-	(4,667 78)
65,000 0000	NY NYC 4 466% 08/01/18	06/06/16	12/02/16	67,515 50	68,347 59	B	(5 99)	(826 10)
12,000 0000	PNC Bank 2 7% 11/01/22	04/12/16	12/02/16	11,798 16	12,013 61	B	(0 04)	(215 41)
16 0000	Regeneron Pharmaceuticals	02/09/16	04/20/16	6,404 83	6,032 66		-	372 17
16 0000	Regeneron Pharmaceuticals	02/09/16	04/21/16	6,421 66	6,032 66		-	389 00
1 0000	Regeneron Pharmaceuticals	02/09/16	04/28/16	385 34	377 04		-	8 30
32 0000	Regeneron Pharmaceuticals	02/09/16	04/27/16	12,574 47	12,065 32		-	509 15
22 0000	Regeneron Pharmaceuticals	02/09/16	05/02/16	8,286 53	8,294 91		-	(8 38)
24 0000	Reinsurance Group of America,	12/29/15	04/28/16	2,298 66	2,086 26		-	212 40
14 0000	Reinsurance Group of America,	12/29/15	11/11/16	1,622 47	1,216 99		-	405 48
213 0000	Reinsurance Group of America,	01/05/16	11/11/16	24,684 78	17,939 71		-	6,745 07
1 0000	Reinsurance Group of America,	12/31/15	11/11/16	115 89	85 94		-	29 95
32 0000	Reinsurance Group of America,	12/23/15	11/11/16	3,708 51	2,746 64		-	961 87
10 0000	Reinsurance Group of America,	12/30/15	11/11/16	1,158 91	868 67		-	290 24
25 0000	Reinsurance Group of America,	01/06/16	11/11/16	2,897 27	2,097 07		-	800 20
45 0000	Reinsurance Group of America,	12/28/15	11/11/16	5,215 09	3,865 66		-	1,349 43
322 0000	Reinsurance Group of America,	01/04/16	11/11/16	37,316 90	26,953 79		-	10,363 11
5 0000	Reinsurance Group of America,	12/22/15	11/11/16	579 45	420 51		-	158 94
18 0000	Reinsurance Group of America,	01/04/16	12/02/16	2,202 25	1,506 73		-	695 52
33 0000	Royal Caribbean Cruises Ltd	01/22/16	04/28/16	2,543 58	2,853 26		-	(309 68)
300 0000	Royal Caribbean Cruises Ltd	01/22/16	12/02/16	23,912 51	25,938 76		-	(2,026 25)
159 0000	Royal Dutch Shell PLC - ADR B	05/13/15	01/20/16	5,814 60	10,244 12		-	(4,429 52)
2,543 0000	Royal Dutch Shell PLC - ADR B	05/07/15	01/20/16	92,997 07	159,948 60		-	(66,951 53)
759 0000	Royal Dutch Shell PLC - ADR B	05/07/15	01/21/16	28,444 82	47,739 28		-	(19,294 46)
1,943 0000	Royal Dutch Shell PLC - ADR B	08/04/15	01/21/16	72,817 25	112,005 21		-	(39,187 96)
31 0000	Safran SA	02/10/16	04/28/16	2,187 15	1,812 32		-	374 83
45 0000	Safran SA	02/10/16	12/05/16	3,218 43	2,630 78		-	587 65
80 0000	Safran SA	02/12/16	12/05/16	5,721 65	4,477 62		-	1,244 03

Short Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
89 0000	Samsung SDI Co., Ltd	08/10/16	12/05/16	6,798 81	6,798 81	B	2,900 32	(2,900 32)
13 0000	SBA Communications Corporation	09/09/15	04/28/16	1,358 73	1,551 90	B	(34 19)	(158 98)
26 0000	SBA Communications Corporation	11/09/15	11/04/16	2,794 50	2,782 46		0 00	12 04
148 0000	SBA Communications Corporation	11/10/15	11/07/16	15,915 11	15,772 06		-	143 05
65 0000	SBA Communications Corporation	11/13/15	11/07/16	6,989 75	6,816 26		-	173 49
223 0000	SBA Communications Corporation	11/09/15	11/07/16	23,980 20	23,864 98	B	0 01	115 21
35 0000	SBA Communications Corporation	11/12/15	11/07/16	3,763 71	3,711 25		-	52 46
26 0000	SBA Communications Corporation	11/11/15	11/07/16	2,795 90	2,750 90		-	45 00
9 0000	Shire PLC - ADR	04/04/16	04/28/16	1,622 93	1,603 36		-	19 57
100 0000	Shire PLC - ADR	04/04/16	12/02/16	17,467 63	17,467 63	B	347 47	(347 47)
57 0000	SwedBank AB	05/11/15	04/28/16	1,238 65	1,329 60		-	(90 95)
200 0000	Tencent Holdings Ltd	06/02/16	12/05/16	4,886 12	4,367 95	B	(0 01)	518 18
600 0000	Tencent Holdings Ltd	06/01/16	12/05/16	14,658 36	13,234 80		-	1,423 56
8 0000	Ultragenyx Pharmaceutical Inc	08/31/15	04/28/16	540 22	892 89		-	(352 67)
20,000 0000	US Bancorp 2 2% 11/15/16	11/09/15	10/14/16	20,000 00	20,023 28	B	(23 10)	(0 18)
12,000 0000	US Bancorp 2 2% 04/25/19	10/18/16	12/02/16	12,100 92	12,215 78	B	(0 69)	(114 17)
2,000 0000	US Treasury N/B 875% 10/15/18	11/03/15	05/10/16	2,003 83	1,989 89	B	(0 05)	13 99
37,000 0000	US Treas TIPS 1 125% 01/15/21	07/12/16	12/02/16	42,842 70	43,343 64	B	(224 64)	(276 30)
68,000 0000	US Treas TIPS 0 125% 04/15/17	04/20/16	08/03/16	71,918 62	72,226 72	B	(816 80)	508 70
262,000 0000	US Treas TIPS 0 125% 04/15/17	11/24/15	08/03/16	277,098 19	278,285 29	B	(3,801 16)	2,614 06
11,000 0000	US Treas TIPS 0 125% 04/15/17	11/24/15	12/02/16	11,708 48	11,714 13	B	(188 90)	183 25
130,000 0000	US Treas N/B 2 125% 05/15/25	11/10/15	03/30/16	133,493 75	127,826 56	B	79 77	5,587 42
205,000 0000	US Treas N/B 2 125% 05/15/25	11/10/15	07/12/16	216,234 96	201,572 60	B	218 50	14,443 86
266 0000	USG Corporation	06/02/15	01/27/16	4,472 12	7,721 18		-	(3,249 06)
124 0000	USG Corporation	06/02/15	01/28/16	2,064 16	3,599 35		-	(1,535 19)
141 0000	USG Corporation	06/03/15	01/28/16	2,347 16	4,088 47		-	(1,741 31)
481 0000	USG Corporation	06/03/15	01/29/16	8,534 42	13,947 17		-	(5,412 75)
244 0000	USG Corporation	06/01/15	01/29/16	4,329 31	7,067 48		-	(2,738 17)
285 0000	USG Corporation	05/29/15	01/29/16	5,056 78	8,231 55	B	(0 01)	(3,174 76)
228 0000	USG Corporation	06/01/15	01/29/16	4,045 42	6,604 04		-	(2,558 62)
361 0000	USG Corporation	05/29/15	02/01/16	6,407 67	10,426 62		-	(4,018 95)
297 0000	USG Corporation	05/29/15	02/02/16	5,210 68	8,578 13		-	(3,367 45)
255 0000	USG Corporation	06/04/15	02/02/16	4,473 81	7,308 02		-	(2,834 21)
465 0000	USG Corporation	05/28/15	02/03/16	8,246 11	13,322 53		-	(5,076 42)
146 0000	USG Corporation	05/27/15	02/03/16	2,589 10	4,177 51		-	(1,588 41)
372 0000	USG Corporation	06/04/15	02/03/16	6,596 89	10,661 11		-	(4,064 22)
313 0000	USG Corporation	05/26/15	02/04/16	5,915 91	8,846 41		-	(2,930 50)
184 0000	USG Corporation	05/27/15	02/04/16	3,477 72	5,264 81		-	(1,787 09)
11,000 0000	Verizon Comm 5 15% 09/15/23	04/20/16	12/02/16	12,167 76	12,521 85	B	(0 84)	(353 25)
32 0000	Visa Inc - Class A Shares	02/18/16	04/28/16	2,519 30	2,296 58	B	(0 01)	222 73
105 0000	Visa Inc - Class A Shares	02/10/16	12/02/16	7,942 04	7,425 66		-	516 38
345 0000	Visa Inc - Class A Shares	02/18/16	12/02/16	26,095 26	24,759 85		-	1,335 41
36 0000	WEC Energy Group, Inc	09/30/15	04/28/16	2,079 31	1,867 41		-	211 90
394 0000	WEC Energy Group, Inc	09/30/15	04/27/16	22,647 93	20,437 73		-	2,210 20
193 0000	WEC Energy Group, Inc	09/30/15	04/28/16	11,177 43	9,978 84	B	32 53	1,166 06
305 0000	WEC Energy Group, Inc	09/29/15	04/28/16	17,663 81	15,769 66	B	(229 33)	2,123 48
282 0000	WEC Energy Group, Inc	11/10/15	04/29/16	16,312 61	14,335 06	B	(426 68)	2,404 23
227 0000	WEC Energy Group, Inc	11/11/15	04/29/16	13,131 08	11,539 22	B	(238 09)	1,829 95
46 0000	WEC Energy Group, Inc	09/29/15	04/29/16	2,660 92	2,338 34	B	5 45	317 13
96 0000	WEC Energy Group, Inc	11/09/15	04/29/16	5,553 23	4,880 02	B	(164 20)	837 41
135 0000	WEC Energy Group, Inc	11/09/15	05/09/16	8,049 20	6,720 47	B	(88 85)	1,417 58
495 0000	WEC Energy Group, Inc	08/26/15	08/09/16	30,989 79	23,857 34	B	(310 19)	7,442 64
276 0000	WEC Energy Group, Inc	11/09/15	08/09/16	17,279 16	13,302 27	B	255 70	3,721 19
50 0000	Wells Fargo Company	11/23/16	12/02/16	2,668 95	2,610 95		-	58 00
650 0000	Wells Fargo Company	11/22/16	12/02/16	34,696 30	33,969 85		-	726 45
Short Term Covered Regular Gain/Loss Totals				3,674,097.21	3,749,205.92		(1,979.41)	(73,129.30)

Long Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
34 0000	Aflac, Inc	02/11/15	04/28/16	2,345 94	2,105 00		-	240 94
215 0000	Aflac, Inc	02/11/15	06/23/16	15,368 66	13,311 01		-	2,057 65
252 0000	Aflac, Inc	02/12/15	06/23/16	18,013 50	15,589 06		-	2,424 44
447 0000	Aflac, Inc	02/12/15	07/13/16	32,744 86	27,652 02		-	5,092 84
42 0000	Aflac, Inc	10/12/11	07/15/16	3,081 22	1,731 72		-	1,349 50
381 0000	Aflac, Inc	10/12/11	07/18/16	27,960 10	15,709 16		-	12,250 94
506 0000	Aflac, Inc	10/12/11	07/19/16	36,993 31	20,863 09		-	16,130 22
367 0000	Aflac, Inc	10/12/11	07/22/16	26,908 55	15,131 92		-	11,776 63
300 0000	Aflac, Inc	10/12/11	12/02/16	20,495 58	12,369 42		-	8,126 16
572 0000	Aflac, Inc	10/12/11	12/06/16	39,192 53	23,584 36		-	15,608 17
335 0000	Aflac, Inc	10/12/11	12/09/16	23,092 12	13,812 52		-	9,279 60
805 0000	Aflac, Inc	10/12/11	12/12/16	55,517 14	33,191 28		-	22,325 86
29 0000	Alphabet Inc - Class A	05/10/10	06/20/16	20,554 20	12,385 73	B	(4,892 10)	13,060 57
10 0000	Alphabet Inc - Class A	05/07/10	10/17/16	8,103 58	4,066 81	B	(1,582 87)	5,619 64
24 0000	Alphabet Inc - Class A	07/18/08	10/17/16	19,448 59	9,760 35	B	(3,954 07)	13,642 31
21 0000	Alphabet Inc - Class A	07/01/11	10/17/16	17,017 52	8,540 31	B	(3,220 21)	11,697 42
40 0000	Alphabet Inc - Class A	07/18/08	12/02/16	30,535 73	15,035 02	B	(5,357 88)	20,858 59
100 0000	Amada Co Ltd	01/15/13	04/28/16	1,085 04	660 99		-	424 05
400 0000	Amada Co Ltd	01/15/13	12/05/16	4,585 23	2,643 97		-	1,941 26
1,000 0000	Amada Co Ltd	01/10/13	12/05/16	11,463 07	6,547 47		-	4,915 60
58,000 0000	Amex Credit Co 2 8% 09/19/2016	06/26/14	09/19/16	58,000 00	58,000 00		-	-
11,000 0000	Amex Credit Co 2 8% 09/19/2016	05/05/14	09/19/16	11,000 00	11,000 00		-	-
105,000 0000	Amex Credit Co 2 8% 09/19/2016	04/04/14	09/19/16	105,000 00	105,000 00		-	-
110,000 0000	Anheuser-Busch 5 05% 10/15/16	07/09/14	04/07/16	112,355 10	112,339 39	B	(13 06)	28 77
23,000 0000	Anheuser-Busch 5 05% 10/15/16	07/14/14	04/07/16	23,492 43	23,489 15	B	2 83	0 45
1,101 0000	Annaly Capital Management Inc	08/21/15	10/14/16	11,211 13	10,993 57	B	53 53	164 03
945 0000	Annaly Capital Management Inc	08/20/15	10/14/16	9,622 63	9,435 90	B	95 43	91 30
2,042 0000	Annaly Capital Management Inc	08/19/15	10/17/16	20,672 14	20,277 12	B	115 88	279 14
1,063 0000	Annaly Capital Management Inc	08/21/15	10/17/16	10,761 25	10,555 62	B	110 17	95 46
1,036 0000	Annaly Capital Management Inc	08/18/15	10/18/16	10,479 43	10,257 76	B	59 96	161 71
1,222 0000	Annaly Capital Management Inc	08/19/15	10/18/16	12,360 87	12,099 40	B	104 45	157 02
2,286 0000	Annaly Capital Management Inc	08/18/15	10/19/16	23,117 82	22,600 25	B	166 42	351 15
740 0000	Annaly Capital Management Inc	08/18/15	10/20/16	7,484 86	7,308 26	B	61 52	115 08
1,457 0000	Annaly Capital Management Inc	08/17/15	10/20/16	14,737 09	14,389 38	B	98 39	249 32
2,268 0000	Annaly Capital Management Inc	08/17/15	10/21/16	22,887 48	22,386 92	B	165 13	335 43
1,596 0000	Annaly Capital Management Inc	10/06/15	10/24/16	16,153 24	15,710 12	B	114 61	328 51
745 0000	Annaly Capital Management Inc	10/05/15	10/24/16	7,540 20	7,333 36	B	48 13	158 71
113 0000	Annaly Capital Management Inc	08/17/15	10/24/16	1,143 68	1,112 31	B	11 31	20 06
234 0000	Annaly Capital Management Inc	08/17/15	10/24/16	2,368 33	2,303 36	B	21 64	43 33
8 0000	Baidu com, Inc	04/09/15	04/28/16	1,491 48	1,754 00		-	(262 52)
60 0000	Baidu com, Inc	04/09/15	05/16/16	9,965 28	13,154 99		-	(3,189 71)
10 0000	Baidu com, Inc	04/13/15	05/16/16	1,660 88	2,171 53		-	(510 65)
27 0000	Baidu com, Inc	04/13/15	05/17/16	4,575 02	5,863 12		-	(1,288 10)
43 0000	Baidu com, Inc	04/21/15	05/17/16	7,286 14	9,299 99		-	(2,013 85)
17 0000	Baidu com, Inc	04/08/15	12/02/16	2,749 52	3,629 75		-	(880 23)
46 0000	Baidu com, Inc	04/21/15	12/02/16	7,439 88	9,948 82		-	(2,508 94)
37 0000	Baidu com, Inc	04/10/15	12/02/16	5,984 25	7,984 73		-	(2,000 48)
1,000 0000	Bank of Amer 5 3% 03/15/17	06/26/14	12/02/16	1,010 00	1,010 22	B	(0 05)	(0 17)
800 0000	Bank Rakyat Indonesia Perser	02/24/15	04/28/16	621 24	808 23	B	(2 61)	(184 38)
9,200 0000	Bank Rakyat Indonesia Perser	02/24/15	12/05/16	7,717 57	9,294 69	B	(30 12)	(1,547 00)
263 0000	Becton Dickinson & Co	10/07/15	10/27/16	44,049 41	35,881 80		-	8,167 61
101 0000	Becton Dickinson & Co	10/05/15	10/27/16	16,916 31	13,798 20		-	3,118 11
125 0000	Becton Dickinson & Co	10/07/15	12/02/16	20,733 30	17,054 09		-	3,679 21
37 0000	Buffalo Wild Wings Inc	07/13/15	08/31/16	5,984 93	6,300 63	B	(43 84)	(271 86)
49 0000	Buffalo Wild Wings Inc	07/15/15	08/31/16	7,925 98	8,344 08	B	(100 56)	(317 54)
29 0000	Buffalo Wild Wings Inc	07/17/15	08/31/16	4,690 89	4,938 33	B	(12 42)	(235 02)
24 0000	Buffalo Wild Wings Inc	07/16/15	08/31/16	3,882 11	4,086 89	B	(50 06)	(154 72)
58 0000	Buffalo Wild Wings Inc	07/09/15	09/01/16	9,324 71	9,702 94	B	(166 03)	(212 20)
81 0000	Buffalo Wild Wings Inc	07/10/15	09/01/16	13,022 45	13,550 67	B	(84 61)	(443 61)
1 0000	Buffalo Wild Wings Inc	07/16/15	09/01/16	160 77	167 29	B	0 91	(7 43)
219 0000	Buffalo Wild Wings Inc	07/08/15	09/23/16	34,101 13	35,936 94	B	(0 01)	(1,835 80)
69 0000	Buffalo Wild Wings Inc	11/02/15	09/26/16	10,550 46	11,322 59	B	(775 71)	3 58
1 0000	Buffalo Wild Wings Inc	07/08/15	09/26/16	152 91	164 10		-	(11 19)
78 0000	Buffalo Wild Wings Inc	07/08/15	09/22/16	12,119 35	12,836 71	B	(37 25)	(680 11)
100 0000	Buffalo Wild Wings Inc	07/09/15	09/22/16	15,537 63	16,457 32	B	(14 38)	(905 31)
4 0000	Buffalo Wild Wings Inc	11/02/15	09/27/16	595 63	656 38	B	(44 97)	(15 78)
65 0000	Cabot Oil & Gas Corp Cl A	08/11/14	04/28/16	1,549 56	2,230 84		-	(681 28)

Long Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
746 0000	Cabot Oil & Gas Corp CI A	08/11/14	07/07/16	19,243 99	25,603 16		-	(6,359 17)
248 0000	Cabot Oil & Gas Corp CI A	08/08/14	07/07/16	6,397 47	8,412 51		-	(2,015 04)
881 0000	Cabot Oil & Gas Corp CI A	08/08/14	07/08/16	22,424 75	29,884 75		-	(7,460 00)
1,143 0000	Cabot Oil & Gas Corp CI A	11/07/14	07/12/16	29,851 65	37,982 92		-	(8,131 27)
649 0000	Cabot Oil & Gas Corp CI A	08/08/14	07/12/16	16,949 89	22,014 99		-	(5,065 10)
80 0000	Cabot Oil & Gas Corp CI A	08/13/14	07/12/16	2,089 35	2,655 13		-	(565 78)
568 0000	Cabot Oil & Gas Corp CI A	08/13/14	12/02/16	12,944 50	18,851 41		-	(5,906 91)
31 0000	Capital One Financial Corp	12/29/14	04/28/16	2,278 76	2,593 51		-	(314 75)
370 0000	Capital One Financial Corp	12/29/14	12/02/16	31,749 04	30,954 75		-	794 29
262 0000	Capital One Financial Corp	12/24/14	12/09/16	23,582 11	21,841 63		-	1,740 48
122 0000	Capital One Financial Corp	09/17/14	12/09/16	10,980 98	10,079 30		-	901 68
422 0000	Capital One Financial Corp	09/18/14	12/09/16	37,983 39	35,252 70		-	2,730 69
95 0000	Capital One Financial Corp	12/29/14	12/09/16	8,550 76	7,947 84		-	602 92
450 0000	Cerner Corporation	12/01/15	12/02/16	21,622 08	21,622 08	B	5,333 01	(5,333 01)
20 0000	Chevron Corporation	04/14/14	04/28/16	2,066 35	2,369 38		-	(303 03)
222 0000	Chevron Corporation	04/14/14	07/07/16	23,033 80	26,300 16		-	(3,266 36)
202 0000	Chevron Corporation	04/14/14	07/08/16	21,074 68	23,930 78		-	(2,856 10)
413 0000	Chevron Corporation	04/14/14	07/12/16	44,092 04	48,927 78		-	(4,835 74)
2,000 0000	Citigroup Inc 2 5% 09/26/2018	11/18/15	12/02/16	2,018 98	2,018 85	B	0 12	0 01
50,000 0000	NY NY 3 823% 10/01/16	09/03/14	03/30/16	50,630 00	50,725 81	B	(2 88)	(92 93)
33 0000	Comcast Corporation - CL A	09/17/14	04/28/16	2,009 32	1,887 57		-	121 75
246 0000	Comcast Corporation - CL A	09/17/14	09/22/16	16,528 97	14,070 95		-	2,458 02
122 0000	Comcast Corporation - CL A	09/16/14	09/22/16	8,197 29	6,967 60		-	1,229 69
368 0000	Comcast Corporation - CL A	09/16/14	09/26/16	24,220 60	21,017 03		-	3,203 57
543 0000	Comcast Corporation - CL A	09/08/14	09/27/16	35,933 82	30,321 50		-	5,612 32
44 0000	Comcast Corporation - CL A	09/16/14	09/27/16	2,911 76	2,512 91		-	398 85
344 0000	Comcast Corporation - CL A	09/10/14	09/27/16	22,764 70	19,454 75		-	3,309 95
300 0000	Compagnie de Saint-Gobain	05/27/15	12/05/16	13,140 83	14,282 69		-	(1,141 86)
19 0000	Ctrip com International - ADR	12/20/13	04/28/16	860 68	454 70		-	405 98
137 0000	Ctrip com International - ADR	12/20/13	05/09/16	5,923 26	3,278 66		-	2,644 60
110 0000	Ctrip com International - ADR	12/20/13	05/16/16	4,831 43	2,632 50		-	2,198 93
123 0000	Ctrip com International - ADR	12/20/13	05/17/16	5,485 98	2,943 61		-	2,542 37
184 0000	Ctrip com International - ADR	12/20/13	05/26/16	8,182 67	4,403 45		-	3,779 22
110 0000	Ctrip com International - ADR	12/20/13	05/27/16	5,044 25	2,632 50		-	2,411 75
125 0000	Ctrip com International - ADR	12/20/13	07/05/16	5,107 19	2,991 48	B	(0 01)	2,115 72
289 0000	Ctrip com International - ADR	12/20/13	07/06/16	11,540 47	6,916 29		-	4,624 18
163 0000	Ctrip com International - ADR	01/13/14	07/07/16	6,523 27	3,900 88	B	(669 71)	3,292 10
243 0000	Ctrip com International - ADR	12/20/13	07/07/16	9,724 87	5,815 43		-	3,909 44
387 0000	Ctrip com International - ADR	01/13/14	07/12/16	16,245 33	8,984 20	B	(1,312 66)	8,573 79
830 0000	Ctrip com International - ADR	01/13/14	07/13/16	34,760 22	19,209 29	B	(2,756 12)	18,307 05
19 0000	CVS Health Corporation	07/28/15	12/02/16	1,476 65	2,113 56		-	(636 91)
407 0000	CVS Health Corporation	07/30/15	12/02/16	31,631 38	45,876 47		-	(14,245 09)
365 0000	Express Scripts Holding, Inc	08/06/14	04/04/16	25,095 39	25,908 58	B	(142 32)	(670 87)
496 0000	Express Scripts Holding, Inc	08/06/14	04/05/16	33,308 85	35,013 88		-	(1,705 03)
265 0000	Express Scripts Holding, Inc	04/30/14	04/05/16	17,796 06	17,711 30		-	84 76
392 0000	Express Scripts Holding, Inc	04/30/14	04/06/16	26,907 19	26,199 36		-	707 83
360 0000	Express Scripts Holding, Inc	04/30/14	04/22/16	26,438 72	24,060 64		-	2,378 08
762 0000	Express Scripts Holding, Inc	04/30/14	04/25/16	56,062 17	50,928 34		-	5,133 83
10,000 0000	FHLB 0 625% 12/28/16	05/05/14	12/28/16	10,000 00	9,991 50	B	8 50	-
35,000 0000	FHLB 0 625% 12/28/16	07/28/14	12/28/16	35,000 00	34,970 26	B	29 74	-
30,000 0000	FHLB 0 625% 12/28/16	07/14/14	12/28/16	30,000 00	29,974 51	B	25 49	-
90,000 0000	FHLB 0 625% 12/28/16	02/27/14	12/28/16	90,000 00	89,923 53	B	76 47	-
10,000 0000	FHLB 0 625% 12/28/16	02/27/14	12/02/16	10,001 11	10,000 08	B	(0 32)	1 35
11,000 0000	Fifth Third Bk 2 15% 08/20/18	11/05/15	12/02/16	11,073 26	11,064 06	B	(1 50)	10 70
100 0000	ABN AMRO Group N V - CVA	12/03/15	12/05/16	2,191 49	2,145 42		-	46 07
25 0000	HeidelbergCement AG	08/10/15	04/28/16	2,238 07	2,014 46	B	(7 96)	231 57
152 0000	HeidelbergCement AG	02/18/15	12/19/16	13,842 59	12,197 44	B	(18 13)	1,663 28
1 0000	HeidelbergCement AG	08/10/15	12/19/16	91 07	80 25	B	0 01	10 81
85 0000	HeidelbergCement AG	02/18/15	12/21/16	7,703 74	6,810 79	B	0 01	892 94
68 0000	HeidelbergCement AG	02/18/15	12/23/16	6,204 01	5,448 64	B	(0 01)	755 38
80 0000	HeidelbergCement AG	02/13/15	12/27/16	7,317 41	6,410 15	B	(32 44)	939 70
4 0000	HeidelbergCement AG	02/18/15	12/27/16	365 87	320 51		-	45 36
149 0000	HeidelbergCement AG	02/13/15	12/28/16	13,591 48	11,885 80	B	(7 31)	1,712 99
13 0000	Hyundai Motor Co , Ltd - 2nd	09/29/14	04/28/16	1,171 59	1,482 10	B	18 82	(329 33)
87 0000	Hyundai Motor Co , Ltd - 2nd	09/26/14	12/05/16	7,005 51	9,875 15	B	14 06	(2,883 70)
71 0000	Hyundai Motor Co , Ltd - 2nd	09/29/14	12/05/16	5,717 14	8,059 03	B	138 33	(2,480 22)
4 0000	Hyundai Motor Co , Ltd - 2nd	09/23/14	04/28/16	352 65	482 58	B	(1 79)	(128 14)

Long Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
30 0000	Hyundai Motor Co , Ltd - 2nd	09/23/14	12/05/16	2,311 90	3,619 35	B	(13 46)	(1,293 99)
504 0000	ING Groep - CVA	07/09/15	12/05/16	6,965 92	8,098 89		-	(1,132 97)
496 0000	ING Groep - CVA	06/16/15	12/05/16	6,855 34	7,898 24		-	(1,042 90)
21 0000	InterXion Holding NV	04/27/15	04/28/16	720 28	661 35		-	58 93
62 0000	InterXion Holding NV	04/27/15	07/21/16	2,307 55	1,952 55		-	355 00
39 0000	InterXion Holding NV	04/23/15	07/21/16	1,451 53	1,225 97		-	225 56
34 0000	InterXion Holding NV	04/28/15	07/21/16	1,265 57	1,064 55		-	201 02
108 0000	InterXion Holding NV	04/23/15	07/21/16	4,020 03	3,394 98		-	625 05
35 0000	InterXion Holding NV	04/24/14	07/22/16	1,310 29	912 22		-	398 07
82 0000	InterXion Holding NV	04/21/14	07/22/16	3,069 83	2,147 10		-	922 73
216 0000	InterXion Holding NV	04/20/15	07/22/16	8,086 37	6,683 82		-	1,402 55
137 0000	InterXion Holding NV	04/28/15	07/22/16	5,128 85	4,289 51		-	839 34
64 0000	InterXion Holding NV	04/24/14	07/25/16	2,385 59	1,668 06		-	717 53
200 0000	InterXion Holding NV	04/23/14	07/26/16	7,478 67	5,208 78		-	2,269 89
189 0000	InterXion Holding NV	04/24/14	07/26/16	7,067 35	4,925 98		-	2,141 37
126 0000	InterXion Holding NV	04/23/14	07/27/16	4,678 30	3,281 53		-	1,396 77
101 0000	InterXion Holding NV	04/16/14	07/27/16	3,750 06	2,581 18		-	1,168 88
26 0000	InterXion Holding NV	04/25/14	07/27/16	965 36	675 36		-	290 00
153 0000	InterXion Holding NV	04/15/14	07/28/16	5,683 44	3,861 89		-	1,821 55
244 0000	InterXion Holding NV	04/09/14	07/28/16	9,063 80	6,123 33		-	2,940 47
169 0000	InterXion Holding NV	04/10/14	07/28/16	6,277 79	4,295 51		-	1,982 28
26 0000	InterXion Holding NV	04/11/14	07/28/16	965 81	644 46		-	321 35
16 0000	InterXion Holding NV	04/16/14	07/28/16	594 35	408 90		-	185 45
434 0000	InterXion Holding NV	04/08/14	07/29/16	16,302 86	10,622 63		-	5,680 23
283 0000	InterXion Holding NV	04/11/14	07/29/16	10,630 67	7,014 66		-	3,616 01
326 0000	InterXion Holding NV	04/07/14	07/29/16	12,245 92	7,733 93		-	4,511 99
42 0000	J P Morgan Chase & Co	05/24/12	04/28/16	2,674 08	1,431 97		-	1,242 11
51 0000	J P Morgan Chase & Co	05/25/12	12/02/16	4,130 40	1,725 40		-	2,405 00
349 0000	J P Morgan Chase & Co	05/24/12	12/02/16	28,264 93	11,898 98		-	16,365 95
200 0000	Kansai Electric Power Company	12/22/14	04/28/16	1,854 99	2,002 80		-	(147 81)
1,400 0000	Kansai Electric Power Company	12/24/14	12/05/16	14,190 52	14,014 33	B	0 03	176 16
400 0000	Kansai Electric Power Company	12/22/14	12/05/16	4,054 43	4,005 60		-	48 83
200 0000	Kansai Electric Power Company	04/22/15	12/05/16	2,027 22	1,996 72		-	30 50
69 0000	Korea Electric Power Corp	11/24/14	04/28/16	3,749 09	2,755 44	B	(10 46)	1,004 11
160 0000	Korea Electric Power Corp	11/24/14	06/24/16	7,868 66	6,389 44	B	(24 28)	1,503 50
34 0000	Korea Electric Power Corp	11/24/14	06/27/16	1,660 90	1,357 75	B	(5 15)	308 30
235 0000	Korea Electric Power Corp	11/24/14	07/22/16	12,605 08	9,384 48	B	(35 66)	3,256 26
376 0000	Korea Electric Power Corp	11/24/14	07/25/16	20,325 07	15,015 18	B	(57 06)	5,366 95
25 0000	Korea Electric Power Corp	11/24/14	07/26/16	1,367 11	998 35	B	(3 79)	372 55
12,000 0000	Kroger Company 4% 02/01/24	09/29/15	12/02/16	12,505 56	12,535 60	B	(3 32)	(26 72)
1,715 0000	Lloyds Banking Group	11/26/14	04/28/16	1,706 38	2,171 48		-	(465 10)
22,857 0000	Lloyds Banking Group	12/22/14	06/16/16	19,933 06	27,555 99		-	(7,622 93)
25,571 0000	Lloyds Banking Group	11/26/14	06/16/16	22,299 88	32,377 22		-	(10,077 34)
6,386 0000	Lloyds Banking Group	12/23/14	06/16/16	5,569 08	7,656 92		-	(2,087 84)
43,182 0000	Lloyds Banking Group	11/25/14	06/16/16	37,658 02	54,298 33	B	0 04	(16,640 35)
76,557 0000	Lloyds Banking Group	11/21/14	06/16/16	66,763 58	94,814 00		-	(28,050 42)
10,408 0000	Lloyds Banking Group	12/18/14	06/16/16	9,076 58	12,385 57		-	(3,308 99)
24,979 0000	Lloyds Banking Group	12/19/14	06/16/16	21,783 61	29,890 32		-	(8,106 71)
39,274 0000	Lloyds Banking Group	11/24/14	06/16/16	34,249 94	49,111 84		-	(14,861 90)
37 0000	Mallinckrodt PLC	10/16/15	11/22/16	2,071 69	2,075 65	B	433 35	(437 31)
419 0000	Mallinckrodt PLC	10/15/15	11/22/16	23,460 47	23,505 38	B	4,560 50	(4,605 41)
21 2500	Mallinckrodt PLC	06/27/13	11/22/16	1,189 82	1,192 10	B	(237 62)	235 34
523 7500	Mallinckrodt PLC	06/18/13	11/22/16	29,325 59	29,381 73	B	(6,268 01)	6,211 87
310 0000	Mallinckrodt PLC	06/21/13	11/23/16	17,451 87	13,483 00	B	(97 20)	4,066 07
56 2500	Mallinckrodt PLC	06/18/13	11/23/16	3,166 67	2,446 51	B	35 87	684 29
180 0000	Mallinckrodt PLC	06/25/13	11/23/16	10,133 35	7,828 83	B	4 27	2,300 25
310 0000	Mallinckrodt PLC	06/19/13	11/23/16	17,451 88	13,482 99	B	74 46	3,894 43
80 0000	Mallinckrodt PLC	06/26/13	11/23/16	4,503 71	3,479 48	B	26 99	997 24
135 7500	Mallinckrodt PLC	06/20/13	11/23/16	7,642 23	5,904 25	B	(45 11)	1,783 09
141 7500	Mallinckrodt PLC	07/03/13	11/25/16	8,056 03	6,060 60	B	(59 15)	2,054 58
144 2500	Mallinckrodt PLC	06/20/13	11/25/16	8,198 12	6,167 49	B	58 53	1,972 10
218 2500	Mallinckrodt PLC	07/03/13	11/28/16	12,379 74	9,240 33	B	0 01	3,139 40
0 2500	Mallinckrodt PLC	11/25/08	11/28/16	14 18	10 59	B	(3 90)	7 49
0 5000	Mallinckrodt PLC	03/13/09	11/28/16	28 36	21 17	B	(9 77)	16 96
31 0000	Merck & Co Inc	10/03/13	04/28/16	1,723 56	1,505 79		-	217 77
166 0000	Merck & Co Inc	10/03/13	07/13/16	9,888 81	8,063 29		-	1,825 52
21 0000	Merck & Co Inc	01/05/12	07/13/16	1,250 99	813 43		-	437 56

Long Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
751 0000	Merck & Co Inc	01/05/12	07/14/16	44,782 73	29,089 84		-	15,692 89
1,237 0000	Merck & Co Inc	01/05/12	07/25/16	71,953 98	47,914 95		-	24,039 03
1,673 0000	Merck & Co Inc	01/05/12	07/26/16	97,552 17	64,803 32		-	32,748 85
728 0000	Merck & Co Inc	01/05/12	07/27/16	42,337 38	28,198 93		-	14,138 45
9,000 0000	Morgan Stanley 6 25% 08/09/26	04/22/15	12/02/16	10,757 34	11,019 94	B	(0 98)	(261 62)
100 0000	Nabtesco Corp	02/25/14	10/24/16	2,950 23	2,478 83		-	471 40
300 0000	Nabtesco Corp	03/11/14	10/24/16	8,850 70	7,494 37		-	1,356 33
300 0000	Nabtesco Corp	02/25/14	10/25/16	8,985 16	7,436 49	B	0 01	1,548 66
300 0000	Nabtesco Corp	02/25/14	10/26/16	8,833 70	7,436 49	B	0 01	1,397 20
400 0000	Nabtesco Corp	02/25/14	12/05/16	10,033 75	9,915 33		-	118 42
200,000 0000	NY Nassau Cnty 1 454% 11/15/17	12/01/14	05/10/16	201,422 00	200,964 25	B	(2 41)	460 16
6 0000	Naver Corp	10/07/15	11/15/16	3,828 26	2,894 87	B	(23 73)	957 12
9 0000	Naver Corp	10/06/15	11/15/16	5,742 39	4,342 30	B	(51 99)	1,452 08
36 0000	Naver Corp	10/05/15	11/16/16	22,699 50	17,269 50	B	(150 72)	5,580 72
26 0000	Naver Corp	10/06/15	11/16/16	16,394 08	12,472 42	B	(78 20)	3,999 86
20 0000	Naver Corp	10/02/15	11/17/16	12,580 85	9,322 58	B	(43 84)	3,302 11
24 0000	Naver Corp	10/01/15	11/18/16	15,326 29	10,983 52	B	(179 63)	4,522 40
16 0000	Naver Corp	10/02/15	11/18/16	10,217 53	7,322 35	B	100 64	2,794 54
700 0000	NGK Spark Plug Co , Ltd	06/14/13	02/16/16	14,254 94	12,766 21		-	1,488 73
200 0000	NGK Spark Plug Co , Ltd	12/27/12	02/17/16	4,033 24	2,655 48	B	1 08	1,376 68
600 0000	NGK Spark Plug Co , Ltd	12/27/12	02/18/16	12,019 07	7,966 45	B	3 24	4,049 38
100 0000	NGK Spark Plug Co , Ltd	12/27/12	02/19/16	1,907 47	1,327 74	B	0 54	579 19
300 0000	Nippon Telegraph and Telephone	01/30/15	04/26/16	13,211 14	9,015 19		-	4,195 95
100 0000	Nippon Telegraph and Telephone	01/30/15	04/27/16	4,454 33	3,005 06		-	1,449 27
200 0000	Nippon Telegraph and Telephone	01/30/15	04/28/16	9,154 12	6,010 13		-	3,143 99
200 0000	Nippon Telegraph and Telephone	01/30/15	05/02/16	9,139 28	6,010 12		-	3,129 16
300 0000	Nippon Telegraph and Telephone	01/30/15	05/09/16	13,509 11	9,015 19		-	4,493 92
600 0000	Nippon Telegraph and Telephone	02/02/15	07/13/16	28,137 11	17,808 69		-	10,328 42
500 0000	Nippon Telegraph and Telephone	02/03/15	07/13/16	23,447 60	14,829 02		-	8,618 58
100 0000	Nippon Telegraph and Telephone	01/30/15	07/13/16	4,689 52	3,005 05	B	0 01	1,684 46
300 0000	Nippon Telegraph and Telephone	02/03/15	07/14/16	13,907 36	8,897 41		-	5,009 95
300 0000	Nippon Telegraph and Telephone	02/03/15	07/15/16	13,808 53	8,897 41	B	0 01	4,911 11
100 0000	Nippon Telegraph and Telephone	02/03/15	07/19/16	4,640 78	2,965 80		-	1,674 98
100 0000	Nippon Telegraph and Telephone	01/28/15	07/19/16	4,640 78	2,955 46		-	1,685 32
27 0000	Novartis AG - ADR	07/01/11	04/28/16	2,069 50	1,639 89		-	429 61
300 0000	Novartis AG - ADR	07/01/11	12/02/16	20,417 58	18,221 01		-	2,196 57
46 0000	Oracle Corporation	09/24/14	04/28/16	1,863 87	1,792 31		-	71 56
548 0000	Oracle Corporation	09/24/14	12/02/16	21,108 55	21,351 89		-	(243 34)
31 0000	Pentair, PLC	03/18/15	04/28/16	1,844 14	2,014 40		-	(170 26)
378 0000	Pentair, PLC	03/18/15	12/02/16	22,108 77	24,562 63		-	(2,453 86)
14,000 0000	PNC Funding 5 125% 02/08/20	05/05/14	04/12/16	15,555 96	15,372 56	B	(79 25)	262 65
44,000 0000	PNC Funding 5 125% 02/08/20	06/26/14	04/12/16	48,890 16	48,313 76	B	33 14	543 26
26,000 0000	PNC Funding 5 125% 02/08/20	07/14/14	04/12/16	28,889 64	28,549 04	B	38 82	301 78
56 0000	Prudential plc	11/08/11	04/28/16	1,122 47	582 15		-	540 32
207 0000	Reinsurance Group of America,	10/30/13	12/02/16	25,325 92	14,962 02		-	10,363 90
125 0000	Safran SA	11/29/11	12/05/16	8,940 09	3,614 84		-	5,325 25
197 0000	SBA Communications Corporation	09/09/15	10/17/16	21,851 45	23,030 66	B	(31 56)	(1,147 65)
39 0000	SBA Communications Corporation	09/09/15	10/19/16	4,343 53	4,510 85	B	42 27	(209 59)
71 0000	SBA Communications Corporation	09/02/15	10/19/16	7,907 46	8,212 06	B	(16 17)	(288 43)
187 0000	SBA Communications Corporation	08/26/15	10/19/16	20,826 69	21,628 94	B	(61 41)	(740 84)
446 0000	SBA Communications Corporation	08/26/15	11/03/16	48,171 68	51,439 14		-	(3,267 46)
25 0000	SBA Communications Corporation	11/09/15	11/04/16	2,687 02	2,861 60	B	(186 15)	11 57
114 0000	SBA Communications Corporation	09/10/15	11/04/16	12,252 80	13,048 92	B	(234 99)	(561 13)
245 0000	SBA Communications Corporation	08/26/15	11/04/16	26,332 79	28,043 71	B	213 22	(1,924 14)
500 0000	Semen Indonesia (Persero) Tbk	04/14/14	04/28/16	382 63	695 69	B	0 79	(313 85)
200 0000	Semen Indonesia (Persero) Tbk	04/14/14	07/21/16	143 77	278 28	B	0 31	(134 82)
6,800 0000	Semen Indonesia (Persero) Tbk	04/14/14	07/22/16	4,783 32	9,461 42	B	10 65	(4,688 75)
2,200 0000	Semen Indonesia (Persero) Tbk	04/14/14	07/25/16	1,560 60	3,061 05	B	3 44	(1,503 89)
1,900 0000	Semen Indonesia (Persero) Tbk	04/14/14	07/26/16	1,355 96	2,592 88	B	53 73	(1,290 65)
5,900 0000	Semen Indonesia (Persero) Tbk	04/22/14	07/26/16	4,210 62	8,051 57	B	87 56	(3,928 51)
2,300 0000	Semen Indonesia (Persero) Tbk	04/22/14	07/27/16	1,710 79	3,116 11	B	56 77	(1,462 09)
700 0000	Semen Indonesia (Persero) Tbk	04/23/14	07/28/16	516 51	829 17	B	133 46	(446 12)
2,800 0000	Semen Indonesia (Persero) Tbk	04/22/14	07/28/16	2,066 06	3,316 70	B	545 93	(1,796 57)
4,800 0000	Semen Indonesia (Persero) Tbk	03/24/11	07/28/16	3,541 81	5,685 77	B	(601 28)	(1,542 68)
1,000 0000	Semen Indonesia (Persero) Tbk	03/24/11	07/29/16	729 26	1,060 36	B	(1 09)	(330 01)
2,700 0000	Semen Indonesia (Persero) Tbk	03/24/11	08/01/16	1,977 38	2,845 21	B	14 82	(882 65)
300 0000	Semen Indonesia (Persero) Tbk	03/30/11	08/01/16	219 71	316 13	B	(3 31)	(93 11)

Long Term Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
4,000 0000	Semen Indonesia (Persero) Tbk	03/28/11	08/01/16	2,929 46	4,215 13	B	(21 97)	(1,263 70)
600 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/02/16	455 35	628 75	B	(12 44)	(160 96)
8,700 0000	Semen Indonesia (Persero) Tbk	03/30/11	08/02/16	6,602 52	9,116 83	B	(45 15)	(2,469 16)
9,300 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/03/16	7,100 07	9,562 14	B	(9 32)	(2,452 75)
1,500 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/08/16	1,229 76	1,542 28	B	(1 50)	(311 02)
2,300 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/16/16	1,920 72	2,364 83	B	(2 31)	(441 80)
4,700 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/18/16	3,938 87	4,832 48	B	(4 71)	(888 90)
100 0000	Semen Indonesia (Persero) Tbk	03/23/11	08/19/16	84 11	98 52	B	4 20	(18 61)
2,200 0000	Semen Indonesia (Persero) Tbk	03/22/11	08/19/16	1,850 52	2,167 50	B	(10 12)	(306 86)
2,300 0000	Semen Indonesia (Persero) Tbk	03/22/11	08/22/16	1,924 03	2,261 53	B	(6 09)	(331 41)
300 0000	Semen Indonesia (Persero) Tbk	03/22/11	08/23/16	243 75	294 98	B	(0 79)	(50 44)
2,400 0000	Semen Indonesia (Persero) Tbk	03/22/11	08/24/16	1,879 36	2,359 86	B	(6 36)	(474 14)
1,300 0000	Semen Indonesia (Persero) Tbk	03/22/11	08/25/16	1,028 53	1,278 26	B	(3 45)	(246 28)
400 0000	SMC Corporation	12/27/12	12/13/16	94,623 53	72,897 19	B	(280 21)	22,006 55
200 0000	SMC Corporation	12/21/12	12/13/16	47,311 76	36,448 59	B	309 78	10,553 39
31 0000	Southwest Airlines Co	04/09/15	04/28/16	1,396 51	1,319 25		-	77 26
113 0000	Southwest Airlines Co	04/14/15	12/02/16	5,405 22	4,807 89		-	597 33
545 0000	Southwest Airlines Co	04/09/15	12/02/16	26,069 40	23,193 18		-	2,876 22
17 0000	Southwest Airlines Co	04/08/15	12/02/16	813 17	719 21		-	93 96
27 0000	St Jude Medical	10/04/13	04/28/16	2,090 02	1,525 39		-	564 63
359 0000	St Jude Medical	10/04/13	07/01/16	28,080 37	20,282 02		-	7,798 35
380 0000	St Jude Medical	10/04/13	07/05/16	29,644 63	21,468 44		-	8,176 19
313 0000	St Jude Medical	10/07/13	07/05/16	24,417 82	17,634 58		-	6,783 24
522 0000	St Jude Medical	10/07/13	07/11/16	42,122 24	29,409 74		-	12,712 50
396 0000	St Jude Medical	10/03/13	07/12/16	32,035 70	21,783 33		-	10,252 37
119 0000	St Jude Medical	10/07/13	07/12/16	9,626 89	6,704 51	B	0 01	2,922 37
6 0000	St Jude Medical	10/07/13	07/12/16	485 51	338 04		-	147 47
175 0000	St Jude Medical	10/03/13	12/02/16	13,850 96	9,626 47		-	4,224 49
778 0000	SwedBank AB	05/08/15	12/05/16	18,245 86	17,968 16	B	0 01	277 69
92 0000	SwedBank AB	05/12/15	12/05/16	2,157 61	2,102 46		-	55 15
11 0000	SwedBank AB	05/11/15	12/05/16	257 97	256 59		-	1 38
16 0000	TE Connectivity Limited	01/16/15	04/28/16	963 33	1,002 05		-	(38 72)
121 0000	TE Connectivity Limited	01/16/15	05/11/16	7,163 55	7,578 02		-	(414 47)
172 0000	TE Connectivity Limited	01/15/15	05/11/16	10,182 90	10,767 37		-	(584 47)
660 0000	TE Connectivity Limited	01/15/15	05/12/16	38,678 13	41,316 66		-	(2,638 53)
317 0000	TE Connectivity Limited	01/15/15	05/13/16	18,446 24	19,844 52		-	(1,398 28)
236 0000	TE Connectivity Limited	01/15/15	05/16/16	13,784 67	14,773 84		-	(989 17)
425 0000	TE Connectivity Limited	01/14/15	05/16/16	24,824 09	26,567 68		-	(1,743 59)
366 0000	TE Connectivity Limited	01/14/15	05/17/16	21,354 28	22,879 47		-	(1,525 19)
1,000 0000	Tokyo Gas Co , Ltd	10/27/15	11/04/16	4,629 52	5,159 91		-	(530 39)
1,000 0000	Tokyo Gas Co , Ltd	10/27/15	11/08/16	4,591 93	5,159 90	B	0 01	(567 98)
1,000 0000	Tokyo Gas Co , Ltd	10/29/15	11/08/16	4,591 92	5,114 52		-	(522 60)
2,000 0000	Tokyo Gas Co , Ltd	10/29/15	11/10/16	9,007 31	10,229 05		-	(1,221 74)
1,000 0000	Tokyo Gas Co , Ltd	10/27/15	11/07/16	4,573 50	5,159 91		-	(586 41)
1,000 0000	Tokyo Gas Co , Ltd	10/28/15	11/11/16	4,465 96	5,086 62	B	0 01	(620 67)
1,000 0000	Tokyo Gas Co , Ltd	10/30/15	12/05/16	4,345 45	5,074 38		-	(728 93)
1,000 0000	Tokyo Gas Co , Ltd	10/28/15	12/05/16	4,345 45	5,086 62		-	(741 17)
33 0000	Ultragenyx Pharmaceutical Inc	08/28/15	12/02/16	2,496 06	3,680 15	B	4 79	(1,188 88)
26 0000	Ultragenyx Pharmaceutical Inc	08/31/15	12/02/16	1,966 60	2,901 90	B	6 16	(941 46)
39 0000	Ultragenyx Pharmaceutical Inc	09/01/15	12/02/16	2,949 90	4,332 67	B	(10 95)	(1,371 82)
41 0000	United Continental Hld Inc	04/28/14	04/28/16	1,996 65	1,622 56		-	374 09
1,314 0000	United Continental Hld Inc	04/28/14	07/25/16	61,561 00	52,001 03		-	9,559 97
102 0000	United Continental Hld Inc	11/11/13	07/25/16	4,778 71	3,597 65		-	1,181 06
632 0000	United Continental Hld Inc	11/11/13	07/26/16	30,009 24	22,291 34		-	7,717 90
400 0000	United Continental Hld Inc	11/11/13	12/02/16	27,627 39	14,108 44		-	13,518 95
144 0000	United Continental Hld Inc	11/11/13	12/09/16	10,763 97	5,079 04		-	5,684 93
134 0000	United Continental Hld Inc	11/11/13	12/12/16	9,787 00	4,726 33		-	5,060 67
278 0000	United Continental Hld Inc	11/11/13	12/15/16	21,194 01	9,805 36		-	11,388 65
8,000 0000	UPS 1 125% 10/01/17	07/14/14	12/02/16	7,992 64	8,000 75	B	(0 07)	(8 04)
106,000 0000	US Bancorp 2 2% 11/15/16	04/04/14	10/14/16	106,000 00	106,125 60	B	(125 60)	-
13,000 0000	US Bancorp 2 2% 11/15/16	05/05/14	10/14/16	13,000 00	13,015 40	B	(15 40)	-
58,000 0000	US Bancorp 2 2% 11/15/16	06/26/14	10/14/16	58,000 00	58,068 73	B	(68 73)	-
142,000 0000	US Treasury N/B 2 375% 8/15/24	10/08/14	05/12/16	149,682 42	142,314 49	B	(92 10)	7,460 03
153,000 0000	US Treasury N/B 2 375% 8/15/24	11/12/14	05/12/16	161,277 54	153,338 85	B	87 22	7,851 47
12,000 0000	US Treasury N/B 875% 10/15/18	11/03/15	12/02/16	11,953 13	11,953 19	B	(0 14)	0 08
294,000 0000	US Treasury N/B 0 875% 5/15/17	06/20/14	02/24/16	294,723 52	293,793 28	B	119 10	811 14
5,000 0000	US Treas N/B 2 125% 05/15/25	06/09/15	12/02/16	4,919 34	4,905 56	B	(19 69)	33 47

Long Term Covered Regular Gain/Loss

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)
Shares	Description of Property	Date Acquired	Date Sold	Proceeds	Cost	Code	Adjustment	Gain or (Loss)
9,000 0000	US Treas N/B 2 125% 05/15/25	11/10/15	12/02/16	8,854 80	8,830 01	B	34 75	(9 96)
150,000 0000	VA BAB Dirct PMT 3 875% 2/1/17	12/13/11	06/15/16	76,282 50	76,290 44	B	(373 19)	365 25
25,000 0000	VA BAB Dirct PMT 3 875% 2/1/17	12/13/11	06/15/16	25,427 50	25,430 15	B	(124 40)	121 75
25,000 0000	VA BAB Dirct PMT 3 875% 2/1/17	05/05/14	06/15/16	25,427 50	25,430 14	B	(1 61)	(1 03)
10,000 0000	WFC 5 75% 02/01/18	11/09/15	12/02/16	10,449 50	10,459 37	B	(1 35)	(8 52)
9,000 0000	Walt Disney Co 1 35% 08/16/16	05/05/14	08/16/16	9,000 00	9,000 00		-	-
60,000 0000	Walt Disney Co 1 35% 08/16/16	07/14/14	08/16/16	60,000 00	60,000 00		-	-
140,000 0000	Walt Disney Co 1 35% 08/16/16	02/27/14	08/16/16	140,000 00	140,000 00		-	-
764 0000	WEC Energy Group, Inc	08/26/15	11/10/16	42,139 49	36,343 48		-	5,796 01
1,144 0000	WEC Energy Group, Inc	08/26/15	11/14/16	62,325 82	54,420 08		-	7,905 74
256 0000	WEC Energy Group, Inc	09/03/15	11/14/16	13,947 04	12,034 46		-	1,912 58
250 0000	WEC Energy Group, Inc	09/03/15	12/02/16	13,889 72	11,752 40		-	2,137 32
41 0000	Wells Fargo Company	08/10/11	04/28/16	2,074 96	955 76		-	1,119 20
60 0000	Wells Fargo Company	08/10/11	07/06/16	2,748 99	1,398 68		-	1,350 31
Long Term Covered Regular Gain/Loss Totals				6,071,544.79	5,588,229.17		(21,218.86)	504,534.48

Long Term Non-Covered Regular Gain/Loss

Shares	(a) Description of Property	(b) Date Acquired	(c) Date Sold	(d) Proceeds	(e) Cost	(f) Code	(g) Adjustment	(h) Gain or (Loss)
3 0000	Alphabet Inc - Class C	11/20/07	04/28/16	2,135 83	960 59	B	2 14	1,173 10
2 0000	Alphabet Inc - Class A	04/15/11	04/28/16	1,453 98	932 19	B	(398 79)	920 58
6 0000	Alphabet Inc - Class A	05/10/10	06/20/16	4,252 59	2,796 58	B	(1,246 17)	2,702 18
9 0000	Alphabet Inc - Class A	07/01/11	06/20/16	6,378 89	4,194 87	B	(1,914 82)	4,098 84
65 0000	Alphabet Inc - Class A	04/18/11	06/20/16	46,069 75	30,296 28	B	(13,314 70)	29,088 17
37 0000	Alphabet Inc - Class A	04/15/11	06/20/16	26,224 32	17,245 58	B	(7,377 65)	16,356 39
10 0000	Chevron Corporation	03/28/03	07/12/16	1,067 60	327 04		-	740 56
691 0000	Chevron Corporation	03/28/03	07/20/16	72,984 52	22,598 70		-	50,385 82
285 0000	Chevron Corporation	03/28/03	08/01/16	28,216 52	9,320 74		-	18,895 78
1,112 0000	Chevron Corporation	03/28/03	08/02/16	109,319 67	36,367 24		-	72,952 43
209 0000	Comcast Corporation - CL A	03/16/09	09/27/16	13,830 88	2,729 85		-	11,101 03
801 0000	Comcast Corporation - CL A	03/13/09	09/27/16	53,007 34	10,395 06		-	42,612 28
2,109 0000	Comcast Corporation - CL A	03/13/09	09/28/16	140,004 39	27,369 76		-	112,634 63
8,000 0000	Duke Energy Ind 3 75% 07/15/20	01/17/13	12/02/16	8,424 00	8,875 68	B	(436 20)	(15 48)
10,000 0000	FFCB 4 875% 01/17/17	07/14/14	12/02/16	10,041 40	11,489 90	B	(1,442 21)	(6 29)
1,516 0000	Honeywell International Inc	12/19/05	02/10/16	156,557 85	57,457 31		-	99,100 54
687 0000	Honeywell International Inc	12/19/05	02/11/16	69,307 31	26,037 71		-	43,269 60
261 0000	Johnson Matthey PLC	09/25/08	01/21/16	8,849 67	7,823 71	B	(8 01)	1,033 97
8 5398	Johnson Matthey PLC	09/23/08	01/22/16	300 19	255 92	B	(1 92)	46 19
199 4602	Johnson Matthey PLC	09/25/08	01/22/16	7,011 46	5,977 37	B	(4 49)	1,038 58
287 0000	Johnson Matthey PLC	09/23/08	01/25/16	9,948 69	8,549 64	B	(13 50)	1,412 55
101 6009	Johnson Matthey PLC	09/24/08	01/26/16	3,567 38	3,015 97	B	(29 63)	581 04
263 3991	Johnson Matthey PLC	09/23/08	01/26/16	9,248 38	7,818 86	B	15 32	1,414 20
208 0000	Johnson Matthey PLC	09/24/08	01/27/16	7,196 94	6,118 76	B	(5 04)	1,083 22
130 0000	Johnson Matthey PLC	09/24/08	01/28/16	4,528 03	3,824 23	B	(3 16)	706 96
245 5500	Johnson Matthey PLC	09/24/08	01/29/16	8,493 01	7,219 37	B	(1 95)	1,275 59
15 4500	Johnson Matthey PLC	09/26/08	01/29/16	534 38	454 24	B	(2 13)	82 27
10 9200	Johnson Matthey PLC	02/02/16	02/02/16	15 70	-		-	15 70
196 0000	Johnson Matthey PLC	09/26/08	02/01/16	6,919 07	5,718 15	B	17 32	1,183 60
104 0000	Johnson Matthey PLC	09/26/08	02/03/16	3,683 54	3,034 12	B	9 19	640 23
104 0000	Johnson Matthey PLC	09/26/08	02/04/16	3,608 46	3,034 12	B	9 20	565 14
112 0000	Johnson Matthey PLC	09/26/08	02/05/16	3,801 12	3,267 52	B	9 89	523 71
0 4434	Johnson Matthey PLC	09/26/08	02/11/16	0 10	-	B	12 98	(12 88)
10,000 0000	JPMorgan Chase 6% 10/01/2017	11/09/15	12/02/16	10,348 40	11,475 00	B	(1,111 17)	(15 43)
714 0000	Korea Electric Power Corp	11/24/10	07/26/16	39,044 61	17,978 85	B	(3 14)	21,068 90
124 0000	Korea Electric Power Corp	11/24/10	07/27/16	6,801 34	3,122 38	B	(0 55)	3,679 51
105,000 0000	NV Las Vegas 3 351% 6/1/16	07/17/12	06/01/16	105,000 00	112,882 35	B	(7,882 35)	-
7,000 0000	Lubrizol Nts, 8 875% 2/1/19	02/22/13	12/02/16	8,009 12	9,756 32	B	(1,723 46)	(23 74)
176 0000	Mallinckrodt PLC	11/25/08	11/28/16	9,983 20	4,390 94	B	318 94	5,273 32
67 5000	Mallinckrodt PLC	11/28/08	11/28/16	3,828 79	1,684 02	B	101 32	2,043 45
97 0000	Mallinckrodt PLC	03/13/09	11/28/16	5,502 11	2,420 01	B	(208 31)	3,290 41
62 5000	Mallinckrodt PLC	11/26/08	11/28/16	3,545 17	1,559 28	B	101 52	1,884 37
52 0000	Microsoft Corp	05/18/04	04/28/16	2,627 76	1,323 05	B	23 95	1,280 76
152 0000	Microsoft Corp	05/18/04	10/26/16	9,225 09	3,867 36	B	70 02	5,287 71
187 0000	Microsoft Corp	06/14/10	10/27/16	11,297 68	4,684 59	B	132 38	6,480 71
422 0000	Microsoft Corp	05/18/04	10/27/16	25,495 29	10,571 64	B	359 76	14,563 89
1,503 0000	Microsoft Corp	06/14/10	12/02/16	88,945 74	37,337 53	B	1,378 55	50,229 66
100,000 0000	PNC Funding 5 125% 02/08/20	01/06/12	04/12/16	111,114 00	112,865 00	B	(6,371 00)	4,620 00
10 0000	Regeneron Pharmaceuticals	12/02/10	05/02/16	3,766 60	296 37		-	3,470 23
40 0000	Regeneron Pharmaceuticals	12/02/10	05/04/16	14,585 08	1,185 50		-	13,399 58
19 0000	Regeneron Pharmaceuticals	12/02/10	12/02/16	7,119 90	563 11		-	6,556 79
8,000 0000	US Treas TIPS 0 125% 04/15/17	11/24/15	12/02/16	8,515 26	8,501 02	B	(119 03)	133 27
100,000 0000	VA BAB Dirct PMT 3 875% 2/1/17	05/05/14	04/20/16	102,300 00	109,856 00	B	(7,684 07)	128 07
150,000 0000	VA BAB Dirct PMT 3 875% 2/1/17	12/13/11	06/15/16	50,855 00	54,928 00	B	(4,316 50)	243 50
40 0000	Wells Fargo Company	03/16/09	07/06/16	1,832 66	562 93	B	22 33	1,247 40
186 0000	Wells Fargo Company	03/20/09	07/06/16	8,521 87	2,617 61	B	40 96	5,863 30
Long Term Non-Covered Regular Gain/Loss Totals				1,465,247.63	849,935.92		(52,994.19)	668,305.90