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Form 990-PF

Department of the Treasury
Internal Revenue Service

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

Do not enter social security numbers on this form as it may be made public.
Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016

Name of foundation
THE PAUL F & MARY ANNE MCCLAUGHLIN FAMILY
FOUNDATION INC
% PAUL F MCCLAUGHLIN

Number and street (or P O box number if mail is not delivered to street address)
6316 Lyford Isle Drive

City or town, state or province, country, and ZIP or foreign postal code
Naples, FL 34113

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☒ Address change

☐ Name change

H Check type of organization

☒ Section 501(c)(3) exempt private foundation

☐ Section 4947(a)(1) nonexempt charitable trust

☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col (c), line 16)

\$ 485,661

J Accounting method

☒ Cash

☐ Accrual

☐ Other (specify)

(Part I, column (d) must be on cash basis)

A Employer identification number

22-3842614

B Telephone number (see instructions)

(973) 615-6651

C If exemption application is pending, check here

☐

D 1. Foreign organizations, check here

☐

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

☐

E If private foundation status was terminated under section 507(b)(1)(A), check here

☐

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				
	4 Dividends and interest from securities	14,706	14,706	14,706	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-1,215			
	b Gross sales price for all assets on line 6a	427,180			
	7 Capital gain net income (from Part IV, line 2)		0		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	13,491	14,706	14,706		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	3,500	3,500	3,500	0
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	11,839	11,839	11,839	
	24 Total operating and administrative expenses. Add lines 13 through 23	15,339	15,339	15,339	0
	25 Contributions, gifts, grants paid	76,200			76,200
	26 Total expenses and disbursements. Add lines 24 and 25	91,539	15,339	15,339	76,200
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-78,048			
	b Net investment income (if negative, enter -0-)		0		
c Adjusted net income (if negative, enter -0-)			0		

For Paperwork Reduction Act Notice, see instructions.

Cat No 11289X

Form 990-PF (2016)

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					
	2 Savings and temporary cash investments	10,304	45,183	45,183		
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____					
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____					
	5 Grants receivable					
	6 Receivables due from officers, directors, trustees, and other disqualified persons (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)					
	b Investments—corporate stock (attach schedule)	491,928	434,128	440,478		
	c Investments—corporate bonds (attach schedule)					
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____					
	12 Investments—mortgage loans					
	13 Investments—other (attach schedule)					
	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)	502,232	479,311	485,661			
Liabilities	17 Accounts payable and accrued expenses					
	18 Grants payable					
	19 Deferred revenue					
	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable (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					
	28 Paid-in or capital surplus, or land, bldg , and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds	502,232	447,786			
	30 Total net assets or fund balances (see instructions)	502,232	447,786			
31 Total liabilities and net assets/fund balances (see instructions) .	502,232	447,786				

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	502,232
2 Enter amount from Part I, line 27a	2	-78,048
3 Other increases not included in line 2 (itemize) ▶ _____	3	22,815
4 Add lines 1, 2, and 3	4	446,999
5 Decreases not included in line 2 (itemize) ▶ _____	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	446,999

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 OPPENHEIMER 235		2016-02-01	2016-03-16
b OPPENHEIMER 438 ST NON COV			
c OPPENHEIMER 438 LT NON			
d CAPITAL GAIN DIVIDENDS	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 138,117		138,904	-787
b 82,577		85,874	-3,297
c 193,741		203,617	-9,876
d			12,745
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			-787
b			-3,297
c			-9,876
d			
e			

2 Capital gain net income or (net capital loss)	2	-1,215
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	42,198	505,797	0 083429
2014	55,971	532,722	0 105066
2013	81,806	604,928	0 135233
2012	86,835	610,700	0 142189
2011	84,574	601,070	0 140706

2 Total of line 1, column (d)	2	0 606623
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 121325
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	0
5 Multiply line 4 by line 3	5	0
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	0
7 Add lines 5 and 6	7	0
8 Enter qualifying distributions from Part XII, line 4	8	76,200

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	0
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	0
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	0
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	186
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	186
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	186
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ☐ 186 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)? 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	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? If "Yes," attach a detailed description of the activities	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? If "Yes," attach a conformed copy of the changes	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? If "Yes," attach the statement required by General Instruction T	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? If "Yes," complete Part II, col (c), and Part XV	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? If "No," attach explanation .	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)? If "Yes," complete Part XIV	9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	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 ▶ N/A	13	Yes	
14	The books are in care of ▶ PAUL F MCLAUGHLIN Telephone no ▶ (973) 615-6651			

Located at ▶ 6316 LYFORD ISLE DRIVE NAPLES FL ZIP+4 ▶ 34113

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 ▶	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		
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
See Additional Data Table				
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. ☐ Yes ☒ No				

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
ALAN LANGER CPA 270 MADISON AVE ROOM 1500 NEW YORK, NY 10016	tax prep	3,500
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 _____ _____ _____	
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	0
b	Average of monthly cash balances.	1b	0
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	0
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	0
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	0
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	0
6	Minimum investment return. Enter 5% of line 5.	6	0

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

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	76,200
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	76,200
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	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	76,200

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				0
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.	56,372			
b From 2012.	56,618			
c From 2013.	82,070			
d From 2014.	56,501			
e From 2015.	17,572			
f Total of lines 3a through e.	269,133			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>76,200</u>				
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.				0
e Remaining amount distributed out of corpus	76,200			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	0			0
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	345,333			
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).	56,372			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	288,961			
10 Analysis of line 9				
a Excess from 2012.	56,618			
b Excess from 2013.	82,070			
c Excess from 2014.	56,501			
d Excess from 2015.	17,572			
e Excess from 2016.	76,200			

Part XIV

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)					
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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))

NA

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

NA

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

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

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

PAUL MCLAUGHLIN
505 OCEAN AVENUE
SEA GIRT, NJ 08750
(908) 719-3105

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

c	Any submission deadlines	N/A
---	--------------------------	-----

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

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	76,200
b <i>Approved for future payment</i>				
Total			3b	

Enter gross amounts unless otherwise indicated

13 Total. Add line 12, columns (b), (d), and (e).	13	14,278
--	-----------	--------

(See worksheet in line 13 instructions to verify calculations)

[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

Print/Type preparer's name ALAN LANGER	Preparer's Signature	Date 2017-05-10	Check if self-employed ▶ ☐	PTIN P00615509
Firm's name ▶ ALAN LANGER CPA				Firm's EIN ▶
Firm's address ▶ 270 MADISON AVE SUITE 1500 NEW YORK, NY 100160601				Phone no (212) 481-2222

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(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
PAUL F MCLAUGHLIN	PRESIDENT/TREASURER 0	0	0	0
505 OCEAN AVE SEA GIRT, NJ 08750				
MARY ANNE MCLAUGHLIN	VICE PRES/SECRETARY 0	0	0	0
505 OCEAN AVENUE SEA GIRT, NJ 08750				
SCOTT C MCLAUGHLIN	ASST TREASURER 0	0	0	0
16 TURNBERRY DRIVE HORSEHEADS, NY 14845				
BETHANY R MCLAUGHLIN	DIRECTOR 0	0	0	0
16 TURNBERRY DRIVE HORSEHEADS, NY 14845				
LYNNE M MCLAUGHLIN	ASST SECRETARY 0	0	0	0
29 GLOUSTER STREET APT 1-R BOSTON, MA 02115				
LAURIE A MOORE	DIRECTOR 0	0	0	0
34 SCHOOL STREET NEWTON, MA 02485				
CHRISTOPHER H MOORE	DIRECTOR 0	0	0	0
34 SCHOOL STREET NEWTON, MA 02485				

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				
SKIDMORE COLLEGE 815 NORTH BROADWAY SARATOGA SPRINGS, NY 12866	NONE	PC	GENERAL / CHARITABLE	500
HOSPITAL FOR SPECIAL SURGERY FUND INC 535 East 70th Street NEW YORK, NY 10021	NONE	PC	GENERAL / CHARITABLE	1,000
SEA GIRT FIRE COMPANY BALTIMORE AND 4TH AVE SEA GIRT, NJ 08750	NONE	PC	GENERAL / CHARITABLE	500
VILLANOVA UNIVERSITY 800 LANCASTER AVE VILLANOVA, PA 19085	NONE	PC	GENERAL / CHARITABLE	3,000
ROSIE'S PLACE 889 HARRISON AVE BOSTON, MA 02118	NONE	PC	GENERAL / CHARITABLE	3,000
MANASQUAN FIRST AID SQUAD INC 65 BROAD STREET MANASQUAN, NJ 08736	NONE	PC	GENERAL / CHARITABLE	500
HARVARD BUSINESS SCHOOL SOLDIERS FIELD BOSTON, MA 02163	NONE	PC	CHARITABLE	1,000
BENTLEY UNIVERSITY OFFICE OF DEVELOPMENT LEWIS HAL 175 FOREST ST WALTHAM, MA 024524705	NONE	PC	GENERAL/ CHARITABLE	1,000
FRIENDS OF THE SEA GIRT LIBRARY INC 321 BALTIMORE BLVD SEA GIRT, NJ 08750	NONE	PC	CHARITY	500
GEORGIA TECH 225 NORTH AVENUE ADMIN BUILDING ATLANTA, GA 30332	NONE	PC	SUPPORT SCHOOL	1,000
SEA GIRT COMMUNITY APPEAL PO BOX 105 SEA GIRT, NJ 08750	NONE	PC	CHARITY	500
LEHIGH UNIVERSITY 27 MEMORIAL DRIVE WEST BETHLEHEM, PA 18015	NONE	PC	GENERAL / CHARITABLE	1,000
SUSAN G KOMEN BREAST CANCER 5005 LBJ FREEWAY SUITE 250 DALLAS, TX 75244	NONE	PC	GENERAL/ CHARITABLE	1,000
AFS-USA 120 WALL STREET NEW YORK, NY 10005	NONE		CHARITY	500
AORTIC WARRIORS C/O MCCLAUGHLIN 6316 LYFORD ISLE DRIVE NAPLES, FL 34113	NONE		CHARITY	500
Total ►				76,200
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>				
ST MARKS CATHOLIC CHURCH 215 CRESCENT PKWY SEA GIRT, NJ 08750	NONE		CHARITY	10,000
CENTER FOR ABUSED WOMEN AND CHILDREN PO BOX 10102 NAPLES, FL 34101	NONE		CHARITY	100
LEE HEALTH FOUNDATION-KIDNEY FOUNDATION 13681 Doctors Way FORT MEYERS, FL 33912	NONE		CHARITY	500
SUBMARINE FORCE LIBRARY 1 CRYSTAL LAKE RD GROTON, CT 06340	NONE		CHARITY	100
RENSSELAER POLYTECHNIC INST 110 8TH STREET TROY, NY 12180	NONE		CHARITY	5,000
ST CATHERINE OF ALEXANDRIA 1119 41ST STREET BROOKLYN, NY 11218	NONE		CHARITY	5,000
MARANATHA BIBLE CHAPEL 774 SING SING RD HORSEHEADS, NY 14845	NONE		CHARITY	10,000
FOOD BANK OF THE SOUTHERN TIER 388 UPPER OAKWOOD AVE ELMIRA, NY 14903	NONE		CHARITY	5,000
JERSEY SHORE UNIVERSITY MEDICAL CENTER 1945 STATE ROUTE 33 NEPTUNE, NJ 07753	NONE		CHARITY	25,000
Total ► 3a				76,200

TY 2016 Accounting Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREP ALAN LANGER CPA	3,500	3,500	3,500	

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 PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

TY 2016 General Explanation Attachment

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
 FOUNDATION INC
EIN: 22-3842614

General Explanation Attachment

Identifier	Return Reference	Explanation	
1	Capl	Capl	

TY 2016 Investments Corporate Stock Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COST VALUE OF SECURITIES	434,128	440,478

TY 2016 Other Expenses Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CHECK BOOK FEE				
FOREIGN TAX	185	185	185	
FOREIGN TAX 438	339	339	339	
INVESTMENT FEE #235	4,660	4,660	4,660	
INVESTMENT FEE # 438	6,655	6,655	6,655	

TY 2016 Other Income Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
UNITED STATES OIL FUND, L P (PTP)			
CURRENT YEAR DISALLOWED LOSS			

TY 2016 Other Increases Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Description	Amount
ASSET APPRECIATION	22,815

TY 2016 Other Professional Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MGMNT				

TY 2016 Taxes Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX EXPENSE				
FOREIGN TAXES PAID				

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS

2016

02/28/2017

Sales transactions are organized into sections according to term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and Wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "12- [X] Collectible," are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net of the amount received when the option was written and the cost to close the position.

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
THE ADT CORPORATION / CUSIP: 00101J106 / Symbol: ADT	9 000	369.81	06/25/15	306.17	...	63.64	Sale
03/24/16							
ABBVIE INC / CUSIP: 00287Y109 / Symbol: ABBV	3,000	195.53	08/16/16	200.79	...	-5.26	Sale
09/23/16							
12/06/16	1,000	61.58	11/10/16	64.99	.	-3.41	Sale
	2 transactions for 12/20/16						
	1,000	61.99	09/09/16	63.84	...	-1.85	Sale
	1,000	61.99	11/10/16	64.99	...	-3.00	Sale
12/20/16	2,000	123.98	Various	128.83	...	-4.85	Total of 2 transactions
	Security total:						
		381.09		394.61	...	-13.52	
ADOBE SYS INC / CUSIP: 00724F101 / Symbol: ADBE	3 000	224.45	03/16/15	235.28	...	-10.83	Sale
02/09/16							
ADVANSIX INC / CUSIP 00773T101 / Symbol: ASIX	0,000	6.54	10/03/16	0.00	...	6.54	Cash in lieu
10/03/16							

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)/ross or (N)/et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALIBABA GROUP HLDG LTD SPONSORED ADS / CUSIP: 01609W102 / Symbol: BABA							
01/08/16	1,000	71.87	02/17/15	86.89	...	-15.02	Sale
01/19/16	3,000	210.32	02/17/15	260.69	...	-50.37	Sale
03/16/16	1,000	73.44	10/26/15	76.90	..	-3.46	Sale
09/23/16	1,000	107.58	09/09/16	99.79	..	7.79	Sale
2 transactions for 11/15/16							
	3,000	273.44	09/09/16	299.37	...	-25.93	Sale
	3,000	273.44	09/29/16	317.88	...	-44.44	Sale
11/15/16	6,000	546.88	Various	617.25	...	-70.37	Total of 2 transactions
12/20/16	1,000	89.77	08/11/16	92.21	..	-2.44	Sale
Security total:				1,233.73	...	-133.87	
ALTRIA GROUP INC / CUSIP: 02209S103 / Symbol: MO							
09/23/16	4,000	255.63	07/06/16	276.92	...	-21.29	Sale
10/21/16	4,000	253.91	06/27/16	270.28	...	-16.37	Sale
Security total:				547.20	..	-37.66	
AMAZON COM INC / CUSIP: 023135106 / Symbol: AMZN							
02/09/16	1,000	489.76	05/12/15	431.35	...	58.41	Sale
03/28/16	1,000	581.63	07/21/15	487.54	...	94.09	Sale
04/04/16	1,000	593.25	08/17/15	536.01	...	57.24	Sale
04/20/16	1,000	635.01	04/01/16	597.84	...	37.17	Sale
04/26/16	1,000	616.73	04/19/16	625.26	...	-8.53	Sale
05/04/16	1,000	671.68	04/22/16	621.14	...	50.54	Sale
05/24/16	1,000	705.42	04/29/16	657.50	...	47.92	Sale
09/23/16	1,000	805.31	05/26/16	714.78	...	90.53	Sale
Security total:				4,671.42	...	427.37	

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

02/28/2017

2016

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN EXPRESS CO / CUSIP: 025816109 / Symbol: AXP	4.000	220.59	02/09/15	340.08	..	-119.49	Sale
AMERICAN INTL GROUP INC COM NEW / CUSIP: 026874784 / Symbol: AIG	6.000	326.82	04/16/15	349.79	..	-22.97	Sale
02/03/16	3.000	158.87	08/17/15	193.19	..	-34.32	Sale
03/16/16	3.000	146.06	08/17/15	193.19	..	-47.13	Sale
06/27/16	Security total:	631.75		736.17	..	-104.42	
AMERICAN TOWER CORP NEW REIT / CUSIP: 03027X100 / Symbol: AMT	3.000	317.03	06/20/16	324.33	..	-7.30	Sale
11/10/16	1.000	103.31	06/20/16	108.11	..	-4.80	Sale
11/15/16	Security total:	420.34		432.44	..	-12.10	
AMGEN INC / CUSIP: 031162100 / Symbol: AMGN	1.000	146.65	03/28/16	148.87	..	-2.22	Sale
12/20/16	1.000	71.57	10/21/16	62.99	..	8.58	Sale
ANADARKO PETE CORP / CUSIP: 032511107 / Symbol: APC	1.000	49.10	06/11/15	58.15	..	-9.05	Sale
12/20/16	6.000	331.28	06/11/15	348.93	..	-17.65	Sale
APACHE CORP / CUSIP: 037411105 / Symbol: APA	1.000	380.38		407.08	..	-26.70	
03/16/16	Security total:						
04/19/16	2 transactions for 06/27/16	274.82	11/20/15	357.48	..	-82.66	Sale
APPLE INC / CUSIP: 037833100 / Symbol: AAPL	3.000	91.60	03/18/16	105.72	..	-14.12	Sale
06/27/16	1.000	366.42	Various	463.20	..	-96.78	Total of 2 transactions

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

02/28/2017

2016

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
APPLIED MATLS INC / CUSIP: 038222105 / Symbol: AMAT	1,000	23.92	04/22/16	21.04	...	2.88	Sale
ARCHER DANIELS MIDLAND CO / CUSIP: 039483102 / Symbol: ADM	3,000	112.34	07/09/15	141.71	...	-29.37	Sale
BOEING CO / CUSIP: 097023105 / Symbol: BA	1,000	131.18	02/05/15	148.50	...	-17.32	Sale
01/08/16	2,000	262.69	02/05/15	296.99	...	-34.30	Sale
2 transactions for 01/29/16							
01/29/16	1,000	119.50	02/05/15	148.50	...	-29.00	Sale
	1,000	119.50	08/03/15	143.13	...	-23.63	Sale
	2,000	239.00	Various	291.63	...	-52.63	Total of 2 transactions
02/12/16	2,000	217.61	08/03/15	286.26	...	-68.65	Sale
03/16/16	2,000	255.25	08/03/15	286.26	...	-31.01	Sale
04/01/16	1,000	126.73	08/03/15	143.13	...	-16.40	Sale
04/04/16	3,000	380.75	08/03/15	429.39	...	-48.64	Sale
Security total:				1,882.16	..	-268.95	
BORGWARNER INC / CUSIP: 099724106 / Symbol: BWA	2,000	70.25	07/27/16	68.53	...	1.72	Sale
09/23/16	4,000	157.43	07/27/16	137.07	...	20.37	Sale
Security total:				205.60	...	22.09	
BRINKER INTL INC / CUSIP: 109641100 / Symbol: EAT	2,000	93.87	12/10/15	90.44	..	3.43	Sale
03/16/16	5,000	266.46	12/10/15	226.11	...	40.35	Sale
09/01/16	2,000	104.89	12/10/15	90.44	...	14.45	Sale
09/23/16	Security total:				406.99	58.23	

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

02/28/2017

2016

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BRISTOL MYERS SQUIBB CO / CUSIP: 110122108 / Symbol: BMJ							
03/16/16	1,000	62.79	04/02/15	63.24	...	-0.45	Sale
08/08/16	1,000	63.44	04/22/16	71.01	...	-7.57	Sale
Security total:		126.23		134.25	...	-8.02	
CIGNA CORPORATION / CUSIP: 125509109 / Symbol: CI							
03/16/16	1,000	141.77	06/17/15	154.04	...	-12.27	Sale
04/14/16	1,000	135.60	06/17/15	154.04	...	-18.44	Sale
2 transactions for 05/24/16							
	2,000	250.41	06/19/15	311.72	...	-61.31	Sale
	2,000	250.41	03/18/16	280.58	...	-30.16	Sale
05/24/16	4,000	500.82	Various	592.30	...	-91.47	Total of 2 transactions
Security total:		778.19		900.38	...	-122.18	
CSX CORP / CUSIP: 126408103 / Symbol: CSX							
09/23/16	1,000	29.56	09/14/16	29.02	...	0.54	Sale
12/20/16	3,000	109.40	11/15/16	102.69	...	6.71	Sale
Security total:		138.96		131.71	...	7.25	
CALIFORNIA RES CORP / CUSIP: 13057Q107 / Symbol:							
03/28/16	0,000	0.45	03/28/16	0.00	...	0.45	Cash in lieu
04/08/16	1,000	1.24	04/04/16	1.20	...	0.04	Sale
Security total:		1.69		1.20	...	0.49	
CAMERON INTERNATIONAL CORP / CUSIP: 13342B105 / Symbol: CAM							
03/07/16	1,000	58.38	03/01/16	67.03	...	1.35	Sale
CANADIAN NAT RES LTD / CUSIP: 136385101 / Symbol: CNQ							
03/16/16	1,000	27.31	03/14/16	27.33	...	-0.02	Sale
04/13/16	5,000	147.19	03/14/16	136.63	...	10.56	Sale

Oppenheimer & Co. Inc.	Account A810750438
2016	02/28/2017

Proceeds Not Reported to the IRS (continued)

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CANADIAN NAT RES LTD / CUSIP: 136385101 / Symbol: CNQ (cont'd)							
12/08/16	3,000	101.51	06/29/16	91.44	...	10.07	Sale
12/20/16	2,000	66.23	06/29/16	60.96	..	5.27	Sale
Security total:		342.24		316.36	...	25.88	
CELGENE CORP / CUSIP: 151020104 / Symbol: CELG							
12/20/16	1,000	118.14	11/10/16	121.50	...	-3.36	Sale
CHARTER COMMUNICATIONS INC DEL CL A NEW / CUSIP: 16117M305 / Symbol:							
05/13/16	1,000	212.60	04/29/16	209.38	...	3.22	Sale
CHARTER COMMUNICATIONS INC NEW CL A / CUSIP: 16119P108 / Symbol: CHTR							
05/25/16	0,000	162.82	05/25/16	-0.00	...	162.82	Cash in lieu
09/23/16	1,000	275.62	05/04/16	423.34	...	-147.72	Sale
Security total:		438.44		423.34	..	15.10	
CISCO SYS INC / CUSIP: 17275R102 / Symbol: CSCO							
12/20/16	6,000	183.41	11/09/16	186.00	...	-2.59	Sale
CITIGROUP INC COM NEW / CUSIP: 172967424 / Symbol: C							
06/10/16	2,000	87.77	04/22/16	93.92	..	-6.15	Sale
CITIZENS FINL GROUP INC / CUSIP: 174610105 / Symbol: CFG							
03/16/16	3,000	65.24	04/29/15	78.27	...	-13.03	Sale
CLEAN HARBORS INC / CUSIP: 184496107 / Symbol: CLH							
11/07/16	4,000	173.86	09/26/16	187.46	...	-13.60	Sale
COGNIZANT TECHNOLOGY SOLUTIONS CL A / CUSIP: 192446102 / Symbol: CTSH							
12/06/16	1,000	55.11	11/11/16	54.03	...	1.08	Sale
12/20/16	1,000	56.32	11/11/16	54.03	...	2.29	Sale
Security total:		111.43		108.06	-	3.37	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss (-) & Loss not allowed (X) also not reported (Z)	Additional information
CORRECTIONS CORP AMER NEW COM NEW / CUSIP: 22025Y407 / Symbol:							
2 transactions for 08/18/16							
	13.000	219.81	11/10/15	347.89	..	-128.08	Sale
	1.000	16.91	04/22/16	30.74	..	-13.83	Sale
08/18/16	14.000	236.72	Various	378.63	..	-141.91	Total of 2 transactions
COSTCO WHSL CORP NEW / CUSIP: 22160K105 / Symbol: COST							
02/05/16	2.000	286.05	12/10/15	324.69	..	-38.64	Sale
CROWN CASTLE INTL CORP NEW REIT / CUSIP: 22822V101 / Symbol: CCI							
09/23/16	1.000	94.96	06/29/16	100.27	..	-5.31	Sale
10/04/16	5.000	454.47	06/29/16	501.35	..	-46.88	Sale
	Security total.	549.43		601.62	..	-52.19	
DST SYS INC DEL / CUSIP: 233326107 / Symbol: DST							
12/06/16	1.000	105.01	10/13/16	115.27	..	-10.26	Sale
DELTA AIR LINES INC DEL COM NEW / CUSIP: 247361702 / Symbol: DAL							
03/16/16	3.000	145.88	06/08/15	122.73	..	23.15	Sale
04/20/16	4.000	187.63	06/08/15	163.64	..	23.99	Sale
2 transactions for 04/26/16							
	3.000	130.17	06/08/15	122.73	..	7.44	Sale
	3.000	130.16	08/20/15	137.88	..	-7.72	Sale
04/26/16	6.000	260.33	Various	260.61	..	-0.28	Total of 2 transactions
2 transactions for 05/13/16							
	6.000	249.17	08/20/15	275.76	..	-26.59	Sale
	1.000	41.53	09/25/15	46.14	..	-4.61	Sale
05/13/16	7.000	290.70	Various	321.90	..	-31.20	Total of 2 transactions
06/07/16	6.000	248.83	09/25/15	276.84	..	-30.01	Sale

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
DELTA AIR LINES INC DEL COM NEW / CUSIP: 247361702 / Symbol: DAL (cont'd)							
Security total:		1,131.37		1,145.72	...	-14.35	
DICKS SPORTING GOODS INC / CUSIP: 253393102 / Symbol: DKS							
07/20/16	5,000	250.47	07/20/15	256.59	...	-6.12	Sale
09/14/16	7,000	409.79	10/29/15	306.67	...	103.12	Sale
Security total:		660.26		563.26	...	97.00	
DISCOVERY COMMUNICATNS NEW COM SER A / CUSIP: 25470F104 / Symbol: DISCA							
09/23/16	3,000	78.14	08/02/16	78.49	...	-0.35	Sale
DOLLAR GEN CORP NEW / CUSIP: 256677105 / Symbol: DG							
03/16/16	1,000	84.64	10/16/15	67.03	...	17.61	Sale
2 transactions for 04/14/16							
1,000	82.81	10/16/15		67.03	...	15.78	Sale
1,000	82.81	10/20/15		67.05	...	15.76	Sale
2,000	165.62	Various		134.08	...	31.54	Total of 2 transactions
07/13/16	4,000	370.67	02/16/16	292.44	...	78.23	Sale
2 transactions for 09/07/16							
3,000	216.03	10/20/15		201.15	...	14.88	Sale
4,000	288.04	02/19/16		286.56	...	1.48	Sale
7,000	504.07	Various		487.71	...	16.36	Total of 2 transactions
Security total:		1,125.00		981.26	...	143.74	
DUKE ENERGY CORP NEW COM NEW / CUSIP: 26441C204 / Symbol: DUJ							
11/10/16	6,000	450.53	07/06/16	518.28	...	-67.75	Sale

Oppenheimer & Co. Inc.	Proceeds Not Reported to the IRS (continued)	Account A810750438
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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
EQT CORP / CUSIP: 26884L109 / Symbol: EQT							
03/16/16	1 000	64.39	12/23/15	51.33	...	13.06	Sale
09/23/16	1 000	73.41	12/23/15	51.33	...	22.08	Sale
12/06/16	1 000	72.62	09/27/16	69.66	...	2.96	Sale
Security total:		210.42		172.32	...	38.10	
ELECTRONIC ARTS INC / CUSIP: 285512109 / Symbol: EA							
12/20/16	1 000	79.88	10/14/16	82.75	...	-2.87	Sale
EXXON MOBIL CORP / CUSIP: 30231G102 / Symbol: XOM							
03/16/16	1 000	82.61	11/04/15	85.99	...	-3.38	Sale
09/20/16	3 000	248.12	06/23/16	273.96	...	-25.84	Sale
09/23/16	1 000	83.46	11/04/15	85.99	...	-2.53	Sale
2 transactions for 10/31/16							
5 000		416.68	11/04/15	429.95	...	-13.27	Sale
1 000		83.34	12/02/15	79.75	...	3.59	Sale
6 000		500.02	Various	509.70	...	-9.68	Total of 2 transactions
Security total:		914.21		955.64	...	-41.43	
F M C CORP COM NEW / CUSIP: 302491303 / Symbol: FMC							
11/04/16	7 000	366.56	04/15/16	279.34	...	87.22	Sale
12/06/16	1 000	56.41	04/15/16	39.91	...	16.50	Sale
Security total:		422.97		319.25		103.72	
FMC TECHNOLOGIES INC / CUSIP: 30249U101 / Symbol: FTI							
03/16/16	1 000	26.96	03/07/16	26.61	...	0.35	Sale
2 transactions for 09/23/16							
2 000		55.15	03/31/16	54.55	...	0.60	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
FMC TECHNOLOGIES INC / CUSIP: 30249U101 / Symbol: FTI (cont'd)							
09/23/16	1,000	27.57	04/22/16	29.61	...	-2.04	Sale
	3,000	82.72	Various	84.16	...	-1.44	Total of 2 transactions
2 transactions for 11/02/16							
11/02/16	1,000	31.93	03/07/16	26.61	...	5.32	Sale
	7,000	223.56	03/31/16	190.93	...	32.63	Sale
	8,000	255.49	Various	217.54	...	37.95	Total of 2 transactions
12/20/16	3,000	104.51	03/07/16	79.83	..	24.68	Sale
Security total:		469.68		408.14	..	61.54	
FEDEX CORP / CUSIP: 31428X106 / Symbol: FDX							
09/23/16	1,000	174.47	04/14/16	166.04	...	8.43	Sale
F5 NETWORKS INC / CUSIP: 315616102 / Symbol: FFIV							
03/16/16	1,000	99.96	04/24/15	122.61	...	-22.65	Sale
FIDELITY NATIONAL FINANCIAL IN FNF GROUP COM / CUSIP: 31620R303 / Symbol: FNF							
03/16/16	1,000	31.67	12/28/15	34.39	...	-2.72	Sale
09/23/16	3,000	111.44	07/26/16	114.99	...	-3.55	Sale
12/06/16	2,000	65.27	07/26/16	76.66	...	-11.39	Sale
12/20/16	1,000	34.29	07/26/16	38.33	...	-4.04	Sale
Security total:		242.67		264.37	.	-21.70	
FIRSTENERGY CORP / CUSIP: 33793Z107 / Symbol: FE							
09/23/16	2,000	69.44	06/07/16	67.62	...	1.82	Sale
12/06/16	2,000	60.47	06/07/16	67.62	...	-7.15	Sale
12/20/16	1,000	31.24	06/07/16	33.81	...	-2.57	Sale
2 transactions for 12/21/16		700.21	05/04/16	741.69	...	-41.48	Sale
	22,000						

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
FIRSTENERGY CORP / CUSIP: 337932107 / Symbol: FE (cont'd)							
12/21/16	2,000	63.66	06/07/16	67.62	..	-3.97	Sale
	24,000	763.87	Various	809.31	..	-45.45	Total of 2 transactions
Security total:		925.02		978.36	..	-53.35	
FRANKLIN RES INC / CUSIP: 354613101 / Symbol: BEN							
03/16/16	1,000	37.38	03/17/15	52.62	..	-15.24	Sale
SHELTON INTERNATIONAL SELECT EQUITY FUND CL A / CUSIP: 360873871 / Symbol: WHVAX							
2 transactions for 01/21/16							
01/21/16	815,076	11,068.73	10/16/15	14,483.90	..	-3,415.17	Sale
	67,461	916.12	12/23/15	1,076.00	..	-159.88	Sale
	882,537	11,984.85	Various	15,559.90		-3,575.05	Total of 2 transactions
GENERAL ELECTRIC CO / CUSIP: 369604103 / Symbol: GE							
2 transactions for 09/14/16							
09/14/16	7,000	208.77	11/19/15	213.35	..	-4.58	Sale
	2,000	59.64	04/22/16	61.58	..	-1.94	Sale
	9,000	268.41	Various	274.93	..	-6.52	Total of 2 transactions
GENERAL MTRS CO / CUSIP: 37045V100 / Symbol: GM							
02/25/16	9,000	262.80	10/22/15	316.34	..	-53.54	Sale
GENTEX CORP / CUSIP: 371901109 / Symbol: GNTX							
03/16/16	5,000	78.39	08/20/15	76.83	..	1.56	Sale
HARDING LOEWNER INTL EQUITY FD INVESTOR CL / CUSIP: 412295503 / Symbol: HLMNX							
03/16/16	150,395	2,544.68	01/21/16	2,316.08		228.60	Sale
04/21/16	6,775	120.39	01/21/16	104.33	..	16.06	Sale

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Proceeds Not Reported to the IRS

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
HARDING LOEVNER INTL EQUITY FD INVESTOR CL / CUSIP: 412295503 / Symbol: HLMNX (cont'd)							
12/20/16	65.447	1,157.76	01/21/16	1,007.88	.	149.88	Sale
	Security total:	3,822.83		3,428.29	...	394.54	
HEWLETT PACKARD ENTERPRISE CO / CUSIP: 42824C109 / Symbol: HPE							
03/16/16	4.000	67.96	03/10/16	64.00		3.96	Sale
	3 transactions for 05/25/16						
	14.000	241.98	03/10/16	223.98	...	18.00	Sale
	17.000	293.84	03/15/16	284.71	...	9.13	Sale
	2.000	34.57	04/22/16	34.88	...	-0.31	Sale
05/25/16	33.000	570.39	Various	543.57	...	26.82	Total of 3 transactions
	Security total:	638.35		607.57	..	30.78	
HONEYWELL INTL INC / CUSIP: 438516106 / Symbol: HON							
10/10/16	5.000	534.98	04/13/16	573.54	...	-38.56	Sale
INGEVITY CORP / CUSIP: 45688C107 / Symbol: NGVT							
05/20/16	0.000	4.26	05/20/16	0.00	..	4.26	Cash in lieu
07/11/16	1.000	37.64	04/04/16	25.95	...	11.69	Sale
	Security total:	41.90		25.95	...	15.95	
INGREDION INC / CUSIP: 457187102 / Symbol: INGR							
05/12/16	1.000	119.46	04/22/16	106.03	...	13.43	Sale
INTEL CORP / CUSIP: 458140100 / Symbol: INTC							
03/16/16	1.000	31.65	03/10/16	31.08	...	0.57	Sale
04/21/16	8.000	255.75	03/10/16	248.64	...	7.11	Sale
	Security total:	287.40		279.72	...	7.68	

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
INTERPUBLIC GROUP COS INC / CUSIP: 460690100 / Symbol: IPG							
01/25/16	13,000	283.25	09/04/15	243.91	.	39.34	Sale
03/16/16	1,000	21.30	09/04/15	18.76	..	2.54	Sale
Security total:		304.55		262.67	..	41.88	
IVY ASSET STRATEGY FD A OPEN END / CUSIP: 466000759 / Symbol: WASAX							
2 transactions for 12/06/16							
49,430	1,016.28	12/14/15	1,101.29	..	..	-85.01	Sale
14,630	300.79	04/22/16	306.64	..	..	-5.85	Sale
64,060	1,317.07	Various	1,407.93	..	..	-90.86	Total of 2 transactions
12/06/16							
JOHNSON & JOHNSON / CUSIP: 478160104 / Symbol: JNJ							
09/23/16	1,000	118.83	06/29/16	119.28	..	-0.45	Sale
12/20/16	1,000	115.53	06/29/16	119.28	..	-3.75	Sale
Security total:		234.36		238.56		-4.20	
JOHNSON CTLS INC / CUSIP: 478366107 / Symbol:							
06/07/16	7,000	313.92	09/10/15	282.66	..	31.26	Sale
2 transactions for 07/27/16							
11,000	509.29	09/10/15	444.19	..	..	65.11	Sale
6,000	277.80	01/07/16	217.14	..	..	60.66	Sale
17,000	787.09	Various	661.33			125.77	Total of 2 transactions
07/27/16							
Security total:		1,101.01		943.99	..	157.03	
JONES LANG LASALLE INC / CUSIP: 48020Q107 / Symbol: JLL							
12/06/16	1,000	102.08	05/03/16	112.61	..	-10.53	Sale

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
KIMBERLY CLARK CORP / CUSIP: 494368103 / Symbol: KMB							
04/26/16	1,000	123.91	01/08/16	125.67	...	-1.76	Sale
05/05/16	1,000	127.12	01/08/16	125.67	...	1.45	Sale
07/25/16	2,000	263.47	01/25/16	246.34	...	17.13	Sale
	Security total:	514.50		497.68	...	16.82	
LAM RESEARCH CORP / CUSIP: 512807108 / Symbol: LRCX							
03/16/16	1,000	77.42	08/17/15	74.16	...	3.26	Sale
2 transactions for 06/07/16							
	3,000	248.13	08/17/15	222.47	...	25.66	Sale
	1,000	82.70	04/22/16	80.72	...	1.98	Sale
06/07/16	4,000	330.83	Various	303.19	...	27.64	Total of 2 transactions
	Security total:	408.25		377.35	...	30.90	
LILLY ELI & CO / CUSIP: 532457108 / Symbol: LLY							
03/16/16	1,000	72.61	10/14/15	79.70	...	-7.09	Sale
09/23/16	2,000	162.37	07/27/16	166.92	...	-4.55	Sale
12/06/16	2,000	135.27	07/27/16	166.92	...	-31.65	Sale
12/20/16	2,000	146.88	07/27/16	166.92	...	-20.04	Sale
	Security total:	517.13		580.46	...	-63.33	
MFS INTL NEW DISCOVERY CL A OPEN END / CUSIP: 552981888 / Symbol: MIDAX							
12/20/16	16,961	453.71	12/06/16	463.88	...	-10.17	Sale
MASTERCARD INCORPORATED CL A / CUSIP: 57636Q104 / Symbol: MA							
06/27/16	4,000	356.95	07/10/15	379.35	..	-22.40	Sale

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
MCDONALDS CORP / CUSIP: 580135101 / Symbol: MCD	1,000	123.94	02/18/16	117.40	...	6.54	Sale
2 transactions for 07/12/16							
07/12/16	1,000	122.47	02/18/16	117.40	...	5.07	Sale
	3,000	367.42	02/26/16	351.15	...	16.27	Sale
	4,000	489.89	Various	468.55	...	21.34	Total of 2 transactions
Security total:		613.83		585.95	...	27.88	
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP: 589509108 / Symbol: MERFX							
2 transactions for 12/06/16							
12/06/16	5,529	86.81	12/30/15	84.60	...	2.21	Sale
	21,237	333.42	04/22/16	325.77	...	7.65	Sale
	26,766	420.23	Various	410.37	...	9.86	Total of 2 transactions
METLIFE INC / CUSIP: 59156R108 / Symbol: MET							
09/23/16	1,000	44.52	04/22/16	46.86	...	-2.34	Sale
MICHAELS COS INC / CUSIP: 59408Q106 / Symbol: MIK							
03/16/16	3,000	72.74	11/23/15	66.75	...	5.99	Sale
09/23/16	3,000	73.28	08/24/16	78.39	...	-5.11	Sale
12/06/16	3,000	72.35	08/24/16	78.39	...	-6.04	Sale
12/20/16	1,000	21.96	08/24/16	26.13	...	-4.17	Sale
Security total:		240.33		249.66	...	-9.33	
MORGAN STANLEY COM NEW / CUSIP: 617446448 / Symbol: MS							
12/06/16	2,000	84.95	08/25/16	61.94	...	23.01	Sale
12/20/16	1,000	43.31	08/25/16	30.97	...	12.34	Sale
Security total:		128.26		92.91	...	35.35	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

02/28/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
NIKE INC CL B / CUSIP: 654106103 / Symbol: NKE							
3 transactions for 03/07/16							
	1,000	58.95	08/10/15	57.65	...	1.30	Sale
	1,000	58.95	08/10/15	57.65	...	1.30	Sale
	3,000	176.84	09/21/15	174.42	...	2.42	Sale
03/07/16	5,000	294.74	Various	289.72	...	5.02	Total of 3 transactions
2 transactions for 06/07/16							
	1,000	54.31	09/21/15	58.14	...	-3.83	Sale
	4,000	217.24	09/21/15	232.56	...	-15.32	Sale
06/07/16	5,000	271.55	Various	290.70	...	-19.15	Total of 2 transactions
Security total.							
		566.29		580.42	...	-14.13	
NORFOLK SOUTHERN CORP / CUSIP: 655844108 / Symbol: NSC							
12/06/16	1,000	105.94	09/29/16	95.57		10.37	Sale
NORTHERN TR CORP / CUSIP: 665859104 / Symbol: NTRS							
12/20/16	1,000	89.75	10/17/16	70.84	...	18.91	Sale
OCCIDENTAL PETE CORP DEL / CUSIP: 674599105 / Symbol: OXY							
09/20/16	4,000	282.54	02/18/16	282.98	...	-0.44	Sale
PPG INDUST INC / CUSIP: 693506107 / Symbol: PPG							
04/19/16	2,000	233.22	04/04/16	225.12	...	8.10	Sale
3 transactions for 06/30/16							
	2,000	206.93	04/04/16	225.12	...	-18.18	Sale
	2,000	206.93	04/13/16	227.46	...	-20.53	Sale
	1,000	103.47	04/20/16	116.60	...	-13.13	Sale
06/30/16	5,000	517.33	Various	569.18	...	-51.84	Total of 3 transactions

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss (-) & Loss not allowed (X) also not reported (Z)	Additional information
PPG INDS INC / CUSIP: 693506107 / Symbol: PPG (cont'd)							
	Security total:	750.55		794.30	...	-43.74	
PPL CORP / CUSIP: 69351T106 / Symbol: PPL							
02/04/16	9,000	329.16	02/13/15	287.00	...	42.16	Sale
05/04/16	1,000	38.50	04/22/16	36.50	...	2.00	Sale
	Security total:	367.66		323.50	...	44.16	
PFIZER INC / CUSIP: 717081103 / Symbol: PFE							
11/01/16	2,000	62.05	04/22/16	66.48	..	-4.43	Sale
PHILIP MORRIS INTL INC / CUSIP: 718172109 / Symbol: PM							
12/20/16	1,000	90.41	02/22/16	92.30	...	-1.89	Sale
PHILLIPS 66 / CUSIP: 718546104 / Symbol: PSX							
09/23/16	1,000	79.16	04/22/16	88.04	...	-8.88	Sale
PINNACLE WEST CAP CORP / CUSIP: 723484101 / Symbol: PNW							
01/25/16	5,000	318.73	09/22/15	309.94	...	8.79	Sale
03/16/16	1,000	72.44	09/22/15	61.99	...	10.45	Sale
	Security total:	391.17		371.93	.	19.24	
PIONEER NAT RES CO / CUSIP: 723787107 / Symbol: PXD							
01/27/16	1,000	112.81	08/24/15	111.78	...	1.03	Sale
02/04/16	1,000	124.66	08/24/15	111.78	...	12.88	Sale
03/16/16	1,000	135.57	08/24/15	111.78	.	23.79	Sale
04/29/16	2,000	327.70	08/24/15	223.56	...	104.14	Sale
	3 transactions for 05/26/16						
	1,000	162.07	08/24/15	111.78	...	50.29	Sale
	2,000	324.73	01/19/16	221.00	...	103.73	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PIONEER NAT RES CO / CUSIP: 723787107 / Symbol: PXD (cont'd)							
05/26/16	1,000	162.07	01/26/16	112.76	...	49.31	Sale
	4,000	648.27	Various	445.54	...	202.73	Total of 3 transactions
07/12/16	1,000	157.53	04/22/16	152.05	...	5.48	Sale
07/25/16	2,000	297.90	03/08/16	252.83	...	45.07	Sale
09/08/16	1,000	186.62	02/03/16	125.99	...	60.63	Sale
12/06/16	1,000	185.12	02/16/16	115.98	...	69.14	Sale
	Security total:	2,176.18		1,651.29		524.89	
PRAIRIESKY RTY LTD / CUSIP: 739721108 / Symbol: PREKE							
07/12/16	0,000	10.91	07/12/16	0.00	...	10.91	Cash in lieu
PROCTER AND GAMBLE CO / CUSIP: 742718109 / Symbol: PG							
09/23/16	1,000	87.84	06/24/16	83.67	...	4.17	Sale
QUALCOMM INC / CUSIP: 747525103 / Symbol: QCOM							
03/16/16	2,000	102.39	12/17/15	95.67	...	6.72	Sale
09/23/16	2,000	126.15	12/17/15	95.67	...	30.48	Sale
12/06/16	1,000	67.22	12/17/15	47.83	...	19.39	Sale
	Security total	295.76		239.17	...	56.59	
QUINTILES IMS HOLDINGS INC / CUSIP: 74876Y101 / Symbol: Q							
12/20/16	1,000	76.46	11/02/16	72.46	...	4.00	Sale
RAYTHEON CO COM NEW / CUSIP: 755111507 / Symbol: RTN							
01/25/16	2,000	237.87	09/29/15	212.05	...	25.82	Sale
REYNOLDS AMERICAN INC / CUSIP: 761713106 / Symbol: RAI							
03/16/16	1,000	50.87	12/11/15	44.76	...	6.11	Sale
10/19/16	3,000	137.46	02/16/16	144.50	...	-7.04	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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2016

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss (-) & Loss not allowed (X) also not reported (Z)	Additional information
REYNOLDS AMERICAN INC / CUSIP: 761713106 / Symbol: RAI (cont'd)							
2 transactions for 10/20/16							
	3,000	141.11	01/21/16	135.66	...	5.45	Sale
	1,000	47.03	02/16/16	48.17	...	-1.14	Sale
10/20/16	4,000	188.14	Various	183.83	...	4.31	Total of 2 transactions
2 transactions for 10/21/16							
	12,000	639.82	12/11/15	537.12	...	102.70	Sale
	1,000	53.32	01/21/16	45.22	...	8.10	Sale
10/21/16	13,000	693.14	Various	582.34	...	110.80	Total of 2 transactions
Security total:							
		1,069.61		955.43	...	114.18	
ROBERT HALF INTL INC / CUSIP: 770323103 / Symbol: RHI							
03/16/16	1,000	42.57	02/09/16	38.59	...	3.98	Sale
11/11/16	7,000	300.43	04/27/16	272.78	...	27.65	Sale
12/06/16	2,000	94.51	02/09/16	77.19	...	17.32	Sale
12/15/16	6,000	295.06	02/09/16	231.57	...	63.49	Sale
Security total:							
		732.57		620.13	...	112.44	
ROYAL DUTCH SHELL PLC SPONS ADR A / CUSIP: 780259206 / Symbol: RDSA							
09/23/16	1,000	48.03	04/22/16	52.84	...	-4.81	Sale
SABRE CORP / CUSIP: 78573M104 / Symbol: SABR							
09/23/16	2,000	54.69	09/08/16	58.78	...	-4.09	Sale
12/06/16	2,000	50.55	09/08/16	58.78	...	-8.23	Sale
12/20/16	1,000	25.40	09/08/16	29.39	...	-3.99	Sale
Security total:							
		130.64		146.95	...	-16.31	

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Proceeds Not Reported to the IRS

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Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ST JUDE MED INC / CUSIP: 790849103 / Symbol: STJ							
04/29/16	2,000	152.72	09/29/15	125.17	..	27.55	Sale
06/30/16	9,000	700.46	09/29/15	563.28	..	137.18	Sale
	Security total:	853.18		688.45	..	164.73	
SALESFORCE COM INC / CUSIP: 794661302 / Symbol: CRM							
	2 transactions for 01/21/16						
	3,000	209.46	09/01/15	200.72	..	8.74	Sale
	4,000	279.27	09/11/15	280.12	..	-0.85	Sale
01/21/16	7,000	488.73	Various	480.84	..	7.89	Total of 2 transactions
	2 transactions for 02/09/16						
	1,000	57.83	09/11/15	70.03	..	-12.20	Sale
	1,000	57.84	09/23/15	71.89	..	-14.06	Sale
02/09/16	2,000	115.67	Various	141.92	..	-26.26	Total of 2 transactions
04/19/16	1,000	76.08	09/23/15	71.89	..	4.19	Sale
04/21/16	1,000	77.05	01/25/16	70.38	..	6.67	Sale
	Security total:	757.53		765.03	..	-7.51	
SCHLUMBERGER LTD / CUSIP: 806857108 / Symbol: SLB							
01/25/16	3,000	191.11	03/13/15	240.79	..	-49.68	Sale
	2 transactions for 09/23/16						
	1,000	76.23	04/22/16	79.79	..	-3.56	Sale
	2,000	152.47	05/26/16	156.00	..	-3.53	Sale
09/23/16	3,000	228.70	Various	235.79	..	-7.09	Total of 2 transactions
09/29/16	1,000	77.61	05/26/16	78.00	..	-0.39	Sale
	Security total:	497.42		554.58	..	-57.16	

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SOUTHERN CO / CUSIP: 842587107 / Symbol: SO							
09/23/16	1,000	53.54	07/01/16	53.56	..	-0.02	Sale
12/20/16	1,000	49.14	07/01/16	53.56	..	-4.42	Sale
	Security total:	102.68		107.12	..	-4.44	
SPIRIT AEROSYSTEMS HLDGS INC COM CL A / CUSIP: 848574109 / Symbol: SPR							
09/23/16	3,000	131.45	03/24/16	142.08	..	-10.63	Sale
11/22/16	4,000	224.37	03/24/16	189.44	..	34.93	Sale
12/06/16	2,000	119.95	03/24/16	94.72	..	25.23	Sale
	Security total:	475.77		426.24	..	49.53	
STANLEY BLACK & DECKER INC / CUSIP: 854502101 / Symbol: SWK							
12/06/16	1,000	118.49	10/12/16	121.47	..	-2.98	Sale
STARBUCKS CORP / CUSIP: 855244109 / Symbol: SBUX							
	2 transactions for 03/07/16						
	3,000	171.92	08/10/15	169.08	.	2.84	Sale
	1,000	57.31	08/27/15	55.22	..	2.09	Sale
03/07/16	4,000	229.23	Various	224.30	.	4.93	Total of 2 transactions
03/16/16	1,000	59.75	08/27/15	55.22	..	4.53	Sale
	Security total:	288.98		279.52	..	9.46	
SYNCHRONY FINL / CUSIP: 87165B103 / Symbol: SYF							
03/16/16	3,000	82.61	02/22/16	82.68	..	-0.07	Sale
06/20/16	10,000	256.19	04/26/16	311.30	..	-55.11	Sale
	3 transactions for 08/18/16						
	8,000	217.56	02/22/16	220.49	..	-2.93	Sale
	9,000	244.75	02/25/16	248.94	..	-4.19	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

2016

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SYNCHRONY FINL / CUSIP: 871658103 / Symbol: SYF (cont'd)							
	10,000	271.94	04/22/16	306.27	...	-34.33	Sale
08/18/16	27,000	734.25	Various	775.70	..	-41.45	Total of 3 transactions
Security total:		1,073.05		1,169.68	...	-96.63	
T MOBILE US INC / CUSIP: 872590104 / Symbol: TMUS							
02/09/16	7,000	237.61	04/29/15	243.00	..	-5.39	Sale
TARGET CORP / CUSIP: 87612E106 / Symbol: TGT							
09/23/16	1,000	68.77	04/22/16	82.27	...	-13.50	Sale
TEVA PHARMACEUTICAL INDS LTD ADR / CUSIP: 881624209 / Symbol: TEVA							
09/23/16	5,000	256.09	05/10/16	264.30	...	-8.21	Sale
12/20/16	4,000	144.99	05/10/16	211.44	...	-66.45	Sale
2 transactions for 12/30/16							
	27,000	972.57	05/10/16	1,427.23	...	-454.66	Sale
	2,000	72.04	12/06/16	69.92	...	2.12	Sale
12/30/16	29,000	1,044.61	Various	1,497.15	...	-452.54	Total of 2 transactions
Security total:		1,445.69		1,972.89	.	-527.20	
TIME WARNER INC COM NEW / CUSIP: 887317303 / Symbol: TWX							
12/20/16	1,000	95.60	08/10/16	80.33	...	15.27	Sale
TOTAL S A SPONSORED ADR / CUSIP: 89151E109 / Symbol: TOT							
09/23/16	1,000	46.66	04/22/16	49.48	...	-2.82	Sale
12/20/16	4,000	196.83	12/13/16	201.77	...	-4.94	Sale
Security total:		243.49		251.25	...	-7.76	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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2016

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
VERIZON COMMUNICATIONS INC / CUSIP: 92343V104 / Symbol: VZ							
03/16/16	5,000	266.14	05/14/15	250.32	..	15.82	Sale
04/14/16	3,000	154.07	05/14/15	150.19	..	3.88	Sale
	Security total:	420.21		400.51	..	19.70	
VISA INC COM CL A / CUSIP: 92826C839 / Symbol: V							
02/08/16	4,000	267.95	08/28/15	289.04	..	-21.09	Sale
	2 transactions for 02/09/16						
	1,000	68.80	08/28/15	72.26	..	-3.46	Sale
	3,000	206.39	09/24/15	210.03	..	-3.64	Sale
02/09/16	4,000	275.19	Various	282.29	..	-7.10	Total of 2 transactions
	2 transactions for 03/10/16						
	2,000	139.66	09/24/15	140.02	..	-0.37	Sale
	2,000	139.66	10/20/15	152.62	..	-12.97	Sale
03/10/16	4,000	279.32	Various	292.64	..	-13.34	Total of 2 transactions
09/23/16	1,000	82.68	06/07/16	80.95	..	1.73	Sale
12/20/16	1,000	78.20	06/07/16	80.95	..	-2.75	Sale
	Security total:	983.34		1,025.87	..	-42.55	
WELLS FARGO & CO NEW / CUSIP: 949746101 / Symbol: WFC							
	3 transactions for 08/25/16						
	10,000	484.89	03/03/16	495.50	..	-10.61	Sale
	5,000	242.44	03/07/16	249.25	..	-6.81	Sale
	1,000	48.48	04/22/16	50.64	..	-2.16	Sale
08/25/16	16,000	775.81	Various	795.39	..	-19.58	Total of 3 transactions
09/23/16	1,000	45.72	03/03/16	49.55	..	-3.83	Sale
	Security total:	821.53		844.94	..	-23.41	

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
WESTROCK CO / CUSIP: 96145D105 / Symbol: WRK							
04/21/16	1,000	39.56	04/04/16	37.90	...	1.66	Sale
WEYERHAEUSER CO REIT / CUSIP: 962166104 / Symbol: WY							
12/20/16	2,000	61.11	10/25/16	62.60	...	-1.49	Sale
WHOLE FOODS MKT INC / CUSIP: 966837106 / Symbol: WFM							
03/16/16	1,000	33.18	02/22/16	30.63	...	2.55	Sale
09/23/16	3,000	85.67	02/22/16	91.90	..	-6.23	Sale
12/06/16	2,000	60.83	02/22/16	61.26	...	-0.43	Sale
12/20/16	2,000	65.22	02/22/16	61.26	...	3.96	Sale
Security total		244.90		245.05	...	-0.15	
ZIMMER BIOMET HLDGS INC / CUSIP: 98956P102 / Symbol: ZBH							
11/04/16	3,000	314.49	05/24/16	361.55	...	-47.06	Sale
2 transactions for 11/11/16							
	2,000	196.66	05/24/16	241.03	...	-44.37	Sale
	2,000	196.66	06/22/16	238.84	...	-42.18	Sale
11/11/16	4,000	393.32	Various	479.87	...	-86.55	Total of 2 transactions
Security total:		707.81		841.42	.	-133.61	
AXALTA COATING SYS LTD / CUSIP: G0750C108 / Symbol: AXTA							
12/06/16	2,000	52.87	10/18/16	52.53	...	0.34	Sale
INVESCO LTD / CUSIP: G491BT108 / Symbol: INVZ							
03/16/16	2,000	59.95	12/16/15	63.61	...	-3.66	Sale
09/23/16	3,000	92.00	12/16/15	95.41	...	-3.41	Sale
09/29/16	14,000	434.08	12/16/15	445.26	...	-11.18	Sale
12/06/16	1,000	32.17	12/16/15	31.80	...	0.37	Sale
Security total:		618.20		636.08	...	-17.88	

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SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
WHITE MTNS INS GROUP LTD / CUSIP: G9618E107 / Symbol: WTM						
01/19/16	1,000	734.93	735.96	.	-1.03	Sale
01/26/16	1,000	708.25	736.81	..	-28.56	Sale
02/01/16	1,000	706.85	711.37	..	-4.52	Sale
02/05/16	1,000	723.57	706.00	..	17.57	Sale
02/09/16	1,000	726.98	709.48	..	17.50	Sale
02/12/16	1,000	720.01	759.98	..	-39.97	Sale
02/22/16	1,000	743.98	746.00	..	-2.02	Sale
03/02/16	1,000	749.13	734.98	..	14.15	Sale
03/16/16	1,000	797.05	775.25	..	21.80	Sale
03/24/16	1,000	770.06	764.62	..	5.44	Sale
03/31/16	1,000	799.98	785.51	..	14.47	Sale
04/13/16	1,000	808.20	806.44	..	1.76	Sale
04/19/16	1,000	802.98	802.53	..	0.45	Sale
04/27/16	1,000	812.00	816.00	..	-4.00	Sale
05/03/16	1,000	824.98	807.28	..	17.70	Sale
05/06/16	1,000	808.64	828.00	..	-19.36	Sale
05/12/16	1,000	817.60	821.00	..	-3.40	Sale
05/24/16	1,000	807.04	820.59	..	-13.55	Sale
09/23/16	1,000	818.81	812.20	..	6.61	Sale
Security total:		14,681.04	14,680.00	..	1.04	
TE CONNECTIVITY LTD REG SHS / CUSIP: H84989104 / Symbol: TEL						
03/16/16	1,000	59.49	59.46	..	0.03	Sale
06/29/16	4,000	224.47	237.84	..	-13.37	Sale
Security total:		283.96	297.30	..	-13.34	

Oppenheimer & Co. Inc.

Account A810750438

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
NXP SEMICONDUCTORS N V / CUSIP: N6596X109 / Symbol: NXPI	1.000	84.80	08/16/16	87.81	...	-3.01	Sale
09/23/16							
3 transactions for 09/29/16							
	3.000	283.51	07/27/16	262.62	...	20.89	Sale
	4.000	378.01	07/28/16	337.56	...	40.45	Sale
	2.000	189.01	08/16/16	175.62	...	13.39	Sale
09/29/16	9.000	850.53	Various	775.80	...	74.73	Total of 3 transactions
Security total:							
		935.33		863.61	...	71.72	
ROYAL CARIBBEAN CRUISES LTD / CUSIP: V7780T103 / Symbol: RCL							
03/16/16	1.000	74.33	04/16/15	80.12	...	-5.79	Sale
2 transactions for 05/09/16							
	2.000	151.63	01/21/16	168.90	...	-17.27	Sale
	5.000	379.09	02/25/16	371.12	...	7.97	Sale
05/09/16	7.000	530.72	Various	540.02	...	-9.30	Total of 2 transactions
Security total:							
		605.05		620.14	...	-15.09	
Totals:							
		82,576.61		85,874.38	...	-3,297.77	

Oppenheimer & Co. Inc.

Account A810750438

2016

(continued)

Proceeds Not Reported to the IRS

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ASTON/MONTAG & CLDWL GRTH-N OPEN END / CUSIP: 00078H299 / Symbol:							
03/16/16	261.470	5,096.05	03/22/11	6,398.17	...	-1,302.12	Sale
04/21/16	10.184	202.25	03/22/11	249.20	...	-46.95	Sale
09/23/16	94.608	1,888.38	03/22/11	2,315.06	...	-426.68	Sale
	Security total:	7,186.68		8,962.43	...	-1,775.75	
THE ADT CORPORATION / CUSIP: 00101J106 / Symbol: ADT							
02/17/16	4.000	158.79	12/11/13	159.41	...	-0.62	Sale
	2 transactions for 03/01/16						
	1.000	40.59	12/11/13	39.85	...	0.74	Sale
	7.000	284.12	02/03/14	202.48	...	81.64	Sale
03/01/16	8.000	324.71	Various	242.33	...	82.38	Total of 2 transactions
03/16/16	1.000	41.25	02/03/14	28.93	...	12.32	Sale
	2 transactions for 03/24/16						
	2.000	82.18	02/03/14	57.85	...	24.33	Sale
	9.000	369.81	07/31/14	314.10	...	55.71	Sale
03/24/16	11.000	451.99	Various	371.95	...	80.04	Total of 2 transactions
	Security total:	976.74		802.62	...	174.12	
AMG MANAGERS MONTAG & CALDWELL GROWTH FD CL N / CUSIP: 00171A597 / Symbol: MCGFX							
12/20/16	170.810	3,382.04	03/22/11	4,179.72	...	-797.68	Sale
AT&T INC / CUSIP: 00206R102 / Symbol: T							
03/16/16	13.000	504.51	03/22/11	365.95	...	138.56	Sale
07/15/16	5.000	214.17	09/10/13	169.27	...	44.90	Sale
08/11/16	6.000	260.03	09/10/13	203.13	...	56.90	Sale
09/23/16	11.000	452.09	09/10/13	372.40	...	79.69	Sale
12/06/16	4.000	157.03	09/10/13	135.42	...	21.61	Sale

Oppenheimer & Co. Inc.		Account A810750438
2016	02/28/2017	

Proceeds Not Reported to the IRS (continued)

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AT&T INC / CUSIP: 00206R102 / Symbol: T (cont'd)							
12/20/16	5,000	212.54	09/10/13	169.27	..	43.27	Sale
Security total:		1,800.37		1,415.44		384.93	
ABBVIE INC / CUSIP: 00287Y109 / Symbol: ABBV							
03/16/16	4,000	225.79	01/12/15	262.48	..	-36.69	Sale
09/23/16	1,000	65.17	01/12/15	65.62	..	-0.45	Sale
Security total:		290.96		328.10	..	-37.14	
ALIBABA GROUP HLDG LTD SPONSORED ADS / CUSIP: 01609W102 / Symbol: BABA							
2 transactions for 01/08/16							
	3,000	215.61	12/15/14	315.37	..	-99.76	Sale
	4,000	287.48	12/17/14	429.59	..	-142.11	Sale
01/08/16	7,000	503.09	Various	744.96	..	-241.87	Total of 2 transactions
ALPHABET INC CAP STK CL C / CUSIP: 02079K107 / Symbol: GOOG							
06/23/16	1,000	693.92	01/22/15	535.66	..	158.26	Sale
ALPHABET INC CAP STK CL A / CUSIP: 02079K305 / Symbol: GOOGL							
12/20/16	1,000	813.74	08/10/15	662.61	..	151.13	Sale
ALTRIA GROUP INC / CUSIP: 02209S103 / Symbol: MO							
03/16/16	4,000	248.23	03/22/11	101.92	..	146.31	Sale
10/21/16	2,000	126.95	01/16/15	105.42	..	21.53	Sale
12/06/16	2,000	127.93	01/16/15	105.42	..	22.51	Sale
12/20/16	2,000	134.05	01/16/15	105.42	..	28.63	Sale
Security total:		637.16		418.18	..	218.98	
AMERICAN EXPRESS CO / CUSIP: 025816109 / Symbol: AXP							
01/25/16	3,000	165.45	04/21/14	260.15	..	-94.70	Sale

Oppenheimer & Co. Inc.	Proceeds Not Reported to the IRS (continued)	Account A810750438
2016		02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN FINL GROUP INC OHIO / CUSIP: 025932104 / Symbol: AFG							
03/16/16	1,000	71.08	03/22/11	34.64		36.44	Sale
09/23/16	1,000	74.90	03/22/11	34.64	..	40.26	Sale
11/15/16	3,000	241.02	03/22/11	103.92	...	137.10	Sale
12/06/16	1,000	83.81	03/22/11	34.64	...	49.17	Sale
12/08/16	5,000	424.99	03/22/11	173.20	...	251.79	Sale
Security total:		895.80		381.04		514.76	
AMERICAN INTL GROUP INC COM NEW / CUSIP: 026874784 / Symbol: AIG							
12/06/16	1,000	64.23	08/17/15	64.40	...	-0.17	Sale
AMERICAN TOWER CORP NEW REIT / CUSIP: 03027X100 / Symbol: AMT							
03/16/16	1,000	99.69	09/13/11	52.84	.	46.85	Sale
09/23/16	1,000	112.84	10/13/14	94.09	...	18.75	Sale
11/15/16	5,000	516.56	10/13/14	470.45	...	46.11	Sale
Security total:		729.09		617.38	...	111.71	
APACHE CORP / CUSIP: 037411105 / Symbol: APA							
09/23/16	2,000	119.47	06/24/15	117.52	...	1.95	Sale
12/06/16	1,000	66.27	06/24/15	58.76	...	7.51	Sale
12/20/16	1,000	66.78	06/24/15	58.76	...	8.02	Sale
Security total:		252.52		235.04	.	17.48	
APPLE INC / CUSIP: 037833100 / Symbol: AAPL							
		3 transactions for 01/28/16					
	1,000	94.25	10/25/13	75.58	...	18.67	Sale
	1,000	94.25	04/30/14	85.28	...	8.97	Sale
	4,000	376.99	04/30/14	341.11	...	35.87	Sale
01/28/16	6,000	565.49	Various	501.97	...	63.51	Total of 3 transactions

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
APPLE INC / CUSIP: 037833100 / Symbol: AAPL (cont'd)							
2 transactions for 03/16/16							
	2,000	212.37	04/30/14	170.56	.	41.82	Sale
	1,000	106.19	05/07/14	84.58	..	21.61	Sale
03/16/16	3,000	318.56	Various	255.14		63.43	Total of 2 transactions
09/23/16	1,000	114.57	08/22/14	101.26	...	13.31	Sale
12/06/16	1,000	109.58	08/22/14	101.26	...	8.32	Sale
12/20/16	2,000	234.11	08/22/14	202.51	.	31.60	Sale
	Security total:	1,342.31		1,162.14	...	180.17	
APPLIED MATLS INC / CUSIP: 038222105 / Symbol: AMAT							
03/16/16	7,000	140.66	03/22/11	106.05	..	34.61	Sale
07/06/16	77,000	1,841.56	03/22/11	1,166.55	...	675.01	Sale
	Security total:	1,982.22		1,272.60		709.62	
APTARGROUP INC / CUSIP: 038336103 / Symbol: ATR							
03/16/16	1,000	76.49	09/29/14	61.76		14.73	Sale
03/30/16	3,000	235.99	09/29/14	185.28	...	50.71	Sale
12/06/16	1,000	73.57	09/29/14	61.76	...	11.81	Sale
	Security total:	386.05		308.80		77.25	
ARCHER DANIELS MIDLAND CO / CUSIP: 039483102 / Symbol: ADM							
07/19/16	9,000	390.32	07/09/15	425.14	..	-34.82	Sale
09/23/16	1,000	42.70	07/09/15	47.24	.	-4.54	Sale
12/06/16	2,000	88.83	09/04/15	85.40	...	3.43	Sale
	Security total:	521.85		557.78	...	-35.93	

Oppenheimer & Co. Inc.

Account A810750438

2016

Proceeds Not Reported to the IRS (continued)

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ASHLAND GLOBAL HLDGS INC / CUSIP: 044186104 / Symbol: ASH							
09/23/16	1,000	120.15	07/31/15	113.97	...	6.18	Sale
12/20/16	1,000	109.93	07/31/15	113.97	...	-4.04	Sale
	Security total:	230.08		227.94	...	2.14	
ASHLAND INC NEW / CUSIP: 044209104 / Symbol:							
06/21/16	2,000	230.43	03/25/13	150.73	...	79.70	Sale
BOK FINL CORP COM NEW / CUSIP: 05561Q201 / Symbol: BOKF							
03/16/16	1,000	55.84	05/24/11	51.72	...	4.12	Sale
	2 transactions for 04/13/16						
	1,000	56.81	05/24/11	51.72	...	5.09	Sale
	3,000	170.42	02/07/14	190.62	...	-20.20	Sale
04/13/16	4,000	227.23	Various	242.34	...	-15.11	Total of 2 transactions
09/23/16	1,000	67.57	06/13/14	65.37	...	2.20	Sale
12/06/16	1,000	83.70	06/13/14	65.37	...	18.33	Sale
	Security total:	434.34		424.80	..	9.54	
BANK AMER CORP / CUSIP: 060505104 / Symbol: BAC							
	2 transactions for 01/21/16						
	3,000	41.10	07/19/13	44.07	...	-2.97	Sale
	15,000	205.50	01/16/14	255.75	...	-50.25	Sale
01/21/16	18,000	246.60	Various	299.82	..	-53.22	Total of 2 transactions.
02/16/16	23,000	281.54	01/16/14	392.15		-110.61	Sale
03/16/16	3,000	39.95	01/16/14	51.15		-11.20	Sale
09/23/16	4,000	62.11	07/20/15	72.80		-10.69	Sale
12/06/16	4,000	88.31	07/20/15	72.80		15.51	Sale
12/20/16	5,000	113.19	07/20/15	90.99		22.20	Sale

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BANK AMER CORP / CUSIP: 060505104 / Symbol: BAC (cont'd)							
	Security total:	831.70		979.71	...	-148.01	
BLACKROCK INC / CUSIP: 09247X101 / Symbol: BLK							
12/06/16	1,000	373.59	09/11/15	302.42	...	71.17	Sale
BOEING CO / CUSIP: 097023105 / Symbol: BA							
01/08/16	1,000	131.18	03/17/14	125.62	...	5.55	Sale
09/23/16	2,000	263.49	08/03/15	286.26	...	-22.77	Sale
12/20/16	1,000	156.38	08/03/15	143.13	...	13.25	Sale
	Security total:	551.05		555.01	...	-3.97	
BOSTON SCIENTIFIC CORP / CUSIP: 101137107 / Symbol: BSX							
03/16/16	7,000	125.36	01/08/15	101.08	...	24.28	Sale
	2 transactions for 04/20/16						
	2,000	39.42	01/08/15	28.88	...	10.54	Sale
	15,000	295.65	01/16/15	216.11	...	79.54	Sale
04/20/16	17,000	335.07	Various	244.99	...	90.08	Total of 2 transactions
04/29/16	12,000	261.41	01/16/15	172.89	...	88.52	Sale
12/06/16	3,000	62.27	04/29/15	53.04	...	9.23	Sale
	Security total:	784.11		572.00	...	212.11	
BRINKER INTL INC / CUSIP: 109641100 / Symbol: EAT							
12/20/16	1,000	51.18	12/10/15	45.22	...	5.96	Sale
BRISTOL MYERS SQUIBB CO / CUSIP: 110122108 / Symbol: BMY							
08/08/16	3,000	190.34	04/15/15	190.97	...	-0.63	Sale
	2 transactions for 08/16/16						
	3,000	179.39	04/02/15	189.72	...	-10.32	Sale

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS

(continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BRISTOL MYERS SQUIBB CO / CUSIP: 110122108 / Symbol: BMY (cont'd)							
	2,000	119.60	04/15/15	127.32	...	-7.72	Sale
08/16/16	5,000	298.99	Various	317.04	...	-18.04	Total of 2 transactions
Security total:							
		489.33		508.01	...	-18.67	
CVS HEALTH CORP / CUSIP: 126650100 / Symbol: CVS							
02/11/16	2,000	186.85	01/28/14	136.93	...	49.92	Sale
03/16/16	2,000	202.07	01/28/14	136.93	...	65.14	Sale
07/14/16	2,000	195.35	10/13/14	163.10	...	32.25	Sale
09/29/16	6,000	537.52	01/28/14	410.78	...	126.74	Sale
Security total:							
		1,121.79		847.74	...	274.05	
CAMERON INTERNATIONAL CORP / CUSIP: 13342B105 / Symbol: CAM							
03/07/16	15,000	1,025.72	12/30/14	749.91	...	275.80	Sale
CELGENE CORP / CUSIP: 151020104 / Symbol: CELG							
2 transactions for 01/19/16							
	1,000	102.15	06/20/14	85.64	...	16.50	Sale
	1,000	102.15	07/02/14	89.71	...	12.44	Sale
01/19/16	2,000	204.30	Various	175.35	...	28.94	Total of 2 transactions
2 transactions for 02/01/16							
	1,000	99.31	07/02/14	89.71	...	9.60	Sale
	1,000	99.31	01/14/15	121.31	...	-22.00	Sale
02/01/16	2,000	198.62	Various	211.02	...	-12.40	Total of 2 transactions
03/16/16	1,000	97.34	01/14/15	121.31	...	-23.97	Sale
Security total:							
		500.26		507.68	...	-7.43	

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CHEVRON CORP NEW / CUSIP: 165764100 / Symbol: CVX							
09/23/16	2,000	198.63	04/12/13	240.01	..	-41.38	Sale
2 transactions for 12/06/16							
	1,000	112.96	04/12/13	120.01	..	-7.05	Sale
	1,000	112.96	04/25/13	119.50	..	-6.55	Sale
12/06/16	2,000	225.92	Various	239.51	..	-13.60	Total of 2 transactions
12/20/16	1,000	118.39	04/25/13	119.50	..	-1.11	Sale
Security total:							
		542.94		599.02	..	-56.09	
CISCO SYS INC / CUSIP: 17275R102 / Symbol: CSCO							
2 transactions for 01/21/16							
	6,000	137.70	05/17/13	144.36	..	-6.66	Sale
	8,000	183.59	06/06/13	195.52	..	-11.93	Sale
01/21/16	14,000	321.29	Various	339.88	..	-18.59	Total of 2 transactions
2 transactions for 03/16/16							
	3,000	83.67	06/06/13	73.32	..	10.35	Sale
	5,000	139.44	07/25/14	129.90	..	9.54	Sale
03/16/16	8,000	223.11	Various	203.22	..	19.89	Total of 2 transactions
09/23/16	7,000	219.93	04/16/15	200.06	..	19.87	Sale
Security total:							
		764.33		743.16	..	21.17	
CITIGROUP INC COM NEW / CUSIP: 172967424 / Symbol: C							
02/16/16	6,000	233.99	09/20/13	307.92	..	-73.93	Sale
03/16/16	3,000	126.44	02/17/15	155.16	..	-28.72	Sale
06/10/16	5,000	219.44	04/29/15	268.80	..	-49.36	Sale
09/23/16	1,000	47.02	04/20/15	53.30	..	-6.28	Sale
12/06/16	2,000	115.75	04/20/15	106.60	..	9.15	Sale

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8948, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CITIGROUP INC COM NEW / CUSIP: 172967424 / Symbol: C (cont'd)							
12/20/16	1 000	60.08	04/20/15	53.30	...	6.78	Sale
	Security total:	802.72		945.08	...	-142.36	
CITIZENS FINL GROUP INC / CUSIP: 174610105 / Symbol: CFG							
09/23/16	5,000	121.69	04/29/15	130.45	...	-8.76	Sale
10/25/16	13,000	342.87	04/29/15	339.17	...	3.70	Sale
12/01/16	8,000	275.94	04/29/15	208.72	...	67.22	Sale
12/06/16	3,000	104.12	04/29/15	78.27	...	25.85	Sale
12/20/16	1,000	35.89	04/29/15	26.09	...	9.80	Sale
	Security total:	880.51		782.70	...	97.81	
CLEAN HARBORS INC / CUSIP: 184496107 / Symbol: CLH							
2 transactions for 03/02/16							
	6,000	268.29	03/28/14	331.06	...	-62.77	Sale
03/02/16	2,000	89.43	08/14/14	117.50	...	-28.07	Sale
	8,000	357.72	Various	448.56	...	-90.84	Total of 2 transactions
03/16/16	3,000	138.71	08/14/14	176.25	...	-37.54	Sale
2 transactions for 06/15/16							
	2,000	104.11	08/14/14	117.50	...	-13.39	Sale
06/15/16	4,000	208.22	12/09/14	188.22	...	20.00	Sale
	6,000	312.33	Various	305.72	...	6.61	Total of 2 transactions
2 transactions for 11/15/16							
	4,000	195.28	12/09/14	188.22	...	7.06	Sale
11/15/16	6,000	292.93	10/21/15	278.33	...	14.60	Sale
	10,000	488.21	Various	466.55	...	21.66	Total of 2 transactions
	Security total:	1,296.97		1,397.08	..	-100.11	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

02/28/2017

2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
COMCAST CORP NEW CL A / CUSIP: 20030N101 / Symbol: CMCSA							
03/16/16	2,000	120.07	09/10/14	113.50	...	6.57	Sale
09/23/16	2,000	134.23	09/10/14	113.50	...	20.73	Sale
12/20/16	2,000	142.25	09/10/14	113.50	...	28.75	Sale
	Security total:	396.55		340.50	...	56.05	
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
7 transactions for 02/04/16							
	8,000	282.62	04/15/14	581.20	...	-298.58	Sale
	7,000	247.29	04/21/14	522.27	...	-274.98	Sale
	4,000	141.31	04/29/14	300.24	...	-158.93	Sale
	5,000	176.64	04/30/14	371.97	...	-195.33	Sale
	1,000	35.33	12/10/14	63.23	...	-27.90	Sale
	6,000	211.97	01/09/15	388.79	...	-176.82	Sale
	7,000	247.29	02/03/15	471.93	...	-224.64	Sale
02/04/16	38,000	1,342.45	Various	2,699.63	...	-1,357.18	Total of 7 transactions
CORRECTIONS CORP AMER NEW COM NEW / CUSIP: 22025Y407 / Symbol:							
03/16/16	5,000	157.09	11/19/13	174.96	...	-17.87	Sale
2 transactions for 06/07/16							
	3,000	102.49	11/19/13	104.97	...	-2.48	Sale
	9,000	307.46	07/10/14	297.45	...	10.01	Sale
06/07/16	12,000	409.95	Various	402.42	...	7.53	Total of 2 transactions
2 transactions for 08/18/16							
	6,000	101.45	07/10/14	198.29	...	-96.84	Sale
	10,000	169.08	08/12/15	319.76	...	-150.68	Sale
08/18/16	16,000	270.53	Various	518.05	...	-247.52	Total of 2 transactions

Oppenheimer & Co. Inc.

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2016

02/28/2017

Proceeds Not Reported to the IRS (continued)

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CORRECTIONS CORP AMER NEW COM NEW / CUSIP: 22025Y407 / Symbol: (cont'd)							
Security total:		837.57		1,095.43	..	-257.86	
DST SYS INC DEL / CUSIP: 233326107 / Symbol: DST							
03/16/16	1 000	107.22	02/04/15	100.78	..	6.44	Sale
DICKS SPORTING GOODS INC / CUSIP: 253393102 / Symbol: DKS							
03/16/16	4.000	181.47	05/22/14	173.70	..	7.77	Sale
2 transactions for 03/30/16							
	5.000	235.04	05/22/14	217.13	..	17.91	Sale
	1.000	47.01	08/19/14	44.08	..	2.93	Sale
03/30/16	6.000	282.05	Various	261.21	..	20.84	Total of 2 transactions
2 transactions for 08/10/16							
	3.000	161.85	08/19/14	132.24	..	29.61	Sale
	2.000	107.90	07/20/15	102.63	..	5.27	Sale
08/10/16	5.000	269.75	Various	234.87	..	34.88	Total of 2 transactions
09/14/16	2 000	117.08	08/19/14	88.16	..	28.93	Sale
Security total:		850.35		757.94	..	92.42	
DISCOVERY COMMUNICATNS NEW COM SER A / CUSIP: 25470F104 / Symbol: DISCA							
03/16/16	2 000	56.95	11/14/14	67.17	..	-10.22	Sale
12/06/16	3.000	83.15	11/14/14	100.76	..	-17.61	Sale
12/20/16	1.000	28.41	11/14/14	33.59	..	-5.18	Sale
Security total:		168.51		201.52	..	-33.01	
DOW CHEM CO / CUSIP: 260543103 / Symbol: DOW							
03/16/16	3.000	151.28	03/11/15	140.82	..	10.46	Sale
08/16/16	2.000	105.43	04/24/15	101.70	..	3.73	Sale
09/21/16	3.000	157.31	04/24/15	152.55	..	4.76	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
DOW CHEM CO / CUSIP: 260543103 / Symbol: DOW (cont'd)							
2 transactions for 09/29/16							
	1,000	51.85	04/17/15	49.49	...	2.36	Sale
	2,000	103.71	04/24/15	101.70	...	2.01	Sale
09/29/16	3,000	155.56	Various	151.19	...	4.37	Total of 2 transactions
12/06/16	1,000	55.98	04/17/15	49.49	...	6.49	Sale
12/20/16	1,000	58.67	04/17/15	49.49	...	9.18	Sale
Security total:							
		684.23		645.24	...	38.99	
EAGLE SER SMALL CAP GROWTH FD A / CUSIP: 269858106 / Symbol: HRSCX							
03/16/16	61,350	2,808.60	03/22/11	2,422.71	...	385.89	Sale
04/21/16	2,962	144.99	03/22/11	116.97	...	28.02	Sale
09/23/16	49,738	2,620.70	03/22/11	1,964.15	...	656.55	Sale
12/06/16	25,014	1,373.27	03/22/11	987.80	...	385.47	Sale
12/20/16	25,774	1,422.47	03/22/11	1,017.82	...	404.65	Sale
Security total:							
		8,370.03		6,509.45	...	1,860.58	
ENTERGY CORP NEW / CUSIP: 29364G103 / Symbol: ETR							
03/16/16	1,000	78.07	09/11/13	62.74	..	15.33	Sale
04/01/16	4,000	319.00	01/23/14	246.80	...	72.20	Sale
09/23/16	1,000	81.54	03/02/15	77.77	...	3.77	Sale
12/06/16	1,000	59.19	03/02/15	77.77	...	-8.58	Sale
Security total:							
		547.80		465.08	...	82.72	
EXPEDITORS INTL WASH INC / CUSIP: 302130109 / Symbol: EXPD							
2 transactions for 02/08/16							
	6,000	274.87	06/03/13	232.74	..	42.13	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

02/28/2017

2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column] Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
EXPEDITORS INTL WASH INC / CUSIP: 302130103 / Symbol: EXPD (cont'd)							
	5,000	229.05	03/25/14	195.40	...	33.65	Sale
02/08/16	11,000	503.92	Various	428.14	...	75.78	Total of 2 transactions
EXXON MOBIL CORP / CUSIP: 30231G102 / Symbol: XOM							
12/06/16	1,000	87.63	12/02/15	79.75	...	7.88	Sale
FACEBOOK INC CL A / CUSIP: 30303M102 / Symbol: FB							
03/07/16	3,000	314.87	03/05/14	214.12	...	100.75	Sale
2 transactions for 03/08/16							
	2,000	212.36	03/05/14	142.74	...	69.62	Sale
03/08/16	1,000	106.18	02/27/15	78.71	...	27.47	Sale
	3,000	318.54	Various	221.45	...	97.09	Total of 2 transactions
03/16/16	1,000	112.06	02/27/15	78.71	...	33.35	Sale
11/15/16	5,000	585.23	07/21/15	491.84	...	93.39	Sale
12/20/16	1,000	119.30	07/21/15	98.37	...	20.93	Sale
Security total		1,450.00		1,104.49	...	345.51	
F5 NETWORKS INC / CUSIP: 315616102 / Symbol: FFIV							
08/10/16	2,000	252.70	04/24/15	245.21	...	7.49	Sale
09/23/16	1,000	120.75	04/24/15	122.61	...	-1.86	Sale
12/23/16	2,000	289.36	04/24/15	245.21	...	44.15	Sale
Security total:		662.81		613.03	...	49.78	
FIFTH THIRD BANCORP / CUSIP: 316773100 / Symbol: FITB							
03/16/16	4,000	67.63	06/18/12	52.04	...	15.59	Sale
09/23/16	6,000	125.57	05/27/14	124.32	...	1.25	Sale
11/23/16	10,000	262.70	05/27/14	207.20	...	55.50	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
FIFTH THIRD BANCORP / CUSIP: 316773100 / Symbol: FITB (cont'd)							
2 transactions for 12/06/16							
	1,000	26.27	05/27/14	20.72	...	5.55	Sale
	1,000	26.27	03/26/15	19.12	...	7.15	Sale
12/06/16	2,000	52.54	Various	39.84	...	12.70	Total of 2 transactions
12/20/16	3,000	83.21	03/26/15	57.35	...	25.86	Sale
Security total:							
		591.65		480.75	...	110.90	
FRANKLIN RES INC / CUSIP: 354613101 / Symbol: BEN							
09/23/16	3,000	106.40	03/17/15	157.86	...	-51.46	Sale
12/05/16	8,000	317.65	03/17/15	420.96	...	-103.31	Sale
2 transactions for 12/06/16							
	1,000	39.75	03/17/15	52.62	...	-12.88	Sale
	1,000	39.74	05/15/15	51.76	...	-12.01	Sale
12/06/16	2,000	79.49	Various	104.38	...	-24.89	Total of 2 transactions
12/20/16	1,000	40.17	05/15/15	51.76	...	-11.59	Sale
Security total:							
		543.71		734.96	...	-191.25	
SHELTON INTERNATIONAL SELECT EQUITY FUND CL A / CUSIP: 360873871 / Symbol: WHVAX							
3 transactions for 01/21/16							
	1,338,695	18,179.48	03/22/11	28,808.72	...	-10,629.24	Sale
	1,472	19.99	04/26/11	32.79	...	-12.80	Sale
	2,075	28.18	12/19/13	45.04	...	-16.86	Sale
01/21/16	1,342,242	18,227.65	Various	28,886.55	...	-10,658.90	Total of 3 transactions

Oppenheimer & Co. Inc.

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2016

(continued)

Proceeds Not Reported to the IRS

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GENERAL ELECTRIC CO / CUSIP: 369604103 / Symbol: GE							
2 transactions for 01/06/16							
	16,000	481.32	12/22/11	288.64	..	192.68	Sale
	12,000	360.99	08/22/12	249.00	..	111.99	Sale
01/06/16	28,000	842.31	Various	537.64	..	304.67	Total of 2 transactions
2 transactions for 03/16/16							
	1,000	30.15	08/22/12	20.75	..	9.40	Sale
	11,000	331.64	04/09/13	253.99	..	77.65	Sale
03/16/16	12,000	361.79	Various	274.74	..	87.05	Total of 2 transactions
08/16/16	6,000	187.43	12/10/14	151.14	..	36.29	Sale
09/14/16	9,000	268.42	12/10/14	226.71	..	41.71	Sale
09/21/16	5,000	148.29	12/10/14	125.95	..	22.34	Sale
09/23/16	9,000	269.27	12/10/14	226.71	..	42.56	Sale
12/06/16	2,000	62.27	10/19/15	58.10	..	4.17	Sale
12/13/16	7,000	222.24	10/19/15	203.34	..	18.90	Sale
12/20/16	6,000	193.31	10/19/15	174.29	..	19.02	Sale
	Security total:	2,555.33		1,978.62	..	576.71	
GENTEX CORP / CUSIP: 371901109 / Symbol: GNTX							
09/23/16	3,000	53.06	08/20/15	46.10	..	6.96	Sale
10/20/16	17,000	291.92	08/20/15	261.24	..	30.68	Sale
12/20/16	5,000	100.24	08/20/15	76.83	..	23.41	Sale
	Security total:	445.22		384.17	..	61.05	
GILEAD SCIENCES INC / CUSIP: 375558103 / Symbol: GILD							
02/02/16	3,000	248.18	04/20/12	76.56	..	171.62	Sale
02/03/16	1,000	86.50	04/20/12	25.52	..	60.98	Sale
03/24/16	2,000	182.21	04/20/12	51.04	..	131.17	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GILEAD SCIENCES INC / CUSIP: 375558103 / Symbol: GILD (cont'd)							
3 transactions for 03/28/16							
	1,000	93.05	04/20/12	25.52	.	67.53	Sale
	1,000	93.05	08/22/12	28.28	..	64.77	Sale
	1,000	93.05	08/22/12	28.28	..	64.77	Sale
03/28/16	3,000	279.15	Various	82.08	..	197.07	Total of 3 transactions
Security total:							
		796.04		235.20		560.84	
HEALTHSOUTH CORP COM NEW / CUSIP: 421924309 / Symbol: HLS							
03/16/16	4,000	141.31	01/14/15	156.50	..	-15.19	Sale
12/06/16	3,000	123.44	06/05/15	129.06	..	-5.62	Sale
12/20/16	1,000	42.36	06/05/15	43.02	..	-0.66	Sale
Security total:							
		307.11		328.58	..	-21.47	
HOME DEPOT INC / CUSIP: 437076102 / Symbol: HD							
03/16/16	1,000	130.53	10/26/11	36.37	..	94.16	Sale
09/29/16	2,000	256.71	11/25/11	73.62	..	183.09	Sale
Security total:							
		387.24		109.99	..	277.25	
HONEYWELL INTL INC / CUSIP: 438516106 / Symbol: HON							
03/16/16	1,000	109.26	02/05/14	89.79	..	19.47	Sale
2 transactions for 09/23/16							
	1,000	116.21	04/03/14	93.77	..	22.44	Sale
	2,000	232.43	08/05/15	211.36	..	21.07	Sale
09/23/16	3,000	348.64	Various	305.13	..	43.51	Total of 2 transactions
09/29/16	2,000	233.19	04/03/14	187.54	..	45.65	Sale
10/10/16	1,000	106.99	04/03/14	93.77	..	13.22	Sale
Security total:							
		798.08		676.23		121.85	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

(continued)

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2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
HUNTINGTON INGALLS INDS INC / CUSIP: 446413106 / Symbol: HII							
03/02/16	1,000	130.69	02/17/15	125.81	...	4.88	Sale
03/16/16	1,000	135.12	02/17/15	125.81	...	9.31	Sale
05/11/16	2,000	306.71	02/17/15	251.62	...	55.09	Sale
<i>2 transactions for 08/10/16</i>							
	1,000	167.10	02/17/15	125.81	...	41.29	Sale
	3,000	501.31	05/11/15	363.40	...	137.91	Sale
08/10/16	4,000	668.41	Various	489.21	...	179.20	Total of 2 transactions
Security total:							
		1,240.93		992.45	...	248.48	
INGREDION INC / CUSIP: 457187102 / Symbol: INGR							
02/01/16	2,000	201.55	01/14/14	136.74	...	64.81	Sale
03/16/16	1,000	106.66	01/14/14	68.37	...	38.29	Sale
05/12/16	3,000	398.37	01/14/14	205.11	...	153.26	Sale
Security total:							
		666.58		410.22	...	256.36	
INTL PAPER CO / CUSIP: 460146103 / Symbol: IP							
03/16/16	6,000	241.85	03/28/14	275.10	...	-33.25	Sale
09/23/16	5,000	240.94	07/01/15	241.68	...	-0.74	Sale
12/06/16	1,000	51.72	07/01/15	48.34	...	3.38	Sale
12/13/16	3,000	158.58	06/30/15	142.91	...	15.67	Sale
12/20/16	4,000	216.11	06/30/15	190.55	...	25.56	Sale
Security total:							
		909.20		898.58	...	10.62	
INTERPUBLIC GROUP COS INC / CUSIP: 460690100 / Symbol: IPG							
12/06/16	2,000	46.51	09/04/15	37.53	...	8.98	Sale
12/20/16	2,000	46.99	09/04/15	37.53	...	9.46	Sale
Security total:							
		93.50		75.06	...	18.44	

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Proceeds Not Reported to the IRS

(continued)

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
INVESTORS BANCORP INC NEW / CUSIP: 46146L101 / Symbol: ISBC							
03/16/16	5,000	56.29	02/03/14	49.22	...	7.07	Sale
09/23/16	5,000	60.44	04/11/14	51.31	...	9.13	Sale
2 transactions for 10/17/16							
	40,000	469.01	02/03/14	393.76	...	75.25	Sale
	23,000	269.68	04/11/14	236.00	...	33.68	Sale
10/17/16	63,000	738.69	Various	629.76	...	108.93	Total of 2 transactions
Security total:							
		855.42		730.29	...	125.13	
IVY ASSET STRATEGY FD A OPEN END / CUSIP: 466000759 / Symbol: WASAX							
03/16/16	64,115	1,352.83	03/22/11	1,575.95	...	-223.12	Sale
3 transactions for 12/06/16							
	524,868	10,791.28	03/22/11	12,901.26	...	-2,109.97	Sale
	127,706	2,625.63	12/15/14	3,287.15	...	-661.52	Sale
	88,050	1,810.31	10/16/15	2,121.13	...	-310.82	Sale
12/06/16	740,624	15,227.22	Various	18,309.54	...	-3,082.31	Total of 3 transactions
Security total:							
		16,590.05		19,885.49	...	-3,305.43	
JPMORGAN CHASE & CO COM / CUSIP: 48625H100 / Symbol: JPM							
03/16/16	5,000	293.94	09/27/12	204.35	...	89.59	Sale
09/23/16	4,000	269.87	06/11/15	274.32	...	-4.45	Sale
12/06/16	2,000	166.99	05/01/15	127.24	...	39.75	Sale
12/20/16	2,000	171.13	05/01/15	127.24	...	43.89	Sale
Security total:							
		901.93		733.15	...	168.78	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 9949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
JOHNSON & JOHNSON / CUSIP: 478160104 / Symbol: JNJ							
03/16/16	3,000	322.37	03/22/11	176.49		145.88	Sale
	3 transactions for 03/31/16						
	6,000	648.45	03/22/11	352.98	...	295.47	Sale
	5,000	540.38	01/15/13	361.25	...	179.13	Sale
	1,000	108.07	03/27/13	81.15	...	26.92	Sale
03/31/16	12,000	1,296.90	Various	795.38	...	501.52	Total of 3 transactions
Security total:		1,619.27		971.87	...	647.40	
JONES LANG LASALLE INC / CUSIP: 48020Q107 / Symbol: JLL							
09/23/16	1,000	117.47	10/10/13	84.81	...	32.66	Sale
LAM RESEARCH CORP / CUSIP: 512807108 / Symbol: LRCX							
10/21/16	3,000	295.99	08/17/15	222.47	...	73.52	Sale
12/06/16	1,000	102.64	08/17/15	74.16	...	28.48	Sale
Security total:		398.63		296.63	...	102.00	
LORD ABBETT INVT TR TOTAL RETURN A / CUSIP: 543916845 / Symbol: LTRAX							
03/16/16	563,106	5,788.73	03/22/11	6,036.50	...	-247.77	Sale
04/21/16	25,250	262.85	03/22/11	270.68	...	-7.83	Sale
12/06/16	4,035,089	41,480.71	03/22/11	43,256.15	...	-1,775.44	Sale
12/20/16	95,151	969.59	03/22/11	1,020.02	...	-50.43	Sale
Security total:		48,501.88		50,583.35	...	-2,081.47	
MARSH & MCLENNAN COS INC / CUSIP: 571748102 / Symbol: MMC							
03/16/16	1,000	58.94	07/31/12	33.35	...	25.59	Sale
12/06/16	1,000	68.79	07/31/12	33.35	...	35.44	Sale
12/20/16	1,000	68.33	07/31/12	33.35	...	34.98	Sale
Security total:		196.06		100.05	...	96.01	

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Proceeds Not Reported to the IRS (continued)

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MASTERCARD INCORPORATED CL A / CUSIP: 57636Q104 / Symbol: MA							
2 transactions for 01/29/16							
	1,000	88.27	12/13/12	48.49	...	39.77	Sale
	2,000	176.53	12/13/12	96.98	...	79.55	Sale
01/29/16	3,000	264.80	Various	145.47	...	119.32	Total of 2 transactions
02/08/16	3,000	240.48	12/13/12	145.48	...	95.00	Sale
03/16/16	2,000	179.79	12/13/12	96.98	...	82.81	Sale
06/27/16	2,000	178.47	12/13/12	96.98	...	81.49	Sale
	Security total:	863.54		484.91	.	378.62	
MERCK & CO INC / CUSIP: 58933Y105 / Symbol: MRK							
02/05/16	2,000	98.71	05/12/14	110.54	...	-11.83	Sale
03/16/16	2,000	103.77	06/06/14	115.61	...	-11.84	Sale
2 transactions for 12/20/16							
	2,000	121.68	06/06/14	115.61	...	6.08	Sale
	8,000	486.73	06/24/14	464.98	...	21.75	Sale
12/20/16	10,000	608.41	Various	580.59	...	27.83	Total of 2 transactions
	Security total	810.89		806.74	...	4.16	
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP: 589509108 / Symbol: MERFX							
03/16/16	87,852	1,349.41	03/22/11	1,410.90	...	-81.49	Sale
7 transactions for 12/06/16							
	785,056	12,325.38	03/22/11	12,608.00	...	-282.62	Sale
	36,272	569.47	01/03/12	565.12	...	4.35	Sale
	5,257	82.53	01/02/13	82.91	...	-0.38	Sale
	5,797	91.01	12/31/13	92.70	...	-1.69	Sale
	18,418	289.16	01/06/14	294.50	...	-5.34	Sale
	14,380	225.77	01/02/15	225.04	...	0.73	Sale

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP: 589509108 / Symbol: MERFX (cont'd)							
	288,198	4,524.71	10/16/15	4,490.13	...	34.58	Sale
12/06/16	1,153,378	18,108.03	Various	18,358.40	...	-250.37	Total of 7 transactions
Security total:		19,457.44		19,769.30	...	-311.86	
METLIFE INC / CUSIP: 59156R108 / Symbol: MET							
03/16/16	2,000	87.39	06/14/12	58.24	...	29.15	Sale
09/23/16	2,000	89.05	09/23/14	109.72	...	-20.67	Sale
12/20/16	1,000	54.16	09/23/14	54.86	...	-0.70	Sale
Security total:		230.60		222.82	...	7.78	
MICROSOFT CORP / CUSIP: 594918104 / Symbol: MSFT							
03/07/16	6,000	303.77	04/02/14	247.62	...	56.15	Sale
03/16/16	2,000	108.51	04/02/14	82.54	...	25.97	Sale
04/28/16	6,000	301.25	07/24/14	266.70	...	34.55	Sale
09/23/16	4,000	229.91	07/21/15	186.96	...	42.95	Sale
12/06/16	1,000	59.94	12/02/15	55.12	...	4.82	Sale
12/20/16	4,000	253.53	12/02/15	220.46	...	33.07	Sale
Security total:		1,256.91		1,059.40	...	197.51	
MICROCHIP TECHNOLOGY INC / CUSIP: 595017104 / Symbol: MCHP							
03/16/16	4,000	192.03	06/09/14	190.56	...	1.47	Sale
09/23/16	3,000	182.99	06/09/14	142.92	...	40.07	Sale
12/20/16	3,000	195.92	06/09/14	142.92	...	53.00	Sale
Security total:		570.94		476.40	...	94.54	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MORGAN STANLEY COM NEW / CUSIP: 617446448 / Symbol: MS	8,000	232.51	08/26/14	276.32	...	-43.81	Sale
2 transactions for 01/08/16							
01/07/16	1,000	28.73	08/26/14	34.54	...	-5.81	Sale
01/08/16	1,000	28.72	09/16/14	35.09	...	-6.36	Sale
01/12/16	2,000	57.45	Various	69.63	...	-12.17	Total of 2 transactions
Security total:							
01/12/16	9,000	254.25	09/16/14	315.81	...	-61.56	Sale
Security total:							
01/12/16	544.21	544.21	...	661.76	...	-117.54	
PNC FINL SVCS GROUP INC / CUSIP: 693475105 / Symbol: PNC	2,000	169.67	02/01/13	126.34	...	43.33	Sale
03/16/16	2,000	178.99	02/01/13	126.34	...	53.65	Sale
09/23/16	1,000	117.76	02/01/13	63.17	...	54.59	Sale
Security total:							
01/12/16	467.42	467.42	...	315.85	...	151.57	
PPL CORP / CUSIP: 69351T106 / Symbol: PPL	4,000	154.01	02/13/15	127.56	...	26.46	Sale
05/04/16	10,000	385.03	03/11/15	292.76	...	92.27	Sale
2 transactions for 05/04/16							
05/04/16	14,000	539.04	Various	420.32	...	118.73	Total of 2 transactions
Security total:							
05/04/16	100.79	100.79	...	64.00	...	36.79	Sale
03/16/16	2,000	214.45	03/22/11	128.00	...	86.45	Sale
09/23/16	1,000	101.05	03/22/11	64.00	...	37.05	Sale
12/06/16	1,000	104.87	12/11/15	97.99	...	6.88	Sale
Security total:							
12/20/16	521.16	521.16	...	353.99	...	167.17	
PEPSICO INC / CUSIP: 713448108 / Symbol: PEP	1,000	100.79	03/22/11	64.00	...	36.79	Sale
03/16/16	2,000	214.45	03/22/11	128.00	...	86.45	Sale
09/23/16	1,000	101.05	03/22/11	64.00	...	37.05	Sale
12/06/16	1,000	104.87	12/11/15	97.99	...	6.88	Sale
Security total:							
12/20/16	521.16	521.16	...	353.99	...	167.17	

Oppenheimer & Co. Inc.

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Proceeds Not Reported to the IRS

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2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PFIZER INC / CUSIP: 717081103 / Symbol: PFE	10,000	291.09	05/09/12	222.21	...	68.88	Sale
03/16/16							
2 transactions for 09/23/16							
	2,000	68.57	08/10/15	70.80	...	-2.23	Sale
	3,000	102.86	08/12/15	105.63	...	-2.77	Sale
09/23/16	5,000	171.43	Various	176.43	...	-5.00	Total of 2 transactions
2 transactions for 11/01/16							
	2,000	62.05	07/09/15	67.72	...	-5.67	Sale
	9,000	279.27	08/12/15	316.89	...	-37.62	Sale
11/01/16	11,000	341.32	Various	384.61	...	-43.29	Total of 2 transactions
12/20/16	9,000	294.29	07/09/15	304.74	...	-10.45	Sale
Security total:							
		1,098.13		1,087.99	...	10.14	
PHILIP MORRIS INTL INC / CUSIP: 718172109 / Symbol: PM							
03/16/16	1,000	97.01	11/10/11	70.80	...	26.21	Sale
06/27/16	3,000	293.72	03/27/14	240.30	...	53.42	Sale
09/23/16	2,000	203.69	07/24/15	169.32	...	34.37	Sale
Security total:							
		594.42		480.42	...	114.00	
PHILLIPS 66 / CUSIP: 718546104 / Symbol: PSX							
03/16/16	3,000	263.00	12/30/14	220.02	...	42.98	Sale
09/23/16	3,000	237.50	12/30/14	220.02	...	17.48	Sale
12/06/16	1,000	84.97	12/30/14	73.34	...	11.63	Sale
12/20/16	1,000	87.01	12/30/14	73.34	...	13.67	Sale
Security total:							
		672.48		586.72	...	85.76	
PINNACLE WEST CAP CORP / CUSIP: 723484101 / Symbol: PNW							
12/06/16	1,000	74.39	09/22/15	61.99	...	12.40	Sale

Oppenheimer & Co. Inc.		Proceeds Not Reported to the IRS		Account A810750438
2016		(continued)		02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PLUM CREEK TIMBER CO INC REIT / CUSIP: 729251108 / Symbol: PCL							
2 transactions for 01/05/16							
	2,000	94.93	12/28/11	73.20	...	21.73	Sale
	1,000	47.47	06/21/13	45.39	...	2.08	Sale
01/05/16	3,000	142.40	Various	118.59	...	23.81	Total of 2 transactions
PUBLIC SVC ENTERPRISE GROUP / CUSIP: 744573106 / Symbol: PEG							
02/22/16	6,000	262.07	12/13/13	191.36	...	70.71	Sale
03/16/16	2,000	89.95	12/13/13	63.79	...	26.16	Sale
	Security total:	352.02		255.15	..	96.87	
QUALCOMM INC / CUSIP: 747525103 / Symbol: QCOM							
12/20/16	1,000	66.93	12/17/15	47.83	...	19.10	Sale
RAYTHEON CO COM NEW / CUSIP: 755111507 / Symbol: RTN							
12/20/16	1,000	143.29	10/20/15	112.57	...	30.72	Sale
ROYAL DUTCH SHELL PLC SPONS ADR A / CUSIP: 780259206 / Symbol: RDSA							
03/16/16	4,000	195.51	08/02/13	257.47	...	-61.96	Sale
09/23/16	3,000	144.11	03/27/14	217.24	...	-73.13	Sale
12/20/16	2,000	108.75	03/27/14	144.83	...	-36.08	Sale
	Security total:	448.37		619.54	...	-171.17	
RYMAN HOSPITALITY PPTYS INC REIT / CUSIP: 783771107 / Symbol: RHP							
03/16/16	3,000	151.37	01/29/13	121.96	...	29.41	Sale
09/23/16	2,000	102.27	05/23/13	81.92	...	20.34	Sale
12/06/16	2,000	123.13	05/23/13	81.92	...	41.21	Sale
	Security total:	376.77		285.80	..	90.96	

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SCHLUMBERGER LTD / CUSIP: 806857108 / Symbol: SLB							
03/16/16	3,000	219.35	03/13/15	240.79	...	-21.44	Sale
09/29/16	3,000	232.85	05/01/15	279.69	...	-46.84	Sale
12/06/16	2,000	168.39	04/15/15	183.32	...	-14.93	Sale
12/20/16	1,000	85.57	04/15/15	91.66	...	-6.09	Sale
Security total:		706.16		795.46	...	-89.30	
SCHWAB CHARLES CORP NEW / CUSIP: 808513105 / Symbol: SCHW							
2 transactions for 01/25/16							
	8,000	202.79	04/16/14	214.80	...	-12.01	Sale
	3,000	76.05	08/26/14	86.73	...	-10.68	Sale
01/25/16	11,000	278.84	Various	301.53	...	-22.69	Total of 2 transactions
02/09/16	11,000	257.72	08/26/14	318.01	...	-60.29	Sale
Security total:		536.56		619.54	...	-82.98	
STARBUCKS CORP / CUSIP: 855244109 / Symbol: SBUX							
12/06/16	1,000	57.36	08/27/15	55.22	...	2.14	Sale
SYNOPSYS INC / CUSIP: 871607107 / Symbol: SNPS							
09/01/16	5,000	295.76	04/04/14	189.91	...	105.85	Sale
12/06/16	1,000	58.03	04/04/14	37.98	...	20.05	Sale
12/20/16	1,000	60.37	04/04/14	37.98	...	22.39	Sale
Security total:		414.16		265.87	...	148.29	
T MOBILE US INC / CUSIP: 872590104 / Symbol: TMUS							
02/08/16	11,000	371.24	10/29/14	313.72	...	57.52	Sale
12/06/16	1,000	56.13	10/20/15	40.72	...	15.41	Sale
Security total:		427.37		354.44	...	72.93	

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
TAIWAN SEMICONDUCTOR MFG LTD SPONSORED ADR / CUSIP: 874039100 / Symbol: TSM							
03/16/16	14,000	359.09	01/21/14	247.86	...	111.23	Sale
03/17/16	50,000	1,289.52	01/21/14	885.21	...	404.31	Sale
09/23/16	10,000	304.49	01/21/14	177.04	...	127.45	Sale
12/06/16	3,000	88.49	01/21/14	53.11	...	35.38	Sale
12/13/16	6,000	181.48	01/21/14	106.23	...	75.25	Sale
12/20/16	5,000	147.39	01/21/14	88.52	...	58.87	Sale
	Security total:	2,370.46		1,557.97	...	812.49	
TARGET CORP / CUSIP: 87612E106 / Symbol: TGT							
03/16/16	3,000	246.32	06/21/11	142.57	...	103.75	Sale
09/23/16	2,000	137.55	06/21/11	95.05	...	42.50	Sale
12/20/16	2,000	155.70	06/21/11	95.05	...	60.65	Sale
	Security total:	539.57		332.67	...	206.90	
THORNBURG INTL VALUE FD-A OPEN END / CUSIP: 885215657 / Symbol: TGVAX							
03/16/16	153.871	3,526.72	03/22/11	4,402.25	...	-875.53	Sale
04/21/16	6.098	145.32	03/22/11	174.46	...	-29.14	Sale
12/20/16	92.273	2,130.58	03/22/11	2,639.93	...	-509.35	Sale
	Security total:	5,802.62		7,216.64	...	-1,414.02	
TOTAL S A SPONSORED ADR / CUSIP: 89151E109 / Symbol: TOT							
09/23/16	1,000	46.66	04/17/12	49.19	...	-2.53	Sale
TRAVELERS COMPANIES INC / CUSIP: 89417E109 / Symbol: TRV							
03/16/16	2,000	229.55	03/22/11	116.98	...	112.57	Sale
09/23/16	3,000	347.21	03/22/11	175.47	...	171.74	Sale
12/13/16	3,000	364.07	03/22/11	175.47	...	188.60	Sale
	Security total:	940.83		467.92	...	472.91	

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

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Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
UNITED PARCEL SERVICE INC CL B / CUSIP: 911312106 / Symbol: UPS							
01/21/16	2,000	176.43	03/22/11	144.28	...	32.15	Sale
01/25/16	3,000	269.69	03/22/11	216.42	...	53.27	Sale
03/16/16	1,000	101.86	03/22/11	72.14	...	29.72	Sale
09/23/16	1,000	109.31	08/12/15	102.69	...	6.62	Sale
12/06/16	1,000	116.40	08/12/15	102.69	...	13.71	Sale
12/20/16	1,000	117.20	08/12/15	102.69	...	14.51	Sale
Security total:				740.91		149.98	
UNITEDHEALTH GROUP INC / CUSIP: 91324P102 / Symbol: UNH							
03/16/16	2,000	250.43	11/25/14	195.80		54.63	Sale
12/20/16	1,000	161.99	12/01/14	99.30		62.69	Sale
Security total:				295.10		117.32	
UNIVERSAL HLTH SVCS INC CL B / CUSIP: 913903100 / Symbol: UHS							
03/01/16	1,000	113.95	07/02/12	42.88	...	71.07	Sale
09/23/16	1,000	122.98	07/02/12	42.88	...	80.10	Sale
12/06/16	1,000	126.12	10/22/15	109.12	...	17.00	Sale
Security total:				194.88		158.17	
VERIZON COMMUNICATIONS INC / CUSIP: 92343V104 / Symbol: VZ							
08/10/16	12,000	945.72	05/14/15	600.76	...	44.96	Sale
09/23/16	7,000	367.49	05/14/15	350.44	...	17.05	Sale
12/20/16	2,000	106.25	05/14/15	100.13	...	6.12	Sale
Security total:				1,051.33		68.13	
WELLS FARGO & CO NEW / CUSIP: 949746101 / Symbol: WFC							
2 transactions for 03/16/16							
	4,000	198.03	03/15/12	135.54		62.49	Sale

Oppenheimer & Co. Inc.

Account A810750438

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
WELLS FARGO & CO NEW / CUSIP: 949746101 / Symbol: WFC (cont'd)							
	1,000	49.51	09/20/12	34.96		14.55	Sale
03/16/16	5,000	247.54	Various	170.50	..	77.04	Total of 2 transactions
09/23/16	5,000	228.64	07/09/13	213.15	..	15.49	Sale
12/06/16	2,000	110.79	07/09/13	85.26	..	25.53	Sale
	2 transactions for 12/13/16						
	1,000	55.60	06/24/13	40.04	..	15.56	Sale
12/13/16	4,000	222.43	07/09/13	170.52	..	51.91	Sale
	5,000	278.03	Various	210.56	..	67.47	Total of 2 transactions
12/20/16	3,000	167.54	06/24/13	120.12	..	47.42	Sale
	Security total:		1,032.54	799.59	..	232.95	
WEYERHAEUSER CO REIT / CUSIP: 962166104 / Symbol: WY							
03/16/16	4,000	118.03	06/21/13	115.54	..	2.49	Sale
	2 transactions for 04/12/16						
	7,000	220.19	06/21/13	202.19	..	17.99	Sale
	1,000	31.45	10/31/13	30.20	..	1.25	Sale
04/12/16	8,000	251.64	Various	232.39	..	19.24	Total of 2 transactions
	Security total:		369.67	347.93	..	21.73	
XILINX INC / CUSIP: 983919101 / Symbol: XLNX							
03/16/16	2,000	94.45	11/20/14	88.41	..	6.04	Sale
09/23/16	4,000	213.47	11/20/14	176.82	..	36.65	Sale
12/20/16	2,000	119.23	11/20/14	88.41	..	30.82	Sale
	Security total:		427.15	353.64	..	73.51	

Oppenheimer & Co. Inc.	Account A810750438
2016	02/28/2017

Proceeds Not Reported to the IRS (continued)

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALLERGAN PLC / CUSIP: G0177J108 / Symbol: AGN						
03/16/16	1,000	274.91	274.40	...	0.51	Sale
10/17/16	1,000	223.96	307.93	...	-83.97	Sale
2 transactions for 11/01/16						
	1,000	210.12	274.40	...	-64.28	Sale
	1,000	210.12	306.63	...	-96.51	Sale
11/01/16	2,000	420.24	581.03	...	-160.79	Total of 2 transactions
Security total:						
		919.11	1,163.36	...	-244.25	
INVESCO LTD / CUSIP: G491BT108 / Symbol: INZ						
12/20/16	1,000	31.76	31.80	...	-0.04	Sale
MEDTRONIC PLC / CUSIP: G5960L103 / Symbol MDT						
03/16/16	1,000	76.82	73.71		3.11	Sale
11/23/16	3,000	227.81	221.13		6.68	Sale
12/15/16	4,000	293.15	294.85	...	-1.70	Sale
Security total:						
		597.78	589.69	...	8.09	
ROYAL CARIBBEAN CRUISES LTD / CUSIP: V7780T103 / Symbol: RCL						
05/05/16	3,000	226.84	240.36	...	-13.52	Sale
Totals:		193,741.06	203,616.84	...	-9,875.79	

Oppenheimer & Co. Inc.

Account A810750438

Detail for Dividends and Distributions

2016

02/28/2017

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. Any taxes withheld will also be reported to you separately on Form 1099-DIV. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a transaction characterized as a "Qualified dividend" is only issuer-qualified. We include, where available, the ex date of the distribution to assist with your determination of whether the taxpayer holding period requirement has been satisfied.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
THE ADT CORPORATION	00101J106	ADT	02/17/16	7.26	Qualified dividend	
AMG MANAGERS MONTAG & CALDWELL GROWTH FD CL N	00171A597	MCGFX	12/28/16	6,018.07	Long-term capital gain	
			12/28/16	125.60	Qualified dividend	03
AT&T INC	00206R102	T		6,143.67	Total Dividends & distributions	
			02/01/16	39.84	Qualified dividend	
			05/02/16	60.00	Qualified dividend	
			08/01/16	61.92	Qualified dividend	
			11/01/16	51.36	Qualified dividend	
				213.12	Total Dividends & distributions	
ABBVIE INC	00287Y109	ABBV	02/16/16	31.35	Qualified dividend	
			05/16/16	29.07	Qualified dividend	
			08/15/16	31.35	Qualified dividend	
			11/15/16	34.20	Qualified dividend	
				125.97	Total Dividends & distributions	
ALTRIA GROUP INC	02209S103	MO	01/11/16	25.99	Qualified dividend	
			04/11/16	30.51	Qualified dividend	
			07/11/16	28.82	Qualified dividend	
			10/11/16	35.99	Qualified dividend	
				121.31	Total Dividends & distributions	
AMERICAN EXPRESS CO	025816109	AXP	02/10/16	2.03	Qualified dividend	
AMERICAN FINL GROUP INC OHIO	025932104	AFG	01/25/16	3.08	Qualified dividend	
			04/25/16	2.80	Qualified dividend	
			07/25/16	2.80	Qualified dividend	
			10/25/16	2.81	Qualified dividend	
			12/07/16	6.00	Qualified dividend	
				17.49	Total Dividends & distributions	

Oppenheimer & Co. Inc.

Account A810757235

Proceeds Not Reported to the IRS

2016

02/17/2017

Sales transactions are organized into sections according to term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and Wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "12- [X] Collectible," are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net of the amount received when the option was written and the cost to close the position.

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N) net	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
AMG GW&K MUNICIPAL BOND FD CL N / CUSIP: 00170K307 / Symbol: GWMTX							
03/16/16	252.015	2,968.74	02/01/16	2,991.42	...	-22.68	Sale
	11 transactions for 12/06/16						
	6,066.435	69,036.03	02/01/16	72,008.58	...	-2,972.55	Sale
	4.301	48.95	02/25/16	51.18	...	-2.23	Sale
	4.733	53.86	03/29/16	55.85	...	-1.99	Sale
	4.339	49.38	04/27/16	51.64	...	-2.26	Sale
	5.007	55.98	05/26/16	59.58	...	-2.60	Sale
	4.778	54.37	06/28/16	57.81	...	-3.44	Sale
	6.328	72.01	07/27/16	76.12	...	-4.11	Sale
	4.246	48.32	08/29/16	51.21	...	-2.89	Sale
	4.571	52.02	09/28/16	54.90	...	-2.88	Sale
	6.726	76.54	10/27/16	79.97	...	-3.43	Sale
	6.186	70.40	11/28/16	70.89	...	-0.49	Sale
12/06/16	6,117.650	69,613.86	Various	72,617.73	...	-2,998.87	Total of 11 transactions
	Security total:	72,587.60		75,609.15	...	-3,021.55	

Oppenheimer & Co. Inc.

Account A810757235

Proceeds Not Reported to the IRS

(continued)

2016

02/17/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BARON PARTNERS FD OPEN END / CUSIP: 06828M108 / Symbol: BPTRX							
03/16/16	51.585	1,711.09	02/01/16	1,576.44		134.65	Sale
CULLEN HIGH DIVIDEND EQUITY FD OPEN END / CUSIP: 230001208 / Symbol: CHDEX							
03/16/16	262.619	4,351.80	02/01/16	4,188.77		162.83	Sale
12/06/16	267.084	4,657.95	02/01/16	4,259.99		397.96	Sale
Security total:		9,009.55		8,448.76		560.79	
DIAMOND HILL SMALL CAP FD I OPEN END / CUSIP: 25264S858 / Symbol: DHSIX							
03/16/16	59.937	1,859.86	02/01/16	1,781.25		78.61	Sale
12/06/16	147.122	5,265.49	02/01/16	4,372.27		893.22	Sale
Security total:		7,125.35		6,153.52		971.83	
DRIEHAUS EMERGING MKTS GROWTH FD / CUSIP: 262028301 / Symbol: DREGX							
03/16/16	38.770	1,022.75	02/01/16	987.86		34.89	Sale
HARBOR CAPITAL APPRECIATION FUND INVESTOR CLASS / CUSIP: 411511819 / Symbol: HCAIX							
03/16/16	40.060	2,193.27	02/01/16	2,181.27		12.00	Sale
12/06/16	1.610	93.95	02/01/16	87.66		6.29	Sale
Security total:		2,287.22		2,268.93		18.29	
HARDING LOEVNER INTL EQUITY FD INVESTOR CL / CUSIP: 412295503 / Symbol: HLMNX							
03/16/16	85.164	1,440.97	02/01/16	1,382.21		58.76	Sale
LORD ABBETT INVT TR TOTAL RETURN A / CUSIP: 543916845 / Symbol: LTRAX							
03/16/16	293.976	3,022.07	02/01/16	2,992.68		29.39	Sale
12/06/16	3,743.242	38,480.53	02/01/16	38,106.20		374.33	Sale
Security total:		41,502.60		41,098.88		403.72	

Oppenheimer & Co. Inc.

Account A810757235

2016

(continued)

02/17/2017

Proceeds Not Reported to the IRS

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MFS INTL NEW DISCOVERY CL A OPEN END / CUSIP: 552981888 / Symbol: MIDAX 03/16/16	52.368	1,429.65	02/01/16	1,378.33		51.32	Sale
Totals:		138,116.78		138,904.08		-787.30	