

EXTENDED TO NOVEMBER 15, 2017

Return of Private Foundation

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

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

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

Form 990-PF

Department of the Treasury Internal Revenue Service

OMB No 1545-0052

2016

Open to Public Inspection

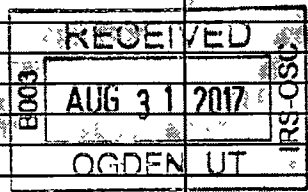
For calendar year 2016 or tax year beginning

, and ending

Name of foundation: WEST FOUNDATION
Employer identification number: 23-7332105
Address: 15950 N. DALLAS PARKWAY, SUITE 600, DALLAS, TX 75248
Telephone number: 972-661-1843
Check all that apply: Initial return, Final return, Address change, etc.
Check type of organization: Section 501(c)(3) exempt private foundation
Fair market value of all assets at end of year: \$24,795,188
Accounting method: Cash

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12) and Operating and Administrative Expenses (13-27).

SCANNED AUG 31 2017



| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only | | |
|--|--|---|----------------|-----------------------|
| | | Beginning of year | End of year | |
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 4,402,182. | 1,305,096. | 1,305,096. |
| | 2 Savings and temporary cash investments | | | |
| | 3 Accounts receivable | | | |
| | Less: allowance for doubtful accounts | | | |
| | 4 Pledges receivable | | | |
| | Less: allowance for doubtful accounts | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable | | | |
| | Less: allowance for doubtful accounts | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock | STMT 8 13,939,403. | 13,652,148. | 14,505,160. |
| | c Investments - corporate bonds | STMT 9 4,521,469. | 6,760,763. | 6,731,541. |
| | 11 Investments - land, buildings, and equipment basis | | | |
| Less: accumulated depreciation | | | | |
| 12 Investments - mortgage loans | | | | |
| 13 Investments - other | STMT 10 1,685,877. | 1,972,152. | 1,937,901. | |
| 14 Land, buildings, and equipment basis | 226,424. | | | |
| Less: accumulated depreciation | STMT 11 59,287. | 168,530. | 167,137. | |
| 15 Other assets (describe) | STATEMENT 12 2,500. | 2,500. | 17,030. | |
| 16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I) | | 24,719,961. | 23,859,796. | 24,795,188. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe) | | | |
| 23 Total liabilities (add lines 17 through 22) | | 0. | 0. | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. | <input type="checkbox"/> | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. | <input checked="" type="checkbox"/> | | |
| | 27 Capital stock, trust principal, or current funds | | 5,349,080. | 5,349,080. |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | | 0. | 0. |
| 29 Retained earnings, accumulated income, endowment, or other funds | | 19,370,881. | 18,510,716. | |
| 30 Total net assets or fund balances | | 24,719,961. | 23,859,796. | |
| 31 Total liabilities and net assets/fund balances | | 24,719,961. | 23,859,796. | |

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 | 24,719,961. |
| 2 Enter amount from Part I, line 27a | 2 | -1,214,532. |
| 3 Other increases not included in line 2 (itemize) SEE STATEMENT 7 | 3 | 354,367. |
| 4 Add lines 1, 2, and 3 | 4 | 23,859,796. |
| 5 Decreases not included in line 2 (itemize) | 5 | 0. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 23,859,796. |

Part IV Capital Gains and Losses for Tax on Investment Income SEE ATTACHED STATEMENTS

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|--|--|---|
| 1a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) | |
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 14,580,298. | 14,251,448. | 328,850. | |
| 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 | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | 328,850. | |
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | | 2 | 328,850. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 | | | 3 | N/A |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---------------------------------------|---|--|
| 2015 | 2,355,908. | 26,807,479. | .087882 |
| 2014 | 770,861. | 22,010,215. | .035023 |
| 2013 | 880,936. | 17,372,633. | .050708 |
| 2012 | 830,169. | 17,531,759. | .047352 |
| 2011 | 809,823. | 16,984,204. | .047681 |
| 2 Total of line 1, column (d) | | | 2 .268646 |
| 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 .053729 |
| 4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 | | | 4 24,836,776. |
| 5 Multiply line 4 by line 3 | | | 5 1,334,455. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | | | 6 7,427. |
| 7 Add lines 5 and 6 | | | 7 1,341,882. |
| 8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions. | | | 8 3,139,978. |

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

Table with 11 rows for excise tax calculation. Includes sub-tables for credits (6a-6d) and overpayment (10). Total amount owed is 10,000.00.

Part VII-A Statements Regarding Activities

Table with 10 rows of activity statements (1a-10) and Yes/No columns. Includes questions about political influence, unrelated business income, and state registration.

Part VII-A Statements Regarding Activities (continued)

| | Yes | No |
|--|-----|----|
| 11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | | X |
| 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | | X |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>N/A</u> | X | |
| 14 The books are in care of ▶ <u>ARMANINO, LLP</u> Telephone no. ▶ <u>972-661-1843</u> Located at ▶ <u>15950 N. DALLAS PARKWAY, SUITE 600, DALLAS, TX</u> ZIP+4 ▶ <u>75248</u> | | |
| 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ▶ <u>15</u> <u>N/A</u> | | |
| 16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶ | | X |

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

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

| | Yes | No |
|--|-----|----|
| 1a During the year did the foundation (either directly or indirectly): | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 ▶ <input type="checkbox"/> | 1b | X |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016? | 1c | X |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | |
| a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ _____, _____, _____ | | |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) <u>N/A</u> | 2b | |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ _____, _____, _____ | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) <u>N/A</u> | 3b | |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? | 4b | X |

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No
 Organizations relying on a current notice regarding disaster assistance check here

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

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
 If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---------------------------------------|
| KIM W. DINSDALE 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248 | TRUSTEE/PRESIDENT 1.15 | 40,000. | 0. | 0. |
| STUART B. WEST 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248 | TRUSTEE/VP 1.15 | 40,000. | 0. | 0. |
| ANDREW L. WEST 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248 | TRUSTEE/VP 1.15 | 40,000. | 0. | 0. |

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

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

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

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

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

| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
|---|---------------------|------------------|
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| | | 0 |

Total number of others receiving over \$50,000 for professional services ▶ 0

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|--------|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions. | |
| 3 | 0. |

Total. Add lines 1 through 3 ▶ 0.

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

| | | | |
|---|---|----|-------------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 22,978,449. |
| b | Average of monthly cash balances | 1b | 1,920,688. |
| c | Fair market value of all other assets | 1c | 315,864. |
| d | Total (add lines 1a, b, and c) | 1d | 25,215,001. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e | 0. |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 25,215,001. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 378,225. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 24,836,776. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 1,241,839. |

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here and do not complete this part.)

| | | | |
|----|---|----|------------|
| 1 | Minimum investment return from Part X, line 6 | 1 | 1,241,839. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 | 2a | 7,427. |
| b | Income tax for 2016. (This does not include the tax from Part VI.) | 2b | 120,933. |
| c | Add lines 2a and 2b | 2c | 128,360. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 1,113,479. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 1,113,479. |
| 6 | Deduction from distributable amount (see instructions) | 6 | 0. |
| 7 | Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7 | 1,113,479. |

Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|----|------------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 3,139,978. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 3,139,978. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 7,427. |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 3,132,551. |

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

Part XIII Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2015 | (c) 2015 | (d) 2016 |
|---|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2016 from Part XI, line 7 | | | | 1,113,479. |
| 2 Undistributed income, if any, as of the end of 2016 | | | | |
| a Enter amount for 2015 only | | | 0. | |
| b Total for prior years: | | 0. | | |
| 3 Excess distributions carryover, if any, to 2016: | | | | |
| a From 2011 | | | | |
| b From 2012 | | | | |
| c From 2013 | | | | |
| d From 2014 | | | | |
| e From 2015 | 654,124. | | | |
| f Total of lines 3a through e | 654,124. | | | |
| 4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$ 3,139,978. | | | | |
| a Applied to 2015, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2016 distributable amount | | | | 1,113,479. |
| e Remaining amount distributed out of corpus | 2,026,499. | | | |
| 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: | 2,680,623. | | | |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2011 not applied on line 5 or line 7 | 0. | | | |
| 9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a | 2,680,623. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2012 | | | | |
| b Excess from 2013 | | | | |
| c Excess from 2014 | | | | |
| d Excess from 2015 | 654,124. | | | |
| e Excess from 2016 | 2,026,499. | | | |

WEST FOUNDATION

Part IV Capital Gains and Losses for Tax on Investment Income

| (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|--|--|--------------------------------------|----------------------------------|
| 1a UBS DALLAS (NON-PTP'S - SEE ATTACHMENT A-1) | P | VARIOUS | 12/31/16 |
| b UBS FORTH WORTH (NON-PTP'S - SEE ATTACHMENT A-2) | P | VARIOUS | 12/31/16 |
| c UBS DALLAS 0894 (PTP'S - SEE ATTACHMENT A-3) | P | VARIOUS | 12/31/16 |
| d UBS DALLAS 0894 (PTP'S - SEE ATTACHMENT A-3) | P | VARIOUS | 12/31/16 |
| e 1,485 SHS OF BUCKEYE PARTNERS LP - NET CAPITAL GA | P | VARIOUS | 05/19/16 |
| f 4,855 SHS OF CONE MIDSTREAM PARTNERS LP - NET CAP | P | VARIOUS | 05/19/16 |
| g 5,875 SHS OF ENERGY TRANSFER EQUITY LP - NET CAP | P | VARIOUS | 05/19/16 |
| h 6,325 SHS OF ENTERPRISE PRODUCTS PARTNERS LP - N | P | VARIOUS | 12/31/16 |
| i 2,600 SHS OF HOLLY ENERGY PARTNERS LP - NET CAPIT | P | VARIOUS | 01/21/16 |
| j 16,145 SHS OF KKR & CO LP - NET CAPITAL GAIN ADJ | P | VARIOUS | 07/26/16 |
| k 3,595 SHS OF MAGELLAN MIDSTREAM PARTNERS LP - NET | P | VARIOUS | 12/31/16 |
| l 1,525 SHS OF MPLX LP - NET CAPITAL GAIN ADJUSTME | P | VARIOUS | 05/19/16 |
| m 1,417 SHS OF MPLX LP - NET CAPITAL GAIN ADJUSTME | P | VARIOUS | 05/19/16 |
| n 3,000 SHS OF NUSTAR GP HOLDINGS LLC - NET CAPITA | P | VARIOUS | 01/21/16 |
| o 1,700 SHS OF ONEOK PARTNERS LP - NET CAPITAL GAIN | P | VARIOUS | 01/21/16 |

| (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 2,706,241. | | 2,763,475. | -57,234. |
| b 10,152,646. | | 10,322,611. | -169,965. |
| c 457,787. | | 324,978. | 132,809. |
| d 1,096,026. | | 807,286. | 288,740. |
| e 11,240. | | | 11,240. |
| f | | 522. | -522. |
| g 2,900. | | | 2,900. |
| h 23,340. | | | 23,340. |
| i | | 616. | -616. |
| j | | 5,376. | -5,376. |
| k | | 24,023. | -24,023. |
| l 477. | | | 477. |
| m 11,342. | | | 11,342. |
| n 12,574. | | | 12,574. |
| o | | 1,272. | -1,272. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | -57,234. |
| b | | | -169,965. |
| c | | | 132,809. |
| d | | | 288,740. |
| e | | | 11,240. |
| f | | | -522. |
| g | | | 2,900. |
| h | | | 23,340. |
| i | | | -616. |
| j | | | -5,376. |
| k | | | -24,023. |
| l | | | 477. |
| m | | | 11,342. |
| n | | | 12,574. |
| o | | | -1,272. |

| | |
|---|---|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 } | 2 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 |

WEST FOUNDATION

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.) |
|---|--|--------------------------------------|----------------------------------|
| a 2,935 SHS OF PLAINS ALL AMERICAN PIPELINE LP - N | P | VARIOUS | 12/31/16 |
| b 5,265 SHS OF SUNOCO LOGISTICS PARTNERS LP - NET | P | VARIOUS | 12/31/16 |
| c 2,500 SHS OF TC PIPELINES LP - NET CAPITAL GAIN A | P | VARIOUS | 12/31/16 |
| d 1,405 SHS OF TESORO LOGISTICS LP - NET CAPITAL G | P | VARIOUS | 05/19/16 |
| e 1,600 SHS OF TRANSMONTAIGNE PARTNERS LP - NET CA | P | VARIOUS | 05/19/16 |
| f 1,475 SHS OF WESTERN GAS PARTNERS LP - NET CAPITA | P | VARIOUS | 05/19/16 |
| g 2,022 SHS OF WILLIAMS PARTNERS LP - NET CAPITAL | P | VARIOUS | 01/21/16 |
| h CAPITAL GAINS FROM PARTNERSHIP K-1'S (SEE ATTACHM | P | VARIOUS | 12/31/16 |
| i CAPITAL GAINS FROM PARTNERSHIP K-1'S (SEE ATTACHM | P | VARIOUS | 12/31/16 |
| j CAPITAL GAINS DIVIDENDS | | | |
| k | | | |
| l | | | |
| m | | | |
| n | | | |
| o | | | |

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a 17,712. | | | 17,712. |
| b 27,931. | | | 27,931. |
| c | | 1,249. | -1,249. |
| d 463. | | | 463. |
| e 266. | | | 266. |
| f 1,936. | | | 1,936. |
| g 12,871. | | | 12,871. |
| h 8,240. | | | 8,240. |
| i | | 40. | -40. |
| j 36,306. | | | 36,306. |
| k | | | |
| l | | | |
| m | | | |
| n | | | |
| o | | | |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|--------------------------------------|---|---|
| (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 | | | 17,712. |
| b | | | 27,931. |
| c | | | -1,249. |
| d | | | 463. |
| e | | | 266. |
| f | | | 1,936. |
| g | | | 12,871. |
| h | | | 8,240. |
| i | | | -40. |
| j | | | 36,306. |
| k | | | |
| l | | | |
| m | | | |
| n | | | |
| o | | | |

| | | |
|---|---|----------|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 } | 2 | 328,850. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2016

Name of the organization

Employer identification number

WEST FOUNDATION

23-7332105

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

501(c)() (enter number) organization

4947(a)(1) nonexempt charitable trust not treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

| | |
|--|---|
| Name of organization WEST FOUNDATION | Employer identification number 23-7332105 |
|--|---|

Part I Contributors (See instructions) Use duplicate copies of Part I if additional space is needed.

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|------------|--|----------------------------|---|
| 1 | JACKSON W. DINSDALE TRUST 1919 LAMAR AVENUE GRAND ISLAND , NE 68803 | \$ 1,303,134. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |
| | | \$ _____ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.) |

Name of organization

Employer identification number

WEST FOUNDATION

23-7332105

Part II Noncash Property (See instructions) Use duplicate copies of Part II if additional space is needed

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|------------------------------|--|--|----------------------|
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |
| | _____ _____ _____ | \$ _____ | _____ |

| | |
|--|---|
| Name of organization WEST FOUNDATION | Employer identification number 23-7332105 |
|--|---|

Part III Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this info once) ▶ \$ _____
Use duplicate copies of Part III if additional space is needed

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---------------------|--|-------------------------------------|
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |
| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
| | | | |
| (e) Transfer of gift | | | |
| Transferee's name, address, and ZIP + 4 | | Relationship of transferor to transferee | |
| | | | |

| FORM 990-PF | DIVIDENDS AND INTEREST FROM SECURITIES | | | STATEMENT 1 | |
|--|--|-------------------------|-----------------------|---------------------------|-------------------------|
| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME |
| DIVIDEND FROM PARTNERSHIP K-1'S (SEE ATTACHMENT B) | 2,312. | 0. | 2,312. | 2,312. | |
| INTEREST FROM PARTNERSHIP K-1'S (SEE ATTACHMENT B) | 1,907. | 0. | 1,907. | 1,907. | |
| UBS DIVIDEND | 589,844. | 36,306. | 553,538. | 553,538. | |
| UBS INTEREST | 115,546. | 0. | 115,546. | 115,546. | |
| UBS OID | 45. | 0. | 45. | 45. | |
| TO PART I, LINE 4 | 709,654. | 36,306. | 673,348. | 673,348. | |

| FORM 990-PF | OTHER INCOME | | | STATEMENT 2 | |
|--|-----------------------|---------------------------|-------------------------|-------------|--|
| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVESTMENT INCOME | (C) ADJUSTED NET INCOME | | |
| ROYALTY INCOME FROM OIL & GAS ROYALTY FROM PASSTHROUGH ENTITIES (SEE ATTACHMENT B) | 13,643. | 13,643. | | | |
| ORDINARY INCOME (UBTI) FROM PASSTHROUGH ENTITIES (SEE ATTACHMENT B) | 92. | 92. | | | |
| OTHER RENTAL INCOME FROM PASSTHROUGH ENTITIES (SEE ATTACHMENT B) | -10,547. | 0. | | | |
| OTHER INCOME FROM PASSTHROUGH ENTITIES (SEE ATTACHMENT B) | 33. | 33. | | | |
| NET SECTION 1231 GAIN (LOSS) FROM PARTNERSHIP K-1'S (SEE ATTACHMENT B) | 562. | 562. | | | |
| OTHER INCOME | 535. | 535. | | | |
| | 6,202. | 6,202. | | | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 10,520. | 21,067. | | | |

West Foundation
 EIN: 23-7352105
 Income and Deductions per 2016 Schedule K-1
 Report for 2016 Form 990-PF
 Attachment B

| Partnership Investments Schedule K-1 | Line 1 Ordinary Business Inc (Loss) | Line 2 Net Rental Real Estate Income | Line 3 Other Net Rental Income | Line 3 Interest Income | Line 6 Ordinary Dividends | Line 7 Royalties | Line 8 Net STCG (L) | Line 9a Net LTCG(L) | Line 10 Net Sec 1231 Gain/(Loss) | Line 11 Other Income(1) | Line 13 Charitable Cont. | Line 13i Deductions Royalty Income | Line 13 Other Deductions Mgmt Fees Inv Int Exp | Line 13c Non- Deductible Expenses | Line 16 L/M Foreign Taxes Paid/Accrued | Line 2071 Depreciation |
|--|--|---|---|------------------------------|---------------------------------|---------------------|---------------------------|---------------------------|---|-------------------------------|--------------------------------|---|--|--|---|---------------------------|
| Backway Partners LP | 1,629 | | | | | | | | | | | | | | | |
| Com Mod Partners LP (new in 2016) | (813) | 2 | | 47 | 53 | 1 | | | 6 | | | | | | | |
| Energy Transfer Equity LP (new in 2016) | (1,083) | 8 | 1 | 15 | 81 | | | | (2) | | | | | | | |
| Energy Transfer Partners LP (new in 2016) | 242 | | | 89 | 8 | | | | (44) | | | | | | | |
| Perm'er Midstream Partners LP (new in 2016) | (142) | 13 | | 12 | | | | | | 67 | | | | | | |
| Sunoco LP (new in 2016) | 1,507 | | | | | | | | | | | | | | | |
| Enterprise Products Partners LP (entity type Individual) (EPD) | (97) | 22 | 4 | 1,071 | 1,139 | 10 | (42) | 8,456 | 75 | 324 | | 10 | 538 | 114 | 14 | 228 |
| OCF Co LP (new in 2016) | 26 | (50) | 15 | 453 | 546 | 81 | (2) | (494) | 47 | 171 | | 13 | 892 | | | 190 |
| KCC Energy Services LP (new in 2016) | 45 | | | 6 | 2 | | | 206 | | | | | | | | |
| Magnolia Midstream Partners LP | 2,151 | | | 40 | 96 | | | | 7 | | | | | | | |
| MPLX LP (Rt. Midwest Energy Partners LP) | (1,676) | | | 12 | | | | | | | | | | | | |
| Nustar GP Holdings LLC | 114 | | | | | | | | | | | | | | | |
| Oweok Partners LP | 193 | | | | | | | 8 | | | | | | | | |
| Plains All American Pipelines LP | (6,158) | | | 40 | | | | | (4) | | | | | | | |
| Sunoco Logistics Partners LP | 474 | | | 71 | 379 | | | | 453 | | | | | | | |
| TC Pipelines LP | (3,088) | | | 2 | | | | | | | | | | | | |
| Teneco Logistics LP (new in 2016) | (2,389) | | | 4 | | | | | | | | | | | | |
| Transocean Partners LP (new in 2016) | 2,250 | | | 59 | | | | | (1) | | | | | | | |
| Williams Partners LP | (1,118) | (2) | | | | | | 17 | | | | | | | | |
| Total | (10,547) | 13 | 20 | 1,907 | 2,312 | 92 | (40) | 8,240 | 535 | 562 | 8 | 23 | 1,584 | 114 | 153 | 428 |

| FORM 990-PF | ACCOUNTING FEES | | | STATEMENT 3 |
|------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| ACCOUNTING FEES | 17,108. | 6,843. | | 8,554. |
| ACCOUNTING FEES RELATED TO UBTI | 22,247. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 39,355. | 6,843. | | 8,554. |

| FORM 990-PF | OTHER PROFESSIONAL FEES | | | STATEMENT 4 |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| UBS INVESTMENT MANAGEMENT FEES | 203,256. | 203,256. | | 0. |
| UBS INVESTMENT MANAGEMENT FEES RELATED TO UBTI | 4,933. | 0. | | 0. |
| UBS MISC. INVESTMENT FEES | 1,739. | 1,739. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 209,928. | 204,995. | | 0. |

| FORM 990-PF | TAXES | | | STATEMENT 5 |
|---|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
| UBS INVESTMENT FOREIGN TAXES | 8,021. | 8,021. | | 0. |
| FOREIGN TAXES FROM PARTNERSHIP K-1'S (SEE ATTACHMENT B) | 151. | 151. | | 0. |
| PAYROLL TAX EXPENSE | 1,221. | 611. | | 610. |
| EXCISE TAX | 0. | 0. | | 0. |
| UBTI INCOME TAX | 51,107. | 0. | | 0. |
| AD VALOREM TAXES | 2,873. | 0. | | 0. |
| OKLAHOMA INCOME TAX | 298. | 0. | | 0. |
| OIL & GAS SEVERANCE TAXES | 122. | 122. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 63,793. | 8,905. | | 610. |

| FORM 990-PF | OTHER EXPENSES | | STATEMENT 6 |
|---|------------------------------|-----------------------------------|-------------------------------|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
| OTHER DEDUCTIONS - OIL & GAS | 34. | 34. | 0. |
| OTHER DEDUCTIONS FROM PARTNERSHIP K-1'S - SEE ATTACHMENT B | 2,149. | 860. | 0. |
| CHARITABLE DONATION FROM PARTNERSHIP K-1'S - SEE ATTACHMENT B | 8. | 0. | 8. |
| UTILITIES - WICHITA COUNTY FARM | 1,021. | 1,021. | 0. |
| REPAIRS & MAINTENANCE | 1,800. | 900. | 900. |
| INSURANCE | 3,658. | 1,829. | 1,829. |
| POSTAGE | 34. | 17. | 17. |
| DUES & SUBSCRIPTIONS | 750. | 375. | 375. |
| REGISTRATION FEES | 3,280. | 1,640. | 1,640. |
| MEALS | 1,062. | 531. | 531. |
| TO FORM 990-PF, PG 1, LN 23 | 13,796. | 7,207. | 5,300. |

| FORM 990-PF | OTHER INCREASES IN NET ASSETS OR FUND BALANCES | STATEMENT 7 |
|---|--|-------------|
| DESCRIPTION | | AMOUNT |
| NON-DEDUCTIBLE PARTNERSHIP EXPENSES | | 88. |
| BOOK/TAX DIFFERENCE IN INCOME/LOSS FROM PTP'S | | 354,279. |
| TOTAL TO FORM 990-PF, PART III, LINE 3 | | 354,367. |

| FORM 990-PF | CORPORATE STOCK | | STATEMENT 8 |
|---|-----------------|----------------------|-------------|
| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE | |
| UBS INVESTMENT - CORPORATE STOCKS (SEE ATTACHMENT C) | 13,652,148. | 14,505,160. | |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 13,652,148. | 14,505,160. | |

| FORM 990-PF | CORPORATE BONDS | STATEMENT 9 |
|--|-----------------|-------------------|
| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
| UBS INVESTMENT - FIXED INCOME (SEE ATTACHMENT C) | 6,760,763. | 6,731,541. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 6,760,763. | 6,731,541. |

| FORM 990-PF | OTHER INVESTMENTS | STATEMENT 10 | |
|---|-------------------|--------------|-------------------|
| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
| UBS INVESTMENT - BROAD COMMODITIES AND OTHER MUTUAL FUNDS(SEE ATTACHMENT C) | COST | 1,972,152. | 1,937,901. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 1,972,152. | 1,937,901. |

| FORM 990-PF | DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT | STATEMENT 11 | |
|------------------------------------|--|--------------------------|------------|
| DESCRIPTION | COST OR OTHER BASIS | ACCUMULATED DEPRECIATION | BOOK VALUE |
| LAND | 158,126. | 0. | 158,126. |
| OTHER | 68,298. | 59,287. | 9,011. |
| TOTAL TO FM 990-PF, PART II, LN 14 | 226,424. | 59,287. | 167,137. |

| FORM 990-PF | OTHER ASSETS | STATEMENT 12 | |
|----------------------------------|----------------------------|------------------------|-------------------|
| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
| QUITCLAIM DEED | 2,500. | 2,500. | 2,500. |
| OKLAHOMA ROYALTY INTERESTS | 58,320. | 58,320. | 14,530. |
| ACCUMULATED DEPLETION | -58,320. | -58,320. | 0. |
| TO FORM 990-PF, PART II, LINE 15 | 2,500. | 2,500. | 17,030. |

West Foundation (EIN: 23-7332105)
Gifts and Contributions Paid during 2016

Form 990PF - Part XV Attachment D

| Organization | Recipient Status | Purpose of Grant | Amount |
|--|-------------------------|---|-------------------------|
| Amarillo Area Foundation 801 South Fillmore St. Amarillo, TX 79101 | 501 (c) (3) | Endowments/Scholarships | 75,000 |
| Hastings College 901 Turner Ave. Hastings, Nebraska | 501 (c) (3) | Endowments/Scholarships | 2,375,000 |
| Midwestern State University 3410 Taft Blvd. Wichita Falls, TX 76308 | 501 (c) (3) | Endowments/Scholarships | 152,956 |
| Wichita Falls Community Foundation P. O. Box 97533 Wichita Falls, TX 76307 | 501 (c) (3) | Endowments/Scholarships | 75,000 |
| Wichita Falls ISD P O Box 97533 Wichita Falls, TX 76307 | 501 (c) (3) | Endowments/Scholarships | 373,000 |
| Grants Paid to Institutions | | Subtotal | 3,050,956 |
| | | Total Gifts & Contributions Paid | <u>3,050,956</u> |

West Foundation (EIN: 23-7332105)
 2016 Form 990-PF
 Part II - Line 10b, 10c and 13
 Attachment C

| | <u>VAL METHOD</u> | <u>BOOK</u> | <u>FMV</u> | |
|---|-------------------|-------------------|-------------------|-------------|
| UBS Acct# 3A07806BR | COST | 1,489,865 | 1,590,349 | |
| UBS Acct# 3A06635BR | COST | 801,541 | 796,566 | |
| UBS Acct# 3A01042BR | COST | 941,331 | 1,146,525 | |
| UBS Acct# 3A04728BR | COST | 790,744 | 975,295 | |
| UBS Acct# 3A04730BR | COST | 76,338 | 88,459 | |
| UBS Acct# FW06360SF | COST | 4,212,493 | 4,373,217 | |
| UBS Acct# FW14937SF | COST | 513,137 | 561,935 | |
| UBS Acct# FW14941SF | COST | 4,726,700 | 4,872,647 | |
| UBS Acct# FW16611SF | COST | 100,000 | 100,167 | |
| Total Corporate Stocks | | 13,652,149 | 14,505,160 | Line 10 (b) |
| UBS Acct# 3A01039BR | COST | 2,052,628 | 2,030,154 | |
| UBS Acct# 3A01040BR | COST | 1,298,144 | 1,341,058 | |
| UBS Acct# FW06360SF | COST | 550,159 | 538,835 | |
| UBS Acct# FW14941SF | COST | 614,420 | 600,001 | |
| UBS Acct# FW06358SF | COST | 1,093,979 | 1,075,941 | |
| UBS Acct# FW14937SF | COST | 1,151,433 | 1,145,551 | |
| Total Corporate Bonds | | 6,760,763 | 6,731,540 | Line 10 (c) |
| UBS Acct# 3A04730BR | COST | 300,434 | 302,378 | |
| UBS Acct# FW06360SF | COST | 787,321 | 774,039 | |
| UBS Acct# FW14941SF | COST | 884,397 | 861,484 | |
| Total Other Investments (Broad Commodities & Other Mutual Funds) | | 1,972,152 | 1,937,901 | Line 13 |



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 3A 04728 West Fdn LONDON

Realized gain/loss

Year 2016

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 00435F309 | ACYY | 873.00 | 10/09/2014 | 7,275.79 | 01/27/2016 | 6,441.57 | -834.22 | -11.47% | L |
| 00435F309 | ACYY | 565.00 | 10/09/2014 | 4,708.84 | 01/29/2016 | 4,229.68 | -479.16 | -10.18% | L |
| 00435F309 | ACYY | 39.00 | 10/22/2014 | 317.37 | 01/29/2016 | 291.96 | -25.41 | -8.01% | L |
| 00435F309 | ACYY | 458.00 | 01/04/2016 | 3,868.66 | 01/29/2016 | 3,428.66 | -440.00 | -11.37% | S |
| 006754204 | AHEXY | 176.00 | 07/08/2016 | 4,360.59 | 09/07/2016 | 5,208.61 | 848.02 | 19.45% | S |
| 006754204 | AHEXY | 60.00 | 07/08/2016 | 1,486.57 | 12/22/2016 | 1,953.75 | 467.18 | 31.43% | S |
| 00687A107 | ADYY | 29.00 | 02/12/2015 | 1,081.81 | 05/25/2016 | 1,851.18 | 769.37 | 71.12% | L |
| 00687A107 | ADYY | 65.00 | 02/12/2015 | 2,424.75 | 07/05/2016 | 4,518.01 | 2,093.26 | 86.33% | L |
| 00687A107 | ADYY | 200.00 | 06/10/2015 | 7,944.20 | 07/05/2016 | 13,901.58 | 5,957.38 | 74.99% | L |
| 00687A107 | ADYY | 46.00 | 01/04/2016 | 2,176.26 | 07/05/2016 | 3,197.36 | 1,021.10 | 46.92% | S |
| 00687A107 | ADYY | 5.00 | 01/04/2016 | 236.55 | 07/06/2016 | 349.82 | 113.27 | 47.88% | S |
| 001011106 | | 123.00 | 04/02/2014 | 3,826.17 | 01/04/2016 | 3,976.36 | 150.19 | 3.93% | L |
| 001011106 | | 562.00 | 04/02/2014 | 17,482.19 | 02/17/2016 | 22,325.07 | 4,842.88 | 27.70% | L |
| 001011106 | | 565.00 | 04/02/2014 | 17,575.51 | 05/02/2016 | 23,730.00 | 6,154.49 | 35.02% | L |
| 00773T101 | ASIX | 0.12 | 12/21/2015 | 1.63 | 10/03/2016 | 1.78 | 0.15 | 9.20% | S |
| 00773T101 | ASIX | 16.48 | 12/21/2015 | 223.69 | 10/06/2016 | 232.51 | 8.82 | 3.94% | S |
| 00773T101 | ASIX | 2.52 | 06/30/2016 | 38.61 | 10/06/2016 | 35.55 | -3.06 | -7.93% | S |
| N00985106 | AER | 109.00 | 03/02/2016 | 4,040.69 | 09/07/2016 | 4,409.35 | 368.66 | 9.12% | S |
| 013872106 | AA | 0.67 | 12/23/2013 | 16.23 | 11/01/2016 | 15.38 | -0.85 | -5.24% | L |
| 013872106 | AA | 15.67 | 12/23/2013 | 381.44 | 11/10/2016 | 446.90 | 65.46 | 17.16% | L |
| 013872106 | AA | 65.56 | 03/04/2014 | 1,858.04 | 11/10/2016 | 1,870.04 | 12.00 | 0.65% | L |
| 013872106 | AA | 47.78 | 05/25/2016 | 1,097.87 | 11/10/2016 | 1,362.91 | 265.04 | 24.14% | S |
| 013817507 | | 0.67 | 12/23/2013 | 20.15 | 10/06/2016 | 21.16 | 1.01 | 5.01% | L |
| 013817101 | | 160.00 | 10/31/2013 | 1,505.60 | 08/11/2016 | 1,664.35 | 158.75 | 10.54% | L |
| 013817101 | | 360.00 | 11/25/2013 | 3,444.12 | 08/11/2016 | 3,744.78 | 300.66 | 8.73% | L |
| 013817101 | | 186.00 | 12/23/2013 | 1,874.21 | 08/11/2016 | 1,934.80 | 60.59 | 3.23% | L |
| 02319V103 | ABEV | 671.00 | 08/31/2016 | 3,973.06 | 09/07/2016 | 4,149.04 | 175.98 | 4.43% | S |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 032654105 | ADI | 29.00 | 12/17/2009 | 884.50 | 01/21/2016 | 1,476.13 | 591.63 | 66.89% | L |
| 032654105 | ADI | 61.00 | 08/11/2010 | 1,779.37 | 01/21/2016 | 3,104.95 | 1,325.58 | 74.50% | L |
| 038222105 | AMAT | 52.00 | 12/23/2013 | 908.39 | 01/27/2016 | 902.61 | -5.78 | -0.64% | L |
| 038222105 | AMAT | 60.00 | 03/04/2014 | 1,137.60 | 01/27/2016 | 1,041.48 | -96.12 | -8.45% | L |
| 038222105 | AMAT | 145.00 | 10/13/2015 | 2,232.61 | 01/27/2016 | 2,516.91 | 284.30 | 12.73% | S |
| 04623U102 | ALPMY | 160.00 | 07/26/2016 | 2,576.94 | 09/07/2016 | 2,503.95 | -72.99 | -2.83% | S |
| 046353108 | AZN | 396.00 | 06/18/2015 | 13,192.21 | 08/12/2016 | 13,249.51 | 57.30 | 0.43% | L |
| 046353108 | AZN | 78.00 | 06/18/2015 | 2,598.46 | 09/07/2016 | 2,578.62 | -19.84 | -0.76% | L |
| 046353108 | AZN | 29.00 | 08/06/2015 | 993.45 | 09/07/2016 | 958.72 | -34.73 | -3.50% | L |
| 046353108 | AZN | 197.00 | 08/06/2015 | 6,748.59 | 12/02/2016 | 5,125.36 | -1,623.23 | -24.05% | L |
| 046353108 | AZN | 38.00 | 01/04/2016 | 1,259.32 | 12/02/2016 | 988.65 | -270.67 | -21.49% | S |
| 046353108 | AZN | 267.00 | 05/25/2016 | 8,019.72 | 12/02/2016 | 6,946.55 | -1,073.17 | -13.38% | S |
| 04962A105 | AEXAY | 68.00 | 04/17/2015 | 988.93 | 08/17/2016 | 1,337.22 | 348.29 | 35.22% | L |
| 04962A105 | AEXAY | 209.00 | 04/17/2015 | 3,039.51 | 09/07/2016 | 4,214.40 | 1,174.89 | 38.65% | L |
| 04962A105 | AEXAY | 63.00 | 04/17/2015 | 916.22 | 09/29/2016 | 1,343.99 | 427.77 | 46.69% | L |
| 04962A105 | AEXAY | 237.00 | 04/17/2015 | 3,446.72 | 12/08/2016 | 4,949.14 | 1,502.42 | 43.59% | L |
| 04962A105 | AEXAY | 264.00 | 04/17/2015 | 3,839.39 | 12/09/2016 | 5,447.92 | 1,608.53 | 41.90% | L |
| 04962A105 | AEXAY | 77.00 | 04/17/2015 | 1,119.82 | 12/13/2016 | 1,564.84 | 445.02 | 39.74% | L |
| 04962A105 | AEXAY | 80.00 | 01/04/2016 | 1,309.81 | 12/13/2016 | 1,625.82 | 316.01 | 24.13% | S |
| 04962A105 | AEXAY | 99.00 | 05/25/2016 | 1,819.29 | 12/13/2016 | 2,011.94 | 192.65 | 10.59% | S |
| 050095108 | ATW | 284.00 | 02/06/2013 | 14,873.82 | 01/15/2016 | 1,676.93 | -13,196.89 | -88.73% | L |
| 050095108 | ATW | 106.00 | 02/06/2013 | 5,551.50 | 01/20/2016 | 628.70 | -4,922.80 | -88.68% | L |
| 050095108 | ATW | 176.00 | 12/23/2013 | 9,016.00 | 01/20/2016 | 1,043.87 | -7,972.13 | -88.42% | L |
| 050095108 | ATW | 11.00 | 01/04/2016 | 113.62 | 01/20/2016 | 65.24 | -48.38 | -42.58% | S |
| 053773AV9 | | 3,000.00 | 06/17/2015 | 2,992.50 | 05/05/2016 | 2,820.00 | -172.50 | -5.76% | S |
| 053773AV9 | | 1,000.00 | 06/29/2015 | 990.00 | 05/05/2016 | 940.00 | -50.00 | -5.05% | S |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| AVIS BUDGET NTS B/E 05.500% 040123 DTD040313 FC100113 | 053773AV9 | | 2,000.00 | 06/29/2015 | 1,980.00 | 05/10/2016 | 1,870.00 | -110.00 | -5.56% | S |
| AVIS BUDGET NTS B/E 05.500% 040123 DTD040313 FC100113 | 053773AV9 | | 3,000.00 | 07/06/2015 | 2,985.00 | 05/11/2016 | 2,805.00 | -180.00 | -6.03% | S |
| BALL CORP NTS B/E 05.000% 031522 DTD030912 FC091512 | 058498AR7 | | 4,000.00 | 10/22/2013 | 4,030.00 | 01/13/2016 | 4,070.00 | 40.00 | 0.99% | L |
| BALL CORP NTS B/E 05.000% 031522 DTD030912 FC091512 | 058498AR7 | | 4,000.00 | 10/24/2013 | 4,040.00 | 01/13/2016 | 4,070.00 | 30.00 | 0.74% | L |
| BANCO BILBAO VIZCAYA ARGENTARIA S A SPON ADR | 05946K101 | BBVA | 349.00 | 10/09/2014 | 3,992.56 | 09/07/2016 | 2,207.38 | -1,785.18 | -44.71% | L |
| BARCLAYS PLC ADR | 06738E204 | BCS | 105.00 | 02/06/2013 | 1,939.96 | 02/18/2016 | 987.66 | -952.30 | -49.09% | L |
| BARCLAYS PLC ADR | 06738E204 | BCS | 26.00 | 10/01/2013 | 312.11 | 02/18/2016 | 244.56 | -67.55 | -21.64% | L |
| BARCLAYS PLC ADR | 06738E204 | BCS | 843.00 | 10/10/2014 | 12,143.84 | 02/18/2016 | 7,929.46 | -4,214.38 | -34.70% | L |
| BARCLAYS PLC ADR | 06738E204 | BCS | 251.00 | 01/04/2016 | 3,182.63 | 02/18/2016 | 2,360.97 | -821.66 | -25.82% | S |
| BARCLAYS PLC ADR | 06738E204 | BCS | 67.00 | 01/04/2016 | 849.55 | 02/19/2016 | 614.51 | -235.04 | -27.67% | S |
| BB&T CORP MED TERM NTS 02.250% 020119 DTD020414 FC080114 B/E | 05531FAQ6 | | 13,000.00 | 01/12/2016 | 13,131.30 | 09/07/2016 | 13,261.69 | 130.39 | 0.99% | S |
| BHP BILLITON PLC NEW SPON ADR | 05545E209 | BBL | 113.00 | 09/13/2016 | 2,972.58 | 12/21/2016 | 3,620.91 | 648.33 | 21.81% | S |
| BK OF NY MELLON CORP B/E 03.650% 020424 DTD020414 FC080414 | 06406HCS6 | | 4,000.00 | 06/21/2016 | 4,362.44 | 09/07/2016 | 4,379.16 | 16.72 | 0.38% | S |
| BOEING COMPANY | 097023105 | BA | 305.00 | 12/21/2015 | 42,734.04 | 02/17/2016 | 35,319.25 | -7,414.79 | -17.35% | S |
| BOSTON SCIENTIFIC CORP | 101137107 | BSX | 75.00 | 09/06/2012 | 418.29 | 05/25/2016 | 1,690.46 | 1,272.17 | 304.14% | L |
| CABELA'S INC | 126804301 | CAB | 17.00 | 02/06/2013 | 848.47 | 01/04/2016 | 790.41 | -58.06 | -6.84% | L |
| CABELA'S INC | 126804301 | CAB | 196.00 | 02/06/2013 | 9,782.36 | 10/07/2016 | 12,218.02 | 2,435.66 | 24.90% | L |
| CAMECO CORP CANADA CAD | 13321L108 | CCJ | 460.00 | 07/18/2014 | 9,365.28 | 07/08/2016 | 4,870.09 | -4,495.19 | -48.00% | L |
| CAMECO CORP CANADA CAD | 13321L108 | CCJ | 230.00 | 07/18/2014 | 4,682.64 | 07/28/2016 | 2,278.42 | -2,404.22 | -51.34% | L |
| CAMECO CORP CANADA CAD | 13321L108 | CCJ | 325.00 | 05/25/2016 | 3,786.25 | 07/28/2016 | 3,219.51 | -566.74 | -14.97% | S |
| CARLSBERG AS SPON ADR | 142795202 | CABGY | 178.00 | 02/04/2016 | 3,045.76 | 09/07/2016 | 3,394.39 | 348.63 | 11.45% | S |
| CARMAX INC | 143130102 | KMX | 53.00 | 02/06/2013 | 2,118.78 | 01/04/2016 | 2,794.64 | 675.86 | 31.90% | L |
| CBRE SERVICES INC B/E 05.000% 031523 DTD031413 FC091513 CALL@MMW+508P | 12505BAA8 | | 2,000.00 | 03/12/2013 | 2,027.50 | 12/15/2016 | 2,060.00 | 32.50 | 1.60% | L |
| CBRE SERVICES INC B/E 05.000% 031523 DTD031413 FC091513 CALL@MMW+508P | 12505BAA8 | | 1,000.00 | 03/12/2013 | 1,015.00 | 12/15/2016 | 1,030.00 | 15.00 | 1.48% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 12505BAAB | CBRE SERVICES INC B/E 05.000% 03/15/23 DTD031413 FC091513 CALL@MW+50BP | 2,000.00 | 03/12/2013 | 2,030.00 | 12/22/2016 | 2,062.50 | 32.50 | 1.60% | L |
| 1248EPAU7 | CCO HDLGS LLC/CAP CORP 06 500% 043021 DTD051011 CALL@MW+50BP | 7,000.00 | 12/08/2011 | 6,903.75 | 05/25/2016 | 7,227.50 | 323.75 | 4.69% | L |
| 1248EPAU7 | CCO HDLGS LLC/CAP CORP 06 500% 043021 DTD051011 CALL@MW+50BP | 8,000.00 | 12/10/2013 | 8,280.00 | 05/25/2016 | 8,260.00 | -20.00 | -0.24% | L |
| 1248EPAU7 | CCO HDLGS LLC/CAP CORP 06 500% 043021 DTD051011 CALL@MW+50BP | 2,000.00 | 01/21/2014 | 2,090.00 | 05/25/2016 | 2,065.00 | -25.00 | -1.20% | L |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 1,000.00 | 09/03/2015 | 1,047.50 | 09/13/2016 | 1,137.50 | 90.00 | 8.59% | L |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 1,000.00 | 09/10/2015 | 1,052.50 | 09/14/2016 | 1,136.25 | 83.75 | 7.96% | L |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 2,000.00 | 09/22/2015 | 2,100.00 | 09/14/2016 | 2,272.50 | 172.50 | 8.21% | S |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 1,000.00 | 09/22/2015 | 1,047.50 | 09/14/2016 | 1,136.25 | 88.75 | 8.47% | S |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 1,000.00 | 09/22/2015 | 1,050.00 | 09/15/2016 | 1,136.25 | 86.25 | 8.21% | S |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 2,000.00 | 09/23/2015 | 2,085.00 | 09/15/2016 | 2,272.50 | 187.50 | 8.99% | S |
| 15089QAC8 | CELANESE US HOLDINGS LLC 05 875% 061521 DTD050611 FC121511 CALL@MW+50BP | 1,000.00 | 01/06/2016 | 1,060.00 | 09/15/2016 | 1,136.25 | 76.25 | 7.19% | S |
| 15135BAC5 | CENTENE CORP NTS B/E 05 750% 060117 DTD052711 FC120111 | 8,000.00 | 01/06/2015 | 8,480.00 | 11/25/2016 | 8,184.00 | -296.00 | -3.49% | L |
| 156700BA3 | CENTURYLINK INC NTS B/E 07 500% 040124 DTD040616 FC100116 CALL@MW+50BP | 1,000.00 | 08/16/2016 | 1,096.25 | 10/31/2016 | 1,062.50 | -33.75 | -3.08% | S |
| 156700BA3 | CENTURYLINK INC NTS B/E 07 500% 040124 DTD040616 FC100116 CALL@MW+50BP | 3,000.00 | 08/16/2016 | 3,288.75 | 10/31/2016 | 3,180.00 | -108.75 | -3.31% | S |
| 156700BA3 | CENTURYLINK INC NTS B/E 07 500% 040124 DTD040616 FC100116 CALL@MW+50BP | 4,000.00 | 09/02/2016 | 4,355.00 | 10/31/2016 | 4,250.00 | -105.00 | -2.41% | S |
| 156700BA3 | CENTURYLINK INC NTS B/E 07 500% 040124 DTD040616 FC100116 CALL@MW+50BP | 2,000.00 | 09/09/2016 | 2,172.50 | 11/02/2016 | 2,025.00 | -147.50 | -6.79% | S |
| 165167CGO | CHESAPEAKE ENERGY CORP 06 125% 021521 DTD021111 CALL@MAKE-WHOLE + 50 BP | 3,000.00 | 11/13/2014 | 3,356.25 | 02/10/2016 | 405.00 | -2,951.25 | -87.93% | L |
| 165167CGO | CHESAPEAKE ENERGY CORP 06 125% 021521 DTD021111 CALL@MAKE-WHOLE + 50 BP | 2,000.00 | 11/14/2014 | 2,225.00 | 02/11/2016 | 250.00 | -1,975.00 | -88.76% | L |
| 165167CGO | CHESAPEAKE ENERGY CORP 06 125% 021521 DTD021111 CALL@MAKE-WHOLE + 50 BP | 5,000.00 | 09/09/2015 | 4,060.00 | 02/11/2016 | 625.00 | -3,435.00 | -84.61% | S |
| 16941M109 | CHINA MOBILE LTD SPON ADR | 85.00 | 10/29/2015 | 5,206.67 | 09/07/2016 | 5,163.73 | -42.94 | -0.82% | S |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| CHS / CMNTY HEALTH SYS 05 125% 081518 DTD081712 FC021513 CALL@MW+50BP | 12543DAR1 | 4,000 00 | 02/16/2016 | 3,960.00 | 05/16/2016 | 4,092.00 | 132.00 | 3.33% | S |
| CHS / CMNTY HEALTH SYS 05 125% 081518 DTD081712 FC021513 CALL@MW+50BP | 12543DAR1 | 3,000 00 | 03/11/2016 | 3,033.75 | 05/16/2016 | 3,069.00 | 35.25 | 1.16% | S |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 2,000 00 | 08/21/2014 | 2,035.00 | 10/27/2016 | 2,070.00 | 35.00 | 1.72% | L |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 1,000 00 | 08/21/2014 | 1,017.50 | 10/31/2016 | 1,027.50 | 10.00 | 0.98% | L |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 1,000 00 | 09/25/2014 | 987.50 | 10/31/2016 | 1,027.50 | 40.00 | 4.05% | L |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 4,000 00 | 09/25/2014 | 3,940.00 | 10/31/2016 | 4,110.00 | 170.00 | 4.31% | L |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 1,000 00 | 09/25/2014 | 987.50 | 11/02/2016 | 1,025.00 | 37.50 | 3.80% | L |
| CINEMARK INC NTS B/E 05 125% 121522 DTD121812 FC061513 CALL@MW+50BP | 172441AX5 | 4,000 00 | 06/16/2016 | 4,120.00 | 11/02/2016 | 4,100.00 | -20.00 | -0.49% | S |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 4,000 00 | 03/03/2014 | 4,220.00 | 01/27/2016 | 4,040.00 | -180.00 | -4.27% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 1,000 00 | 03/26/2014 | 1,035.00 | 01/27/2016 | 1,010.00 | -25.00 | -2.42% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 1,000 00 | 03/26/2014 | 1,035.00 | 01/27/2016 | 1,015.00 | -20.00 | -1.93% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 1,000 00 | 03/31/2014 | 1,033.75 | 01/27/2016 | 1,015.00 | -18.75 | -1.81% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 2,000 00 | 03/31/2014 | 2,067.50 | 03/07/2016 | 2,060.00 | -7.50 | -0.36% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 1,000 00 | 04/30/2014 | 1,025.00 | 03/07/2016 | 1,030.00 | 5.00 | 0.49% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 3,000 00 | 04/30/2014 | 3,075.00 | 03/11/2016 | 3,075.00 | 0.00 | 0.00% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 1,000 00 | 04/30/2014 | 1,025.00 | 03/17/2016 | 1,017.50 | -7.50 | -0.73% | L |
| CIT GROUP INC B/E 05 000% 081522 DTD080312 FC021513 CALL@MW+50BP | 125581GQ5 | 3,000 00 | 05/05/2014 | 3,082.50 | 03/17/2016 | 3,052.50 | -30.00 | -0.97% | L |
| CIT GROUP INC B/E 05 250% 031518 DTD031512 FC091512 | 125581GL6 | 2,000 00 | 03/01/2016 | 2,075.00 | 09/23/2016 | 2,076.66 | 1.66 | 0.08% | S |
| CIT GROUP INC B/E 05 250% 031518 DTD031512 FC091512 | 125581GL6 | 1,000 00 | 03/01/2016 | 1,037.50 | 09/26/2016 | 1,037.50 | 0.00 | 0.00% | S |
| CIT GROUP INC B/E 05 250% 031518 DTD031512 FC091512 | 125581GL6 | 2,000 00 | 03/03/2016 | 2,075.00 | 09/26/2016 | 2,075.00 | 0.00 | 0.00% | S |



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 3A 01040 West Fdn SEIX 3A 07806 West Fdn QGARR
 3A 01042 West Fdn ANCHOR
 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|-----------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| CIT GROUP INC B/E 05.250% 031518 DTD031512 FC091512 | 125581GL6 | 1,000.00 | 03/03/2016 | 1,037.50 | 09/30/2016 | 1,040.00 | 2.50 | 0.24% | S |
| CIT GROUP INC B/E 05.250% 031518 DTD031512 FC091512 | 125581GL6 | 1,000.00 | 03/08/2016 | 1,035.00 | 09/30/2016 | 1,040.00 | 5.00 | 0.48% | S |
| CIT GROUP INC B/E 05.250% 031518 DTD031512 FC091512 | 125581GL6 | 2,000.00 | 03/08/2016 | 2,070.00 | 10/07/2016 | 2,087.50 | 17.50 | 0.85% | S |
| CIT GROUP INC B/E 05.250% 031518 DTD031512 FC091512 | 125581GL6 | 4,000.00 | 05/27/2016 | 4,150.00 | 10/07/2016 | 4,175.00 | 25.00 | 0.60% | S |
| CK HUTCHISON HLDGS LTD UNSPONSORED ADR | 12562Y100 | 473.00 | 03/22/2016 | 6,206.94 | 09/07/2016 | 6,172.52 | -34.42 | -0.55% | S |
| COGNIZANT TECH SOLUTIONS CRP | 192446102 | 720.00 | 12/21/2015 | 42,715.66 | 08/31/2016 | 41,267.48 | -1,448.18 | -3.39% | S |
| COGNIZANT TECH SOLUTIONS CRP | 192446102 | 127.00 | 06/30/2016 | 7,247.26 | 08/31/2016 | 7,279.13 | 31.87 | 0.44% | S |
| COMERICA BANK B/E 05.200% 082217 DTD082205 FC022206 | 20035CAB6 | 11,000.00 | 01/13/2016 | 11,588.50 | 09/07/2016 | 11,385.77 | -202.73 | -1.75% | S |
| COMERICA BK MI NTS 05.750% 112116 DTD112106 FC052107 | 200339CG2 | 47,000.00 | 12/04/2009 | 47,067.68 | 11/21/2016 | 47,000.00 | -67.68 | -0.14% | L |
| COMMUNITY HEALTH SYSTEMS 07.125% 071520 DTD071812 FC011513 CALL@MW +50BP | 12543DAQ3 | 8,000.00 | 07/10/2012 | 8,170.00 | 09/16/2016 | 7,200.00 | -970.00 | -11.87% | L |
| COMMUNITY HEALTH SYSTEMS 07.125% 071520 DTD071812 FC011513 CALL@MW +50BP | 12543DAQ3 | 6,000.00 | 06/01/2016 | 5,595.00 | 09/16/2016 | 5,400.00 | -195.00 | -3.49% | S |
| CONS EDISON CO OF N Y 4.450% 061520 DTD060710 CALL @ MW +20BP | 209111EZZ | 19,000.00 | 01/15/2016 | 20,890.31 | 11/08/2016 | 20,762.82 | -127.49 | -0.61% | S |
| CONTINENTAL RESOURCES 05.000% 091522 DTD091512 FC031513 CALL@MW+50BP | 212015AH4 | 1,000.00 | 11/17/2015 | 898.75 | 10/05/2016 | 1,021.25 | 122.50 | 13.63% | S |
| CONTINENTAL RESOURCES 05.000% 091522 DTD091512 FC031513 CALL@MW+50BP | 212015AH4 | 3,000.00 | 11/17/2015 | 2,696.25 | 10/06/2016 | 3,060.00 | 363.75 | 13.49% | S |
| CONTINENTAL RESOURCES 05.000% 091522 DTD091512 FC031513 CALL@MW+50BP | 212015AH4 | 4,000.00 | 11/18/2015 | 3,600.00 | 10/06/2016 | 4,080.00 | 480.00 | 13.33% | S |
| CONTINENTAL RESOURCES 05.000% 091522 DTD091512 FC031513 CALL@MW+50BP | 212015AH4 | 1,000.00 | 11/18/2015 | 900.00 | 10/12/2016 | 1,012.50 | 112.50 | 12.50% | S |
| CONTINENTAL RESOURCES 05.000% 091522 DTD091512 FC031513 CALL@MW+50BP | 212015AH4 | 4,000.00 | 12/22/2015 | 2,917.40 | 10/12/2016 | 4,050.00 | 1,132.60 | 38.82% | S |
| CROWN AMERICAS B/E 06.250% 020121 DTD080111 FC020112 | 22818VAB3 | 2,000.00 | 04/05/2013 | 2,197.50 | 02/28/2016 | 2,062.50 | -135.00 | -6.14% | L |
| CROWN AMERICAS B/E 06.250% 020121 DTD080111 FC020112 | 22818VAB3 | 2,000.00 | 04/15/2013 | 2,197.50 | 02/28/2016 | 2,062.50 | -135.00 | -6.14% | L |
| CROWN AMERICAS B/E 06.250% 020121 DTD080111 FC020112 | 22818VAB3 | 2,000.00 | 04/18/2013 | 2,195.00 | 02/28/2016 | 2,062.50 | -132.50 | -6.04% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| CROWN CASTLE INTL CORP 04 875% 041522 DTD041514 FC101514 CALL@MW+50BP | 228227BE3 | 2,000.00 | 10/30/2014 | 2,020.00 | 08/15/2016 | 2,220.34 | 200.34 | 9.92% | L |
| CROWN CASTLE INTL CORP 04 875% 041522 DTD041514 FC101514 CALL@MW+50BP | 228227BE3 | 1,000.00 | 11/06/2014 | 1,016.25 | 08/15/2016 | 1,110.17 | 93.92 | 9.24% | L |
| CROWN CASTLE INTL CORP 04 875% 041522 DTD041514 FC101514 CALL@MW+50BP | 228227BE3 | 1,000.00 | 11/06/2014 | 1,016.25 | 08/16/2016 | 1,110.00 | 93.75 | 9.23% | L |
| CROWN CASTLE INTL CORP 04 875% 041522 DTD041514 FC101514 CALL@MW+50BP | 228227BE3 | 5,000.00 | 11/18/2014 | 5,025.00 | 08/16/2016 | 5,550.00 | 525.00 | 10.45% | L |
| D R HORTON INC B/E 05 750% 081523 DTD080513 FC021514 CALL@MW+50BP | 23331ABH1 | 3,000.00 | 05/16/2016 | 3,299.79 | 12/06/2016 | 3,232.50 | -67.29 | -2.04% | S |
| D R HORTON INC B/E 05 750% 081523 DTD080513 FC021514 CALL@MW+50BP | 23331ABH1 | 5,000.00 | 05/26/2016 | 5,512.50 | 12/06/2016 | 5,387.50 | -125.00 | -2.27% | S |
| D R HORTON INC B/E 05 750% 081523 DTD080513 FC021514 CALL@MW+50BP | 23331ABH1 | 4,000.00 | 06/01/2016 | 4,410.00 | 12/06/2016 | 4,310.00 | -100.00 | -2.27% | S |
| DBS GROUP HLDGS LTD SPON ADR | 23304Y100 | 76.00 | 06/02/2016 | 3,442.69 | 09/07/2016 | 3,511.50 | 68.81 | 2.00% | S |
| DECKERS OUTDOOR CORP | 243537107 | 24.00 | 02/06/2013 | 990.33 | 01/04/2016 | 1,098.46 | 108.13 | 10.92% | L |
| DECKERS OUTDOOR CORP | 243537107 | 34.00 | 02/06/2013 | 1,402.98 | 03/14/2016 | 1,927.36 | 524.38 | 37.38% | L |
| DENSO CORP ADR | 24872B100 | 340.00 | 10/10/2014 | 7,385.34 | 01/27/2016 | 7,181.11 | -204.23 | -2.77% | L |
| DENSO CORP ADR | 24872B100 | 306.00 | 10/10/2014 | 6,646.81 | 01/29/2016 | 6,422.30 | -224.51 | -3.38% | L |
| DENSO CORP ADR | 24872B100 | 64.00 | 01/04/2016 | 1,467.20 | 01/29/2016 | 1,343.23 | -123.97 | -8.45% | S |
| DEUTSCHE POST AG SPON ADR | 25157Y202 | 176.00 | 10/28/2014 | 5,392.59 | 09/07/2016 | 5,689.08 | 296.49 | 5.50% | L |
| DEVON ENERGY CORP NEW | 25179M103 | 170.00 | 01/22/2016 | 4,335.68 | 02/17/2016 | 3,370.98 | -964.70 | -22.25% | S |
| DIAMONDBACK ENERGY INC 07 625% 100121 DTD100114 FC040115 CALL@MW+50BP | 25278XAB5 | 4,000.00 | 02/17/2016 | 3,940.00 | 09/27/2016 | 4,230.00 | 290.00 | 7.36% | S |
| DIAMONDBACK ENERGY INC 07 625% 100121 DTD100114 FC040115 CALL@MW+50BP | 25278XAB5 | 2,000.00 | 05/26/2016 | 2,129.98 | 09/27/2016 | 2,115.00 | -14.98 | -0.70% | S |
| DOLLAR TREE INC | 256746108 | 29.00 | 09/04/2013 | 1,572.20 | 01/04/2016 | 2,262.28 | 690.08 | 43.89% | L |
| DOLLAR TREE INC | 256746108 | 99.00 | 09/04/2013 | 5,367.18 | 08/12/2016 | 9,582.22 | 4,215.04 | 78.53% | L |
| DUKE ENERGY CAROLINAS 02 500% 031523 DTD031116 FC091516 CALL@MW+15BP | 26442CAQ7 | 5,000.00 | 03/10/2016 | 4,979.55 | 09/07/2016 | 5,166.70 | 187.15 | 3.76% | S |
| DYNEGY INC NTS B/E 06 750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | 3,000.00 | 05/05/2016 | 2,992.50 | 09/28/2016 | 3,075.00 | 82.50 | 2.76% | S |
| DYNEGY INC NTS B/E 06 750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | 2,000.00 | 05/25/2016 | 2,015.00 | 09/28/2016 | 2,050.00 | 35.00 | 1.74% | S |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| DYNEGY INC NTS B/E 06.750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | | 2,000.00 | 05/26/2016 | 2,011.00 | 09/29/2016 | 2,050.00 | 39.00 | 1.94% | S |
| DYNEGY INC NTS B/E 06.750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | | 2,000.00 | 05/26/2016 | 2,011.00 | 09/30/2016 | 2,050.00 | 39.00 | 1.94% | S |
| DYNEGY INC NTS B/E 06.750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | | 2,000.00 | 05/26/2016 | 2,011.00 | 10/03/2016 | 2,055.00 | 44.00 | 2.19% | S |
| DYNEGY INC NTS B/E 06.750% 110119 DTD050115 CALL@MW+50BP | 26817RAM0 | | 2,000.00 | 05/26/2016 | 2,011.00 | 10/04/2016 | 2,060.00 | 49.00 | 2.44% | S |
| DYNEGY INC NTS B/E 5.875% 060123 DTD120113 FC060114 CALL@MW+50BP | 26817RAB4 | | 3,000.00 | 05/27/2014 | 2,962.50 | 05/31/2016 | 2,647.50 | -315.00 | -10.63% | L |
| DYNEGY INC NTS B/E 5.875% 060123 DTD120113 FC060114 CALL@MW+50BP | 26817RAB4 | | 4,000.00 | 06/09/2014 | 4,000.00 | 05/31/2016 | 3,530.00 | -470.00 | -11.75% | L |
| DYNEGY INC NTS B/E 5.875% 060123 DTD120113 FC060114 CALL@MW+50BP | 26817RAB4 | | 2,000.00 | 06/24/2014 | 2,020.00 | 05/31/2016 | 1,765.00 | -255.00 | -12.62% | L |
| E ON SE SPON ADR | 268780103 | EONGY | 274.00 | 02/12/2016 | 2,591.93 | 09/07/2016 | 2,552.25 | -39.68 | -1.53% | S |
| EATON VANCE CORP NON VTG | 278265103 | EV | 30.00 | 07/31/2012 | 796.41 | 01/04/2016 | 939.88 | 143.47 | 18.01% | L |
| EDGEWELL PERS CARE CO | 28035Q102 | EPC | 46.00 | 02/06/2013 | 2,847.14 | 01/04/2016 | 3,594.37 | 747.23 | 26.24% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 33.00 | 03/09/2015 | 1,085.23 | 04/29/2016 | 758.15 | -327.08 | -30.14% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 42.00 | 03/09/2015 | 1,381.20 | 05/02/2016 | 968.24 | -412.96 | -29.90% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 51.00 | 03/09/2015 | 1,677.18 | 05/03/2016 | 1,164.68 | -512.50 | -30.56% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 52.00 | 03/09/2015 | 1,710.06 | 05/04/2016 | 1,177.40 | -532.66 | -31.15% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 35.00 | 03/09/2015 | 1,151.00 | 05/05/2016 | 786.41 | -364.59 | -31.68% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 35.00 | 03/09/2015 | 1,151.01 | 06/10/2016 | 724.02 | -426.99 | -37.10% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 80.00 | 03/09/2015 | 2,630.86 | 06/13/2016 | 1,632.20 | -998.66 | -37.96% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 24.00 | 03/09/2015 | 789.26 | 06/14/2016 | 480.65 | -308.61 | -39.10% | L |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 27.00 | 08/24/2015 | 670.97 | 06/14/2016 | 540.73 | -130.24 | -19.41% | S |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 33.00 | 08/25/2015 | 823.60 | 06/14/2016 | 660.90 | -162.70 | -19.75% | S |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 82.00 | 08/25/2015 | 2,046.51 | 06/15/2016 | 1,654.68 | -391.83 | -19.15% | S |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 17.00 | 01/04/2016 | 488.34 | 06/15/2016 | 343.04 | -145.30 | -29.75% | S |
| EMBRAER S A SPON ADR | 29082A107 | ERJ | 51.00 | 01/04/2016 | 1,465.01 | 06/21/2016 | 1,080.49 | -384.52 | -26.25% | S |
| ENDURANCE SPECIALTY HOLDINGS LTD ORD | G30397106 | ENH | 28.00 | 08/11/2010 | 1,031.80 | 10/21/2016 | 2,573.15 | 1,541.35 | 149.38% | L |



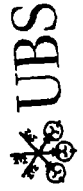
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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| G30397106 | ENH | 15.00 | 02/05/2013 | 650.69 | 10/21/2016 | 1,378.47 | 727.78 | 111.85% | L |
| G30397106 | ENH | 55.00 | 12/23/2013 | 3,146.55 | 10/21/2016 | 5,054.41 | 1,907.86 | 60.63% | L |
| G30397106 | ENH | 79.00 | 03/04/2014 | 4,128.54 | 10/21/2016 | 7,259.96 | 3,131.42 | 75.85% | L |
| G30397106 | ENH | 41.00 | 03/04/2014 | 2,142.66 | 10/24/2016 | 3,767.88 | 1,625.22 | 75.85% | L |
| G30397106 | ENH | 95.00 | 04/21/2015 | 5,827.30 | 10/24/2016 | 8,730.44 | 2,903.14 | 49.82% | L |
| G30397106 | ENH | 14.00 | 05/25/2016 | 936.04 | 10/24/2016 | 1,286.59 | 350.55 | 37.45% | S |
| G30397106 | ENH | 26.00 | 05/25/2016 | 1,738.36 | 10/25/2016 | 2,389.36 | 651.00 | 37.45% | S |
| 29272W109 | ENR | 32.00 | 02/06/2013 | 846.41 | 01/04/2016 | 1,087.34 | 240.93 | 28.46% | L |
| 29273VAC4 | | 5,000.00 | 10/04/2010 | 5,275.00 | 02/10/2016 | 3,950.00 | -1,325.00 | -25.12% | L |
| 29273VAC4 | | 2,000.00 | 10/04/2010 | 2,110.00 | 02/12/2016 | 1,580.00 | -530.00 | -25.12% | L |
| 29273VAC4 | | 3,000.00 | 03/17/2011 | 3,262.50 | 02/16/2016 | 2,392.50 | -870.00 | -26.67% | L |
| 29273VAC4 | | 4,000.00 | 03/17/2011 | 4,350.00 | 02/17/2016 | 3,230.00 | -1,120.00 | -25.75% | L |
| 29286D105 | ENGY | 234.00 | 08/09/2016 | 3,826.29 | 09/07/2016 | 3,859.75 | 33.46 | 0.87% | S |
| 294821608 | ERIC | 247.00 | 06/02/2015 | 2,778.90 | 09/07/2016 | 1,746.25 | -1,032.65 | -37.16% | L |
| 294821608 | ERIC | 1,176.00 | 06/02/2015 | 13,230.70 | 10/12/2016 | 6,576.75 | -6,653.95 | -50.29% | L |
| 294821608 | ERIC | 308.00 | 01/04/2016 | 2,898.96 | 10/12/2016 | 1,722.49 | -1,176.47 | -40.58% | S |
| 294821608 | ERIC | 449.00 | 05/25/2016 | 3,470.72 | 10/12/2016 | 2,511.02 | -959.70 | -27.65% | S |
| 294821608 | ERIC | 409.00 | 05/25/2016 | 3,161.53 | 10/17/2016 | 2,209.57 | -951.96 | -30.11% | S |
| 311900104 | FAST | 17.00 | 07/09/2015 | 713.54 | 01/21/2016 | 627.72 | -85.82 | -12.03% | S |
| 311900104 | FAST | 118.00 | 07/14/2015 | 4,951.02 | 01/21/2016 | 4,357.12 | -593.90 | -12.00% | S |
| 32054K103 | FR | 26.00 | 08/23/2013 | 395.13 | 01/04/2016 | 562.17 | 167.04 | 42.27% | L |
| 341081EZ6 | | 19,000.00 | 02/11/2011 | 21,538.02 | 11/08/2016 | 19,788.12 | -1,749.90 | -8.12% | L |
| 341081EZ6 | | 59,000.00 | 09/27/2012 | 72,234.29 | 11/08/2016 | 61,447.32 | -10,786.97 | -14.93% | L |
| 34959J108 | FTV | 0.50 | 12/21/2015 | 22.53 | 07/05/2016 | 24.27 | 1.74 | 7.72% | S |
| 34959J108 | FTV | 232.00 | 12/21/2015 | 10,451.62 | 10/06/2016 | 11,734.30 | 1,282.68 | 12.27% | S |

2016 FORM 990-PF

WEST FOUNDATION (EIN: 23-7332105)



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PART IV ATTACHMENT

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 34959J108 | FTV | 36.00 | 06/30/2016 | 1,778.40 | 10/06/2016 | 1,820.84 | 42.44 | 2.39% | S |
| 358029106 | FMS | 100.00 | 01/27/2016 | 4,373.45 | 09/07/2016 | 4,503.42 | 129.97 | 2.97% | S |
| 36863N208 | GTOMY | 182.00 | 11/02/2015 | 5,857.56 | 09/07/2016 | 6,483.61 | 626.05 | 10.69% | S |
| 36962G7M0 | | 50,000.00 | 04/28/2015 | 50,968.50 | 07/20/2016 | 51,351.50 | 383.00 | 0.75% | L |
| 36962G7M0 | | 10,000.00 | 01/28/2016 | 10,148.60 | 07/20/2016 | 10,270.30 | 121.70 | 1.20% | S |
| 37045XAJ5 | | 4,000.00 | 06/24/2014 | 4,070.00 | 08/15/2016 | 4,088.00 | 18.00 | 0.44% | L |
| 37045XAJ5 | | 4,000.00 | 06/24/2014 | 4,070.00 | 08/17/2016 | 4,086.00 | 16.00 | 0.39% | L |
| 37045XAJ5 | | 1,000.00 | 06/24/2014 | 1,017.50 | 08/23/2016 | 1,021.00 | 3.50 | 0.34% | L |
| 37045XAJ5 | | 2,000.00 | 10/30/2015 | 2,026.60 | 08/23/2016 | 2,042.00 | 15.40 | 0.76% | S |
| 37045XAJ5 | | 4,000.00 | 11/05/2015 | 4,046.88 | 08/23/2016 | 4,084.00 | 37.12 | 0.92% | S |
| 37045XAJ5 | | 2,000.00 | 11/05/2015 | 2,023.44 | 09/01/2016 | 2,037.00 | 13.56 | 0.67% | S |
| 37045XAJ5 | | 3,000.00 | 05/25/2016 | 3,060.00 | 09/01/2016 | 3,055.50 | -4.50 | -0.15% | S |
| 37045XAJ5 | | 6,000.00 | 05/25/2016 | 6,120.00 | 09/08/2016 | 6,111.00 | -9.00 | -0.15% | S |
| 37045XALO | | 4,000.00 | 03/13/2014 | 3,950.00 | 11/28/2016 | 4,029.16 | 79.16 | 2.00% | L |
| 37045XALO | | 5,000.00 | 03/17/2014 | 4,906.25 | 11/29/2016 | 5,039.50 | 133.25 | 2.72% | L |
| 37045XALO | | 4,000.00 | 05/25/2016 | 4,078.64 | 11/29/2016 | 4,031.60 | -47.04 | -1.15% | S |
| 37045XALO | | 3,000.00 | 12/14/2011 | 3,045.00 | 02/03/2016 | 1,755.00 | -1,290.00 | -42.36% | L |
| 37244DAF6 | | 2,000.00 | 01/05/2012 | 2,022.50 | 02/03/2016 | 1,170.00 | -852.50 | -42.15% | L |
| 37244DAF6 | | 204.00 | 03/23/2015 | 3,786.95 | 01/27/2016 | 2,367.50 | -1,419.45 | -37.48% | S |
| 379411101 | GBTZY | 201.00 | 03/24/2015 | 3,791.91 | 01/27/2016 | 2,332.68 | -1,459.23 | -38.48% | S |
| 379411101 | GBTZY | 201.00 | 03/24/2015 | 3,791.91 | 01/27/2016 | 2,332.68 | -1,459.23 | -38.48% | S |
| GLOBAL LOGISTIC PPTYS LTD UNSPONSORED ADR | | | | | | | | | |
| GLOBAL LOGISTIC PPTYS LTD UNSPONSORED ADR | | | | | | | | | |
| GLOBAL LOGISTIC PPTYS LTD UNSPONSORED ADR | | | | | | | | | |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 379411101 | GBTZY | 199.00 | 03/27/2015 | 3,796.12 | 01/29/2016 | 2,311.68 | -1,484.44 | -39.10% | S |
| 379411101 | GBTZY | 108.00 | 04/02/2015 | 2,165.40 | 01/29/2016 | 1,254.58 | -910.82 | -42.06% | S |
| 379411101 | GBTZY | 30.00 | 10/08/2015 | 478.50 | 01/29/2016 | 348.50 | -130.00 | -27.17% | S |
| 379411101 | GBTZY | 45.00 | 10/09/2015 | 730.48 | 01/29/2016 | 522.74 | -207.74 | -28.44% | S |
| 379411101 | GBTZY | 36.00 | 10/20/2015 | 601.78 | 01/29/2016 | 418.19 | -183.59 | -30.51% | S |
| 379411101 | GBTZY | 235.00 | 01/04/2016 | 3,402.80 | 01/29/2016 | 2,729.88 | -672.92 | -19.78% | S |
| 361841AD1 | | 4,000.00 | 11/20/2014 | 4,100.00 | 10/05/2016 | 4,310.00 | 210.00 | 5.12% | L |
| 361841AD1 | | 3,000.00 | 11/21/2014 | 3,097.50 | 10/05/2016 | 3,232.50 | 135.00 | 4.36% | L |
| 361841AD1 | | 2,000.00 | 12/03/2014 | 2,042.50 | 10/05/2016 | 2,155.00 | 112.50 | 5.51% | L |
| 361841AD1 | | 4,000.00 | 05/25/2016 | 4,210.00 | 10/05/2016 | 4,310.00 | 100.00 | 2.38% | S |
| 38141GER1 | | 19,000.00 | 09/09/2015 | 19,937.65 | 09/07/2016 | 19,048.07 | -889.58 | -4.46% | S |
| 38141GER1 | | 10,000.00 | 07/26/2016 | 10,084.40 | 09/07/2016 | 10,025.30 | -59.10 | -0.59% | S |
| 38388F108 | GRA | 15.00 | 12/28/2011 | 664.62 | 01/12/2016 | 1,395.03 | 730.41 | 109.90% | L |
| 38388F108 | GRA | 25.00 | 04/19/2012 | 1,399.45 | 01/13/2016 | 2,324.97 | 925.52 | 66.13% | L |
| 38388F108 | GRA | 5.00 | 04/19/2012 | 279.89 | 01/14/2016 | 464.99 | 185.10 | 66.13% | L |
| 38388F108 | GRA | 20.00 | 12/23/2013 | 1,912.19 | 01/14/2016 | 1,859.98 | -52.21 | -2.73% | L |
| 38388F108 | GRA | 15.00 | 12/23/2013 | 1,434.14 | 01/19/2016 | 1,395.74 | -38.40 | -2.68% | L |
| 38388F108 | GRA | 20.00 | 03/04/2014 | 2,040.00 | 01/19/2016 | 1,860.98 | -179.02 | -8.78% | L |
| 418056107 | HAS | 19.00 | 10/14/2013 | 883.29 | 01/04/2016 | 1,251.72 | 368.43 | 41.71% | L |
| 4041198N8 | | 2,000.00 | 04/02/2014 | 1,997.50 | 01/21/2016 | 1,985.00 | -12.50 | -0.63% | L |
| 4041198N8 | | 2,000.00 | 04/02/2014 | 1,997.50 | 01/22/2016 | 2,005.00 | 7.50 | 0.38% | L |
| 4041198N8 | | 5,000.00 | 04/04/2014 | 5,012.50 | 01/22/2016 | 5,012.50 | 0.00 | 0.00% | L |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| HCA INC B/E 05 000% 031524 DTD031714 FC091514 CALL@MW+508P | 404119BN8 | | 5,000.00 | 04/04/2014 | 5,012.50 | 11/09/2016 | 5,050.00 | 37.50 | 0.75% | L |
| HCA INC B/E 05 000% 031524 DTD031714 FC091514 CALL@MW+508P | 404119BN8 | | 4,000.00 | 04/04/2014 | 4,015.00 | 11/16/2016 | 4,000.00 | -15.00 | -0.37% | L |
| HCA INC B/E 05 000% 031524 DTD031714 FC091514 CALL@MW+508P | 404119BN8 | | 4,000.00 | 06/10/2016 | 4,130.00 | 11/16/2016 | 4,000.00 | -130.00 | -3.15% | S |
| HCP INC | 40414L109 | HCP | 9.00 | 08/11/2010 | 301.22 | 02/12/2016 | 235.98 | -65.24 | -21.66% | L |
| HCP INC | 40414L109 | HCP | 65.00 | 10/21/2011 | 2,381.98 | 02/12/2016 | 1,704.27 | -677.71 | -28.45% | L |
| HCP INC | 40414L109 | HCP | 40.00 | 02/05/2013 | 1,854.22 | 02/12/2016 | 1,048.78 | -805.44 | -43.44% | L |
| HCP INC | 40414L109 | HCP | 40.00 | 08/23/2013 | 1,628.85 | 02/12/2016 | 1,048.79 | -580.06 | -35.61% | L |
| HCP INC | 40414L109 | HCP | 21.00 | 12/23/2013 | 756.52 | 02/12/2016 | 550.61 | -205.91 | -27.22% | L |
| HCP INC | 40414L109 | HCP | 39.00 | 12/23/2013 | 1,404.97 | 05/05/2016 | 1,344.28 | -60.69 | -4.32% | L |
| HCP INC | 40414L109 | HCP | 55.00 | 03/04/2014 | 2,137.38 | 05/05/2016 | 1,895.77 | -241.61 | -11.30% | L |
| HCP INC | 40414L109 | HCP | 200.00 | 06/17/2015 | 7,502.78 | 05/05/2016 | 6,893.73 | -609.05 | -8.12% | S |
| HCP INC | 40414L109 | HCP | 25.00 | 06/19/2015 | 939.04 | 05/05/2016 | 861.72 | -77.32 | -8.23% | S |
| HERTZ CORP NTS 06 250% 101522 DTD101612 FC041513 CALL@MW+508P | 428040CN7 | | 3,000.00 | 06/02/2015 | 3,105.00 | 04/20/2016 | 3,000.00 | -105.00 | -3.38% | S |
| HERTZ CORP NTS 06 250% 101522 DTD101612 FC041513 CALL@MW+508P | 428040CN7 | | 6,000.00 | 06/08/2015 | 6,165.00 | 04/26/2016 | 5,992.50 | -172.50 | -2.80% | S |
| HERTZ CORP NTS B/E 06 750% 041519 DTD041511 FC101511 | 428040CJ6 | | 4,000.00 | 01/08/2013 | 4,410.00 | 10/08/2016 | 4,067.52 | -342.48 | -7.77% | L |
| HERTZ CORP NTS B/E 06 750% 041519 DTD041511 FC101511 | 428040CJ6 | | 2,000.00 | 01/30/2013 | 2,185.00 | 10/08/2016 | 2,033.76 | -151.24 | -6.92% | L |
| HERTZ CORP NTS B/E 06 750% 041519 DTD041511 FC101511 | 428040CJ6 | | 2,000.00 | 01/31/2013 | 2,175.00 | 10/08/2016 | 2,033.76 | -141.24 | -6.49% | L |
| HERTZ CORP NTS B/E 06 750% 041519 DTD041511 FC101511 | 428040CJ6 | | 1,000.00 | 05/31/2016 | 1,018.50 | 10/08/2016 | 1,016.88 | -1.62 | -0.16% | S |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 71.00 | 02/06/2013 | 3,969.61 | 09/07/2016 | 2,684.72 | -1,284.89 | -32.37% | L |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 7.00 | 06/16/2014 | 363.69 | 09/07/2016 | 264.69 | -99.00 | -27.22% | L |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 17.00 | 06/18/2014 | 879.69 | 09/07/2016 | 642.82 | -236.87 | -26.93% | L |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 18.00 | 06/20/2014 | 932.44 | 09/07/2016 | 680.63 | -251.81 | -27.01% | L |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 16.00 | 06/23/2014 | 825.39 | 09/07/2016 | 605.01 | -220.38 | -26.70% | L |
| HSBC HOLDINGS PLC NEW GB SPON ADR | 404280406 | HSBC | 2.00 | 06/24/2014 | 102.98 | 09/07/2016 | 75.62 | -27.36 | -26.57% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| INTELSAT JACKSON HLDGS 07 250% 040119 DTD100111 CALL@MW+50BPS | 45824TAES | 4,000 00 | 12/18/2015 | 3,580 00 | 03/17/2016 | 3,043 16 | -536 84 | -15 00% | S |
| INTERCONTINENTAL EXCHANGE GROUP | 45866F104 | 170 00 | 12/21/2015 | 41,800.39 | 04/15/2016 | 40,330.17 | -1,470.22 | -3.52% | S |
| INTESA SANPAOLO SPON ADR | 46115H107 | 463 00 | 03/10/2016 | 8,146.42 | 09/07/2016 | 6,757.34 | -1,389.08 | -17 05% | S |
| INTL BUSINESS MACH CORP 07 000% 103025 DTD103095 FC043096 DEB M W T +12.5 | 459200AM3 | 38,000 00 | 07/22/2015 | 48,970 60 | 03/15/2016 | 49,955 18 | 984 58 | 2 01% | S |
| INVESCO LTD | G491BT108 | 10 00 | 01/18/2011 | 249 72 | 01/04/2016 | 327 59 | 77 87 | 31 18% | L |
| INVESCO LTD | G491BT108 | 75 00 | 02/03/2011 | 1,852.24 | 01/04/2016 | 2,456.96 | 604 72 | 32.65% | L |
| INVESCO LTD | G491BT108 | 15 00 | 02/17/2011 | 408 75 | 01/04/2016 | 491 39 | 82 64 | 20 22% | L |
| INVESCO LTD | G491BT108 | 25 00 | 02/05/2013 | 683.41 | 01/04/2016 | 818 98 | 135.57 | 19 84% | L |
| INVESCO LTD | G491BT108 | 70 00 | 05/06/2013 | 2,281.23 | 01/04/2016 | 2,293.16 | 11 93 | 0 52% | L |
| INVESCO LTD | G491BT108 | 120 00 | 08/02/2013 | 3,959.30 | 01/04/2016 | 3,931.13 | -28 17 | -0 71% | L |
| INVESCO LTD | G491BT108 | 120 00 | 12/23/2013 | 4,343 92 | 01/04/2016 | 3,931 13 | -412 79 | -9 50% | L |
| INVESCO LTD | G491BT108 | 140 00 | 03/04/2014 | 4,754 40 | 01/04/2016 | 4,586.31 | -168 09 | -3 54% | L |
| INVESCO LTD | G491BT108 | 55 00 | 03/04/2014 | 1,867 80 | 01/27/2016 | 1,613 18 | -254 62 | -13 63% | L |
| INVESCO LTD | G491BT108 | 40 00 | 10/13/2015 | 1,295 86 | 01/27/2016 | 1,173 22 | -122.64 | -9 46% | S |
| INVESCO LTD | G491BT108 | 75 00 | 10/13/2015 | 2,429 73 | 02/03/2016 | 2,049 89 | -379 84 | -15 63% | S |
| INVESCO LTD | G491BT108 | 41 00 | 01/04/2016 | 1,337.43 | 02/03/2016 | 1,120 60 | -216.83 | -16.21% | S |
| ISHARES SILVER TRUST ETF | 46428Q109 | 1,470 00 | 11/27/2015 | 19,792 45 | 02/23/2016 | 21,337 01 | 1,544 56 | 7 80% | S |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | 121 00 | 11/17/2015 | 3,801.66 | 02/12/2016 | 4,690.70 | 889 04 | 23.39% | S |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | 61 00 | 11/18/2015 | 1,918 03 | 02/12/2016 | 2,364 74 | 446 71 | 23 29% | S |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | 30 00 | 11/19/2015 | 963.00 | 02/12/2016 | 1,162 98 | 199.98 | 20.77% | S |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | 91 00 | 11/20/2015 | 2,968 47 | 02/12/2016 | 3,527 72 | 559 25 | 18 84% | S |
| J P MORGAN CHASE & CO 06.300% 042319 DTD042309 FC102309 NTS | 46625HHL7 | 10,000 00 | 10/31/2011 | 11,310.10 | 09/07/2016 | 11,190 11 | -119 99 | -1 06% | L |
| JANUS CAPITAL GROUP INC | 47102X105 | 276 00 | 07/25/2013 | 2,541 35 | 10/26/2016 | 3,589 13 | 1,047 78 | 41 23% | L |
| JOHNSON & JOHNSON COM 05 550% 081517 DTD081607 FC021508 CALL@MW+15BP | 478160AQ7 | 12,000 00 | 01/14/2010 | 13,390 68 | 03/23/2016 | 12,759 12 | -631.56 | -4 72% | L |
| JOHNSON & JOHNSON COM 05 550% 081517 DTD081607 FC021508 CALL@MW+15BP | 478160AQ7 | 3,000 00 | 08/30/2010 | 3,589 89 | 03/23/2016 | 3,189 78 | -400 11 | -11 15% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 478160AU8 | | 20,000.00 | 08/05/2015 | 22,110.40 | 03/23/2016 | 21,848.60 | -261.80 | -1.18% | S |
| JOHNSON & JOHNSON COM 5.150% 071518 DTD062308 FC011509 MW T+15BP | | | | | | | | | |
| 478160AU8 | | 20,000.00 | 01/06/2016 | 21,917.00 | 03/23/2016 | 21,848.60 | -68.40 | -0.31% | S |
| JOHNSON & JOHNSON COM 5.150% 071518 DTD062308 FC011509 MW T+15BP | | | | | | | | | |
| 48137C108 | JBAXY | 422.00 | 10/09/2014 | 3,607.76 | 09/07/2016 | 3,692.42 | 84.66 | 2.35% | L |
| JULIUS BAER GROUP LTD ADR | | | | | | | | | |
| 4943688D4 | | 45,000.00 | 01/06/2010 | 55,589.40 | 06/20/2016 | 51,485.40 | -4,104.00 | -7.38% | L |
| KIMBERLY CLARK CORP NTS 07 500% 110118 DTD110408 FC050109 | | | | | | | | | |
| 49461BAB0 | | 5,000.00 | 04/02/2013 | 5,450.00 | 04/07/2016 | 5,000.00 | -450.00 | -8.26% | L |
| KINETIC CONCEPTS INC NTS 10 500% 110118 DTD110112 FC050113 CALL@MW+50BP | | | | | | | | | |
| 49461BAB0 | | 3,000.00 | 04/02/2013 | 3,270.00 | 04/11/2016 | 3,000.00 | -270.00 | -8.26% | L |
| KINETIC CONCEPTS INC NTS 10 500% 110118 DTD110112 FC050113 CALL@MW+50BP | | | | | | | | | |
| 500255104 | KSS | 75.00 | 02/06/2013 | 3,423.83 | 02/04/2016 | 3,150.69 | -273.14 | -7.98% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 35.00 | 02/13/2013 | 1,619.06 | 02/04/2016 | 1,470.32 | -148.74 | -9.19% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 35.00 | 02/13/2013 | 1,619.06 | 05/12/2016 | 1,255.66 | -363.40 | -22.45% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 40.00 | 08/23/2013 | 2,050.90 | 05/12/2016 | 1,435.04 | -615.86 | -30.03% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 10.00 | 10/02/2013 | 514.22 | 05/12/2016 | 358.76 | -155.46 | -30.23% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 22.00 | 12/23/2013 | 1,225.84 | 05/12/2016 | 789.27 | -436.57 | -35.61% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 43.00 | 12/23/2013 | 2,395.96 | 08/17/2016 | 1,940.97 | -454.99 | -18.99% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 65.00 | 03/04/2014 | 3,677.70 | 08/17/2016 | 2,934.04 | -743.66 | -20.22% | L |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 95.00 | 10/13/2015 | 4,398.50 | 08/17/2016 | 4,288.20 | -110.30 | -2.51% | S |
| KOHLS CORP | | | | | | | | | |
| 500255104 | KSS | 45.00 | 05/25/2016 | 1,600.20 | 08/17/2016 | 2,031.25 | 431.05 | 26.94% | S |
| KONINKLIJKE PHILIPS NV SPON ADR | | | | | | | | | |
| 500472303 | PHG | 219.00 | 10/10/2014 | 6,389.70 | 09/07/2016 | 6,458.98 | 69.28 | 1.08% | L |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 521865AX3 | | 2,000.00 | 02/20/2015 | 2,040.00 | 11/18/2016 | 2,105.00 | 65.00 | 3.19% | L |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 521865AX3 | | 2,000.00 | 03/11/2015 | 2,045.00 | 11/18/2016 | 2,105.00 | 60.00 | 2.93% | L |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 521865AX3 | | 3,000.00 | 03/13/2015 | 3,067.50 | 11/18/2016 | 3,157.50 | 90.00 | 2.93% | L |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 521865AX3 | | 2,000.00 | 03/16/2015 | 2,045.00 | 11/21/2016 | 2,105.00 | 60.00 | 2.93% | L |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 521865AX3 | | 4,000.00 | 06/13/2016 | 4,240.00 | 11/21/2016 | 4,210.00 | -30.00 | -0.71% | S |
| LEAR CORP NTS B/E 05.250% 011525 DTD112114 FC071515 CALL@MW+50BP | | | | | | | | | |
| 525327102 | LDOS | 143.00 | 12/23/2013 | 6,538.73 | 01/27/2016 | 6,583.42 | 44.69 | 0.68% | L |
| LEIDOS HLDGS INC | | | | | | | | | |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 525327102 | LDOS | 70.00 | 10/13/2015 | 3,157.28 | 01/27/2016 | 3,222.66 | 65.38 | 2.07% | S |
| 527298AW3 | | 1,000.00 | 06/02/2014 | 1,087.50 | 04/21/2016 | 1,041.38 | -46.12 | -4.24% | L |
| 527298AW3 | | 3,000.00 | 06/03/2014 | 3,262.50 | 04/21/2016 | 3,124.14 | -138.36 | -4.24% | L |
| 527298AW3 | | 1,000.00 | 06/04/2014 | 1,087.50 | 04/21/2016 | 1,041.38 | -46.12 | -4.24% | L |
| 527298AW3 | | 1,000.00 | 06/10/2014 | 1,092.50 | 04/21/2016 | 1,041.38 | -51.12 | -4.68% | L |
| 527298AW3 | | 2,000.00 | 06/16/2014 | 2,195.00 | 04/21/2016 | 2,082.76 | -112.24 | -5.11% | L |
| 531229888 | BATRK | 23.00 | 09/19/2014 | 493.31 | 08/01/2016 | 368.08 | -125.23 | -25.39% | L |
| 531229888 | BATRK | 11.50 | 12/02/2014 | 243.73 | 08/01/2016 | 184.04 | -59.69 | -24.49% | L |
| 531229888 | BATRK | 17.50 | 06/29/2015 | 369.32 | 08/01/2016 | 280.06 | -89.26 | -24.17% | L |
| 531229888 | BATRK | 25.00 | 05/25/2016 | 386.00 | 08/01/2016 | 400.09 | 14.09 | 3.65% | S |
| 531229888 | BATRK | 45.00 | 06/16/2016 | 625.01 | 08/01/2016 | 720.15 | 95.14 | 15.22% | S |
| 531229854 | FWONK | 57.50 | 09/19/2014 | 1,241.36 | 05/26/2016 | 1,092.08 | -149.28 | -12.03% | L |
| 531229854 | FWONK | 12.50 | 12/02/2014 | 266.66 | 05/26/2016 | 237.41 | -29.25 | -10.97% | L |
| 531229854 | FWONK | 16.25 | 12/02/2014 | 346.66 | 05/27/2016 | 309.20 | -37.46 | -10.81% | L |
| 531229854 | FWONK | 43.75 | 06/29/2015 | 929.36 | 05/27/2016 | 832.46 | -96.90 | -10.43% | S |
| 531229854 | FWONK | 25.00 | 05/25/2016 | 472.75 | 05/27/2016 | 475.69 | 2.94 | 0.62% | S |
| 53219LAN9 | | 4,000.00 | 08/22/2016 | 4,240.00 | 10/28/2016 | 4,080.00 | -160.00 | -3.77% | S |
| 53219LAN9 | | 8,000.00 | 09/06/2016 | 8,460.00 | 10/28/2016 | 8,160.00 | -300.00 | -3.55% | S |
| 53931R103 | JSGRY | 71.00 | 08/31/2015 | 2,918.25 | 05/18/2016 | 2,600.33 | -317.92 | -10.89% | S |
| 53931R103 | JSGRY | 21.00 | 08/31/2015 | 863.15 | 05/19/2016 | 740.90 | -122.25 | -14.16% | S |
| 53931R103 | JSGRY | 20.00 | 09/02/2015 | 804.35 | 05/19/2016 | 705.62 | -98.73 | -12.27% | S |
| 53931R103 | JSGRY | 72.00 | 09/02/2015 | 2,895.66 | 05/20/2016 | 2,501.21 | -394.45 | -13.62% | S |
| 53931R103 | JSGRY | 174.00 | 09/02/2015 | 6,997.85 | 05/23/2016 | 5,945.66 | -1,052.19 | -15.04% | S |
| 532716AT4 | | 2,000.00 | 05/28/2014 | 2,255.00 | 01/08/2016 | 2,220.00 | -35.00 | -1.55% | L |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| LTD BRANDS INC NTS B/E 06 625% 040121 DTD032511 CALL@MW+50BP | 532716AT4 | | 2,000.00 | 06/05/2014 | 2,257.50 | 04/11/2016 | 2,247.50 | -10.00 | -0.44% | L |
| LTD BRANDS INC NTS B/E 06 625% 040121 DTD032511 CALL@MW+50BP | 532716AT4 | | 1,000.00 | 06/24/2014 | 1,140.00 | 04/11/2016 | 1,123.75 | -16.25 | -1.43% | L |
| LTD BRANDS INC NTS B/E 06 625% 040121 DTD032511 CALL@MW+50BP | 532716AT4 | | 1,000.00 | 06/24/2014 | 1,140.00 | 04/13/2016 | 1,125.00 | -15.00 | -1.32% | L |
| LTD BRANDS INC NTS B/E 06 625% 040121 DTD032511 CALL@MW+50BP | 532716AT4 | | 2,000.00 | 07/07/2014 | 2,280.00 | 04/13/2016 | 2,250.00 | -30.00 | -1.32% | L |
| LTD BRANDS INC NTS B/E 06 625% 040121 DTD032511 CALL@MW+50BP | 532716AT4 | | 2,000.00 | 12/11/2014 | 2,237.50 | 04/13/2016 | 2,250.00 | 12.50 | 0.56% | L |
| M & T BANK CORP | 55261F104 | MTB | 10.00 | 02/06/2013 | 1,037.53 | 01/04/2016 | 1,175.78 | 138.25 | 13.32% | L |
| MARKET VECTORS ETF TR JR GOLD MINERS ETF **NAME CHANGE 05/2016** | 57061R544 | | 1,750.00 | 11/25/2015 | 33,704.62 | 02/23/2016 | 43,026.80 | 9,322.18 | 27.66% | S |
| MARKIT LTD **NAME CHANGE EFF 07/2016** | G58249106 | | 82.00 | 06/02/2015 | 2,213.23 | 03/22/2016 | 2,799.35 | 586.12 | 26.48% | S |
| MARTIN MARIETTA MATERIALS INC | 573284106 | MLM | 19.00 | 02/06/2013 | 1,870.14 | 01/04/2016 | 2,544.24 | 674.10 | 36.05% | L |
| MARTIN MARIETTA MATERIALS INC | 573284106 | MLM | 10.00 | 02/06/2013 | 984.28 | 03/15/2016 | 1,524.95 | 540.67 | 54.93% | L |
| MATTEL INC | 577081102 | MAT | 65.00 | 03/10/2010 | 1,217.27 | 05/25/2016 | 2,046.81 | 829.54 | 68.15% | L |
| MATTEL INC | 577081102 | MAT | 25.00 | 04/21/2010 | 485.96 | 05/25/2016 | 787.23 | 301.27 | 61.99% | L |
| MAZDA MTR CORP ADR | 578787103 | MZDAY | 463.00 | 04/26/2016 | 3,770.07 | 09/07/2016 | 3,796.52 | 26.45 | 0.70% | S |
| MBIA INC | 55262C100 | MBI | 322.00 | 02/06/2013 | 3,144.82 | 01/04/2016 | 2,075.02 | -1,069.80 | -34.02% | L |
| MCKESSON CORP | 58155Q103 | MCK | 15.00 | 05/17/2010 | 1,022.95 | 01/04/2016 | 2,911.45 | 1,888.50 | 184.61% | L |
| MCKESSON CORP | 58155Q103 | MCK | 35.00 | 08/11/2010 | 2,136.75 | 01/04/2016 | 6,793.38 | 4,656.63 | 217.93% | L |
| MCKESSON CORP | 58155Q103 | MCK | 40.00 | 11/01/2010 | 2,687.32 | 01/04/2016 | 7,763.87 | 5,076.55 | 188.91% | L |
| MCKESSON CORP | 58155Q103 | MCK | 10.00 | 08/23/2013 | 1,226.20 | 01/04/2016 | 1,940.96 | 714.76 | 58.29% | L |
| MCKESSON CORP | 58155Q103 | MCK | 5.00 | 12/23/2013 | 800.55 | 01/04/2016 | 970.49 | 169.94 | 21.23% | L |
| MCKESSON CORP | 58155Q103 | MCK | 20.00 | 03/04/2014 | 3,558.80 | 01/04/2016 | 3,881.93 | 323.13 | 9.08% | L |
| MCKESSON CORP | 58155Q103 | MCK | 30.00 | 10/13/2015 | 5,733.00 | 01/04/2016 | 5,822.90 | 89.90 | 1.57% | S |
| MCKESSON CORP | 58155Q103 | MCK | 5.00 | 01/04/2016 | 971.76 | 01/13/2016 | 824.33 | -147.43 | -15.17% | S |
| METHANEX CORP | 59151K108 | MEOH | 25.00 | 10/02/2014 | 1,603.53 | 01/04/2016 | 800.99 | -802.54 | -50.05% | L |
| METHANEX CORP | 59151K108 | MEOH | 383.00 | 10/02/2014 | 24,566.04 | 02/09/2016 | 9,846.37 | -14,719.67 | -59.92% | L |
| METHANEX CORP | 59151K108 | MEOH | 5.00 | 10/16/2014 | 278.59 | 02/09/2016 | 128.54 | -150.05 | -53.86% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 59151K108 | MEOH | 108.00 | 06/09/2015 | 5,926.30 | 02/09/2016 | 2,776.52 | -3,149.78 | -53.15% | S |
| 59151K108 | MEOH | 82.00 | 06/09/2015 | 4,499.59 | 02/10/2016 | 2,116.67 | -2,382.92 | -52.96% | S |
| 595112BA0 | | 3,000.00 | 02/23/2015 | 3,142.50 | 04/01/2016 | 2,565.00 | -577.50 | -18.38% | L |
| 595112BA0 | | 3,000.00 | 03/05/2015 | 3,183.75 | 04/04/2016 | 2,565.00 | -618.75 | -19.43% | L |
| 595112BA0 | | 3,000.00 | 03/05/2015 | 3,183.75 | 04/05/2016 | 2,565.00 | -618.75 | -19.43% | L |
| 606783207 | MITEY | 181.00 | 10/10/2014 | 3,715.03 | 09/07/2016 | 3,479.65 | -235.38 | -6.34% | L |
| 553530106 | MSM | 29.00 | 07/30/2015 | 2,032.24 | 01/04/2016 | 1,608.92 | -423.32 | -20.83% | S |
| 626425102 | MRAAY | 215.00 | 04/25/2016 | 7,467.38 | 09/07/2016 | 7,061.53 | -405.85 | -5.43% | S |
| 636274300 | NGG | 132.00 | 08/26/2015 | 8,532.36 | 08/05/2016 | 9,391.80 | 859.44 | 10.07% | S |
| 636274300 | NGG | 48.00 | 08/26/2015 | 3,102.68 | 09/07/2016 | 3,433.37 | 330.69 | 10.66% | L |
| 636274300 | NGG | 50.00 | 08/26/2015 | 3,231.95 | 10/10/2016 | 3,250.64 | 18.69 | 0.58% | L |
| 636274300 | NGG | 111.00 | 01/25/2016 | 7,579.01 | 10/10/2016 | 7,216.43 | -362.58 | -4.78% | S |
| 636274300 | NGG | 70.00 | 05/25/2016 | 5,142.90 | 10/10/2016 | 4,550.90 | -592.00 | -11.51% | S |
| 636180101 | NFG | 10.00 | 12/10/2012 | 532.48 | 05/25/2016 | 544.49 | 12.01 | 2.26% | L |
| 636180101 | NFG | 30.00 | 12/13/2012 | 1,596.88 | 05/25/2016 | 1,633.46 | 36.58 | 2.29% | L |
| 651587107 | NEU | 119.00 | 02/06/2013 | 30,611.01 | 01/04/2016 | 44,151.27 | 13,540.26 | 44.23% | L |
| 651587107 | NEU | 9.00 | 03/19/2013 | 2,353.20 | 01/04/2016 | 3,339.17 | 985.97 | 41.90% | L |
| 651587107 | NEU | 2.00 | 12/23/2013 | 660.61 | 01/04/2016 | 742.04 | 81.43 | 12.33% | L |
| 65473P105 | NI | 20.00 | 12/23/2013 | 233.54 | 05/25/2016 | 480.79 | 247.25 | 105.87% | L |
| 66987V109 | NVS | 12.00 | 10/09/2014 | 1,082.23 | 09/07/2016 | 963.22 | -119.01 | -11.00% | L |
| 66987V109 | NVS | 34.00 | 10/10/2014 | 2,992.21 | 09/07/2016 | 2,729.13 | -263.08 | -8.79% | L |
| 66987V109 | NVS | 100.00 | 10/10/2014 | 8,800.63 | 11/03/2016 | 7,070.71 | -1,729.92 | -19.66% | L |
| 66987V109 | NVS | 46.00 | 01/04/2016 | 3,910.92 | 11/03/2016 | 3,252.53 | -658.39 | -16.83% | S |
| 66987V109 | NVS | 11.00 | 02/01/2016 | 847.55 | 11/03/2016 | 777.78 | -69.77 | -8.23% | S |
| 66987V109 | NVS | 49.00 | 05/25/2016 | 3,918.53 | 11/03/2016 | 3,464.65 | -453.88 | -11.58% | S |
| 629377BN1 | | 4,000.00 | 12/16/2015 | 4,110.00 | 05/25/2016 | 4,360.00 | 250.00 | 6.08% | S |

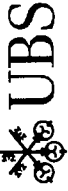
NRG ENERGY INC 07 625% 011518 DTD071511
 CALL@MMW+508P



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 629377BN1 | | 1,000.00 | 12/16/2015 | 1,027.50 | 06/08/2016 | 1,090.00 | 62.50 | 6.08% | S |
| NRG ENERGY INC 07 625% 011518 DTD071511 CALL@MW+50BP | | | | | | | | | |
| 629377BN1 | | 4,000.00 | 12/16/2015 | 4,110.00 | 10/19/2016 | 4,310.00 | 200.00 | 4.87% | S |
| NRG ENERGY INC 07 625% 011518 DTD071511 CALL@MW+50BP | | | | | | | | | |
| 665859AL8 | | 5,000.00 | 06/22/2016 | 5,352.50 | 09/07/2016 | 5,338.75 | -13.75 | -0.26% | S |
| NTHN TR CORP NTS B/E 03 450% 110420 DTD110410 FC050411 | | | | | | | | | |
| 679580100 | ODFL | 25.00 | 02/06/2013 | 923.00 | 01/04/2016 | 1,441.97 | 518.97 | 56.23% | L |
| OLD DOMINION FREIGHT LINES INC | | | | | | | | | |
| 680223104 | ORI | 117.00 | 12/23/2013 | 1,981.94 | 02/18/2016 | 2,106.12 | 124.18 | 6.27% | L |
| OLD REPUBLIC INTL CORP | | | | | | | | | |
| 680223104 | ORI | 430.00 | 03/04/2014 | 6,703.70 | 02/18/2016 | 7,740.44 | 1,036.74 | 15.47% | L |
| OLD REPUBLIC INTL CORP | | | | | | | | | |
| 684060106 | ORAN | 93.00 | 04/15/2016 | 1,599.63 | 09/07/2016 | 1,422.96 | -176.67 | -11.04% | S |
| ORANGE SPON ADR | | | | | | | | | |
| 68557N103 | OA | 38.00 | 04/10/2013 | 1,212.53 | 01/04/2016 | 3,391.44 | 2,178.91 | 179.70% | L |
| ORBITAL ATK INC COM | | | | | | | | | |
| 689164101 | OTSKY | 50.00 | 10/09/2014 | 859.56 | 07/19/2016 | 1,155.78 | 296.22 | 34.46% | L |
| OTSUKA HDGS CO LTD UNSPONSORED ADR | | | | | | | | | |
| 689164101 | OTSKY | 149.00 | 10/09/2014 | 2,561.47 | 09/07/2016 | 3,359.88 | 798.41 | 31.17% | L |
| OTSUKA HDGS CO LTD UNSPONSORED ADR | | | | | | | | | |
| 737446AB0 | | 3,000.00 | 02/13/2013 | 3,288.75 | 01/13/2016 | 3,150.00 | -138.75 | -4.22% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 FC021513 | | | | | | | | | |
| 737446AB0 | | 3,000.00 | 03/28/2013 | 3,288.75 | 01/13/2016 | 3,153.75 | -135.00 | -4.10% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 737446AB0 | | 2,000.00 | 03/28/2013 | 2,192.50 | 01/14/2016 | 2,090.00 | -102.50 | -4.68% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 737446AB0 | | 2,000.00 | 03/28/2013 | 2,192.50 | 08/03/2016 | 2,141.66 | -50.84 | -2.32% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 737446AB0 | | 2,000.00 | 09/16/2013 | 2,115.00 | 08/03/2016 | 2,141.66 | 26.66 | 1.26% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 737446AB0 | | 5,000.00 | 09/27/2013 | 5,300.00 | 08/03/2016 | 5,354.15 | 54.15 | 1.02% | L |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 737446AB0 | | 4,000.00 | 06/20/2016 | 4,230.00 | 08/03/2016 | 4,283.32 | 53.32 | 1.26% | S |
| POST HDGS INC NTS 07.375% 021522 DTD081512 | | | | | | | | | |
| 69351UAP8 | | 10,000.00 | 07/07/2016 | 10,679.60 | 11/08/2016 | 10,531.30 | -148.30 | -1.39% | S |
| PPL ELEC UTILITIES CORP 03 000% 091521 DTD082311 FC031512 CALL @ MAKE | | | | | | | | | |
| 741511109 | PSMT | 14.00 | 02/06/2013 | 1,077.44 | 01/04/2016 | 1,130.67 | 53.23 | 4.94% | L |
| PRICESMART INC | | | | | | | | | |
| 741511109 | PSMT | 152.00 | 02/06/2013 | 11,697.92 | 12/29/2016 | 12,583.16 | 885.24 | 7.57% | L |
| PRICESMART INC | | | | | | | | | |
| 741511109 | PSMT | 77.00 | 02/06/2013 | 5,925.92 | 12/30/2016 | 6,431.05 | 505.13 | 8.52% | L |
| PRICESMART INC | | | | | | | | | |
| 741511109 | PSMT | 10.00 | 08/23/2013 | 846.50 | 12/30/2016 | 835.21 | -11.29 | -1.33% | L |
| PRICESMART INC | | | | | | | | | |
| 741511109 | PSMT | 42.00 | 12/23/2013 | 4,923.75 | 12/30/2016 | 3,507.84 | -1,415.91 | -28.76% | L |
| PRICESMART INC | | | | | | | | | |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 741511109 | PSMT | 37.00 | 05/25/2016 | 3,267.06 | 12/30/2016 | 3,090.25 | -176.81 | -5.41% | S |
| 742718DN6 | | 33,000.00 | 07/24/2014 | 37,153.05 | 11/03/2016 | 35,547.27 | -1,605.78 | -4.32% | L |
| 742718DN6 | | 22,000.00 | 02/12/2016 | 24,271.72 | 11/03/2016 | 23,698.18 | -573.54 | -2.36% | S |
| 742718DN6 | | 6,000.00 | 06/29/2016 | 6,578.34 | 11/03/2016 | 6,463.14 | -115.20 | -1.75% | S |
| 74834L100 | DGX | 4.00 | 02/25/2014 | 212.93 | 06/17/2016 | 304.66 | 91.73 | 43.08% | L |
| 74834L100 | DGX | 36.00 | 03/04/2014 | 1,901.52 | 06/17/2016 | 2,741.92 | 840.40 | 44.20% | L |
| 74834L100 | DGX | 24.00 | 03/04/2014 | 1,267.68 | 06/20/2016 | 1,872.59 | 604.91 | 47.72% | L |
| 74834L100 | DGX | 65.00 | 03/28/2014 | 3,728.95 | 06/20/2016 | 5,071.60 | 1,342.65 | 36.01% | L |
| 74834L100 | DGX | 15.00 | 10/13/2015 | 947.01 | 06/20/2016 | 1,170.37 | 223.36 | 23.59% | S |
| 74834L100 | DGX | 10.00 | 05/25/2016 | 776.80 | 06/20/2016 | 780.25 | 3.45 | 0.44% | S |
| 750236AR2 | | 5,000.00 | 04/22/2016 | 5,200.00 | 11/10/2016 | 5,225.00 | 25.00 | 0.48% | S |
| 750236AR2 | | 4,000.00 | 04/25/2016 | 4,160.00 | 11/14/2016 | 4,155.00 | -5.00 | -0.12% | S |
| 75281AAQ2 | | 4,000.00 | 02/19/2014 | 4,050.00 | 01/22/2016 | 3,020.00 | -1,030.00 | -25.43% | L |
| 75281AAQ2 | | 2,000.00 | 02/19/2014 | 2,025.00 | 08/03/2016 | 1,910.00 | -115.00 | -5.68% | L |
| 75281AAQ2 | | 4,000.00 | 08/19/2015 | 3,610.00 | 08/03/2016 | 3,820.00 | 210.00 | 5.82% | S |
| 75281AAQ2 | | 1,000.00 | 06/14/2016 | 992.50 | 08/03/2016 | 955.00 | 22.50 | 2.41% | S |
| 771195104 | RHHBY | 151.00 | 10/10/2014 | 5,210.26 | 09/07/2016 | 4,723.94 | -486.32 | -9.33% | L |
| 774341101 | COL | 4.00 | 08/11/2010 | 229.60 | 02/03/2016 | 314.12 | 84.52 | 36.81% | L |
| 774341101 | COL | 40.00 | 02/04/2011 | 2,630.00 | 02/03/2016 | 3,141.16 | 511.16 | 19.44% | L |
| 774341101 | COL | 14.00 | 03/11/2013 | 854.26 | 02/03/2016 | 1,099.41 | 245.15 | 28.70% | L |
| 780249108 | RDSMY | 139.00 | 10/09/2014 | 2,113.19 | 08/17/2016 | 2,388.53 | 275.34 | 13.03% | L |
| 780249108 | RDSMY | 258.00 | 10/09/2014 | 3,922.32 | 09/07/2016 | 4,574.24 | 651.92 | 16.62% | L |
| 780259206 | RDSA | 111.00 | 11/09/2015 | 5,763.72 | 09/07/2016 | 5,635.91 | -127.81 | -2.22% | S |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 78401FAG2 | | 1,000.00 | 01/06/2016 | 1,038.75 | 09/15/2016 | 1,028.75 | -10.00 | -0.96% | S |
| SBA TELECOMMUNICATIONS 05 750% 071520 DITD011513 FC071513 CALL@MMW+50BP | | | | | | | | | |
| 78401FAG2 | | 3,000.00 | 01/06/2016 | 3,116.25 | 09/15/2016 | 3,086.25 | -30.00 | -0.96% | S |
| SBA TELECOMMUNICATIONS 05 750% 071520 DITD011513 FC071513 CALL@MMW+50BP | | | | | | | | | |
| 78401FAG2 | | 4,000.00 | 06/14/2016 | 4,120.00 | 09/15/2016 | 4,115.00 | -5.00 | -0.12% | S |
| SBA TELECOMMUNICATIONS 05 750% 071520 DITD011513 FC071513 CALL@MMW+50BP | | | | | | | | | |
| 806857108 | SLB | 57.00 | 05/19/2016 | 4,184.67 | 09/07/2016 | 4,482.39 | 297.72 | 7.11% | S |
| SCHLUMBERGER LTD NETHERLANDS ANTILLES | | | | | | | | | |
| 813113206 | SOMLY | 116.00 | 10/09/2014 | 1,677.94 | 03/31/2016 | 2,169.52 | 491.58 | 29.30% | L |
| SECOM LTD ADR JAPAN ADR | | | | | | | | | |
| 813113206 | SOMLY | 163.00 | 10/09/2014 | 2,357.80 | 09/07/2016 | 3,121.38 | 763.58 | 32.39% | L |
| SECOM LTD ADR JAPAN ADR | | | | | | | | | |
| 81603X108 | SEKEY | 373.00 | 08/31/2015 | 3,005.67 | 09/07/2016 | 3,537.83 | 532.16 | 17.71% | L |
| SEIKO EPSON CORP UNSPONSORED ADR | | | | | | | | | |
| 81603X108 | SEKEY | 179.00 | 09/03/2015 | 1,428.42 | 09/07/2016 | 1,697.78 | 269.36 | 18.86% | L |
| SEIKO EPSON CORP UNSPONSORED ADR | | | | | | | | | |
| 81603X108 | SEKEY | 155.00 | 09/03/2015 | 1,236.90 | 12/02/2016 | 1,529.80 | 292.90 | 23.68% | L |
| SEIKO EPSON CORP UNSPONSORED ADR | | | | | | | | | |
| 81783H105 | SVNDY | 319.00 | 10/09/2014 | 6,074.93 | 04/18/2016 | 6,891.08 | 816.15 | 13.43% | L |
| SEVEN & I HLDGS CO LTD ADR | | | | | | | | | |
| 81783H105 | SVNDY | 324.00 | 10/09/2014 | 6,170.15 | 04/19/2016 | 7,058.25 | 888.10 | 14.39% | L |
| SEVEN & I HLDGS CO LTD ADR | | | | | | | | | |
| 81783H105 | SVNDY | 88.00 | 01/04/2016 | 1,958.44 | 04/19/2016 | 1,917.05 | -41.39 | -2.11% | S |
| SEVEN & I HLDGS CO LTD ADR | | | | | | | | | |
| 83084V106 | SKYAY | 1.00 | 09/10/2014 | 57.23 | 02/12/2016 | 56.43 | -0.80 | -1.40% | L |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 2.00 | 09/11/2014 | 114.49 | 02/12/2016 | 112.85 | -1.64 | -1.43% | L |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 113.00 | 10/09/2014 | 6,583.67 | 02/12/2016 | 6,376.40 | -207.27 | -3.15% | L |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 219.00 | 10/09/2014 | 12,759.51 | 07/21/2016 | 10,070.94 | -2,688.57 | -21.07% | L |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 43.00 | 01/04/2016 | 2,788.55 | 07/21/2016 | 1,977.39 | -811.16 | -29.09% | S |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 23.00 | 04/26/2016 | 1,321.58 | 07/21/2016 | 1,057.68 | -263.90 | -19.97% | S |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 18.00 | 05/25/2016 | 1,020.78 | 07/21/2016 | 827.75 | -193.03 | -18.91% | S |
| SKY PLC SPON ADR | | | | | | | | | |
| 83084V106 | SKYAY | 52.00 | 05/25/2016 | 2,948.92 | 07/22/2016 | 2,382.02 | -566.90 | -19.22% | S |
| SKY PLC SPON ADR | | | | | | | | | |
| 83175M205 | SNN | 78.00 | 03/25/2015 | 2,717.94 | 09/07/2016 | 2,598.12 | -119.82 | -4.41% | L |
| SMITH & NEPHEW PLC NEW SPON ADR | | | | | | | | | |
| 83364L109 | SCGLY | 188.00 | 10/09/2014 | 1,804.50 | 09/07/2016 | 1,374.25 | -430.25 | -23.84% | L |
| SOCIETE GENERALE FRANCE SPONS ADR ADR | | | | | | | | | |
| 83364L109 | SCGLY | 444.00 | 10/09/2014 | 4,261.67 | 12/02/2016 | 3,785.06 | -476.61 | -11.18% | L |
| SOCIETE GENERALE FRANCE SPONS ADR ADR | | | | | | | | | |
| 845467AL3 | | 4,000.00 | 02/25/2016 | 2,425.00 | 04/04/2016 | 2,660.00 | 235.00 | 9.69% | S |
| SOUTHWESTERN ENERGY CO 04 950% 012325 DITD012315 FC072315 CALL@MMW+50BP | | | | | | | | | |
| 845467AL3 | | 3,000.00 | 02/25/2016 | 1,818.75 | 04/04/2016 | 2,017.50 | 198.75 | 10.93% | S |
| SOUTHWESTERN ENERGY CO 04 950% 012325 DITD012315 FC072315 CALL@MMW+50BP | | | | | | | | | |



Consolidated report prepared for West Foundation
 3A 00893 West Fdn 3A 04730 West Fdn MIMM
 3A 01039 West Fdn REIN 3A 06635 West Fdn CAMB
 3A 01040 West Fdn SEIX 3A 07806 West Fdn QGARP
 3A 01042 West Fdn ANCHOR
 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| SOUTHWESTERN ENERGY CO 04.950% 012325 DTD012315 FC072315 CALL@MW+50BP | 845467AL3 | 2,000.00 | 02/25/2016 | 1,215.00 | 04/04/2016 | 1,345.00 | 130.00 | 10.70% | S |
| SPDR GOLD SHARES ETF | 78463V107 | 835.00 | 06/25/2014 | 105,542.03 | 02/23/2016 | 97,670.18 | -7,871.85 | -7.46% | L |
| SPECTRUM BRANDS HLDGS INC COM | 84763R101 | 20.00 | 07/30/2015 | 2,085.93 | 01/04/2016 | 2,026.38 | -59.55 | -2.85% | S |
| SPRINT CAPITAL CORP 06 875% 111528 DTD111698 FC051599 M-W+25BP | 852060AD4 | 1,000.00 | 04/07/2014 | 978.75 | 04/13/2016 | 740.00 | -238.75 | -24.39% | L |
| SPRINT CAPITAL CORP 06 875% 111528 DTD111698 FC051599 M-W+25BP | 852060AD4 | 2,000.00 | 04/07/2014 | 1,957.50 | 04/14/2016 | 1,500.00 | -457.50 | -23.37% | L |
| SPRINT CAPITAL CORP 06 875% 111528 DTD111698 FC051599 M-W+25BP | 852060AD4 | 5,000.00 | 04/07/2014 | 4,893.75 | 04/28/2016 | 3,693.75 | -1,200.00 | -24.52% | L |
| SPRINT CAPITAL CORP 06.900% 050119 DTD050699 FC110199 MW+25BP GLOBAL | 852060AG7 | 7,000.00 | 07/14/2016 | 6,982.50 | 10/18/2016 | 7,367.50 | 385.00 | 5.51% | S |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 4,000.00 | 04/09/2014 | 4,090.00 | 06/23/2016 | 3,130.00 | -960.00 | -23.47% | L |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 4,000.00 | 04/09/2014 | 4,090.00 | 06/23/2016 | 3,120.00 | -970.00 | -23.72% | L |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 3,000.00 | 12/17/2015 | 2,175.00 | 06/23/2016 | 2,340.00 | 165.00 | 7.59% | S |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 1,000.00 | 12/17/2015 | 725.00 | 06/29/2016 | 769.80 | 44.80 | 6.18% | S |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 3,000.00 | 06/01/2016 | 2,251.80 | 06/29/2016 | 2,309.40 | 57.60 | 2.56% | S |
| SPRINT NEXTEL CORP B/E 06 000% 111522 DTD111412 FC051513 CALL@MW+50BP | 852061AS9 | 3,000.00 | 06/06/2016 | 2,280.00 | 06/29/2016 | 2,309.40 | 29.40 | 1.29% | S |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 71.00 | 12/01/2009 | 2,629.02 | 05/10/2016 | 5,364.39 | 2,735.37 | 104.05% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 60.00 | 08/11/2010 | 2,281.80 | 05/10/2016 | 4,533.30 | 2,251.50 | 98.67% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 5.00 | 10/15/2010 | 199.05 | 05/10/2016 | 377.77 | 178.72 | 89.79% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 55.00 | 02/08/2011 | 2,442.00 | 05/10/2016 | 4,155.52 | 1,713.52 | 70.17% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 15.00 | 08/23/2013 | 778.80 | 05/10/2016 | 1,133.32 | 354.52 | 45.52% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 120.00 | 12/23/2013 | 7,438.15 | 05/10/2016 | 9,066.58 | 1,628.43 | 21.89% | L |
| ST JUDE MEDICAL INC **MERGER EFF 01/2017** | 790849103 | 45.00 | 03/04/2014 | 3,051.45 | 05/10/2016 | 3,399.97 | 348.52 | 11.42% | L |
| ST STREET CORP NTS B/E 01 350% 051518 DTD051513 FC111513 | 857477AK9 | 9,000.00 | 08/30/2016 | 9,038.25 | 09/07/2016 | 9,027.90 | -10.35 | -0.11% | S |
| STURM RUGER CO | 864159108 | 38.00 | 06/03/2013 | 1,924.22 | 01/04/2016 | 2,330.12 | 405.90 | 21.09% | L |
| STURM RUGER CO | 864159108 | 11.00 | 06/03/2013 | 557.01 | 03/14/2016 | 823.62 | 266.61 | 47.86% | L |



Consolidated report prepared for West Foundation
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 3A 01040 West Fdn SEIX 3A 07806 West Fdn QGARP
 3A 01042 West Fdn ANCHOR
 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 86562M209 | SMFG | 954 00 | 10/09/2014 | 7,522 10 | 01/27/2016 | 6,520 76 | -1,001.34 | -13 31% | L |
| 86562M209 | SMFG | 1,242 00 | 10/09/2014 | 9,792.92 | 02/22/2016 | 6,601.09 | -3,191 83 | -32 59% | L |
| 86562M209 | SMFG | 475 00 | 02/04/2015 | 3,313 27 | 02/22/2016 | 2,524 57 | -788 70 | -23 80% | L |
| 86562M209 | SMFG | 138 00 | 08/26/2015 | 1,085 02 | 02/22/2016 | 733 46 | -351 56 | -32 40% | S |
| 86562M209 | SMFG | 158 00 | 01/04/2016 | 1,186 96 | 02/22/2016 | 839 75 | -347 21 | -29 25% | S |
| 86562M209 | SMFG | 288 00 | 01/04/2016 | 2,163 57 | 02/23/2016 | 1,534 87 | -628.70 | -29.06% | S |
| 86803T104 | STBFY | 99 00 | 10/09/2014 | 1,740 78 | 09/07/2016 | 2,096 28 | 355 50 | 20 42% | L |
| 8679148F9 | | 8,000 00 | 06/21/2016 | 8,123 68 | 09/07/2016 | 8,134 40 | 10 72 | 0 13% | S |
| 87165B103 | SYF | 216 00 | 09/02/2014 | 5,539 77 | 11/16/2016 | 7,047 30 | 1,507.53 | 27.21% | L |
| 87160A100 | SYT | 5 00 | 12/26/2014 | 328.17 | 01/25/2016 | 352.68 | 24.51 | 7 47% | L |
| 87160A100 | SYT | 39 00 | 12/29/2014 | 2,535.12 | 01/25/2016 | 2,750 89 | 215 77 | 8 51% | L |
| 87160A100 | SYT | 1 00 | 12/31/2014 | 64.39 | 01/25/2016 | 70.54 | 6.15 | 9.55% | L |
| 87160A100 | SYT | 67 00 | 12/31/2014 | 4,313 88 | 01/26/2016 | 4,702 37 | 388 49 | 9 01% | L |
| 87160A100 | SYT | 68 00 | 12/31/2014 | 4,378 27 | 05/17/2016 | 5,465.46 | 1,087.19 | 24 83% | L |
| 87160A100 | SYT | 7 00 | 12/31/2014 | 450 70 | 05/12/2016 | 563 74 | 113 04 | 25 08% | L |
| 87160A100 | SYT | 128 00 | 10/29/2015 | 8,666.01 | 05/12/2016 | 10,308 30 | 1,642.29 | 18 95% | S |
| 87160A100 | SYT | 14 00 | 10/29/2015 | 947 84 | 05/13/2016 | 1,128 87 | 181 03 | 19 10% | S |
| 87612BAM4 | | 3,000.00 | 04/17/2014 | 3,000.00 | 05/18/2016 | 2,835.00 | -165.00 | -5.50% | L |
| 87612BAM4 | | 2,000 00 | 09/03/2014 | 2,115.00 | 05/19/2016 | 1,880 00 | -235 00 | -11 11% | L |
| 87612BAM4 | | 3,000 00 | 09/04/2014 | 3,172 50 | 05/19/2016 | 2,820 00 | -352 50 | -11 11% | L |
| 87612BAM4 | | 1,000 00 | 12/18/2015 | 790 00 | 05/19/2016 | 940 00 | 150 00 | 18 99% | S |
| 87612BAM4 | | 2,000 00 | 12/18/2015 | 1,580.00 | 05/20/2016 | 1,880.00 | 300.00 | 18.99% | S |
| 88023U101 | TPX | 11 00 | 02/06/2013 | 423 41 | 01/04/2016 | 748 55 | 325 14 | 76 79% | L |
| 88023U101 | TPX | 198 00 | 02/06/2013 | 7,621.28 | 02/09/2016 | 10,424 03 | 2,802 75 | 36.78% | L |
| 88023U101 | TPX | 26 00 | 02/06/2013 | 1,000 77 | 10/26/2016 | 1,324 22 | 323 45 | 32 32% | L |



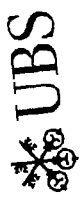
Consolidated report prepared for West Foundation
 3A 00893 West Fdn 3A 04730 West Fdn MVM
 3A 01039 West Fdn REIN 3A 06635 West Fdn CAMB
 3A 01040 West Fdn SEIX 3A 07806 West Fdn QGARP
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 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 88033G407 | THC | 100.00 | 02/06/2013 | 3,925.77 | 01/04/2016 | 2,879.95 | -1,045.82 | -26.64% | L |
| 88033GCE8 | | 2,000.00 | 07/01/2015 | 2,202.50 | 10/20/2016 | 2,035.00 | -167.50 | -7.60% | L |
| 88033GCE8 | | 1,000.00 | 07/02/2015 | 1,100.00 | 10/20/2016 | 1,017.50 | -82.50 | -7.50% | L |
| 88033GCE8 | | 2,000.00 | 07/02/2015 | 2,200.00 | 10/20/2016 | 2,040.00 | -160.00 | -7.27% | L |
| 88033GCE8 | | 2,000.00 | 07/07/2015 | 2,202.50 | 10/20/2016 | 2,040.00 | -162.50 | -7.38% | L |
| 88033GCE8 | | 1,000.00 | 07/07/2015 | 1,101.25 | 10/21/2016 | 1,012.50 | -88.75 | -8.06% | L |
| 88033GCE8 | | 3,000.00 | 05/27/2016 | 3,030.00 | 10/21/2016 | 3,037.50 | 7.50 | 0.25% | S |
| 88033GCE8 | | 2,000.00 | 05/27/2016 | 2,020.00 | 10/24/2016 | 2,025.00 | 5.00 | 0.25% | S |
| 88076W103 | TDC | 20.00 | 07/31/2014 | 842.95 | 01/04/2016 | 516.19 | -326.76 | -38.76% | L |
| 88076W103 | TDC | 578.00 | 07/31/2014 | 24,361.37 | 02/09/2016 | 13,090.77 | -11,270.60 | -46.26% | L |
| 88076W103 | TDC | 54.00 | 10/02/2014 | 2,248.92 | 02/09/2016 | 1,223.01 | -1,025.91 | -45.62% | L |
| 88076W103 | TDC | 191.00 | 12/23/2014 | 8,639.29 | 02/09/2016 | 4,325.84 | -4,313.45 | -49.93% | L |
| 890880206 | TRYIY | 397.00 | 10/09/2014 | 5,145.12 | 01/27/2016 | 6,878.57 | 1,733.45 | 33.69% | L |
| 890880206 | TRYIY | 448.00 | 10/09/2014 | 5,806.08 | 01/29/2016 | 7,424.16 | 1,618.08 | 27.87% | L |
| 89151E109 | TOT | 77.00 | 11/10/2015 | 3,826.69 | 09/07/2016 | 3,848.39 | 21.70 | 0.57% | S |
| 89236MAB6 | | 2,000.00 | 04/17/2015 | 2,040.00 | 01/26/2016 | 1,855.00 | -185.00 | -9.07% | S |
| 89236MAB6 | | 1,000.00 | 04/24/2015 | 1,021.25 | 01/26/2016 | 927.50 | -93.75 | -9.18% | S |
| 89236MAB6 | | 1,000.00 | 04/24/2015 | 1,021.25 | 01/27/2016 | 926.25 | -95.00 | -9.30% | S |
| 89236MAB6 | | 1,000.00 | 04/27/2015 | 1,021.98 | 01/27/2016 | 926.25 | -95.73 | -9.37% | S |
| 89236MAB6 | | 2,000.00 | 04/27/2015 | 2,043.96 | 01/28/2016 | 1,855.00 | -188.96 | -9.24% | S |
| 89236MAB6 | | 2,000.00 | 04/27/2015 | 2,043.96 | 02/02/2016 | 1,842.50 | -201.46 | -9.86% | S |
| 89417EAG4 | | 8,000.00 | 09/01/2016 | 8,746.88 | 09/07/2016 | 8,721.00 | -25.88 | -0.30% | S |
| TENET HEALTHCARE CORP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TENET HEALTHCARE CORP 08 125% 040122 | | | | | | | | | |
| DTD092713 FC040114 CALL@MW+50BP | | | | | | | | | |
| TERADATA CORP NEW (DELA) | | | | | | | | | |
| TERADATA CORP NEW (DELA) | | | | | | | | | |
| TERADATA CORP NEW (DELA) | | | | | | | | | |
| TERADATA CORP NEW (DELA) | | | | | | | | | |
| TORAY IND ADR JAPAN ADR | | | | | | | | | |
| TORAY IND ADR JAPAN ADR | | | | | | | | | |
| TOTAL S A FRANCE SPON ADR | | | | | | | | | |
| TOYS R US PRPTY CO II 8 500% 120117 DTD060110 | | | | | | | | | |
| FC120110 LLC NTS B/E | | | | | | | | | |
| TOYS R US PRPTY CO II 8 500% 120117 DTD060110 | | | | | | | | | |
| FC120110 LLC NTS B/E | | | | | | | | | |
| TOYS R US PRPTY CO II 8 500% 120117 DTD060110 | | | | | | | | | |
| FC120110 LLC NTS B/E | | | | | | | | | |
| TOYS R US PRPTY CO II 8 500% 120117 DTD060110 | | | | | | | | | |
| FC120110 LLC NTS B/E | | | | | | | | | |
| TOYS R US PRPTY CO II 8 500% 120117 DTD060110 | | | | | | | | | |
| FC120110 LLC NTS B/E | | | | | | | | | |
| TRAVELERS COS INC NTS 03 900% 110120 | | | | | | | | | |
| DTD110110 FC050111 CALL@MW+15BP | | | | | | | | | |

2016 FORM 990-PF

WEST FOUNDATION (EIN: 23-7332105)



Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 904587102 | UNRDY | 158.00 | 10/09/2014 | 3,919.13 | 09/07/2016 | 4,430.22 | 511.09 | 13.04% | L |
| 904587102 | UNRDY | 370.00 | 10/09/2014 | 9,177.71 | 10/10/2016 | 9,084.97 | -92.74 | -1.01% | L |
| 904587102 | UNRDY | 132.00 | 01/04/2016 | 3,275.52 | 10/10/2016 | 3,241.12 | -34.40 | -1.05% | S |
| 904587102 | UNRDY | 88.00 | 05/25/2016 | 2,369.73 | 10/10/2016 | 2,160.75 | -208.98 | -8.82% | S |
| 904587102 | UNRDY | 2,000.00 | 12/15/2015 | 2,105.00 | 05/30/2016 | 2,073.76 | -31.24 | -1.48% | S |
| 911365BA1 | | 4,000.00 | 01/07/2016 | 4,220.00 | 05/30/2016 | 4,147.52 | -72.48 | -1.72% | S |
| 911365BA1 | | 3,000.00 | 01/07/2016 | 3,165.00 | 08/19/2016 | 3,110.64 | -54.36 | -0.21% | S |
| 911365BA1 | | 6,000.00 | 07/07/2016 | 6,704.21 | 09/07/2016 | 6,690.18 | -14.03 | -0.01% | L |
| 913017BR9 | | 26,000.00 | 05/21/2014 | 30,973.28 | 12/01/2016 | 28,493.39 | -2,479.89 | -2.22% | S |
| 913017BQ1 | | 27,000.00 | 03/08/2016 | 30,262.41 | 12/01/2016 | 29,589.29 | -673.12 | -13.78% | L |
| 913017BQ1 | | 77.00 | 09/25/2014 | 2,175.45 | 01/04/2016 | 1,875.77 | -299.68 | -10.88% | L |
| 903293405 | USG | 20.00 | 04/10/2013 | 422.89 | 06/16/2016 | 376.88 | -46.01 | -22.83% | L |
| 92342Y109 | PAY | 225.00 | 12/23/2013 | 5,493.94 | 06/16/2016 | 4,239.85 | -1,254.09 | -43.83% | L |
| 92342Y109 | PAY | 60.00 | 10/02/2014 | 2,013.01 | 06/16/2016 | 1,130.63 | -882.38 | -36.73% | S |
| 92342Y109 | PAY | 20.00 | 10/13/2015 | 595.69 | 06/16/2016 | 376.87 | -218.82 | -29.74% | S |
| 92342Y109 | PAY | 115.00 | 05/25/2016 | 3,084.30 | 06/16/2016 | 2,167.04 | -917.26 | -114.73% | L |
| 92342Y109 | PAY | 70.00 | 04/10/2013 | 1,439.91 | 01/04/2016 | 3,091.85 | 1,651.94 | 21.04% | L |
| 928377100 | VSTO | 204.00 | 04/08/2015 | 5,219.78 | 09/07/2016 | 4,121.73 | -1,098.05 | -5.40% | L |
| 92852T201 | VIVHY | 59.00 | 10/09/2014 | 1,884.10 | 09/07/2016 | 1,782.41 | -101.69 | -8.62% | L |
| 92857W308 | VOD | 267.00 | 10/09/2014 | 8,526.35 | 10/03/2016 | 7,791.53 | -734.82 | -13.49% | L |
| 92857W308 | VOD | 285.00 | 10/09/2014 | 9,101.16 | 10/13/2016 | 7,873.33 | -1,227.83 | -14.69% | L |
| 92857W308 | VOD | 89.00 | 10/05/2015 | 2,882.16 | 10/13/2016 | 2,458.69 | -423.47 | -13.04% | S |
| 92857W308 | VOD | 71.00 | 01/04/2016 | 2,255.67 | 10/13/2016 | 1,961.42 | -294.25 | | |



Consolidated report prepared for West Foundation
 3A 00893 West Fdn 3A 04730 West Fdn MIMM
 3A 01039 West Fdn REIN 3A 06635 West Fdn CAMB
 3A 01040 West Fdn SEIX 3A 07806 West Fdn QGARP
 3A 01042 West Fdn ANCHOR
 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 92857W308 | VOD | 110.00 | 05/25/2016 | 3,766.05 | 10/13/2016 | 3,038.83 | -727.22 | -19.31% | S |
| 25468PDA1 | | 45,000.00 | 07/18/2014 | 44,831.70 | 09/07/2016 | 45,841.68 | 1,009.98 | 2.25% | L |
| 966387AG7 | | 3,000.00 | 05/11/2015 | 3,000.00 | 05/11/2016 | 2,543.40 | -456.60 | -15.22% | S |
| 966387AG7 | | 1,000.00 | 05/15/2015 | 1,000.00 | 05/11/2016 | 847.80 | -152.20 | -15.22% | S |
| 966387AG7 | | 2,000.00 | 05/15/2015 | 2,000.00 | 05/12/2016 | 1,705.00 | -295.00 | -14.75% | S |
| 966387AG7 | | 3,000.00 | 05/19/2015 | 3,007.50 | 05/16/2016 | 2,569.50 | -438.00 | -14.56% | S |
| 96925P104 | WIMHY | 221.00 | 10/09/2014 | 5,038.43 | 07/28/2016 | 3,631.06 | -1,407.37 | -27.93% | L |
| 96925P104 | WIMHY | 210.00 | 10/09/2014 | 4,787.64 | 07/29/2016 | 3,505.01 | -1,282.63 | -26.79% | L |
| 96925P104 | WIMHY | 23.00 | 10/09/2014 | 524.36 | 08/01/2016 | 378.26 | -146.10 | -27.86% | L |
| 96925P104 | WIMHY | 160.00 | 10/09/2014 | 3,647.73 | 08/02/2016 | 2,573.40 | -1,074.33 | -29.45% | L |
| 96925P104 | WIMHY | 86.00 | 04/29/2015 | 1,974.04 | 08/02/2016 | 1,383.20 | -590.84 | -29.93% | L |
| 96925P104 | WIMHY | 5.00 | 03/24/2016 | 94.49 | 08/02/2016 | 80.42 | -14.07 | -14.89% | S |
| 96925P104 | WIMHY | 122.00 | 03/24/2016 | 2,305.51 | 08/03/2016 | 1,998.88 | -306.63 | -13.30% | S |
| 969457BV1 | | 2,000.00 | 10/06/2015 | 1,410.00 | 03/16/2016 | 1,295.00 | -115.00 | -8.16% | S |
| 969457BV1 | | 2,000.00 | 10/06/2015 | 1,410.00 | 03/16/2016 | 1,290.00 | -120.00 | -8.51% | S |
| 969457BV1 | | 2,000.00 | 10/07/2015 | 1,460.00 | 03/16/2016 | 1,290.00 | -170.00 | -11.64% | S |
| 969457BV1 | | 5,000.00 | 11/04/2015 | 3,725.00 | 03/16/2016 | 3,225.00 | -500.00 | -13.42% | S |
| 976656CD8 | | 16,000.00 | 05/02/2013 | 17,161.92 | 09/07/2016 | 16,743.84 | -418.08 | -2.44% | L |
| 981811102 | WOR | 193.00 | 01/27/2015 | 5,721.99 | 03/30/2016 | 6,944.84 | 1,222.85 | 21.37% | L |
| 981811102 | WOR | 132.00 | 01/27/2015 | 3,913.48 | 05/25/2016 | 4,823.17 | 909.69 | 23.25% | L |
| 92937A102 | WPPGY | 1.00 | 10/09/2014 | 94.03 | 05/26/2016 | 115.97 | 21.94 | 23.33% | L |
| 92937A102 | WPPGY | 136.00 | 10/09/2014 | 12,787.34 | 08/26/2016 | 16,130.67 | 3,343.33 | 26.15% | L |
| 92937A102 | WPPGY | 10.00 | 01/04/2016 | 1,117.40 | 08/26/2016 | 1,186.08 | 68.68 | 6.15% | S |



Consolidated report prepared for West Foundation
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 3A 01039 West Fdn REIN 3A 06635 West Fdn CAMB
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 3A 01042 West Fdn ANCHOR
 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|------------------------------------|--------|----------|---------------|----------------------|------------|---------------------|---------------------------|-------------------------|------|
| 92937A102 | WPPGY | 18 00 | 05/25/2016 | 2,101.68 | 08/26/2016 | 2,134.94 | 33.26 | 1.58% | S |
| 92937A102 | WPPGY | 8 00 | 05/25/2016 | 934.08 | 08/29/2016 | 935.83 | 1.75 | 0.19% | S |
| 98956P102 | ZBH | 10 00 | 08/11/2010 | 532.10 | 05/25/2016 | 1,211.97 | 679.87 | 127.77% | L |
| TOTAL REALIZED GAIN/(LOSS): | | | | 2,763,475.25 | | 2,706,241.01 | -57,234.24 | -2.07% | |

| | |
|---|-------------|
| TOTAL GAINS: | 187,108.48 |
| TOTAL LOSSES: | -244,342.72 |
| SHORT TERM - TOTAL REALIZED GAIN/(LOSS): | -18,318.09 |
| LONG TERM - TOTAL REALIZED GAIN/(LOSS): | -38,916.15 |



Consolidated report prepared for West Foundation

FW 06360 PMP FD

FW 12554 Checking

FW 14936 Jackson Expend

FW 14937 PMP Idksh Endwid

FW 14941 PMP FD Jack End

Realized gain/loss

Year 2016

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|---------------------------------------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 008916108 | AGU | 1,225.00 | 02/04/2016 | 105,971.69 | 04/29/2016 | 105,568.50 | -403.19 | -0.38% | S |
| 008916108 | AGU | 1,180.00 | 02/04/2016 | 102,078.86 | 04/29/2016 | 101,690.47 | -388.39 | -0.38% | S |
| 008916108 | AGU | 135.00 | 04/18/2016 | 11,278.78 | 04/29/2016 | 11,634.08 | 355.30 | 3.15% | S |
| 008916108 | AGU | 140.00 | 04/18/2016 | 11,696.51 | 04/29/2016 | 12,064.97 | 368.46 | 3.15% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 3,236.00 | 01/16/2015 | 49,015.05 | 02/04/2016 | 26,873.71 | -22,141.34 | -45.17% | L |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 3,368.00 | 01/16/2015 | 51,014.42 | 02/04/2016 | 27,969.92 | -23,044.50 | -45.17% | L |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,150.00 | 03/27/2015 | 14,662.39 | 02/04/2016 | 9,550.30 | -5,112.09 | -34.87% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,190.00 | 03/27/2015 | 15,172.38 | 02/04/2016 | 9,882.48 | -5,289.90 | -34.87% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,395.00 | 06/04/2015 | 17,448.52 | 02/04/2016 | 11,584.93 | -5,863.59 | -33.61% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,460.00 | 06/04/2015 | 18,261.53 | 02/04/2016 | 12,124.73 | -6,136.80 | -33.61% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 3,567.00 | 06/30/2015 | 40,122.33 | 02/04/2016 | 29,622.53 | -10,499.80 | -26.17% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 3,435.00 | 06/30/2015 | 38,637.57 | 02/04/2016 | 28,526.32 | -10,111.25 | -26.17% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 890.00 | 07/16/2015 | 9,438.54 | 02/04/2016 | 7,391.11 | -2,047.43 | -21.69% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 935.00 | 07/16/2015 | 9,915.77 | 02/04/2016 | 7,764.81 | -2,150.96 | -21.69% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 609.00 | 08/10/2015 | 6,077.76 | 02/04/2016 | 5,057.51 | -1,020.25 | -16.79% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 585.00 | 08/10/2015 | 5,838.24 | 02/04/2016 | 4,858.19 | -980.05 | -16.79% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,430.00 | 08/25/2015 | 12,326.89 | 02/04/2016 | 11,875.59 | -451.30 | -3.66% | S |
| 013817101 | ALCOA INC *REVERSE SPLIT EFF 10/2016* | 1,490.00 | 08/25/2015 | 12,844.10 | 02/04/2016 | 12,373.86 | -470.24 | -3.66% | S |
| 02079K305 | ALPHABET INC CL A | 5.00 | 08/25/2014 | 2,970.90 | 02/04/2016 | 3,642.23 | 671.33 | 22.60% | L |
| 00162Q718 | ALPS INTL SECTOR DIVID DOGS ETF | 75.00 | 04/10/2014 | 2,264.31 | 04/18/2016 | 1,807.90 | -456.41 | -20.16% | L |
| 00162Q718 | ALPS INTL SECTOR DIVID DOGS ETF | 75.00 | 08/25/2014 | 2,252.68 | 04/18/2016 | 1,807.90 | -444.78 | -19.74% | L |
| 00162Q718 | ALPS INTL SECTOR DIVID DOGS ETF | 115.00 | 04/10/2014 | 3,471.95 | 07/26/2016 | 2,738.09 | -733.86 | -21.14% | L |
| 00162Q858 | ALPS SECTOR DIVID DOGS ETF | 365.00 | 06/13/2013 | 11,412.46 | 02/04/2016 | 12,608.84 | 1,196.38 | 10.48% | L |
| 00162Q858 | ALPS SECTOR DIVID DOGS ETF | 270.00 | 08/14/2014 | 10,066.46 | 02/04/2016 | 9,327.09 | -739.37 | -7.34% | L |
| 00162Q858 | ALPS SECTOR DIVID DOGS ETF | 110.00 | 08/25/2014 | 4,170.23 | 02/04/2016 | 3,799.92 | -370.31 | -8.88% | L |
| 00162Q858 | ALPS SECTOR DIVID DOGS ETF | 425.00 | 06/13/2013 | 13,288.48 | 04/18/2016 | 16,668.99 | 3,380.51 | 25.44% | L |
| 00162Q858 | ALPS SECTOR DIVID DOGS ETF | 440.00 | 08/25/2014 | 16,680.93 | 04/18/2016 | 17,257.30 | 576.37 | 3.46% | L |



Consolidated report prepared for West Foundation
 FW 06360 PMP FD
 FW 12554 Checking
 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|------------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 00162Q858 | SDOG | 180 00 | 06/13/2013 | 5,628.06 | 07/26/2016 | 7,546.19 | 1,918.13 | 34 08% | L |
| 00162Q858 | SDOG | 420 00 | 02/11/2014 | 13,923.00 | 07/26/2016 | 17,607.79 | 3,684.79 | 26 47% | L |
| 00162Q858 | SDOG | 135 00 | 04/28/2014 | 4,781.19 | 07/26/2016 | 5,659.64 | 878.45 | 18 37% | L |
| 00162Q858 | SDOG | 109 00 | 08/25/2014 | 4,132.32 | 07/26/2016 | 4,568.58 | 436.26 | 10 56% | L |
| 00162Q858 | SDOG | 126 00 | 09/17/2014 | 4,815.30 | 07/26/2016 | 5,281.12 | 465.82 | 9 67% | L |
| 02376R102 | AAL | 285 00 | 01/16/2015 | 13,959.10 | 02/04/2016 | 10,918.91 | -3,040.19 | -21 78% | L |
| 02376R102 | AAL | 275 00 | 01/16/2015 | 13,469.31 | 02/04/2016 | 10,535.79 | -2,933.52 | -21 78% | L |
| 02376R102 | AAL | 1,044 00 | 01/16/2015 | 51,134.40 | 05/24/2016 | 33,470.12 | -17,664.28 | -34 54% | L |
| 02376R102 | AAL | 1,000 00 | 01/16/2015 | 48,979.31 | 05/24/2016 | 32,059.50 | -16,919.81 | -34 54% | L |
| 02376R102 | AAL | 735 00 | 06/04/2015 | 31,149.30 | 05/24/2016 | 23,563.74 | -7,585.56 | -24 35% | S |
| 02376R102 | AAL | 760 00 | 06/04/2015 | 32,208.80 | 05/24/2016 | 24,365.22 | -7,843.58 | -24 35% | S |
| 02376R102 | AAL | 895 00 | 06/30/2015 | 35,844.66 | 05/24/2016 | 28,693.25 | -7,151.41 | -19 95% | S |
| 02376R102 | AAL | 859 00 | 06/30/2015 | 34,402.86 | 05/24/2016 | 27,539.11 | -6,863.75 | -19 95% | S |
| 02376R102 | AAL | 55 00 | 08/25/2015 | 2,149.20 | 05/24/2016 | 1,763.27 | -385.93 | -17 96% | S |
| 02376R102 | AAL | 60 00 | 08/25/2015 | 2,344.58 | 05/24/2016 | 1,923.57 | -421.01 | -17 96% | S |
| 02376R102 | AAL | 40 00 | 04/18/2016 | 1,634.76 | 05/24/2016 | 1,282.38 | -352.38 | -21 56% | S |
| 02376R102 | AAL | 40 00 | 04/18/2016 | 1,634.76 | 05/24/2016 | 1,282.38 | -352.38 | -21 56% | S |
| 03076C106 | AMP | 10 00 | 06/04/2015 | 1,256.15 | 04/18/2016 | 963.93 | -292.22 | -23 26% | S |
| 03076C106 | AMP | 10 00 | 06/04/2015 | 1,256.15 | 04/18/2016 | 963.93 | -292.22 | -23 26% | S |
| 03784JQC1 | ZBFI | 240,000 00 | 01/25/2016 | 239,940.00 | 07/12/2016 | 239,846.40 | -93.60 | -0 04% | S |
| 05990K106 | BANC | 110 00 | 04/01/2016 | 1,945.58 | 04/18/2016 | 2,023.67 | 78.09 | 4 01% | S |
| 05990K106 | BANC | 115 00 | 04/01/2016 | 2,034.02 | 04/18/2016 | 2,115.65 | 81.63 | 4 01% | S |
| 05990K106 | BANC | 6,214 00 | 04/01/2016 | 109,907.83 | 07/26/2016 | 137,063.56 | 27,155.73 | 24 71% | S |
| 05990K106 | BANC | 5,970 00 | 04/01/2016 | 105,592.18 | 07/26/2016 | 131,702.49 | 26,110.31 | 24 73% | S |
| 06279HJZ7 | ZBBAU | 240,000 00 | 03/28/2016 | 239,880.00 | 07/12/2016 | 239,704.80 | -175.20 | -0 07% | S |
| 08579W103 | BERY | 255 00 | 02/04/2016 | 7,797.98 | 04/18/2016 | 9,207.88 | 1,409.90 | 18 08% | S |



Consolidated report prepared for West Foundation

FW 06360 PMP FD
 FW 12554 Checking
 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| BERRY PLASTICS GROUP INC | 08579W103 | BERY | 245.00 | 02/04/2016 | 7,492.17 | 04/18/2016 | 8,846.78 | 1,354.61 | 18.08% | S |
| BERRY PLASTICS GROUP INC | 08579W103 | BERY | 3,170.00 | 02/04/2016 | 96,939.54 | 07/26/2016 | 131,540.59 | 34,601.05 | 35.69% | S |
| BERRY PLASTICS GROUP INC | 08579W103 | BERY | 3,045.00 | 02/04/2016 | 93,117.01 | 07/26/2016 | 126,305.84 | 33,188.83 | 35.64% | S |
| BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS | 09256H336 | MFBCR | 64.92 | 04/17/2013 | 723.80 | 02/04/2016 | 662.17 | -61.63 | -8.51% | L |
| BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS | 09256H336 | MFBCR | 68.62 | 08/14/2014 | 788.41 | 02/04/2016 | 699.89 | -88.52 | -11.23% | L |
| BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS | 09256H336 | MFBCR | 2,465.75 | 04/17/2013 | 27,491.20 | 07/26/2016 | 26,457.46 | -1,033.74 | -3.76% | L |
| BOEING COMPANY | 097023105 | BA | 147.00 | 07/09/2014 | 18,548.83 | 09/12/2016 | 18,930.77 | 381.94 | 2.06% | L |
| BOEING COMPANY | 097023105 | BA | 18.00 | 08/14/2014 | 2,238.48 | 09/12/2016 | 2,318.05 | 79.57 | 3.55% | L |
| BOEING COMPANY | 097023105 | BA | 54.00 | 08/25/2014 | 6,903.78 | 09/12/2016 | 6,954.16 | 50.38 | 0.73% | L |
| BOEING COMPANY | 097023105 | BA | 40.00 | 09/17/2014 | 5,130.00 | 09/12/2016 | 5,151.23 | 21.23 | 0.41% | L |
| BOEING COMPANY | 097023105 | BA | 21.00 | 10/14/2014 | 2,573.34 | 09/12/2016 | 2,704.40 | 131.06 | 5.09% | L |
| BOEING COMPANY | 097023105 | BA | 20.00 | 10/21/2014 | 2,515.80 | 09/12/2016 | 2,575.61 | 59.81 | 2.38% | L |
| BOEING COMPANY | 097023105 | BA | 1.00 | 10/27/2014 | 121.70 | 09/12/2016 | 128.78 | 7.08 | 5.82% | L |
| BOEING COMPANY | 097023105 | BA | 1.00 | 06/30/2015 | 139.24 | 09/12/2016 | 128.79 | -10.45 | -7.51% | L |
| BOEING COMPANY | 097023105 | BA | 5.00 | 08/25/2015 | 650.05 | 09/12/2016 | 643.90 | -6.15 | -0.95% | L |
| BOEING COMPANY | 097023105 | BA | 5.00 | 08/25/2015 | 650.05 | 09/12/2016 | 643.90 | -6.15 | -0.95% | L |
| BOEING COMPANY | 097023105 | BA | 5.00 | 02/04/2016 | 619.25 | 09/12/2016 | 643.90 | 24.65 | 3.98% | S |
| BOEING COMPANY | 097023105 | BA | 5.00 | 02/04/2016 | 619.25 | 09/12/2016 | 643.91 | 24.66 | 3.98% | S |
| BOEING COMPANY | 097023105 | BA | 285.00 | 07/26/2016 | 37,981.52 | 09/12/2016 | 36,702.51 | -1,279.01 | -3.37% | S |
| BOEING COMPANY | 097023105 | BA | 330.00 | 07/26/2016 | 43,975.47 | 09/12/2016 | 42,497.65 | -1,477.82 | -3.36% | S |
| BROADCOM LTD | Y09827109 | AVGO | 790.00 | 02/04/2016 | 107,085.13 | 04/18/2016 | 122,536.44 | 15,451.31 | 14.43% | S |
| BROADCOM LTD | Y09827109 | AVGO | 760.00 | 02/04/2016 | 103,018.61 | 04/18/2016 | 117,883.16 | 14,864.55 | 14.43% | S |
| BUILDERS FIRSTSOURCE INC | 12008R107 | BLDR | 9,405.00 | 05/31/2016 | 111,919.50 | 07/26/2016 | 123,488.96 | 11,569.46 | 10.34% | S |
| BUILDERS FIRSTSOURCE INC | 12008R107 | BLDR | 9,745.00 | 05/31/2016 | 115,965.50 | 07/26/2016 | 127,873.12 | 11,907.62 | 10.27% | S |
| CALIFORNIA RESOURCES CORP ***REVERSE SPLIT EFF 06/2016** | 13057Q107 | | 0.10 | 09/28/2015 | 0.11 | 03/24/2016 | 0.12 | 0.01 | 9.09% | S |



Consolidated report prepared for West Foundation
 FW 06360 PMP FD
 FW 12554 Checking
 FW 14936 Jackson Expend
 FW 14937 PMP Jacksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 13057Q107 | | 0.67 | 09/28/2015 | 0.77 | 03/24/2016 | 0.81 | 0.04 | 5.19% | S |
| CALIFORNIA RESOURCES CORP **REVERSE SPLIT EFF 06/2016** | | | | | | | | | |
| 13057Q107 | | 211.00 | 09/28/2015 | 243.23 | 04/18/2016 | 304.53 | 61.30 | 25.20% | S |
| CALIFORNIA RESOURCES CORP **REVERSE SPLIT EFF 06/2016** | | | | | | | | | |
| 13057Q107 | | 220.00 | 09/28/2015 | 253.61 | 04/18/2016 | 317.52 | 63.91 | 25.20% | S |
| CALIFORNIA RESOURCES CORP **REVERSE SPLIT EFF 06/2016** | | | | | | | | | |
| 156700106 | CTL | 185.00 | 01/14/2014 | 5,671.52 | 02/04/2016 | 4,888.31 | -783.21 | -13.81% | L |
| CENTURYLINK INC | | | | | | | | | |
| 156700106 | CTL | 190.00 | 08/14/2014 | 7,711.15 | 02/04/2016 | 5,020.43 | -2,690.72 | -34.89% | L |
| CENTURYLINK INC | | | | | | | | | |
| 156700106 | CTL | 305.00 | 01/14/2014 | 9,350.36 | 04/18/2016 | 9,800.26 | 449.90 | 4.81% | L |
| CENTURYLINK INC | | | | | | | | | |
| 156700106 | CTL | 218.00 | 08/14/2014 | 8,847.53 | 04/18/2016 | 7,004.78 | -1,842.75 | -20.83% | L |
| CENTURYLINK INC | | | | | | | | | |
| 156700106 | CTL | 102.00 | 08/25/2014 | 4,181.65 | 04/18/2016 | 3,277.46 | -904.19 | -21.62% | L |
| CENTURYLINK INC | | | | | | | | | |
| 166764100 | CVX | 255.00 | 08/24/2015 | 17,977.50 | 02/04/2016 | 21,637.55 | 3,660.05 | 20.36% | S |
| CHEVRON CORP | | | | | | | | | |
| 166764100 | CVX | 245.00 | 08/24/2015 | 17,272.50 | 02/04/2016 | 20,789.02 | 3,516.52 | 20.36% | S |
| CHEVRON CORP | | | | | | | | | |
| 166764100 | CVX | 95.00 | 08/24/2015 | 6,697.50 | 04/18/2016 | 9,256.90 | 2,559.40 | 38.21% | S |
| CHEVRON CORP | | | | | | | | | |
| 166764100 | CVX | 100.00 | 08/24/2015 | 7,050.00 | 04/18/2016 | 9,744.11 | 2,694.11 | 38.21% | S |
| CHEVRON CORP | | | | | | | | | |
| 166764100 | CVX | 25.00 | 08/24/2015 | 1,762.50 | 07/26/2016 | 2,567.47 | 804.97 | 45.67% | S |
| CHEVRON CORP | | | | | | | | | |
| 166764100 | CVX | 135.00 | 08/24/2015 | 9,517.50 | 07/26/2016 | 13,864.47 | 4,346.97 | 45.67% | S |
| CHEVRON CORP | | | | | | | | | |
| 191216100 | KO | 40.00 | 05/11/2009 | 860.42 | 02/04/2016 | 1,700.37 | 839.95 | 97.62% | L |
| COCA COLA CO COM | | | | | | | | | |
| 191216100 | KO | 45.00 | 08/14/2014 | 1,801.63 | 02/04/2016 | 1,912.91 | 111.28 | 6.18% | L |
| COCA COLA CO COM | | | | | | | | | |
| 192446102 | CTSH | 293.00 | 07/09/2014 | 14,771.28 | 08/15/2016 | 16,826.74 | 2,055.46 | 13.92% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 76.00 | 08/25/2014 | 3,497.52 | 08/15/2016 | 4,364.62 | 867.10 | 24.79% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 114.00 | 09/17/2014 | 5,134.55 | 08/15/2016 | 6,546.92 | 1,412.37 | 27.51% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 57.00 | 10/14/2014 | 2,549.04 | 08/15/2016 | 3,273.46 | 724.42 | 28.42% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 67.00 | 10/21/2014 | 2,958.29 | 08/15/2016 | 3,847.75 | 889.46 | 30.07% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 4.00 | 10/27/2014 | 180.92 | 08/15/2016 | 229.72 | 48.80 | 26.97% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 4.00 | 06/30/2015 | 244.71 | 08/15/2016 | 229.72 | -14.99 | -6.13% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 8.00 | 06/30/2015 | 489.43 | 08/15/2016 | 459.43 | -30.00 | -6.13% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 6.00 | 07/16/2015 | 367.47 | 08/15/2016 | 344.57 | -22.90 | -6.23% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |
| 192446102 | CTSH | 7.00 | 07/16/2015 | 428.72 | 08/15/2016 | 402.00 | -26.72 | -6.23% | L |
| COGNIZANT TECH SOLUTIONS CRP | | | | | | | | | |



Consolidated report prepared for West Foundation
 FW 06360 PMP FD
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 FW 14936 Jackson Expend
 FW 14937 PMP Jcksm Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 192446102 | CTSH | 15 00 | 08/25/2015 | 911.70 | 08/15/2016 | 861.44 | -50.26 | -5.51% | S |
| 192446102 | CTSH | 15 00 | 08/25/2015 | 911.70 | 08/15/2016 | 861.44 | -50.26 | -5.51% | S |
| 192446102 | CTSH | 25 00 | 04/18/2016 | 1,489.88 | 08/15/2016 | 1,435.73 | -54.15 | -3.63% | S |
| 192446102 | CTSH | 25 00 | 04/18/2016 | 1,489.88 | 08/15/2016 | 1,435.73 | -54.15 | -3.63% | S |
| 192446102 | CTSH | 755 00 | 07/26/2016 | 44,263.61 | 08/15/2016 | 43,359.01 | -904.60 | -2.04% | S |
| 192446102 | CTSH | 655 00 | 07/26/2016 | 38,396.30 | 08/15/2016 | 37,616.09 | -780.21 | -2.03% | S |
| 19247R103 | RFI | 2,270 00 | 03/27/2015 | 30,577.18 | 02/04/2016 | 27,231.10 | -3,346.08 | -10.94% | S |
| 19247R103 | RFI | 860 00 | 03/30/2015 | 11,635.80 | 02/04/2016 | 10,316.63 | -1,319.17 | -11.34% | S |
| 19247R103 | RFI | 680 00 | 03/27/2015 | 9,159.68 | 04/18/2016 | 8,903.87 | -255.81 | -2.79% | L |
| 19247R103 | RFI | 305 00 | 03/30/2015 | 4,126.65 | 04/18/2016 | 3,993.64 | -133.01 | -3.22% | L |
| 19247R103 | RFI | 221 00 | 03/27/2015 | 2,976.90 | 07/26/2016 | 3,098.13 | 121.23 | 4.07% | L |
| 19247R103 | RFI | 1,690 00 | 03/30/2015 | 22,865.70 | 07/26/2016 | 23,699.70 | 834.00 | 3.65% | L |
| 19247R103 | RFI | 654 00 | 04/06/2015 | 8,992.50 | 07/26/2016 | 9,168.23 | 175.73 | 1.95% | L |
| 194162103 | CL | 15 00 | 07/09/2014 | 1,043.17 | 02/04/2016 | 989.38 | -53.79 | -5.16% | L |
| 194162103 | CL | 15 00 | 08/14/2014 | 963.60 | 02/04/2016 | 989.38 | 25.78 | 2.68% | L |
| 194162103 | CL | 5 00 | 08/14/2014 | 321.20 | 04/18/2016 | 355.49 | 34.29 | 10.68% | L |
| 20030N101 | CMCSA | 20 00 | 07/09/2014 | 1,086.14 | 02/04/2016 | 1,166.48 | 80.34 | 7.40% | L |
| 20030N101 | CMCSA | 11 00 | 08/14/2014 | 595.94 | 02/04/2016 | 641.56 | 45.62 | 7.66% | L |
| 20030N101 | CMCSA | 9 00 | 08/25/2014 | 488.70 | 02/04/2016 | 524.92 | 36.22 | 7.41% | L |
| 20337X109 | COMM | 3,730 00 | 05/24/2016 | 113,040.63 | 07/26/2016 | 117,276.10 | 4,235.47 | 3.75% | S |
| 20337X109 | COMM | 3,600 00 | 05/24/2016 | 109,100.87 | 07/26/2016 | 113,271.53 | 4,170.66 | 3.82% | S |
| 20825C104 | COP | 420 00 | 08/24/2015 | 17,585.40 | 04/18/2016 | 18,342.34 | 756.94 | 4.30% | S |
| 20825C104 | COP | 435 00 | 08/24/2015 | 18,117.99 | 04/18/2016 | 18,997.43 | 879.44 | 4.85% | S |
| 231021106 | CMI | 553 00 | 01/16/2015 | 77,907.42 | 02/04/2016 | 53,916.95 | -23,990.47 | -30.79% | L |
| 231021106 | CMI | 528 00 | 01/16/2015 | 74,385.38 | 02/04/2016 | 51,479.48 | -22,905.90 | -30.79% | L |
| 231021106 | CMI | 30 00 | 03/27/2015 | 4,118.10 | 02/04/2016 | 2,924.97 | -1,193.13 | -28.97% | S |
| 231021106 | CMI | 30 00 | 03/27/2015 | 4,118.10 | 02/04/2016 | 2,924.97 | -1,193.13 | -28.97% | S |

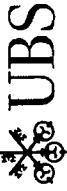


Consolidated report prepared for West Foundation

FW 06360 PMP FD
 FW 12554 Checking
 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 231021106 | CMI | 130.00 | 06/04/2015 | 17,628.52 | 02/04/2016 | 12,674.87 | -4,953.65 | -28.10% | S |
| 231021106 | CMI | 125.00 | 06/04/2015 | 16,950.50 | 02/04/2016 | 12,187.37 | -4,763.13 | -28.10% | S |
| 231021106 | CMI | 244.00 | 06/30/2015 | 32,149.05 | 02/04/2016 | 23,789.76 | -8,359.29 | -26.00% | S |
| 231021106 | CMI | 253.00 | 06/30/2015 | 33,334.88 | 02/04/2016 | 24,667.25 | -8,667.63 | -26.00% | S |
| 231021106 | CMI | 27.00 | 07/16/2015 | 3,529.47 | 02/04/2016 | 2,632.47 | -897.00 | -25.41% | S |
| 231021106 | CMI | 26.00 | 07/16/2015 | 3,398.75 | 02/04/2016 | 2,534.98 | -863.77 | -25.41% | S |
| 231021106 | CMI | 25.00 | 08/25/2015 | 2,993.50 | 02/04/2016 | 2,437.47 | -556.03 | -18.57% | S |
| 231021106 | CMI | 25.00 | 08/25/2015 | 2,993.50 | 02/04/2016 | 2,437.47 | -556.03 | -18.57% | S |
| 231021106 | CMI | 95.00 | 09/28/2015 | 10,220.86 | 02/04/2016 | 9,262.41 | -958.45 | -9.38% | S |
| 231021106 | CMI | 91.00 | 09/28/2015 | 9,790.51 | 02/04/2016 | 8,872.41 | -918.10 | -9.38% | S |
| 235851102 | DHR | 5.00 | 07/09/2014 | 391.02 | 02/04/2016 | 432.09 | 41.07 | 10.50% | L |
| 235851102 | DHR | 10.00 | 08/14/2014 | 745.36 | 02/04/2016 | 864.18 | 118.82 | 15.94% | L |
| 235851102 | DHR | 5.00 | 07/09/2014 | 391.03 | 04/18/2016 | 471.59 | 80.56 | 20.60% | L |
| 247361702 | DAL | 2,310.00 | 02/04/2016 | 101,749.26 | 07/26/2016 | 89,746.16 | -12,003.10 | -11.80% | S |
| 247361702 | DAL | 2,405.00 | 02/04/2016 | 105,933.76 | 07/26/2016 | 93,388.92 | -12,544.84 | -11.84% | S |
| 247361702 | DAL | 25.00 | 04/18/2016 | 1,177.73 | 07/26/2016 | 970.78 | -206.95 | -17.57% | S |
| 247361702 | DAL | 25.00 | 04/18/2016 | 1,177.73 | 07/26/2016 | 971.28 | -206.45 | -17.53% | S |
| 233051200 | D8EF | 190.00 | 06/04/2015 | 5,754.21 | 07/26/2016 | 4,915.80 | -838.41 | -14.57% | L |
| 263534109 | DD | 85.00 | 07/09/2014 | 5,258.56 | 02/04/2016 | 5,021.18 | -237.38 | -4.51% | L |
| 263534109 | DD | 60.00 | 08/14/2014 | 3,709.07 | 02/04/2016 | 3,544.36 | -164.71 | -4.44% | L |
| 263534109 | DD | 30.00 | 08/25/2014 | 1,884.44 | 02/04/2016 | 1,772.18 | -112.26 | -5.96% | L |
| 263534109 | DD | 5.00 | 07/09/2014 | 309.32 | 04/18/2016 | 324.60 | 15.28 | 4.94% | L |
| 263534109 | DD | 5.00 | 08/25/2014 | 314.07 | 04/18/2016 | 324.60 | 10.53 | 3.35% | L |
| 263534109 | DD | 200.00 | 07/09/2014 | 12,373.08 | 06/13/2016 | 13,496.91 | 1,123.83 | 9.08% | L |
| 263534109 | DD | 71.00 | 08/25/2014 | 4,459.84 | 06/13/2016 | 4,791.40 | 331.56 | 7.43% | L |
| 263534109 | DD | 74.00 | 09/17/2014 | 4,864.60 | 06/13/2016 | 4,993.86 | 129.26 | 2.66% | L |
| 263534109 | DD | 39.00 | 10/14/2014 | 2,441.62 | 06/13/2016 | 2,631.89 | 190.27 | 7.79% | L |



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 FW 06360 PMP FD
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 FW 14937 PMP Jcksn Endwid
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 263534109 | DD | 25.00 | 10/21/2014 | 1,629.93 | 06/13/2016 | 1,687.12 | 57.19 | 3.51% | L |
| 263534109 | DD | 3.00 | 10/27/2014 | 194.73 | 06/13/2016 | 202.45 | 7.72 | 3.96% | L |
| 263534109 | DD | 10.00 | 03/27/2015 | 681.10 | 06/13/2016 | 674.84 | -6.26 | -0.92% | L |
| 263534109 | DD | 10.00 | 03/27/2015 | 681.11 | 06/13/2016 | 674.84 | -6.27 | -0.92% | L |
| 263534109 | DD | 15.00 | 06/04/2015 | 993.89 | 06/13/2016 | 1,012.27 | 18.38 | 1.85% | L |
| 263534109 | DD | 15.00 | 06/04/2015 | 993.90 | 06/13/2016 | 1,012.27 | 18.37 | 1.85% | L |
| 263534109 | DD | 23.00 | 06/30/2015 | 1,396.49 | 06/13/2016 | 1,552.14 | 155.65 | 11.15% | S |
| 263534109 | DD | 20.00 | 06/30/2015 | 1,214.34 | 06/13/2016 | 1,349.69 | 135.35 | 11.15% | S |
| 263534109 | DD | 31.00 | 07/16/2015 | 1,843.43 | 06/13/2016 | 2,092.02 | 248.59 | 13.49% | S |
| 263534109 | DD | 32.00 | 07/16/2015 | 1,902.90 | 06/13/2016 | 2,159.51 | 256.61 | 13.49% | S |
| 263534109 | DD | 30.00 | 08/10/2015 | 1,629.60 | 06/13/2016 | 2,024.53 | 394.93 | 24.23% | S |
| 263534109 | DD | 29.00 | 08/10/2015 | 1,575.28 | 06/13/2016 | 1,957.05 | 381.77 | 24.24% | S |
| 263534109 | DD | 19.00 | 09/28/2015 | 906.49 | 06/13/2016 | 1,282.21 | 375.72 | 41.45% | S |
| 263534109 | DD | 21.00 | 09/28/2015 | 1,001.91 | 06/13/2016 | 1,417.18 | 415.27 | 41.45% | S |
| 278642103 | EBAY | 5.00 | 07/09/2014 | 99.05 | 04/18/2016 | 125.99 | 26.94 | 27.20% | L |
| 278642103 | EBAY | 322.00 | 07/09/2014 | 6,379.08 | 06/13/2016 | 7,728.70 | 1,349.62 | 21.16% | L |
| 278642103 | EBAY | 118.00 | 08/25/2014 | 2,585.06 | 06/13/2016 | 2,832.26 | 247.20 | 9.56% | L |
| 278642103 | EBAY | 99.00 | 09/17/2014 | 2,021.48 | 06/13/2016 | 2,376.21 | 354.73 | 17.55% | L |
| 278642103 | EBAY | 51.00 | 10/14/2014 | 1,014.62 | 06/13/2016 | 1,224.11 | 209.49 | 20.65% | L |
| 278642103 | EBAY | 77.00 | 10/21/2014 | 1,506.65 | 06/13/2016 | 1,848.17 | 341.52 | 22.67% | L |
| 278642103 | EBAY | 3.00 | 10/27/2014 | 60.32 | 06/13/2016 | 72.01 | 11.69 | 19.38% | L |
| 278642103 | EBAY | 1.00 | 06/30/2015 | 23.47 | 06/13/2016 | 24.00 | 0.53 | 2.26% | S |
| 278642103 | EBAY | 2.00 | 06/30/2015 | 46.95 | 06/13/2016 | 48.00 | 1.05 | 2.24% | S |
| 278642103 | EBAY | 421.00 | 08/10/2015 | 12,092.51 | 06/13/2016 | 10,104.92 | -1,987.59 | -16.44% | S |
| 278642103 | EBAY | 438.00 | 08/10/2015 | 12,580.81 | 06/13/2016 | 10,512.95 | -2,067.86 | -16.44% | S |
| 278642103 | EBAY | 45.00 | 08/25/2015 | 1,158.30 | 06/13/2016 | 1,080.10 | -78.20 | -6.75% | S |
| 278642103 | EBAY | 45.00 | 08/25/2015 | 1,158.30 | 06/13/2016 | 1,080.09 | -78.21 | -6.75% | S |



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 FW 06360 PMP FD
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 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 278642103 | EBAY | 9.00 | 09/28/2015 | 222.17 | 06/13/2016 | 216.02 | -6.15 | -2.77% | S |
| 278642103 | EBAY | 11.00 | 09/28/2015 | 271.54 | 06/13/2016 | 264.02 | -7.52 | -2.77% | S |
| 278642103 | EBAY | 35.00 | 02/04/2016 | 822.15 | 06/13/2016 | 840.08 | 17.93 | 2.18% | S |
| 278642103 | EBAY | 35.00 | 02/04/2016 | 822.15 | 06/13/2016 | 840.08 | 17.93 | 2.18% | S |
| G3198U102 | ESNT | 300.00 | 02/04/2016 | 5,412.64 | 04/18/2016 | 6,166.13 | 753.49 | 13.92% | S |
| G3198U102 | ESNT | 310.00 | 02/04/2016 | 5,593.07 | 04/18/2016 | 6,371.66 | 778.59 | 13.92% | S |
| G3198U102 | ESNT | 5,345.00 | 02/04/2016 | 96,435.29 | 07/26/2016 | 127,262.21 | 30,826.92 | 31.97% | S |
| G3198U102 | ESNT | 5,565.00 | 02/04/2016 | 100,404.56 | 07/26/2016 | 132,471.11 | 32,066.55 | 31.94% | S |
| 30219G108 | ESRX | 418.00 | 07/18/2013 | 27,804.42 | 02/04/2016 | 28,461.67 | 657.25 | 2.36% | L |
| 30219G108 | ESRX | 100.00 | 01/14/2014 | 7,288.83 | 02/04/2016 | 6,809.01 | -479.82 | -6.58% | L |
| 30219G108 | ESRX | 100.00 | 02/11/2014 | 7,493.99 | 02/04/2016 | 6,809.01 | -684.98 | -9.14% | L |
| 30219G108 | ESRX | 135.00 | 04/28/2014 | 9,557.50 | 02/04/2016 | 9,192.17 | -365.33 | -3.82% | L |
| 30219G108 | ESRX | 100.00 | 07/09/2014 | 6,761.34 | 02/04/2016 | 6,809.01 | 47.67 | 0.71% | L |
| 30219G108 | ESRX | 108.00 | 08/14/2014 | 7,814.51 | 02/04/2016 | 7,353.73 | -460.78 | -5.90% | L |
| 30219G108 | ESRX | 301.00 | 08/25/2014 | 22,657.44 | 02/04/2016 | 20,495.13 | -2,162.31 | -9.54% | L |
| 30219G108 | ESRX | 234.00 | 09/17/2014 | 17,366.61 | 02/04/2016 | 15,933.08 | -1,433.53 | -8.25% | L |
| 30219G108 | ESRX | 123.00 | 10/14/2014 | 8,678.77 | 02/04/2016 | 8,375.09 | -303.68 | -3.50% | L |
| 30219G108 | ESRX | 130.00 | 10/21/2014 | 9,407.93 | 02/04/2016 | 8,851.71 | -556.22 | -5.91% | L |
| 30219G108 | ESRX | 8.00 | 10/27/2014 | 589.28 | 02/04/2016 | 544.72 | -44.56 | -7.56% | L |
| 30219G108 | ESRX | 40.00 | 01/16/2015 | 3,385.28 | 02/04/2016 | 2,723.61 | -661.67 | -19.55% | L |
| 30219G108 | ESRX | 40.00 | 01/16/2015 | 3,385.28 | 02/04/2016 | 2,723.61 | -661.67 | -19.55% | L |
| 30219G108 | ESRX | 50.00 | 03/27/2015 | 4,125.54 | 02/04/2016 | 3,404.50 | -721.04 | -17.48% | S |
| 30219G108 | ESRX | 60.00 | 03/27/2015 | 4,950.65 | 02/04/2016 | 4,085.40 | -865.25 | -17.48% | S |
| 30219G108 | ESRX | 150.00 | 06/04/2015 | 12,943.95 | 02/04/2016 | 10,213.52 | -2,730.43 | -21.09% | S |
| 30219G108 | ESRX | 145.00 | 06/04/2015 | 12,512.49 | 02/04/2016 | 9,873.07 | -2,639.42 | -21.09% | S |
| 30219G108 | ESRX | 293.00 | 06/30/2015 | 26,112.75 | 02/04/2016 | 19,950.40 | -6,162.35 | -23.60% | S |
| 30219G108 | ESRX | 300.00 | 06/30/2015 | 26,736.60 | 02/04/2016 | 20,427.03 | -6,309.57 | -23.60% | S |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| EXPRESS SCRIPTS HLDG CO | 30219G108 | ESRX | 14.00 | 08/10/2015 | 1,245.86 | 02/04/2016 | 953.27 | -292.59 | -23.48% | S |
| EXPRESS SCRIPTS HLDG CO | 30219G108 | ESRX | 14.00 | 08/10/2015 | 1,245.86 | 02/04/2016 | 953.27 | -292.59 | -23.48% | S |
| EXPRESS SCRIPTS HLDG CO | 30219G108 | ESRX | 29.00 | 09/28/2015 | 2,330.15 | 02/04/2016 | 1,974.61 | -355.54 | -15.26% | S |
| EXPRESS SCRIPTS HLDG CO | 30219G108 | ESRX | 31.00 | 09/28/2015 | 2,490.85 | 02/04/2016 | 2,110.79 | -380.06 | -15.26% | S |
| EXXON MOBIL CORP | 30231G102 | XOM | 195.00 | 08/24/2015 | 13,244.40 | 02/04/2016 | 15,493.16 | 2,248.76 | 16.98% | S |
| EXXON MOBIL CORP | 30231G102 | XOM | 200.00 | 08/24/2015 | 13,584.00 | 02/04/2016 | 15,890.43 | 2,306.43 | 16.98% | S |
| EXXON MOBIL CORP | 30231G102 | XOM | 65.00 | 08/24/2015 | 4,414.80 | 07/26/2016 | 5,937.62 | 1,522.82 | 34.49% | S |
| EXXON MOBIL CORP | 30231G102 | XOM | 185.00 | 08/24/2015 | 12,565.20 | 07/26/2016 | 16,899.88 | 4,334.68 | 34.50% | S |
| FACEBOOK INC CL A | 30303M102 | FB | 45.00 | 06/04/2015 | 3,677.40 | 02/04/2016 | 4,949.01 | 1,271.61 | 34.58% | S |
| FACEBOOK INC CL A | 30303M102 | FB | 40.00 | 06/04/2015 | 3,268.80 | 02/04/2016 | 4,399.12 | 1,130.32 | 34.58% | S |
| FEDEX CORP | 31428X106 | FDX | 444.00 | 01/16/2015 | 77,582.09 | 02/04/2016 | 59,606.13 | -17,975.96 | -23.17% | L |
| FEDEX CORP | 31428X106 | FDX | 430.00 | 01/16/2015 | 75,135.82 | 02/04/2016 | 57,726.66 | -17,409.16 | -23.17% | L |
| FEDEX CORP | 31428X106 | FDX | 40.00 | 03/27/2015 | 6,587.12 | 02/04/2016 | 5,369.93 | -1,217.19 | -18.48% | S |
| FEDEX CORP | 31428X106 | FDX | 40.00 | 03/27/2015 | 6,587.12 | 02/04/2016 | 5,369.93 | -1,217.19 | -18.48% | S |
| FEDEX CORP | 31428X106 | FDX | 60.00 | 06/04/2015 | 10,750.85 | 02/04/2016 | 8,054.88 | -2,695.97 | -25.08% | S |
| FEDEX CORP | 31428X106 | FDX | 50.00 | 06/04/2015 | 8,959.05 | 02/04/2016 | 6,712.40 | -2,246.65 | -25.08% | S |
| FEDEX CORP | 31428X106 | FDX | 199.00 | 06/30/2015 | 33,991.17 | 02/04/2016 | 26,715.36 | -7,275.81 | -21.41% | S |
| FEDEX CORP | 31428X106 | FDX | 204.00 | 06/30/2015 | 34,845.22 | 02/04/2016 | 27,386.60 | -7,458.62 | -21.41% | S |
| FEDEX CORP | 31428X106 | FDX | 17.00 | 07/16/2015 | 2,891.36 | 02/04/2016 | 2,282.22 | -609.14 | -21.07% | S |
| FEDEX CORP | 31428X106 | FDX | 16.00 | 07/16/2015 | 2,721.28 | 02/04/2016 | 2,147.97 | -573.31 | -21.07% | S |
| FEDEX CORP | 31428X106 | FDX | 35.00 | 08/25/2015 | 5,346.60 | 02/04/2016 | 4,698.68 | -647.92 | -12.12% | S |
| FEDEX CORP | 31428X106 | FDX | 35.00 | 08/25/2015 | 5,346.60 | 02/04/2016 | 4,698.68 | -647.92 | -12.12% | S |
| FEDEX CORP | 31428X106 | FDX | 35.00 | 09/28/2015 | 5,020.75 | 02/04/2016 | 4,698.68 | -322.07 | -6.41% | S |
| FEDEX CORP | 31428X106 | FDX | 32.00 | 09/28/2015 | 4,590.40 | 02/04/2016 | 4,295.94 | -294.46 | -6.41% | S |
| FIRST TRUST NASDAQ 100 EQUAL WEIGHTED INDEX FD ETF | 337344105 | QQEW | 45.00 | 03/27/2015 | 1,954.35 | 04/18/2016 | 1,912.96 | -41.39 | -2.12% | L |
| FIRST TRUST NASDAQ 100 EQUAL WEIGHTED INDEX FD ETF | 337344105 | QQEW | 50.00 | 03/27/2015 | 2,171.50 | 04/18/2016 | 2,125.50 | -46.00 | -2.12% | L |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|--|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| FIRST TRUST NASDAQ 100 EQUAL WEIGHTED INDEX FD ETF | 337344105 | QQEW | 435.00 | 03/27/2015 | 18,892.05 | 07/26/2016 | 19,459.09 | 567.04 | 3.00% | L |
| FIRST TRUST NASDAQ 100 EQUAL WEIGHTED INDEX FD ETF | 337344105 | QQEW | 65.00 | 03/27/2015 | 2,822.95 | 07/26/2016 | 2,907.40 | 84.45 | 2.99% | L |
| FORD MOTOR CO COM NEW | 345370860 | F | 550.00 | 02/04/2016 | 6,323.79 | 04/18/2016 | 7,228.49 | 904.70 | 14.31% | S |
| FORD MOTOR CO COM NEW | 345370860 | F | 575.00 | 02/04/2016 | 6,611.24 | 04/18/2016 | 7,557.07 | 945.83 | 14.31% | S |
| FORD MOTOR CO COM NEW | 345370860 | F | 8,695.00 | 02/04/2016 | 99,973.37 | 07/26/2016 | 119,857.46 | 19,884.09 | 19.89% | S |
| FORD MOTOR CO COM NEW | 345370860 | F | 8,355.00 | 02/04/2016 | 96,064.12 | 07/26/2016 | 115,130.13 | 19,066.01 | 19.85% | S |
| FORTIS INC CANADA ORD CAD | 349553107 | FTS | 0.11 | 10/14/2016 | 3.53 | 10/17/2016 | 3.58 | 0.05 | 1.42% | S |
| FORTIS INC CANADA ORD CAD | 349553107 | FTS | 0.06 | 10/14/2016 | 2.02 | 10/17/2016 | 2.05 | 0.03 | 1.49% | S |
| FORTIVE CORP | 349591108 | FTV | 111.50 | 07/09/2014 | 4,284.08 | 07/26/2016 | 5,465.06 | 1,180.98 | 27.57% | L |
| FORTIVE CORP | 349591108 | FTV | 5.50 | 08/14/2014 | 201.41 | 07/26/2016 | 269.60 | 68.19 | 33.86% | L |
| FORTIVE CORP | 349591108 | FTV | 44.50 | 08/25/2014 | 1,688.06 | 07/26/2016 | 2,181.34 | 493.28 | 29.22% | L |
| FORTIVE CORP | 349591108 | FTV | 32.50 | 09/17/2014 | 1,262.80 | 07/26/2016 | 1,593.12 | 330.32 | 26.16% | L |
| FORTIVE CORP | 349591108 | FTV | 17.50 | 10/14/2014 | 621.71 | 07/26/2016 | 857.83 | 236.12 | 37.98% | L |
| FORTIVE CORP | 349591108 | FTV | 17.50 | 10/21/2014 | 649.74 | 07/26/2016 | 857.83 | 208.09 | 32.03% | L |
| FORTIVE CORP | 349591108 | FTV | 1.00 | 10/27/2014 | 38.13 | 07/26/2016 | 49.01 | 10.88 | 28.53% | L |
| FORTIVE CORP | 349591108 | FTV | 0.50 | 09/28/2015 | 20.71 | 07/26/2016 | 24.51 | 3.80 | 18.35% | S |
| FORTIVE CORP | 349591108 | FTV | 0.50 | 09/28/2015 | 20.72 | 07/26/2016 | 24.51 | 3.79 | 18.29% | S |
| FT-PREFERRED SECUR & INC ETF | 33739E108 | FPE | 95.00 | 03/27/2015 | 1,821.15 | 02/04/2016 | 1,767.37 | -53.78 | -2.95% | S |
| FT-PREFERRED SECUR & INC ETF | 33739E108 | FPE | 100.00 | 03/27/2015 | 1,917.00 | 02/04/2016 | 1,860.39 | -56.61 | -2.95% | S |
| FT-PREFERRED SECUR & INC ETF | 33739E108 | FPE | 1,185.00 | 03/27/2015 | 22,716.45 | 07/26/2016 | 23,029.38 | 312.93 | 1.38% | L |
| GILEAD SCIENCES INC | 375558103 | GILD | 805.00 | 01/16/2015 | 79,874.32 | 02/04/2016 | 69,732.91 | -10,141.41 | -12.70% | L |
| GILEAD SCIENCES INC | 375558103 | GILD | 775.00 | 01/16/2015 | 76,897.63 | 02/04/2016 | 67,134.17 | -9,763.46 | -12.70% | L |
| GILEAD SCIENCES INC | 375558103 | GILD | 10.00 | 03/27/2015 | 1,011.70 | 02/04/2016 | 866.25 | -145.45 | -14.38% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 10.00 | 03/27/2015 | 1,011.70 | 02/04/2016 | 866.25 | -145.45 | -14.38% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 60.00 | 06/04/2015 | 6,810.00 | 02/04/2016 | 5,197.48 | -1,612.52 | -23.68% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 55.00 | 06/04/2015 | 6,242.50 | 02/04/2016 | 4,764.36 | -1,478.14 | -23.68% | S |



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 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|---|-----------|--------|------------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| GILEAD SCIENCES INC | 375558103 | GILD | 222.00 | 06/30/2015 | 26,058.36 | 02/04/2016 | 19,230.69 | -6,827.67 | -26.20% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 230.00 | 06/30/2015 | 26,997.40 | 02/04/2016 | 19,923.69 | -7,073.71 | -26.20% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 6.00 | 07/16/2015 | 712.74 | 02/04/2016 | 519.75 | -192.99 | -27.08% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 5.00 | 07/16/2015 | 593.95 | 02/04/2016 | 433.12 | -160.83 | -27.08% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 6.00 | 08/10/2015 | 697.68 | 02/04/2016 | 519.75 | -177.93 | -25.50% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 6.00 | 08/10/2015 | 697.68 | 02/04/2016 | 519.74 | -177.94 | -25.50% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 65.00 | 08/25/2015 | 6,846.45 | 02/04/2016 | 5,630.61 | -1,215.84 | -17.76% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 65.00 | 08/25/2015 | 6,846.45 | 02/04/2016 | 5,630.61 | -1,215.84 | -17.76% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 41.00 | 09/28/2015 | 3,991.35 | 02/04/2016 | 3,551.61 | -439.74 | -11.02% | S |
| GILEAD SCIENCES INC | 375558103 | GILD | 46.00 | 09/28/2015 | 4,478.10 | 02/04/2016 | 3,984.74 | -493.36 | -11.02% | S |
| GOLDMAN SACHS BK U NY US RT 00.6500% MAT 11/03/16 FIXED RATE CD | 38148J6U0 | | 240,000.00 | 01/25/2016 | 239,820.00 | 07/12/2016 | 239,884.80 | 64.80 | 0.03% | S |
| HD SUPPLY HLDGS INC | 40416M105 | HDS | 340.00 | 03/04/2016 | 9,916.95 | 04/18/2016 | 11,306.93 | 1,389.98 | 14.02% | S |
| HD SUPPLY HLDGS INC | 40416M105 | HDS | 355.00 | 03/04/2016 | 10,354.46 | 04/18/2016 | 11,805.76 | 1,451.30 | 14.02% | S |
| HD SUPPLY HLDGS INC. | 40416M105 | HDS | 3,443.00 | 03/04/2016 | 100,423.66 | 07/26/2016 | 126,702.24 | 26,278.58 | 26.17% | S |
| HD SUPPLY HLDGS INC | 40416M105 | HDS | 3,308.00 | 03/04/2016 | 96,486.05 | 07/26/2016 | 121,666.71 | 25,180.66 | 26.10% | S |
| HILTON WORLDWIDE HOLDINGS INC *REVERSE SPLIT EFF 01/2017* | 43300A104 | | 175.00 | 03/27/2015 | 5,225.50 | 04/18/2016 | 3,904.81 | -1,320.69 | -25.27% | L |
| HILTON WORLDWIDE HOLDINGS INC *REVERSE SPLIT EFF 01/2017* | 43300A104 | | 170.00 | 03/27/2015 | 5,076.20 | 04/18/2016 | 3,793.25 | -1,282.95 | -25.27% | L |
| HOME DEPOT INC | 437076102 | HD | 5.00 | 07/09/2014 | 401.26 | 02/04/2016 | 604.09 | 202.83 | 50.55% | L |
| HOME DEPOT INC | 437076102 | HD | 1.00 | 08/14/2014 | 83.54 | 02/04/2016 | 120.82 | 37.28 | 44.63% | L |
| HOME DEPOT INC | 437076102 | HD | 4.00 | 08/25/2014 | 364.98 | 02/04/2016 | 483.27 | 118.29 | 32.41% | L |
| HOME DEPOT INC | 437076102 | HD | 10.00 | 07/09/2014 | 802.53 | 04/18/2016 | 1,361.17 | 558.64 | 69.61% | L |
| HOME DEPOT INC | 437076102 | HD | 10.00 | 08/25/2014 | 912.47 | 04/18/2016 | 1,361.17 | 448.70 | 49.17% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 465.00 | 06/24/2013 | 11,024.00 | 04/18/2016 | 12,680.32 | 1,656.32 | 15.02% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 420.00 | 09/17/2014 | 12,051.74 | 04/18/2016 | 11,453.19 | -598.55 | -4.97% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 65.00 | 10/14/2014 | 1,756.37 | 04/18/2016 | 1,772.52 | 16.15 | 0.92% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 474.00 | 06/24/2013 | 11,237.37 | 07/26/2016 | 14,992.29 | 3,754.92 | 33.41% | L |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------------------------------|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 60.00 | 10/10/2014 | 1,608.15 | 07/26/2016 | 1,897.76 | 289.61 | 18.01% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 282.00 | 10/14/2014 | 7,619.92 | 07/26/2016 | 8,914.61 | 1,294.69 | 16.99% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 198.00 | 10/21/2014 | 5,671.91 | 07/26/2016 | 6,259.20 | 587.29 | 10.35% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 22.00 | 10/27/2014 | 632.32 | 07/26/2016 | 695.84 | 63.52 | 10.05% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 50.00 | 11/26/2014 | 1,503.46 | 07/26/2016 | 1,581.47 | 78.01 | 5.19% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 30.00 | 03/27/2015 | 970.33 | 07/26/2016 | 948.88 | -21.45 | -2.21% | L |
| HOSPITALITY PROPERTIES TRUST REIT | 44106M102 | HPT | 84.00 | 06/04/2015 | 2,458.44 | 07/26/2016 | 2,656.86 | 198.42 | 8.07% | L |
| ICON PLC EUR | G4705A100 | ICLR | 218.00 | 07/09/2014 | 10,117.36 | 02/04/2016 | 14,912.99 | 4,795.63 | 47.40% | L |
| ICON PLC EUR | G4705A100 | ICLR | 58.00 | 08/25/2014 | 2,999.88 | 02/04/2016 | 3,967.68 | 967.80 | 32.26% | L |
| ICON PLC EUR | G4705A100 | ICLR | 90.00 | 09/17/2014 | 5,126.23 | 02/04/2016 | 6,156.74 | 1,030.51 | 20.10% | L |
| ICON PLC EUR | G4705A100 | ICLR | 47.00 | 10/14/2014 | 2,587.00 | 02/04/2016 | 3,215.19 | 628.19 | 24.28% | L |
| ICON PLC EUR | G4705A100 | ICLR | 21.00 | 10/21/2014 | 1,177.87 | 02/04/2016 | 1,436.57 | 258.70 | 21.96% | L |
| ICON PLC EUR | G4705A100 | ICLR | 3.00 | 10/27/2014 | 167.55 | 02/04/2016 | 205.23 | 37.68 | 22.49% | L |
| ICON PLC EUR | G4705A100 | ICLR | 30.00 | 11/05/2014 | 1,580.41 | 02/04/2016 | 2,052.25 | 471.84 | 29.86% | L |
| ICON PLC EUR | G4705A100 | ICLR | 25.00 | 11/05/2014 | 1,317.01 | 02/04/2016 | 1,710.20 | 393.19 | 29.85% | L |
| ICON PLC EUR | G4705A100 | ICLR | 15.00 | 06/04/2015 | 988.05 | 02/04/2016 | 1,026.12 | 38.07 | 3.85% | S |
| ICON PLC EUR | G4705A100 | ICLR | 25.00 | 06/04/2015 | 1,646.75 | 02/04/2016 | 1,710.21 | 63.46 | 3.85% | S |
| ICON PLC EUR | G4705A100 | ICLR | 5.00 | 08/25/2015 | 390.75 | 02/04/2016 | 342.04 | -48.71 | -12.47% | S |
| ICON PLC EUR | G4705A100 | ICLR | 5.00 | 08/25/2015 | 390.75 | 02/04/2016 | 342.05 | -48.70 | -12.46% | S |
| ICON PLC EUR | G4705A100 | ICLR | 9.00 | 09/28/2015 | 650.16 | 02/04/2016 | 615.67 | -34.49 | -5.30% | S |
| ICON PLC EUR | G4705A100 | ICLR | 11.00 | 09/28/2015 | 794.64 | 02/04/2016 | 752.49 | -42.15 | -5.30% | S |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 30.00 | 07/09/2014 | 2,609.60 | 02/04/2016 | 2,738.35 | 128.75 | 4.93% | L |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 30.00 | 08/14/2014 | 2,578.71 | 02/04/2016 | 2,738.35 | 159.64 | 6.19% | L |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 15.00 | 07/09/2014 | 1,304.80 | 04/18/2016 | 1,576.77 | 271.97 | 20.84% | L |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 4.00 | 08/14/2014 | 343.83 | 04/18/2016 | 420.47 | 76.64 | 22.29% | L |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 11.00 | 08/25/2014 | 977.85 | 04/18/2016 | 1,156.30 | 178.45 | 18.25% | L |
| ILLINOIS TOOL WORKS INC | 452308109 | ITW | 177.00 | 07/09/2014 | 15,396.61 | 06/13/2016 | 18,823.72 | 3,427.11 | 22.26% | L |



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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 452308109 | ITW | 66.00 | 08/25/2014 | 5,867.07 | 06/13/2016 | 7,019.01 | 1,151.94 | 19.63% | L |
| 452308109 | ITW | 58.00 | 09/17/2014 | 5,161.21 | 06/13/2016 | 6,168.22 | 1,007.01 | 19.51% | L |
| 452308109 | ITW | 32.00 | 10/14/2014 | 2,578.56 | 06/13/2016 | 3,403.16 | 824.60 | 31.98% | L |
| 452308109 | ITW | 33.00 | 10/21/2014 | 2,810.27 | 06/13/2016 | 3,509.51 | 699.24 | 24.88% | L |
| 452308109 | ITW | 2.00 | 10/27/2014 | 176.02 | 06/13/2016 | 212.70 | 36.68 | 20.84% | L |
| 452308109 | ITW | 5.00 | 01/16/2015 | 461.25 | 06/13/2016 | 531.74 | 70.49 | 15.28% | L |
| 452308109 | ITW | 10.00 | 06/04/2015 | 935.20 | 06/13/2016 | 1,063.48 | 128.28 | 13.72% | L |
| 452308109 | ITW | 5.00 | 06/04/2015 | 467.60 | 06/13/2016 | 531.74 | 64.14 | 13.72% | L |
| 452308109 | ITW | 3.00 | 08/10/2015 | 273.57 | 06/13/2016 | 319.05 | 45.48 | 16.62% | S |
| 452308109 | ITW | 3.00 | 08/10/2015 | 273.57 | 06/13/2016 | 319.05 | 45.48 | 16.62% | S |
| 452308109 | ITW | 5.00 | 08/25/2015 | 418.65 | 06/13/2016 | 531.74 | 113.09 | 27.01% | S |
| 452308109 | ITW | 5.00 | 08/25/2015 | 418.65 | 06/13/2016 | 531.74 | 113.09 | 27.01% | S |
| 452308109 | ITW | 3.00 | 09/28/2015 | 243.51 | 06/13/2016 | 319.05 | 75.54 | 31.02% | S |
| 452308109 | ITW | 3.00 | 09/28/2015 | 243.51 | 06/13/2016 | 319.05 | 75.54 | 31.02% | S |
| G491BT108 | IVZ | 15.00 | 08/18/2014 | 594.85 | 04/18/2016 | 470.14 | -124.71 | -20.96% | L |
| G491BT108 | IVZ | 20.00 | 08/18/2014 | 792.70 | 04/18/2016 | 626.85 | -165.85 | -20.92% | L |
| 464288448 | IDV | 209.00 | 09/26/2011 | 5,904.25 | 02/04/2016 | 5,690.00 | -214.25 | -3.63% | L |
| 464288448 | IDV | 2,500.00 | 07/17/2013 | 82,746.83 | 02/04/2016 | 68,062.25 | -14,684.58 | -17.75% | L |
| 464288448 | IDV | 663.00 | 08/25/2014 | 25,570.12 | 02/04/2016 | 18,050.11 | -7,520.01 | -29.41% | L |
| 464288448 | IDV | 1,264.00 | 09/17/2014 | 47,333.39 | 02/04/2016 | 34,412.27 | -12,921.12 | -27.30% | L |
| 464288448 | IDV | 740.00 | 10/10/2014 | 25,248.80 | 02/04/2016 | 20,146.42 | -5,102.38 | -20.21% | L |
| 464288448 | IDV | 697.00 | 10/14/2014 | 23,646.91 | 02/04/2016 | 18,975.75 | -4,671.16 | -19.75% | L |
| 464288448 | IDV | 1,010.00 | 10/21/2014 | 35,135.07 | 02/04/2016 | 27,497.15 | -7,637.92 | -21.74% | L |
| 464288448 | IDV | 45.00 | 10/27/2014 | 1,583.55 | 02/04/2016 | 1,225.12 | -358.43 | -22.63% | L |
| 464288448 | IDV | 50.00 | 11/26/2014 | 1,816.84 | 02/04/2016 | 1,361.24 | -455.60 | -25.08% | L |
| 464288448 | IDV | 50.00 | 11/26/2014 | 1,816.84 | 02/04/2016 | 1,361.25 | -455.59 | -25.08% | L |
| 464288448 | IDV | 155.00 | 01/16/2015 | 5,184.73 | 02/04/2016 | 4,219.86 | -964.87 | -18.61% | L |



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Realized gain/loss - Year 2016 (continued)

| | CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|------------------------------------|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 165 00 | 01/16/2015 | 5,519 23 | 02/04/2016 | 4,492 11 | -1,027 12 | -18 61% | L |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 40 00 | 03/27/2015 | 1,368 00 | 02/04/2016 | 1,089 00 | -279 00 | -20 39% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 40 00 | 03/27/2015 | 1,368 00 | 02/04/2016 | 1,088 99 | -279 01 | -20 40% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 90 00 | 06/04/2015 | 3,037 18 | 02/04/2016 | 2,450 24 | -586 94 | -19 33% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 95 00 | 06/04/2015 | 3,205 91 | 02/04/2016 | 2,586 36 | -619 55 | -19 33% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 61 00 | 07/16/2015 | 1,989 82 | 02/04/2016 | 1,660 72 | -329 10 | -16 54% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 56 00 | 07/16/2015 | 1,826 72 | 02/04/2016 | 1,524 60 | -302 12 | -16 54% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 30 00 | 08/10/2015 | 956 70 | 02/04/2016 | 816 74 | -139 96 | -14 63% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 31 00 | 08/10/2015 | 988 59 | 02/04/2016 | 843 98 | -144 61 | -14 63% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 180 00 | 08/25/2015 | 5,301 00 | 02/04/2016 | 4,900 48 | -400 52 | -7 56% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 170 00 | 08/25/2015 | 5,006 50 | 02/04/2016 | 4,628 24 | -378 26 | -7 56% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 19 00 | 09/28/2015 | 532 19 | 02/04/2016 | 517 27 | -14 92 | -2 80% | S |
| ISHARES INTL SELECT DIVID ETF | 464288448 | IDV | 17 00 | 09/28/2015 | 476 17 | 02/04/2016 | 462 82 | -13 35 | -2 80% | S |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 100 00 | 07/09/2014 | 3,597 50 | 02/04/2016 | 3,967 95 | 370 45 | 10 30% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 105 00 | 08/25/2014 | 3,924 90 | 02/04/2016 | 4,166 34 | 241 44 | 6 15% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 10 00 | 07/09/2014 | 359 75 | 04/18/2016 | 432 69 | 72 94 | 20 28% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 10 00 | 08/25/2014 | 373 80 | 04/18/2016 | 432 69 | 58 89 | 15 75% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 282 00 | 07/09/2014 | 10,144 95 | 10/14/2016 | 13,047 94 | 2,902 99 | 28 62% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 17 00 | 08/25/2014 | 635 46 | 10/14/2016 | 786 58 | 151 12 | 23 78% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 139 00 | 09/17/2014 | 5,126 19 | 10/14/2016 | 6,431 43 | 1,305 24 | 25 46% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 73 00 | 10/14/2014 | 2,564 16 | 10/14/2016 | 3,377 66 | 813 50 | 31 73% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 60 00 | 10/21/2014 | 2,228 39 | 10/14/2016 | 2,776 15 | 547 76 | 24 58% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 4 00 | 10/27/2014 | 154 27 | 10/14/2016 | 185 07 | 30 80 | 19 96% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 40 00 | 11/26/2014 | 1,522 30 | 10/14/2016 | 1,850 77 | 328 47 | 21 58% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 30 00 | 11/26/2014 | 1,141 72 | 10/14/2016 | 1,388 08 | 246 36 | 21 58% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 90 00 | 03/27/2015 | 3,348 00 | 10/14/2016 | 4,164 24 | 816 24 | 24 38% | L |
| ITC HOLDINGS CORP *MERGER 10/2016* | 465685105 | | 90 00 | 03/27/2015 | 3,348 00 | 10/14/2016 | 4,164 24 | 816 24 | 24 38% | L |



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 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

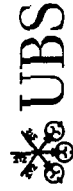
| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|---|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 465685105 | | 80.00 | 06/04/2015 | 2,660.41 | 10/14/2016 | 3,701.54 | 1,041.13 | 39.13% | L |
| 465685105 | ITC HOLDINGS CORP *MERGER 10/2016* | 75.00 | 06/04/2015 | 2,494.13 | 10/14/2016 | 3,470.19 | 976.06 | 39.13% | L |
| 465685105 | ITC HOLDINGS CORP *MERGER 10/2016* | 6.00 | 06/30/2015 | 192.96 | 10/14/2016 | 277.62 | 84.66 | 43.87% | L |
| 465685105 | ITC HOLDINGS CORP *MERGER 10/2016* | 7.00 | 06/30/2015 | 225.12 | 10/14/2016 | 323.89 | 98.77 | 43.87% | L |
| 465685105 | ITC HOLDINGS CORP *MERGER 10/2016* | 925.00 | 07/26/2016 | 42,547.60 | 10/14/2016 | 42,799.08 | 251.48 | 0.59% | S |
| 465685105 | ITC HOLDINGS CORP *MERGER 10/2016* | 795.00 | 07/26/2016 | 36,575.80 | 10/14/2016 | 36,784.08 | 208.28 | 0.57% | S |
| 466313103 | JABIL CIRCUIT INC | 5,070.00 | 02/04/2016 | 101,151.75 | 07/26/2016 | 102,615.08 | 1,463.33 | 1.45% | S |
| 466313103 | JABIL CIRCUIT INC | 5,280.00 | 02/04/2016 | 105,341.47 | 07/26/2016 | 106,830.68 | 1,489.21 | 1.41% | S |
| 466313103 | JABIL CIRCUIT INC | 985.00 | 04/18/2016 | 17,856.08 | 07/26/2016 | 19,936.06 | 2,079.98 | 11.65% | S |
| 466313103 | JABIL CIRCUIT INC | 1,025.00 | 04/18/2016 | 18,581.20 | 07/26/2016 | 20,738.91 | 2,157.71 | 11.61% | S |
| 803431410 | JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I | 798.51 | 04/07/2015 | 17,144.10 | 04/18/2016 | 15,379.38 | -1,764.72 | -10.29% | L |
| 803431410 | JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I | 766.94 | 04/07/2015 | 16,466.29 | 04/18/2016 | 14,771.35 | -1,694.94 | -10.29% | L |
| 803431410 | JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I | 1,250.47 | 04/07/2015 | 26,847.51 | 07/26/2016 | 24,809.25 | -2,038.26 | -7.59% | L |
| 803431410 | JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I | 222.45 | 04/07/2015 | 4,775.94 | 07/26/2016 | 4,413.35 | -362.59 | -7.59% | L |
| 477143101 | JETBLUE AIRWAYS CORP | 4,915.00 | 02/04/2016 | 101,838.80 | 07/26/2016 | 89,500.69 | -12,338.11 | -12.12% | S |
| 477143101 | JETBLUE AIRWAYS CORP | 5,120.00 | 02/04/2016 | 106,086.40 | 07/26/2016 | 93,182.48 | -12,903.92 | -12.16% | S |
| 477143101 | JETBLUE AIRWAYS CORP | 340.00 | 04/18/2016 | 7,129.43 | 07/26/2016 | 6,187.90 | -941.53 | -13.21% | S |
| 477143101 | JETBLUE AIRWAYS CORP | 330.00 | 04/18/2016 | 6,919.74 | 07/26/2016 | 6,009.20 | -910.54 | -13.16% | S |
| 494568101 | KINDER MORGAN INC | 345.00 | 11/28/2014 | 14,329.58 | 04/18/2016 | 6,242.01 | -8,087.57 | -56.44% | L |
| 494568101 | KINDER MORGAN INC | 344.78 | 11/28/2014 | 14,320.57 | 04/18/2016 | 6,238.10 | -8,082.47 | -56.44% | L |
| 494568101 | KINDER MORGAN INC | 15.22 | 11/28/2014 | 632.03 | 04/18/2016 | 275.31 | -356.72 | -56.44% | L |
| 494568101 | KINDER MORGAN INC | 795.00 | 11/28/2014 | 33,020.32 | 07/26/2016 | 16,539.06 | -16,481.26 | -49.91% | L |
| 494568101 | KINDER MORGAN INC | 512.72 | 11/28/2014 | 21,295.78 | 07/26/2016 | 10,671.24 | -10,624.54 | -49.89% | L |
| 494568101 | KINDER MORGAN INC | 2.28 | 11/28/2014 | 94.75 | 07/26/2016 | 47.48 | -47.27 | -49.89% | L |
| 48248M102 | KKR & CO L P DEL COM UNITS MLP | 7,860.00 | 02/04/2016 | 106,728.74 | 07/26/2016 | 112,396.33 | 5,667.59 | 5.31% | S |
| 48248M102 | KKR & CO L P DEL COM UNITS MLP | 7,550.00 | 02/04/2016 | 102,519.34 | 07/26/2016 | 107,887.91 | 5,368.57 | 5.24% | S |



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 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 48248M102 | KKR | 360 00 | 04/18/2016 | 5,000.00 | 07/26/2016 | 5,144.32 | 144.32 | 2.89% | S |
| 48248M102 | KKR | 375 00 | 04/18/2016 | 5,208.34 | 07/26/2016 | 5,362.42 | 154.08 | 2.96% | S |
| G5960L103 | MDT | 45.00 | 06/04/2015 | 3,385.28 | 02/04/2016 | 3,425.34 | 40.06 | 1.18% | S |
| G5960L103 | MDT | 45 00 | 06/04/2015 | 3,385.28 | 02/04/2016 | 3,425.34 | 40.06 | 1.18% | S |
| 608190104 | MHK | 10.00 | 07/09/2014 | 1,351.63 | 04/18/2016 | 1,969.76 | 618.13 | 45.73% | L |
| 608190104 | MHK | 10 00 | 08/25/2014 | 1,462.91 | 04/18/2016 | 1,969.76 | 506.85 | 34.65% | L |
| 608190104 | MHK | 94 00 | 07/09/2014 | 12,705.32 | 06/13/2016 | 18,277.31 | 5,571.99 | 43.86% | L |
| 608190104 | MHK | 14 00 | 08/25/2014 | 2,048.08 | 06/13/2016 | 2,722.15 | 674.07 | 32.91% | L |
| 608190104 | MHK | 36.00 | 09/17/2014 | 5,165.64 | 06/13/2016 | 6,999.82 | 1,834.18 | 35.51% | L |
| 608190104 | MHK | 20.00 | 10/14/2014 | 2,511.20 | 06/13/2016 | 3,888.79 | 1,377.59 | 54.86% | L |
| 608190104 | MHK | 29 00 | 10/21/2014 | 3,845.40 | 06/13/2016 | 5,638.74 | 1,793.34 | 46.64% | L |
| 608190104 | MHK | 1.00 | 10/27/2014 | 133.95 | 06/13/2016 | 194.44 | 60.49 | 45.16% | L |
| 608190104 | MHK | 3 00 | 09/28/2015 | 558.06 | 06/13/2016 | 583.32 | 25.26 | 4.53% | S |
| 608190104 | MHK | 2 00 | 09/28/2015 | 372.04 | 06/13/2016 | 388.88 | 16.84 | 4.53% | S |
| 608190104 | MHK | 10.00 | 02/04/2016 | 1,652.39 | 06/13/2016 | 1,944.39 | 292.00 | 17.67% | S |
| 608190104 | MHK | 10 00 | 02/04/2016 | 1,652.39 | 06/13/2016 | 1,944.39 | 292.00 | 17.67% | S |
| N59465109 | MYL | 100 00 | 08/10/2015 | 5,726.00 | 02/04/2016 | 5,224.04 | -501.96 | -8.77% | S |
| N59465109 | MYL | 100 00 | 08/10/2015 | 5,726.00 | 02/04/2016 | 5,224.04 | -501.96 | -8.77% | S |
| 670690155 | MFFGJ | 79 07 | 08/25/2015 | 1,733.57 | 02/04/2016 | 1,690.44 | -43.13 | -2.49% | S |
| 670690155 | MFFGJ | 82.60 | 08/25/2015 | 1,811.01 | 02/04/2016 | 1,765.95 | -45.06 | -2.49% | S |
| N6596X109 | NXPI | 64 00 | 07/18/2013 | 2,156.32 | 02/04/2016 | 4,878.62 | 2,722.30 | 126.25% | L |
| N6596X109 | NXPI | 145 00 | 02/11/2014 | 7,617.63 | 02/04/2016 | 11,053.12 | 3,435.49 | 45.10% | L |
| N6596X109 | NXPI | 164 00 | 04/28/2014 | 9,552.21 | 02/04/2016 | 12,501.45 | 2,949.24 | 30.87% | L |
| N6596X109 | NXPI | 36 00 | 08/25/2014 | 2,356.56 | 02/04/2016 | 2,744.22 | 387.66 | 16.45% | L |
| N6596X109 | NXPI | 244 00 | 09/17/2014 | 17,336.20 | 02/04/2016 | 18,599.73 | 1,263.53 | 7.29% | L |
| N6596X109 | NXPI | 185 00 | 10/10/2014 | 10,496.92 | 02/04/2016 | 14,102.26 | 3,605.34 | 34.35% | L |
| N6596X109 | NXPI | 153 00 | 10/14/2014 | 8,658.42 | 02/04/2016 | 11,662.95 | 3,004.53 | 34.70% | L |



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 FW 06360 PMP FD
 FW 12554 Checking
 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CLUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| N6596X109 | NXPI | 154 00 | 10/21/2014 | 9,787.70 | 02/04/2016 | 11,739.17 | 1,951.47 | 19.94% | L |
| N6596X109 | NXPI | 9.00 | 10/27/2014 | 579.33 | 02/04/2016 | 686.05 | 106.72 | 18.42% | L |
| N6596X109 | NXPI | 30 00 | 01/16/2015 | 2,311.46 | 02/04/2016 | 2,286.85 | -24.61 | -1.06% | L |
| N6596X109 | NXPI | 30 00 | 01/16/2015 | 2,311.46 | 02/04/2016 | 2,286.85 | -24.61 | -1.06% | L |
| N6596X109 | NXPI | 85 00 | 06/04/2015 | 9,066.95 | 02/04/2016 | 6,479.42 | -2,587.53 | -28.54% | S |
| N6596X109 | NXPI | 90 00 | 06/04/2015 | 9,600.30 | 02/04/2016 | 6,860.56 | -2,739.74 | -28.54% | S |
| N6596X109 | NXPI | 414 00 | 06/30/2015 | 39,954.85 | 02/04/2016 | 31,558.55 | -8,396.30 | -21.01% | S |
| N6596X109 | NXPI | 399.00 | 06/30/2015 | 38,507.21 | 02/04/2016 | 30,415.13 | -8,092.08 | -21.01% | S |
| N6596X109 | NXPI | 87 00 | 07/16/2015 | 8,006.39 | 02/04/2016 | 6,631.87 | -1,374.52 | -17.17% | S |
| N6596X109 | NXPI | 92.00 | 07/16/2015 | 8,466.53 | 02/04/2016 | 7,013.01 | -1,453.52 | -17.17% | S |
| N6596X109 | NXPI | 190 00 | 08/25/2015 | 15,790.90 | 02/04/2016 | 14,483.40 | -1,307.50 | -8.28% | S |
| N6596X109 | NXPI | 180 00 | 08/25/2015 | 14,959.80 | 02/04/2016 | 13,721.11 | -1,238.69 | -8.28% | S |
| 674599105 | OXY | 165 00 | 09/28/2015 | 10,744.73 | 02/04/2016 | 11,037.00 | 292.27 | 2.72% | S |
| 674599105 | OXY | 175 00 | 09/28/2015 | 11,395.93 | 02/04/2016 | 11,705.90 | 309.97 | 2.72% | S |
| 674599105 | OXY | 130 00 | 09/28/2015 | 8,451.52 | 07/26/2016 | 9,706.11 | 1,254.59 | 14.84% | S |
| 68268W103 | OMF | 4,193 00 | 06/13/2016 | 113,888.59 | 07/26/2016 | 117,989.63 | 4,101.04 | 3.60% | S |
| 68268W103 | OMF | 3,968 00 | 06/13/2016 | 107,777.23 | 07/26/2016 | 111,698.76 | 3,921.53 | 3.64% | S |
| 756109104 | O | 949 00 | 01/14/2014 | 35,664.55 | 02/04/2016 | 54,547.97 | 18,883.42 | 52.95% | L |
| 756109104 | O | 157 00 | 08/25/2014 | 6,978.32 | 02/04/2016 | 9,024.27 | 2,045.95 | 29.32% | L |
| 756109104 | O | 440 00 | 09/17/2014 | 18,577.12 | 02/04/2016 | 25,290.94 | 6,713.82 | 36.14% | L |
| 756109104 | O | 219.00 | 10/14/2014 | 9,310.56 | 02/04/2016 | 12,588.00 | 3,277.44 | 35.20% | L |
| 756109104 | O | 194 00 | 10/21/2014 | 8,454.93 | 02/04/2016 | 11,151.00 | 2,696.07 | 31.89% | L |
| 756109104 | O | 14 00 | 10/27/2014 | 623.55 | 02/04/2016 | 804.71 | 181.16 | 29.05% | L |
| 756109104 | O | 100.00 | 11/26/2014 | 4,562.63 | 02/04/2016 | 5,747.95 | 1,185.32 | 25.98% | L |
| 756109104 | O | 100 00 | 11/26/2014 | 4,562.63 | 02/04/2016 | 5,747.94 | 1,185.31 | 25.98% | L |
| 756109104 | O | 70 00 | 03/27/2015 | 3,536.93 | 02/04/2016 | 4,023.56 | 486.63 | 13.76% | S |
| 756109104 | O | 80 00 | 03/27/2015 | 4,042.23 | 02/04/2016 | 4,598.35 | 556.12 | 13.76% | S |



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FW 06360 PMP FD
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Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|------------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 756109104 | O | 2,005.00 | 06/04/2015 | 90,798.61 | 02/04/2016 | 115,246.23 | 24,447.62 | 26.93% | S |
| 756109104 | O | 1,930.00 | 06/04/2015 | 87,402.20 | 02/04/2016 | 110,935.29 | 23,533.09 | 26.93% | S |
| 756109104 | O | 11.00 | 06/30/2015 | 486.34 | 02/04/2016 | 632.27 | 145.93 | 30.01% | S |
| 756109104 | O | 6.00 | 06/30/2015 | 265.29 | 02/04/2016 | 344.88 | 79.59 | 30.00% | S |
| 74967R106 | RMR | 1.49 | 12/15/2015 | 17.77 | 02/04/2016 | 31.52 | 13.75 | 77.38% | S |
| 74967R106 | RMR | 49.30 | 12/15/2015 | 586.20 | 02/04/2016 | 1,040.00 | 453.80 | 77.41% | S |
| 74967R106 | RMR | 0.50 | 12/15/2015 | 5.92 | 02/04/2016 | 10.51 | 4.59 | 77.53% | S |
| 74967R106 | RMR | 0.83 | 12/15/2015 | 9.87 | 02/04/2016 | 17.51 | 7.64 | 77.41% | S |
| 74967R106 | RMR | 0.37 | 12/15/2015 | 4.34 | 02/04/2016 | 7.70 | 3.36 | 77.42% | S |
| 74967R106 | RMR | 6.94 | 12/15/2015 | 82.50 | 02/04/2016 | 146.37 | 63.87 | 77.42% | S |
| 74967R106 | RMR | 1.00 | 12/15/2015 | 11.85 | 02/04/2016 | 21.01 | 9.16 | 77.30% | S |
| 74967R106 | RMR | 51.29 | 12/15/2015 | 609.89 | 02/04/2016 | 1,082.03 | 472.14 | 77.41% | S |
| 74967R106 | RMR | 7.22 | 12/15/2015 | 85.85 | 02/04/2016 | 152.32 | 66.47 | 77.43% | S |
| 74967R106 | RMR | 1.59 | 12/15/2015 | 18.95 | 02/04/2016 | 33.62 | 14.67 | 77.41% | S |
| 74967R106 | RMR | 0.50 | 12/15/2015 | 5.92 | 02/04/2016 | 10.51 | 4.59 | 77.53% | S |
| 74967R106 | RMR | 0.83 | 12/15/2015 | 9.87 | 02/04/2016 | 17.51 | 7.64 | 77.41% | S |
| 74967R106 | RMR | 4.96 | 12/15/2015 | 59.01 | 02/04/2016 | 104.70 | 45.69 | 77.43% | S |
| 74967R106 | RMR | 5.76 | 12/15/2015 | 68.49 | 02/04/2016 | 121.51 | 53.02 | 77.41% | S |
| 74967R106 | RMR | 6.84 | 12/15/2015 | 81.33 | 02/04/2016 | 144.28 | 62.95 | 77.40% | S |
| 74967R106 | RMR | 15.58 | 12/15/2015 | 185.19 | 02/04/2016 | 328.57 | 143.38 | 77.42% | S |
| 773903109 | ROK | 15.00 | 03/27/2015 | 1,699.65 | 04/18/2016 | 1,748.49 | 48.84 | 2.87% | L |
| 773903109 | ROK | 15.00 | 03/27/2015 | 1,699.65 | 04/18/2016 | 1,748.49 | 48.84 | 2.87% | L |
| 774341101 | COL | 5.00 | 07/09/2014 | 391.80 | 02/04/2016 | 402.29 | 10.49 | 2.68% | L |
| 774341101 | COL | 5.00 | 08/14/2014 | 376.13 | 02/04/2016 | 402.29 | 26.16 | 6.96% | L |
| 774341101 | COL | 15.00 | 07/09/2014 | 1,175.40 | 04/18/2016 | 1,408.07 | 232.67 | 19.79% | L |
| 774341101 | COL | 15.00 | 08/14/2014 | 1,128.39 | 04/18/2016 | 1,408.07 | 279.68 | 24.79% | L |
| 78658QTR4 | | 240,000.00 | 01/25/2016 | 239,880.00 | 07/12/2016 | 239,916.00 | 36.00 | 0.02% | S |

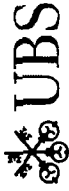
SAFRA NATL BK NEW NY RT 00 7000% MAT
 10/28/16 FIXED RATE CD



Consolidated report prepared for West Foundation
 FW 06360 PMP FD
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 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | gain/(loss) (%) | Term |
|-----------|--------|-----------|---------------|----------------------|------------|------------------|---------------------------|-----------------|------|
| Y7542C106 | STNG | 18,535.00 | 02/04/2016 | 105,515.90 | 04/01/2016 | 106,057.76 | 541.86 | 0.51% | S |
| Y7542C106 | STNG | 17,805.00 | 02/04/2016 | 101,360.16 | 04/01/2016 | 101,880.68 | 520.52 | 0.51% | S |
| 855244109 | SBUX | 10.00 | 07/09/2014 | 396.35 | 02/04/2016 | 583.59 | 187.24 | 47.24% | L |
| 855244109 | SBUX | 10.00 | 08/25/2014 | 388.41 | 02/04/2016 | 583.59 | 195.18 | 50.25% | L |
| 858119100 | STLD | 4,515.00 | 04/18/2016 | 109,893.14 | 07/26/2016 | 122,128.09 | 12,234.95 | 11.13% | S |
| 858119100 | STLD | 4,705.00 | 04/18/2016 | 114,517.66 | 07/26/2016 | 127,229.93 | 12,712.27 | 11.10% | S |
| 874039100 | TSM | 3,156.00 | 01/16/2015 | 71,094.91 | 02/04/2016 | 73,197.97 | 2,103.06 | 2.96% | L |
| 874039100 | TSM | 3,032.00 | 01/16/2015 | 68,301.58 | 02/04/2016 | 70,322.00 | 2,020.42 | 2.96% | L |
| 874039100 | TSM | 70.00 | 03/27/2015 | 1,593.71 | 02/04/2016 | 1,623.53 | 29.82 | 1.87% | S |
| 874039100 | TSM | 70.00 | 03/27/2015 | 1,593.71 | 02/04/2016 | 1,623.53 | 29.82 | 1.87% | S |
| 874039100 | TSM | 685.00 | 06/04/2015 | 15,782.40 | 02/04/2016 | 15,887.39 | 104.99 | 0.67% | S |
| 874039100 | TSM | 650.00 | 06/04/2015 | 14,976.00 | 02/04/2016 | 15,075.62 | 99.62 | 0.67% | S |
| 874039100 | TSM | 1,311.00 | 06/30/2015 | 29,874.15 | 02/04/2016 | 30,406.38 | 532.23 | 1.78% | S |
| 874039100 | TSM | 1,357.00 | 06/30/2015 | 30,922.37 | 02/04/2016 | 31,473.27 | 550.90 | 1.78% | S |
| 874039100 | TSM | 308.00 | 07/16/2015 | 6,800.61 | 02/04/2016 | 7,143.53 | 342.92 | 5.04% | S |
| 874039100 | TSM | 292.00 | 07/16/2015 | 6,447.33 | 02/04/2016 | 6,772.44 | 325.11 | 5.04% | S |
| 874039100 | TSM | 395.00 | 08/25/2015 | 7,884.20 | 02/04/2016 | 9,161.34 | 1,277.14 | 16.20% | S |
| 874039100 | TSM | 410.00 | 08/25/2015 | 8,183.60 | 02/04/2016 | 9,509.24 | 1,325.64 | 16.20% | S |
| Y8565N102 | TNK | 19,996.00 | 02/04/2016 | 87,338.55 | 05/20/2016 | 67,605.85 | -19,732.70 | -22.59% | S |
| Y8565N102 | TNK | 19,208.00 | 02/04/2016 | 83,896.72 | 05/20/2016 | 64,941.63 | -18,955.09 | -22.59% | S |
| Y8565N102 | TNK | 3,967.00 | 02/04/2016 | 17,327.07 | 05/24/2016 | 12,654.45 | -4,672.62 | -26.97% | S |
| Y8565N102 | TNK | 4,129.00 | 02/04/2016 | 18,034.65 | 05/24/2016 | 13,171.22 | -4,863.43 | -26.97% | S |
| Y8565N102 | TNK | 3,544.00 | 03/04/2016 | 14,206.30 | 05/24/2016 | 11,305.12 | -2,901.18 | -20.42% | S |
| Y8565N102 | TNK | 3,402.00 | 03/04/2016 | 13,637.09 | 05/24/2016 | 10,852.15 | -2,784.94 | -20.42% | S |
| Y8565N102 | TNK | 2,975.00 | 04/18/2016 | 11,066.11 | 05/24/2016 | 9,490.04 | -1,576.07 | -14.24% | S |
| Y8565N102 | TNK | 3,095.00 | 04/18/2016 | 11,512.47 | 05/24/2016 | 9,872.83 | -1,639.64 | -14.24% | S |
| 880890108 | TX | 8,335.00 | 02/04/2016 | 105,740.89 | 03/04/2016 | 142,323.88 | 36,582.99 | 34.60% | S |



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 FW 06360 PMP FD
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 FW 14936 Jackson Expend
 FW 14937 PMP Jcksn Endwid
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 880890108 | TX | 8,005 00 | 02/04/2016 | 101,554.38 | 03/04/2016 | 136,688.98 | 35,134.60 | 34.60% | S |
| 881609101 | TSO | 477 00 | 01/16/2015 | 33,905.59 | 02/04/2016 | 37,906.88 | 4,001.29 | 11.80% | L |
| 881609101 | TSO | 500 00 | 01/16/2015 | 35,540.45 | 02/04/2016 | 39,734.67 | 4,194.22 | 11.80% | L |
| 881609101 | TSO | 270 00 | 06/04/2015 | 22,531.50 | 02/04/2016 | 21,456.72 | -1,074.78 | -4.77% | S |
| 881609101 | TSO | 260 00 | 06/04/2015 | 21,697.00 | 02/04/2016 | 20,662.03 | -1,034.97 | -4.77% | S |
| 881609101 | TSO | 297 00 | 06/30/2015 | 25,615.21 | 02/04/2016 | 23,602.39 | -2,012.82 | -7.86% | S |
| 881609101 | TSO | 311 00 | 06/30/2015 | 26,822.66 | 02/04/2016 | 24,714.96 | -2,107.70 | -7.86% | S |
| 881609101 | TSO | 110 00 | 08/25/2015 | 10,183.80 | 02/04/2016 | 8,741.63 | -1,442.17 | -14.16% | S |
| 881609101 | TSO | 110 00 | 08/25/2015 | 10,183.80 | 02/04/2016 | 8,741.63 | -1,442.17 | -14.16% | S |
| 883556102 | TMO | 10 00 | 03/27/2015 | 1,338.21 | 02/04/2016 | 1,278.89 | -59.32 | -4.43% | S |
| 883556102 | TMO | 10 00 | 03/27/2015 | 1,338.22 | 02/04/2016 | 1,278.89 | -59.33 | -4.43% | S |
| 883556102 | TMO | 10 00 | 03/27/2015 | 1,338.21 | 04/18/2016 | 1,454.08 | 115.87 | 8.66% | L |
| 883556102 | TMO | 10 00 | 03/27/2015 | 1,338.22 | 04/18/2016 | 1,454.08 | 115.86 | 8.66% | L |
| 872540109 | TIX | 5 00 | 07/09/2014 | 272.94 | 02/04/2016 | 353.14 | 80.20 | 29.38% | L |
| 872540109 | TIX | 5 00 | 08/14/2014 | 269.95 | 02/04/2016 | 353.14 | 83.19 | 30.82% | L |
| 872540109 | TIX | 5 00 | 07/09/2014 | 272.94 | 04/18/2016 | 387.45 | 114.51 | 41.95% | L |
| 872540109 | TIX | 5 00 | 08/14/2014 | 269.95 | 04/18/2016 | 387.45 | 117.50 | 43.53% | L |
| 902494103 | TSN | 1,712 00 | 01/16/2015 | 68,655.78 | 02/04/2016 | 88,999.59 | 20,343.81 | 29.63% | L |
| 902494103 | TSN | 1,783 00 | 01/16/2015 | 71,503.07 | 02/04/2016 | 92,690.58 | 21,187.51 | 29.63% | L |
| 902494103 | TSN | 170 00 | 03/27/2015 | 6,468.11 | 02/04/2016 | 8,837.58 | 2,369.47 | 36.63% | S |
| 902494103 | TSN | 160 00 | 03/27/2015 | 6,087.63 | 02/04/2016 | 8,317.72 | 2,230.09 | 36.63% | S |
| 902494103 | TSN | 215 00 | 06/04/2015 | 8,942.95 | 02/04/2016 | 11,176.94 | 2,233.99 | 24.98% | S |
| 902494103 | TSN | 220 00 | 06/04/2015 | 9,150.92 | 02/04/2016 | 11,436.86 | 2,285.94 | 24.98% | S |
| 902494103 | TSN | 579 00 | 06/30/2015 | 25,207.17 | 02/04/2016 | 30,099.75 | 4,892.58 | 19.41% | S |
| 902494103 | TSN | 558 00 | 06/30/2015 | 24,292.92 | 02/04/2016 | 29,008.04 | 4,715.12 | 19.41% | S |
| 902494103 | TSN | 61 00 | 07/16/2015 | 2,653.79 | 02/04/2016 | 3,171.13 | 517.34 | 19.49% | S |
| 902494103 | TSN | 65 00 | 07/16/2015 | 2,827.81 | 02/04/2016 | 3,379.07 | 551.26 | 19.49% | S |



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 FW 06360 PMP FD
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 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

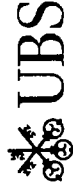
| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|-----------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|------|
| 90346E103 | SICA | 2,299.00 | 01/16/2015 | 62,895.08 | 02/04/2016 | 41,706.41 | -21,188.67 | -33.69% | L |
| 90346E103 | SICA | 2,209.00 | 01/16/2015 | 60,432.90 | 02/04/2016 | 40,073.71 | -20,359.19 | -33.69% | L |
| 90346E103 | SICA | 655.00 | 06/04/2015 | 20,959.78 | 02/04/2016 | 11,882.43 | -9,077.35 | -43.31% | S |
| 90346E103 | SICA | 685.00 | 06/04/2015 | 21,919.77 | 02/04/2016 | 12,426.66 | -9,493.11 | -43.31% | S |
| 90346E103 | SICA | 1,443.00 | 06/30/2015 | 41,211.94 | 02/04/2016 | 26,177.62 | -15,034.32 | -36.48% | S |
| 90346E103 | SICA | 1,391.00 | 06/30/2015 | 39,726.82 | 02/04/2016 | 25,234.28 | -14,492.54 | -36.48% | S |
| 90346E103 | SICA | 824.00 | 07/16/2015 | 20,079.69 | 02/04/2016 | 14,948.27 | -5,131.42 | -25.56% | S |
| 90346E103 | SICA | 861.00 | 07/16/2015 | 20,981.32 | 02/04/2016 | 15,619.50 | -5,361.82 | -25.56% | S |
| 90346E103 | SICA | 1,560.00 | 08/25/2015 | 28,392.00 | 02/04/2016 | 28,300.13 | -91.87 | -0.32% | S |
| 90346E103 | SICA | 1,495.00 | 08/25/2015 | 27,209.00 | 02/04/2016 | 27,120.96 | -88.04 | -0.32% | S |
| 90346E103 | SICA | 1,171.00 | 09/28/2015 | 17,384.29 | 02/04/2016 | 21,243.24 | 3,858.95 | 22.20% | S |
| 90346E103 | SICA | 1,215.00 | 09/28/2015 | 18,037.50 | 02/04/2016 | 22,041.45 | 4,003.95 | 22.20% | S |
| 91324P102 | UNH | 870.00 | 04/29/2016 | 113,761.20 | 07/26/2016 | 123,555.15 | 9,793.95 | 8.61% | S |
| 91324P102 | UNH | 836.00 | 04/29/2016 | 109,315.36 | 07/26/2016 | 118,733.27 | 9,417.91 | 8.62% | S |
| 913017109 | UTX | 5.00 | 07/09/2014 | 568.52 | 02/04/2016 | 440.64 | -127.88 | -22.49% | L |
| 913017109 | UTX | 5.00 | 08/14/2014 | 529.23 | 02/04/2016 | 440.64 | -88.59 | -16.74% | L |
| 913017109 | UTX | 20.00 | 07/09/2014 | 2,274.06 | 04/18/2016 | 2,095.75 | -178.31 | -7.84% | L |
| 913017109 | UTX | 20.00 | 08/14/2014 | 2,116.92 | 04/18/2016 | 2,095.75 | -21.17 | -1.00% | L |
| 91911K102 | VRX | 338.00 | 01/16/2015 | 53,103.18 | 03/15/2016 | 17,122.65 | -35,980.53 | -67.76% | L |
| 91911K102 | VRX | 355.00 | 01/16/2015 | 55,774.05 | 03/15/2016 | 17,983.85 | -37,790.20 | -67.76% | L |
| 91911K102 | VRX | 5.00 | 06/04/2015 | 1,159.94 | 03/15/2016 | 253.29 | -906.65 | -78.16% | S |
| 91911K102 | VRX | 10.00 | 06/04/2015 | 2,319.88 | 03/15/2016 | 506.59 | -1,813.29 | -78.16% | S |
| 91911K102 | VRX | 154.00 | 06/30/2015 | 34,055.56 | 03/15/2016 | 7,801.44 | -26,254.12 | -77.09% | S |
| 91911K102 | VRX | 162.00 | 06/30/2015 | 35,824.68 | 03/15/2016 | 8,206.72 | -27,617.96 | -77.09% | S |
| 91911K102 | VRX | 20.00 | 08/25/2015 | 4,620.00 | 03/15/2016 | 1,013.17 | -3,606.83 | -78.07% | S |
| 91911K102 | VRX | 15.00 | 08/25/2015 | 3,465.00 | 03/15/2016 | 759.88 | -2,705.12 | -78.07% | S |
| 91911K102 | VRX | 48.00 | 09/28/2015 | 9,735.36 | 03/15/2016 | 2,431.62 | -7,303.74 | -75.02% | S |



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 FW 14937 PMP Jcksn Endwd
 FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| CUSIP | Symbol | Quantity | Purchase date | Purchase amount (\$) | Sale date | Sale amount (\$) | Realized gain/(loss) (\$) | Percent gain/(loss) (%) | Term |
|------------------------------------|--------|----------|---------------|----------------------|------------|------------------|---------------------------|-------------------------|---------------|
| 91911K102 | VRX | 46.00 | 09/28/2015 | 9,329.72 | 03/15/2016 | 2,330.30 | -6,999.42 | -75.02% | S |
| 91911K102 | VRX | 495.00 | 02/04/2016 | 48,269.28 | 03/15/2016 | 25,076.07 | -23,193.21 | -48.05% | S |
| 91911K102 | VRX | 475.00 | 02/04/2016 | 46,319.01 | 03/15/2016 | 24,062.89 | -22,256.12 | -48.05% | S |
| 91911K102 | VRX | 300.00 | 03/03/2016 | 19,485.00 | 03/15/2016 | 15,197.62 | -4,287.38 | -22.00% | S |
| 91911K102 | VRX | 300.00 | 03/03/2016 | 19,491.75 | 03/15/2016 | 15,197.62 | -4,294.13 | -22.03% | S |
| 988498101 | YUM | 232.00 | 07/09/2014 | 19,193.34 | 02/04/2016 | 16,769.54 | -2,423.80 | -12.63% | L |
| 988498101 | YUM | 92.00 | 08/25/2014 | 6,686.69 | 02/04/2016 | 6,649.99 | -36.70 | -0.55% | L |
| 988498101 | YUM | 71.00 | 09/17/2014 | 5,163.19 | 02/04/2016 | 5,132.05 | -31.14 | -0.60% | L |
| 988498101 | YUM | 38.00 | 10/14/2014 | 2,559.68 | 02/04/2016 | 2,746.73 | 187.05 | 7.31% | L |
| 988498101 | YUM | 43.00 | 10/21/2014 | 2,992.24 | 02/04/2016 | 3,108.15 | 115.91 | 3.87% | L |
| 988498101 | YUM | 2.00 | 10/27/2014 | 139.26 | 02/04/2016 | 144.56 | 5.30 | 3.81% | L |
| 988498101 | YUM | 5.00 | 01/16/2015 | 359.93 | 02/04/2016 | 361.41 | 1.48 | 0.41% | L |
| 988498101 | YUM | 5.00 | 01/16/2015 | 359.93 | 02/04/2016 | 361.41 | 1.48 | 0.41% | L |
| 988498101 | YUM | 7.00 | 07/16/2015 | 621.95 | 02/04/2016 | 505.98 | -115.97 | -18.65% | S |
| 988498101 | YUM | 7.00 | 07/16/2015 | 621.95 | 02/04/2016 | 505.98 | -115.97 | -18.65% | S |
| 988498101 | YUM | 10.00 | 08/25/2015 | 790.70 | 02/04/2016 | 722.83 | -67.87 | -8.58% | S |
| 988498101 | YUM | 10.00 | 08/25/2015 | 790.70 | 02/04/2016 | 722.83 | -67.87 | -8.58% | S |
| 988498101 | YUM | 2.00 | 09/28/2015 | 154.52 | 02/04/2016 | 144.56 | -9.96 | -6.45% | S |
| 988498101 | YUM | 2.00 | 09/28/2015 | 154.52 | 02/04/2016 | 144.56 | -9.96 | -6.45% | S |
| TOTAL REALIZED GAIN/(LOSS): | | | | | | | 10,152,646.17 | -169,965.11 | -1.65% |



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FW 14941 PMP FD Jack End

Realized gain/loss - Year 2016 (continued)

| | |
|--|-------------|
| TOTAL GAINS: | 803,616.29 |
| TOTAL LOSSES: | -973,581.40 |
| SHORT TERM - TOTAL REALIZED GAIN/(LOSS): | 72,846.88 |
| LONG TERM - TOTAL REALIZED GAIN/(LOSS): | -242,811.99 |