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EXTENDED TO NOVEMBER 15, 2017

Return of Private Foundation

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

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OMB No. 1545-0052

2016

Open to Public Inspection

Form 990-PF

Department of the Treasury
Internal Revenue Service

For calendar year 2016 or tax year beginning

, and ending

Name of foundation SASSER FAMILY FOUNDATION INC		A Employer identification number 26-1385776
Number and street (or P.O. box number if mail is not delivered to street address) 7221 BROADWAY STREET	Room/suite	B Telephone number 409-599-6144
City or town, state or province, country, and ZIP or foreign postal code GALVESTON, TX 77554-8915		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 956,785.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received					
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		15,549.	15,550.		
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		132,886.			
b Gross sales price for all assets on line 6a 554,300.					
7 Capital gain net income (from Part IV, line 2)			132,886.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		148,435.	148,436.	0.	
13 Compensation of officers, directors, trustees, etc.		0.	0.	0.	0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees STMT 2		975.	0.	0.	0.
c Other professional fees					
17 Interest					
18 Taxes STMT 3		2,446.	2,446.	0.	0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 4		7,986.	7,986.	0.	0.
24 Total operating and administrative expenses. Add lines 13 through 23		11,407.	10,432.	0.	0.
25 Contributions, gifts, grants paid		42,500.			42,500.
26 Total expenses and disbursements. Add lines 24 and 25		53,907.	10,432.	0.	42,500.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		94,528.			
b Net investment income (if negative, enter -0-)			138,004.		
c Adjusted net income (if negative, enter -0-)				0.	

SCANNED SEP 05 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				
	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 5	696,459.	728,680.	728,680.	
	c	Investments - corporate bonds STMT 6	84,000.	228,105.	228,105.	
	11	Investments - land, buildings, and equipment basis ▶				
	Less accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other					
14	Land, buildings, and equipment: basis ▶					
	Less accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)			780,459.	956,785.	956,785.
Liabilities	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe ▶)				
23	Total liabilities (add lines 17 through 22)			0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted			780,459.	956,785.
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds				
	28	Paid-in or capital surplus, or land, bldg., and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	Total net assets or fund balances			780,459.	956,785.
	31	Total liabilities and net assets/fund balances			780,459.	956,785.

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	780,459.
2	Enter amount from Part I, line 27a	2	94,528.
3	Other increases not included in line 2 (itemize) ▶ GAIN ON INVESTMENTS	3	81,798.
4	Add lines 1, 2, and 3	4	956,785.
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	956,785.

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Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 554,300.		421,414.	132,886.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			132,886.

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	132,886.
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	-11,132.

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	38,500.	823,821.	.046733
2014	42,980.	851,088.	.050500
2013	62,137.	689,546.	.090113
2012	33,194.	623,488.	.053239
2011	36,326.	641,403.	.056635

2 Total of line 1, column (d)	2	.297220
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	.059444
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	837,883.
5 Multiply line 4 by line 3	5	49,807.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,380.
7 Add lines 5 and 6	7	51,187.
8 Enter qualifying distributions from Part XII, line 4	8	42,500.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	2,760.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	2,760.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	2,760.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,740.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	1,740.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	1.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	1,021.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☐ Refunded ☐	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ► \$ 0. (2) On foundation managers. ► \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ► NONE		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		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>BARBARA & DOMINICK SASSER</u> Telephone no. ► <u>409-599-6144</u> Located at ► <u>7221 BROADWAY, GALVESTON, TX</u> ZIP+4 ► <u>77554</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		N/A
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		X

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

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

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
DOMINICK SASSER	DIRECTOR			
7221 BROADWAY				
GALVESTON, TX 77554	0.50	0.	0.	0.
BARBARA SASSER	DIRECTOR			
7221 BROADWAY				
GALVESTON, TX 77554	0.50	0.	0.	0.
JOHN H CAMPBELL	DIRECTOR			
2200 MARKET, STE 804				
GALVESTON, TX 77550	0.50	0.	0.	0.

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

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

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

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	850,643.
b	Average of monthly cash balances	1b	
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	850,643.
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	850,643.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	12,760.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	837,883.
6	Minimum investment return. Enter 5% of line 5	6	41,894.

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	41,894.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	2,760.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,760.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	39,134.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	39,134.
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	39,134.

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	42,500.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	42,500.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	42,500.

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.

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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				39,134.
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	26,622.			
d From 2014	5,292.			
e From 2015				
f Total of lines 3a through e	31,914.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 42,500.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				39,134.
e Remaining amount distributed out of corpus	3,366.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	35,280.			
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	35,280.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013	26,622.			
c Excess from 2014	5,292.			
d Excess from 2015				
e Excess from 2016	3,366.			

N/A

- ☐ 4942(1)(3) or ☐ 4942(1)(5)

- (4) Gross investment income**

[illegible]

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
BIG BROTHERS/BIG SISTERS 1413 23RD ST. STE 100 GALVESTON, TX 77550		PC	PROGRAMS	1,500.
FUND FOR THE CITY OF NEW YORK 525 E. 80TH ST. SUITE 11A NEW YORK, NY 10075		PC	SCHOLARSHIPS	2,000.
HEIFER INTERNATIONAL 1 WORLD AVE LITTLE ROCK, AK 72202		NC	PROGRAMS	1,000.
LA LECHE LEAGUE INTERNATIONAL 35 E. WACKER DRIVE, SUITE 850 CHICAGO, IL 60601		NC	UNRESTRICTED	5,000.
UNITED WAY OF GALVESTON PO BOX 2250 GALVESTON, TX 77553		NC	COMMUNITY INITIATIVE	2,500.
Total	SEE CONTINUATION SHEET(S)			42,500.
b Approved for future payment				
NONE				
Total				0.

Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?	Yes	No
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
	(6) Performance of services or membership or fundraising solicitations	1b(6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

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

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

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

**Sign
Here**

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

Signature of officer or trustee

Date 8/17/17

► DIRECTOR

May the IRS discuss this return with the preparer shown below (see instr. 1)?

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

WILLIAM C. ANSELL,
CPA

Preparer's signature

Preparer's signature 

Date

06/20/17

Check ☐ self-employed

PTIN

P00758148

Firm's name ► **HAM, LANGSTON & BREZINA, LLP**

Firm's address ► 1011 TREMONT STREET
GALVESTON, TX 77550

Firm's EIN ► 76-0448495

Phone no. **409-765-9311**

Form **990-PF** (2016)

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-8782 SEE ATTACHED			
b	UBS-8782 SEE ATTACHED			
c	UBS-9132 SEE ATTACHED			
d	UBS-9132 SEE ATTACHED			
e	CINN FINANCIAL CORPORATION			07/18/16
f	CULLEN FROST BANKERS			07/18/16
g	UBS-9131 SEE ATTACHED			
h	UBS-9131 SEE ATTACHED			
i	UBS-9133 SEE ATTACHED			
j	UBS-9133 SEE ATTACHED			
k	CAPITAL GAINS DIVIDENDS			
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 118,265.		121,582.	-3,317.
b 71,319.		58,374.	12,945.
c 52,823.		56,904.	-4,081.
d 84,823.		72,448.	12,375.
e 63,649.		18,794.	44,855.
f 76,604.		1,128.	75,476.
g 1,243.		1,197.	46.
h 23,453.		23,012.	441.
i 31,949.		35,729.	-3,780.
j 30,171.		32,246.	-2,075.
k 1.			1.
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			** -3,317.
b			12,945.
c			** -4,081.
d			12,375.
e			44,855.
f			75,476.
g			** 46.
h			441.
i			** -3,780.
j			-2,075.
k			1.
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	132,886.
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	-11,132.

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
UTMB BABY FRIENDLY INITIATIVE 301 UNIVERSITY BLVD. GALVESTON, TX 77555		NC	UNRESTRICTED	25,000.
AMBASSADORS PREPARATORY ACADEMY 5001 AVE U GALVESTON, TX 77551		NC	SCHOLARSHIPS	2,000.
CHALLENGE ASPEN PO BOX 6639 SNOWMASS VILLAGE, CO 81615		NC	PROGRAMS	1,000.
SMILE TRAIN 41 MADISON AVE NEW YORK, NY 10010		NC	UNRESTRICTED	1,000.
UTMB OLLI PROGRAM 301 UNIVERSITY BLVD. GALVESTON, TX 77555		NC	SCHOLARSHIPS	1,000.
HUGS OF GALVESTON 301 14TH ST GALVESTON, TX 77550		NC	PROGRAMS	250.
GALVESTON COUNTY FOOD BANK 624 4TH AVE N TEXAS CITY, TX 77590		PC	PROGRAMS	250.
Total from continuation sheets				30,500.

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
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SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
UBS INVESTMENT	15,550.	1.	15,549.	15,550.	0.
TO PART I, LINE 4	15,550.	1.	15,549.	15,550.	0.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	2
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	975.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	975.	0.	0.	0.

FORM 990-PF	TAXES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
US TREASURY	1,740.	1,740.	0.	0.
FOREIGN TAXES PAID	706.	706.	0.	0.
TO FORM 990-PF, PG 1, LN 18	2,446.	2,446.	0.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	7,986.	7,986.	0.	0.
TO FORM 990-PF, PG 1, LN 23	7,986.	7,986.	0.	0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	5
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
UBS FINANCIAL SERVICES	728,680.	728,680.
TOTAL TO FORM 990-PF, PART II, LINE 10B	728,680.	728,680.

FORM 990-PF	CORPORATE BONDS	STATEMENT	6
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
UBS FINANCIAL SERVICES	228,105.	228,105.
TOTAL TO FORM 990-PF, PART II, LINE 10C	228,105.	228,105.

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS

2016

03/06/2017 CORRECTED

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

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

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALPHABET INC CL A / CUSIP: 02079K305 / Symbol: GOOGL							
2 transactions for 04/01/16							
	3,000	2,304.43	07/17/15	2,089.01	...	215.42	Sale
	6,000	4,608.86	07/20/15	4,127.01	...	481.85	Sale
04/01/16	9,000	6,913.29	Various	6,216.02	...	697.27	Total of 2 transactions
AMAZON.COM INC / CUSIP: 023135108 / Symbol: AMZN							
02/25/16	2,000	1,104.92	08/25/15	963.31	...	141.61	Sale
04/26/16	1,000	617.60	08/25/15	481.65	...	135.95	Sale
	Security total:	1,722.52		1,444.96	...	277.56	
AMGEN INC COMMON STOCK / CUSIP: 031162100 / Symbol: AMGN							
04/01/16	3,000	461.90	10/08/15	441.32	...	20.58	Sale
APPLE INC / CUSIP: 037633100 / Symbol: AAPL							
2 transactions for 01/08/16							
	5,000	503.26	03/17/15	635.20	...	-131.94	Sale
	23,000	2,314.98	04/21/15	2,929.13	...	-614.15	Sale
01/06/16	28,000	2,818.24	Various	3,564.33	...	-746.09	Total of 2 transactions
ARM HOLDINGS PLC **MERGER EFF-09/20/16** SPON ADR / CUSIP: 042068106 / Symbol:							
07/29/16	14,000	925.63	04/01/16	614.18	...	311.45	Sale
08/01/16	10,000	661.49	04/01/16	436.70	...	222.79	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS

(continued)

03/06/2017 CORRECTED

2016

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

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

Description of property		Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)		Additional Information
Date sold or disposed									
ARM HOLDINGS PLC **MERGER EFF: 09/20/16** SPON ADR / CUSIP: 042068106 / Symbol: (cont'd)									
	2 transactions for 08/02/16								
	6,000	399.98	04/01/16	263.22	...	...	136.74	Sale	
	11,000	732.32	04/01/16	482.57	...	...	249.75	Sale	
08/02/16	17,000	1,132.28	Various	745.79	...	...	386.49	Total of 2 transactions	
08/03/16	6,000	404.10	04/01/16	263.21	...	...	140.89	Sale	
	4 transactions for 09/06/16								
	43,000	2,863.88	04/01/16	1,886.41	...	...	977.47	Merger	
	3,000	199.81	04/19/16	125.39	...	...	74.42	Merger	
	6,000	399.61	04/19/16	251.08	...	...	148.53	Merger	
	4,000	266.41	04/20/16	165.41	...	...	101.00	Merger	
09/06/16	56,000	3,729.71	Various	2,428.29	...	...	1,301.42	Total of 4 transactions	
	Security total:		6,853.21	4,490.17	...	...	2,363.04		
BOEING COMPANY COMMON STOCK / CUSIP: 097023105 / Symbol: BA									
01/22/16	7,000	871.29	01/22/15	944.80	...	...	-73.51	Sale	
	2 transactions for 04/01/16								
	10,000	1,268.73	04/13/15	1,540.68	...	...	-271.95	Sale	
	3,000	380.62	06/30/15	417.66	...	...	-37.04	Sale	
04/01/16	13,000	1,649.35	Various	1,958.34	...	...	-308.99	Total of 2 transactions	
	Security total:		2,520.84	2,903.14	...	...	-382.50		
CELGENE CORP COMMON STOCK / CUSIP: 151020104 / Symbol: CELG									
04/01/16	8,000	807.90	07/30/15	1,053.09	...	...	-245.19	Sale	

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

03/06/2017 CORRECTED

Proceeds Not Reported to the IRS (continued)

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

Report on Form 9949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
CHIPOTLE MEXICAN GRILL INC CL A / CUSIP: 169656105 / Symbol: CMG							
5 transactions for 04/01/16							
	3,000	1,387.05	04/17/15	2,048.93	...	-661.88	Sale
	4,000	1,849.41	07/09/15	2,511.89	...	-662.48	Sale
	1,000	462.35	10/01/15	717.93	...	-255.58	Sale
	3,000	1,387.05	10/08/15	2,200.48	...	-813.43	Sale
	5,000	2,311.78	01/13/16	2,143.47	...	168.29	Sale
04/01/16	16,000	7,397.62	Various	9,622.70	...	-2,225.08	Total of 5 transactions
WALT DISNEY CO (HOLDING CO) DISNEY COM / CUSIP: 254687106 / Symbol: DIS							
01/08/16	9,000	899.35	06/19/15	1,016.12	...	-116.77	Sale
DOLLAR TREE INC / CUSIP: 256746108 / Symbol: DLTR							
04/01/16	15,000	1,252.43	01/08/16	1,170.37	...	82.06	Sale
ELECTRONIC ARTS COMMON STOCK / CUSIP: 285512109 / Symbol: EA							
3 transactions for 04/01/16							
	23,000	1,512.80	06/19/15	1,515.57	...	-2.77	Sale
	13,000	855.06	06/22/15	866.69	...	-11.63	Sale
	31,000	2,038.98	02/04/16	1,819.62	...	219.36	Sale
04/01/16	67,000	4,406.84	Various	4,201.88	...	204.96	Total of 3 transactions
FLEETCOR TECHNOLOGIES INC / CUSIP: 339041105 / Symbol: FLT							
04/01/16	2,000	296.77	04/21/15	318.15	...	-21.38	Sale
GREENHILL & CO INC / CUSIP: 395259104 / Symbol: GHIL							
10/05/16	1,000	23.45	04/01/16	22.04	...	1.41	Sale
2 transactions for 10/06/16							
	1,000	22.89	04/01/16	22.03	...	0.86	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

(continued)

03/06/2017 CORRECTED

Proceeds Not Reported to the IRS **SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]** Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
GREENHILL & CO INC / CUSIP: 395259104 / Symbol: GHL (cont'd)							
10/06/16	1.000	23.04	04/01/16	22.04	..	1.00	Sale
	2.000	45.93	Various	44.07	..	1.86	Total of 2 transactions
10/07/16	1.000	22.74	04/01/16	22.03	..	0.71	Sale
10/10/16	1.000	22.94	04/01/16	22.04	..	0.90	Sale
10/11/16	1.000	22.53	04/01/16	22.03	..	0.50	Sale
10/17/16	3.000	68.44	04/01/16	66.11	..	2.33	Sale
10/18/16	1.000	22.95	04/01/16	22.03	..	0.92	Sale
10/19/16	2.000	45.92	04/01/16	44.07	..	1.85	Sale
10/20/16	1.000	22.72	04/01/16	22.04	..	0.68	Sale
10/27/16	2.000	47.28	04/01/16	44.07	..	3.21	Sale
10/28/16	2.000	47.51	04/01/16	44.07	..	3.44	Sale
11/01/16	1.000	23.25	04/01/16	22.03	..	1.22	Sale
11/07/16	1.000	23.30	04/01/16	22.04	..	1.26	Sale
11/08/16	1.000	23.03	04/01/16	22.04	..	0.99	Sale
11/09/16	2.000	47.09	04/01/16	44.07	..	3.02	Sale
11/10/16	1.000	24.18	04/01/16	22.03	..	2.15	Sale
11/28/16	1.000	28.29	04/01/16	22.04	..	6.25	Sale
11/29/16	1.000	27.86	04/01/16	22.03	..	5.83	Sale
11/30/16	1.000	27.74	04/01/16	22.04	..	5.70	Sale
12/01/16	1.000	28.24	04/01/16	22.03	..	6.21	Sale
12/02/16	1.000	28.03	04/01/16	22.04	..	5.99	Sale
12/05/16	1.000	27.77	04/01/16	22.03	..	5.74	Sale
12/06/16	2.000	56.40	04/01/16	44.07	..	12.33	Sale
12/07/16	2.000	56.33	04/01/16	44.07	..	12.26	Sale
12/08/16	2.000	56.49	04/01/16	44.07	..	12.42	Sale
12/09/16	1.000	28.01	04/01/16	22.04	..	5.97	Sale
12/12/16	1.000	27.55	04/01/16	22.03	..	5.52	Sale
12/13/16	1.000	27.74	04/01/16	22.04	..	5.70	Sale
Security total:						116.37	
				837.34	..		

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net) at Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
HOME DEPOT INC / CUSIP: 437076102 / Symbol: HD						
5 transactions for 04/01/16						
	8,000	1,080.86	994.02	...	86.84	Sale
	11,000	1,486.18	1,374.38	...	111.80	Sale
	19,000	2,567.03	2,431.58	...	135.45	Sale
	14,000	1,891.50	1,891.65	...	199.85	Sale
	14,000	1,891.50	1,817.43	...	274.07	Sale
04/01/16	66,000	8,917.07	8,109.06	...	808.01	Total of 5 transactions
INCYTE CORP / CUSIP: 45337C102 / Symbol: INCY						
2 transactions for 01/25/16						
	5,000	409.40	483.71	...	-74.31	Sale
	4,000	327.52	373.49	...	-45.97	Sale
01/25/16	9,000	736.92	857.20	...	-120.28	Total of 2 transactions
2 transactions for 01/26/16						
	2,000	152.22	186.74	...	-34.52	Sale
	10,000	761.12	1,014.13	...	-253.01	Sale
01/26/16	12,000	913.34	1,200.87	...	-287.53	Total of 2 transactions
Security total:						
		1,650.26	2,058.07	...	-407.81	
KRAFT HEINZ CO/THE / CUSIP: 500754108 / Symbol: KHC						
04/01/16	24,000	1,894.28	1,854.89	0.00	39.39	Sale
KROGER COMPANY COMMON STOCK / CUSIP: 501044101 / Symbol: KR						
5 transactions for 04/01/16						
	37,000	1,412.37	1,522.39	...	-110.02	Sale
	21,000	801.61	855.76	...	-54.15	Sale
	56,000	2,137.64	2,290.04	...	-152.40	Sale

C

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
KROGER COMPANY COMMON STOCK / CUSIP: 501044101 / Symbol: KR (cont'd)							
	47,000	1,794.08	01/14/16	1,839.68	...	-45.60	Sale
	47,000	1,794.09	01/20/16	1,768.42	...	25.67	Sale
04/01/16	208,000	7,939.79	Various	8,276.29	...	-336.50	Total of 5 transactions
LILLY ELI & CO COMMON STOCK / CUSIP: 532457108 / Symbol: LLY							
3 transactions for 04/01/16							
	17,000	1,246.92	09/17/15	1,558.53	...	-311.61	Sale
	17,000	1,246.93	09/18/15	1,522.98	...	-276.05	Sale
	12,000	880.18	10/12/15	952.64	...	-72.46	Sale
04/01/16	46,000	3,374.03	Various	4,034.15	...	-660.12	Total of 3 transactions
LOWES COMPANIES INC / CUSIP: 548861107 / Symbol: LOW							
04/18/16	1,000	77.22	04/01/16	76.57	...	0.65	Sale
2 transactions for 04/19/16							
	1,000	76.52	04/01/16	76.57	...	-0.05	Sale
	4,000	306.07	04/01/16	306.28	...	-0.21	Sale
04/19/16	5,000	382.59	Various	382.85	...	-0.26	Total of 2 transactions
04/20/16	8,000	612.40	04/01/16	612.55	...	-0.15	Sale
04/21/16	6,000	455.93	04/01/16	459.41	...	-3.48	Sale
05/02/16	4,000	304.88	04/01/16	306.28	...	-1.40	Sale
	Security total:	1,833.02		1,837.66	...	-4.64	
NIKE INC CL B / CUSIP: 654106103 / Symbol: NIKE							
04/01/16	12,000	740.92	07/30/15	689.33	...	51.59	Sale
O REILLY AUTOMOTIVE INC / CUSIP: 67103H107 / Symbol: ORLY							
2 transactions for 04/01/16							
	5,000	1,384.27	02/23/16	1,287.45	...	96.82	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/08/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
O REILLY AUTOMOTIVE INC / CUSIP: 67103H107 / Symbol: ORLY (cont'd)							
	6,000	1,661.12	02/24/16	1,540.38	...	120.74	Sale
04/01/16	11,000	3,045.39	Various	2,827.83	...	217.56	Total of 2 transactions
PALO ALTO NETWORKS INC / CUSIP: 657435105 / Symbol: PANW							
02/19/16	3,000	382.69	04/21/15	454.80	...	-72.11	Sale
4 transactions for 02/24/16							
	4,000	512.83	04/21/15	608.40	...	-93.57	Sale
	4,000	512.84	04/21/15	615.99	...	-103.15	Sale
	3,000	384.62	04/22/15	461.20	...	-76.58	Sale
	3,000	364.63	08/19/15	547.39	...	-182.76	Sale
02/24/16	14,000	1,794.92	Various	2,230.98	...	-436.06	Total of 4 transactions
Security total:							
		2,177.61		2,685.78	...	-508.17	
PRICELINE GROUP INC NEW / CUSIP: 741503403 / Symbol: PCLN							
2 transactions for 04/01/16							
	2,000	2,596.61	05/05/15	2,519.95	...	76.66	Sale
	1,000	1,298.30	07/30/15	1,226.06	...	72.24	Sale
04/01/16	3,000	3,894.91	Various	3,746.01	...	148.90	Total of 2 transactions
REGENERON PHARMACEUTICALS INC / CUSIP: 75886F107 / Symbol: REGN							
4 transactions for 03/08/16							
	2,000	750.92	08/21/15	1,062.28	...	-311.36	Sale
	2,000	750.92	08/21/15	1,101.06	...	-350.14	Sale
	1,000	375.46	11/02/15	574.89	...	-199.43	Sale
	2,000	750.92	12/16/15	1,101.80	...	-350.88	Sale
03/09/16	7,000	2,826.22	Various	3,840.03	...	-1,211.81	Total of 4 transactions

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SABMILLER PLC *EXCHANGE:10/2016* SPON ADR / CUSIP: 78572M105 / Symbol:							
08/05/16	10,000	569.78	04/01/16	603.60	...	-33.82	Sale
08/16/16	10,000	568.23	04/01/16	603.60	...	-35.37	Sale
08/17/16	4,000	227.60	04/01/16	241.44	...	-13.84	Sale
09/08/16	27,000	1,583.10	04/01/16	1,629.72	...	-46.62	Sale
09/07/16	9,000	525.09	04/01/16	543.24	...	-18.15	Sale
10/13/16	22,000	1,205.40	04/01/16	1,327.92	...	-122.52	Merger
Security total:				4,949.52	...	-270.32	
SALESFORCE.COM INC / CUSIP: 79468L302 / Symbol: CRM							
6 transactions for 04/01/16							
	16,000	1,206.17	04/21/15	1,079.01	...	127.16	Sale
	31,000	2,336.96	06/16/15	2,254.52	...	82.44	Sale
	12,000	904.63	07/21/15	883.37	...	21.26	Sale
	15,000	1,130.78	10/08/15	1,116.64	...	14.14	Sale
	13,000	980.02	10/09/15	977.86	...	2.16	Sale
	11,000	829.24	01/08/16	811.42	...	17.82	Sale
04/01/16	98,000	7,387.80	Various	7,122.82	...	264.98	Total of 6 transactions
SCHLUMBERGER LTD NETHERLANDS ANTILLES FOREIGN STOCK / CUSIP: 806857108 / Symbol: SLB							
3 transactions for 01/20/16							
	13,000	783.08	09/09/15	991.12	...	-208.04	Sale
	26,000	1,566.16	10/08/15	1,942.70	...	-376.54	Sale
	12,000	722.84	10/09/15	925.25	...	-202.41	Sale
01/20/16	51,000	3,072.08	Various	3,859.07	...	-786.99	Total of 3 transactions
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP: 808513105 / Symbol: SCHW							
2 transactions for 04/01/16							
	28,000	793.64	06/19/15	916.36	...	-122.72	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

Report on Form 8949, Part 1, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP: 808513105 / Symbol: SCHW (cont'd)							
	5,000	141.72	08/25/15	151.72	...	-10.00	Sale
04/01/16	33,000	935.36	Various	1,088.08	...	-132.72	Total of 2 transactions
SHERWIN WILLIAMS CO COMMON STOCK / CUSIP: 824348106 / Symbol: SHW							
04/01/16	3,000	860.68	07/16/15	792.31	...	68.37	Sale
STARBUCKS CORP COMMON STOCK / CUSIP: 855244109 / Symbol: SBUX							
2 transactions for 04/01/16							
	8,000	488.58	06/30/15	428.22	...	60.36	Sale
	21,000	1,282.52	07/30/15	1,217.46	...	65.06	Sale
04/01/16	29,000	1,771.10	Various	1,845.68	...	125.42	Total of 2 transactions
SYNCHRONY FINL / CUSIP: 871665103 / Symbol: SYF							
02/04/16	33,000	866.73	11/12/15	1,025.52	...	-158.79	Sale
TJX COS INC NEW COMMON STOCK / CUSIP: 872540109 / Symbol: TJX							
2 transactions for 04/01/16							
	25,000	1,973.30	02/26/16	1,893.15	...	80.15	Sale
	25,000	1,973.29	02/29/16	1,883.03	...	90.26	Sale
04/01/16	50,000	3,946.59	Various	3,776.18	...	170.41	Total of 2 transactions
TREEHOUSE FOODS INC / CUSIP: 89469A104 / Symbol: THS							
2 transactions for 04/01/16							
	11,000	977.66	01/29/16	865.16	...	112.50	Sale
	13,000	1,155.41	02/01/16	1,027.80	...	127.61	Sale
04/01/16	24,000	2,133.07	Various	1,892.98	...	240.11	Total of 2 transactions

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

SHORT TERM TRANSACTIONS (Ordinary gains or losses are identified in the Additional information column)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
UNITEDHEALTH GROUP INC / CUSIP: 91324P102 / Symbol: UNH							
04/01/16	5.000	647.89	07/13/15	612.59	...	35.30	Sale
ZOETIS INC / CUSIP: 98978V103 / Symbol: ZTS							
7 transactions for 04/01/16							
	21.000	943.38	08/15/15	1,034.24	...	-90.86	Sale
	10.000	449.23	08/17/15	500.04	...	-50.81	Sale
	11.000	494.15	08/18/15	554.15	...	-60.00	Sale
	10.000	449.22	08/19/15	504.19	...	-54.97	Sale
	32.000	1,437.53	08/23/15	1,615.82	...	-178.29	Sale
	17.000	763.69	01/08/16	783.63	...	-19.94	Sale
	23.000	1,033.22	02/04/16	955.96	...	77.26	Sale
04/01/16	124.000	5,570.42	Various	5,948.03	...	-377.61	Total of 7 transactions
ACCENTURE PLC IRELAND CL A FOREIGN STOCK / CUSIP: G1151C101 / Symbol: ACN							
2 transactions for 04/01/16							
	16.000	2,092.95	02/10/16	1,706.33	...	386.62	Sale
	19.000	2,209.22	02/25/16	1,910.61	...	298.61	Sale
04/01/16	37.000	4,302.17	Various	3,616.94	...	685.23	Total of 2 transactions
SIGNET JEWELERS LTD FOREIGN STOCK / CUSIP: G81276100 / Symbol: SIG							
2 transactions for 01/29/16							
	8.000	914.24	04/21/15	1,079.01	...	-164.77	Sale
	6.000	685.68	04/27/15	821.72	...	-136.04	Sale
01/29/16	14.000	1,599.92	Various	1,900.73	...	-300.81	Total of 2 transactions
02/01/16	1.000	116.38	04/27/15	136.95	...	-20.57	Sale
Security total:				2,037.68	...	-321.38	

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

Proceeds Not Reported to the IRS

(continued)

03/06/2017 CORRECTED

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
NXP SEMICONDUCTORS N V COM FOREIGN STOCK EUR / CUSIP: N6596X109 / Symbol: NXP1							
7 transactions for 01/14/16							
	5.000	372.91	03/17/15	517.26	..	-144.35	Sale
	5.000	372.90	03/18/15	519.85	..	-146.95	Sale
	5.000	372.91	03/19/15	526.63	..	-153.72	Sale
	3.000	223.74	03/26/15	291.11	..	-67.37	Sale
	6.000	447.49	06/19/15	706.55	..	-258.06	Sale
	11.000	820.39	10/08/15	920.87	..	-100.48	Sale
	12.000	894.97	10/08/15	1,037.23	..	-142.26	Sale
01/14/16	47.000	3,505.31	Various	4,518.50	..	-1,013.19	Total of 7 transactions
ROYAL CARIBBEAN CRUISES LTD LIBERIA ORD FOREIGN STOCK / CUSIP: V7780T103 / Symbol: RCL							
2 transactions for 04/01/16							
	8.000	653.54	01/08/16	742.28	..	-88.74	Sale
	10.000	816.92	02/04/16	735.22	..	81.70	Sale
04/01/16	18.000	1,470.46	Various	1,477.50	..	-7.04	Total of 2 transactions
Totals:		119,265.08		121,582.07	0.00	-3,316.99	

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALIBABA GROUP HLDG LTD SPON ADR / CUSIP: 01609W102 / Symbol: BABA							
10/03/16	5.000	525.62	05/21/15	511.93	..	13.69	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

03/06/2017 CORRECTED

Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
APPLE INC / CUSIP: 037833100 / Symbol: AAPL							
4 transactions for 01/08/16							
	3,000	301.30	08/18/14	297.57	...	3.73	Sale
	4,000	401.74	09/26/14	398.89	...	2.85	Sale
	12,000	1,205.22	10/22/14	1,242.09	...	-36.87	Sale
	11,000	1,107.16	11/05/14	1,199.06	...	-91.90	Sale
01/06/16	30,000	3,015.42	Various	3,137.61	...	-122.19	Total of 4 transactions
BOEING COMPANY COMMON STOCK / CUSIP: 097023105 / Symbol: BA							
01/22/16	15,000	1,867.04	01/12/15	1,959.95	...	-92.91	Sale
3 transactions for 04/01/16							
	1,000	126.87	01/22/15	134.97	...	-8.10	Sale
	7,000	888.11	01/28/15	967.01	...	-78.90	Sale
	1,000	126.87	03/08/15	153.28	...	-26.41	Sale
04/01/16	9,000	1,141.85	Various	1,255.26	...	-113.41	Total of 3 transactions
Security total:							
		3,008.89		3,215.21	...	-206.32	
CELGENE CORP COMMON STOCK / CUSIP: 151020104 / Symbol: CELG							
6 transactions for 04/01/16							
	4,000	403.95	09/05/13	294.47	...	109.48	Sale
	10,000	1,009.88	09/06/13	734.47	...	275.41	Sale
	10,000	1,009.88	09/27/13	772.08	...	237.80	Sale
	6,000	605.92	11/06/13	436.47	...	169.45	Sale
	2,000	201.98	04/22/14	146.67	...	55.31	Sale
	5,000	504.94	03/06/15	593.01	...	-88.07	Sale
04/01/16	37,000	3,736.55	Various	2,977.17	...	759.38	Total of 6 transactions

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
DELTA AIR LINES INC DELA NEW / CUSIP: 247361702 / Symbol: DAL							
3 transactions for 04/01/16							
	24,000	1,133.10	08/18/14	944.41	...	188.69	Safe
	19,000	897.04	12/05/14	894.73	...	2.31	Safe
	44,000	2,077.36	12/08/14	2,077.22	...	0.14	Safe
04/01/16	87,000	4,107.50	Various	3,916.36	...	191.14	Total of 3 transactions
WALT DISNEY CO (HOLDING CO) DISNEY COM / CUSIP: 254887106 / Symbol: DIS							
8 transactions for 01/06/16							
	1,000	100.33	05/07/13	64.84	...	35.49	Safe
	12,000	1,203.92	05/08/13	778.65	...	425.27	Safe
	6,000	601.97	07/16/13	390.97	...	211.00	Safe
	15,000	1,504.90	08/07/13	980.19	...	524.71	Safe
	2,000	199.86	10/30/13	137.33	...	62.53	Safe
	5,000	501.64	10/30/13	343.32	...	158.32	Safe
	6,000	599.56	12/12/13	418.16	...	181.40	Safe
	4,000	399.72	10/17/14	335.24	...	64.48	Safe
01/06/16	51,000	5,111.90	Various	3,448.70	...	1,663.20	Total of 8 transactions
DOLLAR TREE INC / CUSIP: 256746108 / Symbol: DLTR							
6 transactions for 04/01/16							
	29,000	2,421.37	01/30/15	2,078.01	...	343.36	Safe
	13,000	1,085.44	02/03/15	950.27	...	135.17	Safe
	12,000	1,001.95	02/04/15	902.64	...	99.31	Safe
	5,000	417.47	03/06/15	399.65	...	17.82	Safe
	7,000	584.47	03/10/15	555.46	...	29.01	Safe
	10,000	834.96	03/13/15	819.10	...	15.86	Safe
04/01/16	76,000	6,345.63	Various	5,705.13	..	640.53	Total of 6 transactions

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2016

03/06/2017 CORRECTED

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
ELECTRONIC ARTS COMMON STOCK / CUSIP: 285512109 / Symbol: EA							
02/25/16	10,000	637.37	02/17/15	566.88	...	70.49	Sale
4 transactions for 04/01/16							
	8,000	526.19	02/17/15	453.51	...	72.68	Sale
	10,000	657.74	02/24/15	575.14	...	82.60	Sale
	10,000	657.73	03/10/15	551.10	...	106.63	Sale
	6,000	394.64	03/17/15	325.06	...	69.58	Sale
04/01/16	34,000	2,236.30	Various	1,904.81	...	331.49	Total of 4 transactions
Security total: 2,873.67							
FACEBOOK INC CL A / CUSIP: 30303M102 / Symbol: FB							
3 transactions for 04/01/16							
	12,000	1,391.49	09/20/13	553.87	...	837.62	Sale
	4,000	463.83	10/23/13	205.81	...	258.02	Sale
	5,000	579.79	10/23/13	258.87	...	320.92	Sale
04/01/16	21,000	2,435.11	Various	1,018.55	...	1,416.56	Total of 3 transactions
FLEETCOR TECHNOLOGIES INC / CUSIP: 339041105 / Symbol: FLT							
5 transactions for 04/01/16							
	5,000	741.93	05/13/13	409.68	...	332.27	Sale
	2,000	296.78	08/13/14	276.08	...	20.70	Sale
	7,000	1,038.71	09/17/14	1,013.62	...	25.09	Sale
	6,000	890.32	02/06/15	906.36	...	-16.04	Sale
	4,000	593.55	03/06/15	614.14	...	-20.59	Sale
04/01/16	24,000	3,561.29	Various	3,219.86	...	341.43	Total of 5 transactions

UBS FINANCIAL SERVICES INC.

Account UG 08782

Proceeds Not Reported to the IRS (continued)

2018

03/06/2017 CORRECTED

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
NIKE INC CL B / CUSIP: 654106103 / Symbol: NIKE							
10 transactions for 04/01/16							
	4,000	246.97	09/09/14	163.64	...	83.33	Sale
	12,000	740.93	09/09/14	490.77	...	250.16	Sale
	12,000	740.92	09/10/14	494.21	...	246.71	Sale
	12,000	740.93	09/11/14	492.39	...	248.54	Sale
	16,000	987.90	10/24/14	727.06	...	260.84	Sale
	18,000	1,111.38	10/27/14	820.91	...	290.47	Sale
	8,000	493.95	10/28/14	369.10	...	124.85	Sale
	22,000	1,358.36	11/10/14	1,037.28	...	321.08	Sale
	10,000	617.44	02/13/15	461.00	...	156.44	Sale
	4,000	246.98	03/06/15	194.08	...	52.90	Sale
04/01/16	118,000	7,285.76	Various	5,250.44	...	2,035.32	Total of 10 transactions
SALESFORCE.COM INC / CUSIP: 79486L302 / Symbol: CRM							
4 transactions for 04/01/16							
	9,000	678.47	02/05/15	533.23	...	145.24	Sale
	8,000	603.09	02/06/15	471.96	...	131.13	Sale
	8,000	603.08	02/18/15	503.03	...	100.05	Sale
	6,000	452.32	03/02/15	410.16	...	42.16	Sale
04/01/16	31,000	2,336.96	Various	1,918.38	...	418.58	Total of 4 transactions
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP: 808513105 / Symbol: SCHW							
8 transactions for 04/01/16							
	21,000	595.23	03/21/14	607.15	...	-11.92	Sale
	32,000	907.02	03/21/14	911.31	...	-4.29	Sale
	17,000	481.85	03/24/14	481.13	...	0.72	Sale
	22,000	623.58	04/04/14	591.68	...	31.90	Sale
	15,000	425.16	04/07/14	388.20	...	36.96	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

03/06/2017 CORRECTED

Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SCHWAB CHARLES CORP NEW COMMON STOCK / CUSIP: 808513105 / Symbol: SCHW (cont'd)							
	8,000	226.76	10/17/14	205.72	...	21.04	Sale
	16,000	453.50	12/03/14	464.73	...	-11.23	Sale
	24,000	680.27	01/07/15	687.67	...	-7.40	Sale
04/01/16	155,000	4,393.37	Various	4,337.59	...	55.78	Total of 8 transactions
SHERWIN WILLIAMS CO COMMON STOCK / CUSIP: 824348106 / Symbol: SHW							
01/21/16	2,000	485.31	05/13/13	375.31	...	110.00	Sale
3 transactions for 03/21/16							
	1,000	275.34	05/13/13	187.65	...	87.69	Sale
	2,000	550.68	05/14/13	386.35	...	164.33	Sale
	1,000	275.34	07/02/13	180.01	...	95.33	Sale
03/21/16	4,000	1,101.36	Various	754.01	...	347.35	Total of 3 transactions
5 transactions for 04/01/16							
	4,000	1,147.58	07/02/13	720.06	...	427.52	Sale
	4,000	1,147.58	07/18/13	682.58	...	465.00	Sale
	2,000	573.79	07/19/13	345.68	...	228.11	Sale
	4,000	1,147.58	08/07/13	698.72	...	448.86	Sale
	2,000	573.79	10/17/14	432.47	...	141.32	Sale
04/01/16	16,000	4,590.32	Various	2,879.51	...	1,710.81	Total of 5 transactions
Security total:							
		6,176.99		4,008.83	...	2,168.16	
STARBUCKS CORP COMMON STOCK / CUSIP: 855244109 / Symbol: SBUX							
7 transactions for 04/01/16							
	8,000	488.58	03/20/13	229.53	...	259.05	Sale
	18,000	1,099.30	04/02/13	521.38	...	577.92	Sale
	16,000	977.16	04/09/14	575.81	...	401.35	Sale
	12,000	732.87	04/15/14	413.38	...	319.49	Sale

UBS FINANCIAL SERVICES INC.

Account UG 08782

2016

03/06/2017 CORRECTED

Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net) acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
STARBUCKS CORP COMMON STOCK / CUSIP: 855244109 / Symbol: SBUX (cont'd)							
	14,000	855.01	04/15/14	479.57	...	375.44	Safe
	28,000	1,587.89	06/13/14	971.76	...	616.13	Safe
	6,000	366.43	10/17/14	219.89	...	146.54	Safe
04/01/16	100,000	6,107.24	Various	3,411.32	...	2,695.92	Total of 7 transactions
TESLA INC / CUSIP: 88160R101 / Symbol: TSLA							
4 transactions for 02/08/16							
	1,000	148.29	08/29/14	268.09	...	-119.80	Safe
	4,000	593.17	09/02/14	1,108.56	...	-515.39	Safe
	3,000	444.88	09/04/14	857.63	...	-412.75	Safe
	2,000	296.58	09/16/14	522.86	...	-226.28	Safe
02/08/16	10,000	1,482.92	Various	2,757.14	...	-1,274.22	Total of 4 transactions
UNITEDHEALTH GROUP INC / CUSIP: 91324P102 / Symbol: UNH							
7 transactions for 04/01/16							
	10,000	1,295.77	11/05/14	955.68	...	340.11	Safe
	11,000	1,425.35	11/06/14	1,057.45	...	367.90	Safe
	5,000	647.89	11/07/14	477.02	...	170.87	Safe
	5,000	647.89	11/10/14	472.68	...	175.21	Safe
	6,000	777.46	11/10/14	564.60	...	212.86	Safe
	11,000	1,425.35	11/12/14	1,053.84	...	371.41	Safe
	3,000	388.73	03/06/15	339.24	...	49.49	Safe
04/01/16	51,000	6,808.44	Various	4,920.59	...	1,887.85	Total of 7 transactions
ROYAL CARIBBEAN CRUISES LTD LIBERIA ORD FOREIGN STOCK / CUSIP: V7780T103 / Symbol: RCL							
04/01/16	27,000	2,205.68	03/03/15	2,147.73	...	57.95	Safe
Totals:				58,374.23	...	12,944.74	

HBS FINANCIAL SERVICES INC.

Account US 09131

Proceeds Not Reported to the IRS

2016

02/28/2017

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

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

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)/loss or (N)/net acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
CALIFORNIA RESOURCES CORP "REVERSE SPLIT EFF: 06/2016" / CUSIP: 13057Q107 / Symbol:							
03/24/16	0.306	0.37	08/14/15	0.40	...	-0.03	Sale
03/30/16	4.000	4.66	08/14/15	5.19	...	-0.53	Sale
	Security total:	5.03		5.59	...	-0.56	
LABORATORY CORP AMER HLDGS NEW / CUSIP: 50540R409 / Symbol: LH							
04/25/16	10.000	1,237.88	04/14/16	1,191.89	...	45.99	Sale
Totals:		1,242.91		1,197.48	...	45.43	

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)/gross or (N)/net acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
ALPHABET INC CL C / CUSIP: 02079K107 / Symbol: GOOG							
2 transactions for 04/14/16							
	0.978	739.25	05/16/11	254.60	...	484.65	Sale
	0.022	16.63	03/14/12	6.78	...	9.85	Sale
04/14/16	1.000	755.88	Various	261.38	...	494.50	Total of 2 transactions

UBS FINANCIAL SERVICES INC.

Account UG 09131

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net) acquired	Date	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALPHABET INC CL A / CUSIP: 02079K305 / Symbol: GOOGL	1,000	777.89	03/14/12	310.15	...	467.74	Sale
AMAZON.COM INC / CUSIP: 023135106 / Symbol: AMZN	1,000	622.99	04/17/14	325.28	...	297.71	Sale
AMER EXPRESS CO / CUSIP: 025816109 / Symbol: AXP	26,000	1,663.64	12/11/07	1,472.12	...	191.52	Sale
04/14/16	12,000	751.12	12/11/07	679.44	...	71.68	Sale
Security total:		2,414.76		2,151.56	...	263.20	
BANK OF NEW YORK MELLON CORP / CUSIP: 064058100 / Symbol: BK							
2 transactions for 01/12/16							
14,000		523.61	11/19/08	377.71	...	145.90	Sale
8,000		299.20	03/09/09	143.63	...	155.57	Sale
22,000		822.81	Various	521.34	...	301.47	Total of 2 transactions
5 transactions for 04/14/16							
7,000		268.40	03/09/09	125.68	...	142.72	Sale
30,000		1,150.28	12/18/09	803.90	...	346.38	Sale
5,000		191.72	06/08/10	126.37	...	65.35	Sale
25,000		958.57	10/07/10	660.84	...	297.73	Sale
5,000		191.71	04/08/11	150.85	...	40.86	Sale
72,000		2,760.68	Various	1,867.64	...	893.04	Total of 5 transactions
Security total:		3,583.49		2,388.98	...	1,194.51	
DIAGEO PLC NEW GB SPON ADR / CUSIP: 25243Q205 / Symbol: DEO							
2 transactions for 02/19/16							
22,000		2,291.76	12/11/07	1,922.80	...	368.96	Sale

UBS FINANCIAL SERVICES INC.

Account UFG 09131

Proceeds Not Reported to the IRS (continued)

2016

02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
DIAGEO PLC NEW GB SPON ADR / CUSIP: 25243Q205 / Symbol: DEO (cont'd)							
02/19/16	6,000	625.02	09/24/12	669.67	...	-44.65	Sale
	28,000	2,916.76	Various	2,592.47	...	324.31	Total of 2 transactions
ECOLAB INC COMMON STOCK / CUSIP: 278865100 / Symbol: ECL							
04/14/16	8,000	924.22	06/06/13	668.27	...	255.95	Sale
ENCANA CORP FOREIGN STOCK CAD / CUSIP: 292505104 / Symbol: ECA							
04/14/16	12,000	82.23	09/25/14	252.23	...	-170.00	Sale
EXPRESS SCRIPTS HLOG CO / CUSIP: 30219G108 / Symbol: ESRX							
04/14/16	8,000	571.19	07/09/10	374.11	...	197.08	Sale
LABORATORY CORP AMER HLDGS NEW / CUSIP: 50540R409 / Symbol: LH							
2 transactions for 04/25/16							
	8,000	990.31	08/07/13	776.15	...	214.16	Sale
	16,000	1,980.61	01/06/14	1,446.02	...	534.59	Sale
04/25/16	24,000	2,970.92	Various	2,222.17	...	748.75	Total of 2 transactions
LAS VEGAS SANDS CORP / CUSIP: 517834107 / Symbol: LVS							
02/24/16	12,000	553.25	01/23/14	941.61	...	-388.36	Sale
2 transactions for 04/14/16							
	10,000	507.26	01/23/14	764.68	...	-277.42	Sale
	12,000	608.72	04/07/14	913.94	...	-305.22	Sale
04/14/16	22,000	1,115.98	Various	1,696.52	...	-582.64	Total of 2 transactions
Security total:							
		1,669.23		2,640.23	...	-971.00	
LIBERTY INTERACTIVE CORP QVC GROUP COM SER A / CUSIP: 53071M104 / Symbol: QVCA							
04/14/16	14,000	365.82	01/24/14	330.45	...	35.37	Sale

UBS FINANCIAL SERVICES INC.

Account UG08131

Proceeds Not Reported to the IRS

(continued)

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02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
LOEWS CORP COMMON STOCK / CUSIP: 540424108 / Symbol: L							
04/14/16	41,000	1,620.73	12/11/07	2,011.05	...	-390.32	Sale
ORACLE CORP / CUSIP: 68389X105 / Symbol: ORCL							
04/14/16	25,000	1,032.73	08/28/12	696.77	...	335.96	Sale
PRAXAIR INC COMMON STOCK / CUSIP: 74005P104 / Symbol: PX							
04/14/16	4,000	459.61	09/16/14	525.42	...	-65.81	Sale
QUEST DIAGNOSTICS INC / CUSIP: 74834L100 / Symbol: DGX							
04/14/16	9,000	669.15	07/21/14	543.22	...	125.93	Sale
ULTRA PETROLEUM CORP FOREIGN STOCK CAD / CUSIP: 903914109 / Symbol:							
4 transactions for 02/19/16							
	26,000	5.91	07/09/14	708.29	...	-702.38	Sale
	40,000	9.08	07/10/14	1,088.03	...	-1,078.95	Sale
	38,000	8.63	07/25/14	933.51	...	-924.88	Sale
	25,000	5.68	10/30/14	564.62	...	-558.94	Sale
02/19/16	129,000	29.30	Various	3,294.45	...	-3,265.15	Total of 4 transactions
WELLS FARGO & CO NEW / CUSIP: 949746101 / Symbol: WFC							
04/14/16	35,000	1,721.61	12/11/07	1,132.17	...	589.44	Sale
LIBERTY LILAC GROUP CL C FOREIGN STOCK / CUSIP: G5480U153 / Symbol: LILAK							
3 transactions for 04/01/16							
	2,500	94.45	01/16/14	100.78	...	-6.33	Sale
	1,800	68.01	06/17/14	71.49	...	-3.48	Sale
	2,700	102.01	01/14/15	119.25	...	-17.24	Sale
04/01/16	7,000	264.47	Various	291.52	...	-27.05	Total of 3 transactions
Totals:		23,453.00		23,011.88	...	441.12	

UBS FINANCIAL SERVICES INC.

Account US 09132

Proceeds Not Reported to the IRS

2018

02/28/2017

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

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

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

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

Report on Form 8849, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
AMERIPRISE FINANCIAL INC / CUSIP: 03076C106 / Symbol: AMP							
11/03/16	6,000	527.64	02/25/16	505.78	...	21.86	Sale
AVNET INC / CUSIP: 053807103 / Symbol: AVT							
07/14/16	51,000	2,045.82	11/10/15	2,335.45	...	-289.63	Sale
BOEING COMPANY COMMON STOCK / CUSIP: 097023105 / Symbol: BA							
02/12/16	13,000	1,411.53	12/03/15	1,884.29	...	-472.76	Sale
	2 transactions for 03/10/16						
	3,000	369.51	12/03/15	434.84	...	-65.33	Sale
	15,000	1,847.55	12/11/15	2,165.99	...	-318.44	Sale
03/10/16	18,000	2,217.06	Various	2,600.83	...	-383.77	Total of 2 transactions
	Security total:	3,628.59		4,485.12	...	-856.53	
CELANESE CORP NEW SER A / CUSIP: 150870103 / Symbol: CE							
08/01/16	27,000	1,679.64	11/16/15	1,925.33	...	-245.69	Sale
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
02/05/16	20,000	657.47	07/08/15	1,170.52	...	-513.05	Sale
DEVON ENERGY CORP NEW / CUSIP: 25179M103 / Symbol: DVN							
02/08/16	50,000	1,184.39	07/06/15	2,875.59	...	-1,691.20	Sale
09/28/16	69,000	2,848.58	04/18/16	2,168.07	...	680.51	Sale
	Security total:	4,032.97		5,043.66	...	-1,010.69	

UBS FINANCIAL SERVICES INC.

Account UG-09132

2016

02/29/2017

Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
EXXON MOBIL CORP / CUSIP: 30231G102 / Symbol: XOM							
04/13/16	24,000	2,034.70	02/08/16	1,929.48	...	105.22	Sale
04/22/16	26,000	2,262.28	02/08/16	2,090.28	...	172.00	Sale
	Security total:	4,296.98		4,019.76	...	277.22	
FIRST MERCHANTS CORP MUNCIE COMMON STOCK / CUSIP: 320817109 / Symbol: FRME							
02/09/16	6,000	134.34	07/06/15	150.68	...	-16.34	Sale
6 transactions for 02/10/16							
	25,000	564.41	07/06/15	627.83	...	-63.42	Sale
	30,000	677.30	07/07/15	756.29	...	-78.99	Sale
	15,000	338.64	07/08/15	374.98	...	-36.34	Sale
	1,000	22.58	07/15/15	26.00	...	-3.42	Sale
	1,000	22.58	07/16/15	26.00	...	-3.42	Sale
	13,000	293.49	07/17/15	337.14	...	-43.65	Sale
02/10/16	85,000	1,919.00	Various	2,148.24	...	-229.24	Total of 6 transactions
	Security total:	2,053.34		2,298.92	...	-245.58	
FLUOR CORP NEW / CUSIP: 343412102 / Symbol: FLR							
10/07/16	40,000	2,034.23	04/22/16	2,173.59	...	-139.36	Sale
GILEAD SCIENCES INC COMMON STOCK / CUSIP: 375558103 / Symbol: GILD							
08/01/16	12,000	962.55	05/19/16	980.63	...	-18.08	Sale
GOLDMAN SACHS GROUP INC / CUSIP: 38141G104 / Symbol: GS							
4 transactions for 06/27/16							
	6,000	834.58	07/06/15	1,245.93	...	-411.35	Sale
	5,000	695.49	07/07/15	1,030.32	...	-334.83	Sale
	12,000	1,669.16	11/16/15	2,289.26	...	-620.10	Sale

UBS FINANCIAL SERVICES INC.

Account: UG-08132

Proceeds Not Reported to the IRS

(continued)

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02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net) acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GOLDMAN SACHS GROUP INC / CUSIP: 38141G104 / Symbol: GS (cont'd)							
	4,000	556.39	02/25/16	591.75	..	-35.36	Sale
08/27/16	27,000	3,755.62	Various	5,157.26	..	-1,401.64	Total of 4 transactions
HUNTINGTON INGALLS INDS INC / CUSIP: 446413106 / Symbol: HII							
05/19/16	4,000	614.35	02/16/16	530.59	..	83.76	Sale
INTEL CORP COMMON STOCK / CUSIP: 458140100 / Symbol: INTC							
04/18/16	42,000	1,324.83	12/04/15	1,448.44	..	-123.61	Sale
JOHNSON & JOHNSON COM COMMON STOCK / CUSIP: 478160104 / Symbol: JNJ							
05/19/16	6,000	676.73	12/11/15	609.46	..	67.27	Sale
KROGER COMPANY COMMON STOCK / CUSIP: 501044101 / Symbol: KR							
03/10/16	50,000	1,872.46	11/16/15	1,819.89	..	52.57	Sale
METLIFE INC / CUSIP: 59156R106 / Symbol: MET							
04/01/16	12,000	531.85	06/08/15	655.77	..	-123.92	Sale
07/14/16	15,000	636.24	02/25/16	587.55	..	48.69	Sale
	Security total:	1,168.09		1,243.32	..	-75.23	
NASDAQ INC / CUSIP: 631103108 / Symbol: NDAQ							
11/21/16	31,000	2,040.84	12/03/15	1,753.03	..	287.81	Sale
NATL-OILWELLVARCO INC / CUSIP: 637071101 / Symbol: NOV							
10/13/16	71,000	2,580.61	04/28/16	2,346.75	..	233.86	Sale
PACKAGING CORP OF AMERICA / CUSIP: 695156109 / Symbol: PKG							
12/15/16	32,000	2,763.79	07/14/16	2,301.91	..	461.88	Sale
PITNEY BOWES INC COMMON STOCK / CUSIP: 724479100 / Symbol: PBI							
05/27/16	103,000	1,907.76	04/18/16	2,231.57	..	-323.81	Sale

UBS FINANCIAL SERVICES INC.

Account UG-09132

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
QUEST DIAGNOSTICS INC / CUSIP: 74834L100 / Symbol: DGX							
2 transactions for 09/28/16							
	13,000	1,102.96	02/11/16	799.51	...	303.45	Sale
	12,000	1,018.11	02/12/16	742.79	...	275.32	Sale
09/28/16	25,000	2,121.07	Various	1,542.30	..	578.77	Total of 2 transactions
ROYAL DUTCH SHELL PLC CL A SPON ADR / CUSIP: 780259206 / Symbol: RDSA							
05/19/16	5,000	246.35	02/08/16	222.82	...	23.53	Sale
RYDER SYSTEM INC COMMON STOCK / CUSIP: 783549108 / Symbol: R							
06/27/16	32,000	1,851.56	04/28/16	2,259.20	...	-407.64	Sale
SASOL LTD SPON ADR / CUSIP: 803886300 / Symbol: SSL							
09/30/16	56,000	1,522.54	04/13/16	1,754.21	...	-231.67	Sale
TANGER FACTORY OUTLET CENTERS INC COMMON STOCK / CUSIP: 875485106 / Symbol: SKT							
10/21/16	59,000	2,158.39	04/01/16	2,168.30	...	-9.91	Sale
2 transactions for 11/03/16							
	1,000	33.23	04/01/16	36.75	...	-3.52	Sale
	60,000	1,993.92	04/11/16	2,174.65	...	-180.73	Sale
11/03/16	61,000	2,027.15	Various	2,211.40	..	-184.25	Total of 2 transactions
Security total:							
		4,185.54		4,379.70	...	-194.16	
VALERO ENERGY CORP NEW / CUSIP: 91913Y100 / Symbol: VLO							
04/22/16	32,000	1,957.39	07/07/15	2,069.78	...	-112.39	Sale
WASHINGTON FEDERAL INC COMMON STOCK / CUSIP: 938824109 / Symbol: WAFD							
05/19/16	13,000	314.33	06/08/15	295.31	...	19.02	Sale
Totals:							
		52,823.09		56,804.30	...	-4,081.21	

UBS FINANCIAL SERVICES INC.

Account: UG-09132

2016

02/28/2017

Proceeds Not Reported to the IRS (continued)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
AT&T INC / CUSIP: 00208R102 / Symbol: T							
02/25/16	25.000	938.28	05/25/11	778.79	...	157.49	Sale
09/19/16	57.000	2,278.42	05/25/11	1,775.64	...	502.78	Sale
Security total:		3,214.70		2,554.43	...	660.27	
ACTIVISION BLIZZARD INC / CUSIP: 00507V109 / Symbol: ATVI							
02/05/16	112.000	3,407.58	11/10/14	2,327.10	...	1,080.48	Sale
AMERIPRISE FINANCIAL INC / CUSIP: 03076C106 / Symbol: AMP							
3 transactions for 09/28/16							
4.000	396.25	01/27/12	214.67	...	181.58	Sale	
14.000	1,386.85	02/09/12	759.59	...	627.26	Sale	
6.000	594.37	11/23/12	365.91	...	228.46	Sale	
09/28/16	24.000	2,377.47	Various	1,340.17	...	1,037.30	Total of 3 transactions
11/03/16	17.000	1,494.99	11/23/12	1,036.75	...	458.24	Sale
Security total:		3,872.46		2,376.92	...	1,495.54	
AVNET INC / CUSIP: 053807103 / Symbol: AVT							
07/14/16	48.000	1,925.48	02/28/14	2,106.36	...	-180.88	Sale
CIGNA CORP COMMON STOCK / CUSIP: 125509109 / Symbol: CI							
04/06/16	17.000	2,267.59	12/09/10	635.34	...	1,832.25	Sale
CAPITAL ONE FINCL CORP COMMON STOCK / CUSIP: 14040H105 / Symbol: COF							
3 transactions for 07/14/16							
28.000	1,928.76	03/24/14	2,103.92	...	-175.16	Sale	
12.000	826.61	06/26/15	1,066.84	...	-240.23	Sale	
14.000	964.38	06/29/15	1,237.89	...	-273.61	Sale	
07/14/16	54.000	3,719.75	Various	4,408.75	...	-689.00	Total of 3 transactions

UBS FINANCIAL SERVICES INC.

Account UG 09132

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CELANESE CORP NEW SER A / CUSIP: 150870103 / Symbol: CE							
3 transactions for 08/01/16							
	21,000	1,306.38	04/16/15	1,225.02	...	81.36	Sale
	14,000	870.93	04/20/15	931.94	...	-61.01	Sale
	1,000	62.20	04/22/15	65.67	...	-3.47	Sale
08/01/16	36,000	2,239.51	Various	2,222.63	...	16.88	Total of 3 transactions
CHEVRON CORP / CUSIP: 166764100 / Symbol: CVX							
05/19/16	5,000	498.79	12/10/07	457.30	...	41.49	Sale
CITIGROUP INC / CUSIP: 172967424 / Symbol: C							
05/19/16	12,000	540.11	03/24/14	605.88	...	-65.77	Sale
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
3 transactions for 02/05/16							
	32,000	1,051.96	12/10/07	2,057.68	0.00	-1,005.72	Sale
	10,000	328.73	07/22/10	413.97	0.00	-85.24	Sale
	14,000	460.24	07/05/12	775.25	...	-315.01	Sale
02/05/16	56,000	1,840.93	Various	3,246.90	0.00	-1,405.97	Total of 3 transactions
CRANE CO COMMON STOCK / CUSIP: 224399105 / Symbol: CR							
05/19/16	11,000	594.43	05/03/13	611.80	...	-17.37	Sale
D R HORTON INC / CUSIP: 23331A109 / Symbol: DHI							
05/19/16	14,000	407.40	02/27/15	382.71	...	24.69	Sale
2 transactions for 09/28/16							
	17,000	514.30	02/27/15	464.73	...	49.57	Sale
	56,000	1,694.16	03/02/15	1,538.76	...	155.40	Sale
09/28/16	73,000	2,208.46	Various	2,003.49	...	204.97	Total of 2 transactions

UBS FINANCIAL SERVICES INC.

Account: 5G 08182

Proceeds Not Reported to the IRS

(continued)

2016

02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
D R HORTON INC / CUSIP: 23331A109 / Symbol: DHI (cont'd)							
Security total:		2,615.86		2,386.20	...	229.66	
DEVON ENERGY CORP NEW / CUSIP: 25179M103 / Symbol: DVN							
2 transactions for 02/08/16							
15,000		355.32	05/06/14	1,053.94	...	-698.62	Sale
15,000		355.31	05/07/14	1,078.58	...	-723.25	Sale
30,000		710.63	Various	2,132.50	...	-1,421.87	Total of 2 transactions
FIFTH THIRD BANCORP COMMON STOCK / CUSIP: 316773100 / Symbol: FITB							
2 transactions for 02/08/16							
118,000		1,743.07	08/07/12	1,515.19	...	227.88	Sale
91,000		1,344.24	10/10/12	1,436.79	...	-92.55	Sale
209,000		3,087.31	Various	2,951.98	...	135.33	Total of 2 transactions
GENL ELECTRIC CO / CUSIP: 369604103 / Symbol: GE							
02/25/16							
20,000		581.99	10/28/11	343.70	...	238.29	Sale
3 transactions for 04/28/16							
69,000		2,127.32	10/28/11	1,185.77	...	941.55	Sale
74,000		2,281.47	01/27/12	1,408.46	...	873.01	Sale
2,000		61.66	01/30/12	37.48	...	24.18	Sale
145,000		4,470.45	Various	2,631.71	...	1,838.74	Total of 3 transactions
Security total:							
		5,052.44		2,975.41	...	2,077.03	
GILEAD SCIENCES INC COMMON STOCK / CUSIP: 375556103 / Symbol: GILD							
3 transactions for 08/01/16							
22,000		1,764.68	05/22/15	2,468.18	...	-703.50	Sale
8,000		641.70	06/26/15	958.69	...	-316.99	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09132

Proceeds Not Reported to the IRS

(continued)

2016

02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or Net) Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
GILEAD SCIENCES INC COMMON STOCK / CUSIP: 375558103 / Symbol: GILD (cont'd)						
	10.000	802.12 06/29/15	1,176.95	...	-374.83	Sale
08/01/16	40.000	3,208.50 Various	4,603.82	...	-1,395.32	Total of 3 transactions
HARTFORD FINCL SERVICES GROUP INC / CUSIP: 416515104 / Symbol: HIG						
09/19/16	44.000	1,852.96 06/06/15	1,818.86	...	34.12	Sale
INGREDION INC COM / CUSIP: 457187102 / Symbol: INGR						
02/12/16	14.000	1,358.01 12/10/07	555.38	...	800.63	Sale
09/19/16	26.000	3,363.50 12/10/07	1,031.42	...	2,332.08	Sale
	Security total:	4,719.51	1,586.80	...	3,132.71	
INTEL CORP COMMON STOCK / CUSIP: 458140100 / Symbol: INTC						
04/18/16	89.000	2,807.38 08/15/13	1,958.70	...	848.68	Sale
JPMORGAN CHASE & CO / CUSIP: 46625H100 / Symbol: JPM						
05/19/16	9.000	570.95 10/05/10	357.32	...	213.63	Sale
KROGER COMPANY COMMON STOCK / CUSIP: 501044101 / Symbol: KR						
01/28/16	68.000	2,545.94 09/29/11	754.77	...	1,791.17	Sale
03/10/16	4.000	149.80 09/29/11	44.40	...	105.40	Sale
	Security total:	2,695.74	799.17	...	1,896.57	
LEAR CORP COM NEW / CUSIP: 521865204 / Symbol: LEA						
2 transactions for 10/13/16						
	20.000	2,332.12 06/02/15	2,322.64	...	9.48	Sale
	4.000	466.42 07/06/15	448.53	...	17.89	Sale
10/13/16	24.000	2,796.54 Various	2,771.17	...	27.37	Total of 2 transactions
MERCK & CO INC NEW COM / CUSIP: 58933Y105 / Symbol: MRK						
05/19/16	10.000	542.89 07/23/12	432.35	...	110.54	Sale

UBS FINANCIAL SERVICES INC.

Account US 09132

2016

02/28/2017

Proceeds Not Reported to the IRS (continued)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
METLIFE INC / CUSIP: 59156R108 / Symbol: MET							
04/01/16	40,000	1,772.82	03/24/14	2,136.61	...	-363.79	Sale
07/14/16	34,000	1,442.14	06/08/15	1,858.02	...	-415.88	Sale
	Security total:	3,214.96		3,994.63	..	-779.67	
NASDAQ INC / CUSIP: 631103108 / Symbol: NDAQ							
2 transactions for 02/25/16							
	13,000	832.31	02/02/15	599.04	...	233.27	Sale
	2,000	128.05	02/03/15	94.19	...	33.86	Sale
02/25/16	15,000	960.36	Various	693.23	...	267.13	Total of 2 transactions
11/21/16	34,000	2,238.34	02/03/15	1,601.25	...	637.09	Sale
	Security total:	3,198.70		2,294.48	...	904.22	
NORTHROP GRUMMAN CORP COMMON STOCK / CUSIP: 666807102 / Symbol: NOC							
02/25/16	6,000	1,152.24	02/20/09	241.05	...	911.19	Sale
2 transactions for 04/22/16							
	8,000	1,597.15	02/20/09	321.41	...	1,275.74	Sale
	4,000	799.57	03/05/09	126.66	...	671.91	Sale
04/22/16	12,000	2,395.72	Various	448.07	...	1,947.65	Total of 2 transactions
	Security total:	3,547.96		689.12	...	2,858.84	
PFIZER INC COMMON STOCK / CUSIP: 717081103 / Symbol: PFE							
05/19/16	16,000	532.63	12/10/07	389.28	...	143.35	Sale
PUBLIC SERVICE ENTERPRISE GROUP INC COMMON STOCK / CUSIP: 744573106 / Symbol: PEG							
02/16/16	15,000	626.90	11/19/14	608.94	...	17.96	Sale
09/28/16	47,000	2,004.59	11/19/14	1,908.03	...	96.56	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09182

2016

02/28/2017

Proceeds Not Reported to the IRS (continued)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PUBLIC SERVICE ENTERPRISE GROUP INC COMMON STOCK / CUSIP: 744573108 / Symbol: PEG (cont'd)							
2 transactions for 09/30/16							
	10,000	422.24	11/19/14	405.96	...	16.28	Sale
	43,000	1,815.62	11/20/14	1,742.62	...	73.00	Sale
09/30/16	53,000	2,237.86	Various	2,148.58	...	89.28	Total of 2 transactions
Security total:							
		4,869.35		4,865.55	...	203.80	
TEVA PHARMACEUTICALS LTD ISRAEL ADR / CUSIP: 881624209 / Symbol: TEVA							
02/11/16	43,000	2,328.73	02/21/14	2,094.32	...	234.41	Sale
TOTAL S.A. FRANCE SPON ADR / CUSIP: 89151E109 / Symbol: TOT							
4 transactions for 04/18/16							
	40,000	1,908.38	08/11/09	2,136.10	..	-227.72	Sale
	15,000	715.64	05/17/10	720.95	...	-5.31	Sale
	11,000	524.81	04/19/12	524.86	..	-0.05	Sale
	12,000	572.51	11/06/14	695.87	...	-123.36	Sale
04/18/16	78,000	3,721.34	Various	4,077.78	..	-356.44	Total of 4 transactions
VALERO ENERGY CORP NEW / CUSIP: 91913Y100 / Symbol: VLO							
04/13/16	37,000	2,307.28	03/02/15	2,207.61	...	99.67	Sale
04/22/16	3,000	183.51	03/02/15	178.99	...	4.52	Sale
Security total:							
		2,490.79		2,386.60	...	104.19	
MEDTRONIC PLC FOREIGN STOCK / CUSIP: G5960L103 / Symbol: MDT							
02/25/16	18,000	1,390.50	01/27/15	1,366.91	0.00	23.59	Sale
2 transactions for 09/19/16							
	3,000	258.78	01/27/15	227.01	0.00	31.77	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09 132

Proceeds Not Reported to the IRS

(continued)

2015

02/28/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
MEDTRONIC PLC FOREIGN STOCK / CUSIP: G5960L103 / Symbol: MDT (cont'd)							
09/19/16	52,000	4,485.50	01/27/15	3,934.75	0.00	550.75	Sale
	55,000	4,744.28	Various	4,161.78	0.00	582.52	Total of 2 transactions
	Security total:	6,134.78		5,528.67	0.00	606.11	
	Totals:	84,823.30		72,448.12	0.00	12,375.18	

UBS FINANCIAL SERVICES INC.

Account UG 09133

Proceeds Not Reported to the IRS

2016

02/14/2017

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

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

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
ACCOR SA SPON ADR / CUSIP: 00435F309 / Symbol:							
01/27/16	86,000	634.57	07/13/15	906.74	...	-272.17	Sale
01/29/16	153,000	1,145.38	07/13/15	1,613.14	...	-467.76	Sale
	Security total:	1,779.95		2,519.88	...	-739.93	
ADECCO GROUP AG UNSPONSORED ADR / CUSIP: 006754204 / Symbol:							
12/22/16	13,000	423.31	07/08/16	322.09	...	101.22	Sale
ADIDAS AG SPON ADR / CUSIP: 00687A107 / Symbol:							
05/26/16	12,000	774.85	07/13/15	463.49	...	311.36	Sale
07/05/16	36,000	2,502.29	07/13/15	1,390.48	...	1,111.81	Sale
	Security total:	3,277.14		1,853.97	...	1,423.17	
ATOS ORIGIN SA ADR / CUSIP: 04962A105 / Symbol:							
03/22/16	13,000	204.21	07/13/15	208.51	...	-4.30	Sale
BHP BILLITON PLC NEW SPON ADR / CUSIP: 05545E209 / Symbol: BBL							
12/21/16	16,000	512.70	09/13/16	420.90	...	91.80	Sale
BARCLAYS PLC ADR / CUSIP: 06738E204 / Symbol: BCS							
02/18/16	135,000	1,269.84	07/13/15	2,289.03	...	-1,019.19	Sale
02/19/16	13,000	119.22	07/13/15	220.43	...	-101.21	Sale
	Security total:	1,389.06		2,509.46	...	-1,120.40	

UBS FINANCIAL SERVICES INC.

Account UG 09133

Proceeds Not Reported to the IRS (continued)

2016

02/14/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional Information column] Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
DENSO CORP ADR / CUSIP: 24872B100 / Symbol:							
01/27/16	51,000	1,077.17	07/13/15	1,228.79	...	-151.62	Sale
01/29/16	53,000	1,112.36	07/13/15	1,276.97	...	-164.61	Sale
Security total:		2,189.53		2,505.76	...	-316.23	
EMBRAER S A SPON ADR / CUSIP: 29082A107 / Symbol: ERJ							
04/29/16	5,000	114.86	07/13/15	150.94	...	-36.08	Sale
05/02/16	6,000	138.31	07/13/15	181.13	...	-42.82	Sale
05/03/16	7,000	159.85	07/13/15	211.32	...	-51.47	Sale
05/04/16	7,000	158.49	07/13/15	211.31	...	-52.82	Sale
05/05/16	5,000	112.34	07/13/15	150.94	...	-38.60	Sale
06/09/16	10,000	216.90	07/13/15	301.88	...	-84.98	Sale
06/13/16	13,000	265.23	07/13/15	392.45	...	-127.22	Sale
2 transactions for 06/14/16							
8,000		160.22	07/13/15	241.50	...	-81.28	Sale
2,000		40.05	08/24/15	49.70	...	-9.65	Sale
06/14/16	10,000	200.27	Various	291.20	...	-90.93	Total of 2 transactions
2 transactions for 06/15/16							
5,000		100.89	08/24/15	124.26	...	-23.37	Sale
6,000		121.07	08/24/15	177.42	...	-56.35	Sale
08/15/16	11,000	221.96	Various	301.88	...	-79.72	Total of 2 transactions
08/21/16	6,000	127.11	08/24/15	177.41	...	-50.30	Sale
Security total:		1,715.32		2,370.26	...	-654.94	
ERICSSON SEK 10 NEW 2002 ADR / CUSIP: 294821608 / Symbol: ERIC							
10/12/16	31,000	173.37	10/06/16	220.06	...	-46.69	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09133

Proceeds Not Reported to the IRS (continued)

02/14/2017

2016

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
GLOBAL LOGISTIC PPTYS LTD UNSPONSORED ADR SGD / CUSIP: 379411101 / Symbol: GBTZY							
01/27/16	45.000	522.24	07/13/15	824.70	...	-302.46	Sale
01/29/16	94.000	1,091.95	07/13/15	1,722.71	...	-630.76	Sale
	Security total:	1,614.19		2,547.41	...	-933.22	
LIXIL GROUP CORP UNSPONSORED ADR / CUSIP: 53931R103 / Symbol:							
05/18/16	10.000	366.24	08/31/15	411.02	...	-44.78	Sale
	2 transactions for 05/19/16						
	4.000	141.12	08/31/15	164.41	...	-23.29	Sale
	2.000	70.56	09/02/15	80.44	...	-9.88	Sale
05/19/16	6.000	211.68	Various	244.85	...	-33.17	Total of 2 transactions
05/20/16	10.000	347.39	09/02/15	402.17	...	-54.78	Sale
05/23/16	26.000	888.43	09/02/15	1,045.66	...	-157.23	Sale
05/24/16	4.000	136.27	09/02/15	160.87	...	-24.60	Sale
	Security total:	1,950.01		2,284.57	...	-314.56	
NATIONAL GRID PLC NEW SPON ADR / CUSIP: 636274300 / Symbol: NGG							
08/05/16	17.000	1,209.55	08/26/15	1,098.87	...	110.68	Sale
10/10/16	13.000	845.17	01/25/16	887.63	...	-42.46	Sale
	Security total:	2,054.72		1,986.50	...	68.22	
NOVARTIS AG SPON ADR / CUSIP: 66987V109 / Symbol: NVS							
11/03/16	5.000	353.54	02/01/16	385.25	...	-31.71	Sale
SECOM LTD ADR JAPAN ADR / CUSIP: 813113206 / Symbol:							
03/31/16	28.000	523.68	07/13/15	461.35	...	62.33	Sale

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS (continued)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SEVEN & I HLDGS CO LTD ADR / CUSIP: 81783H105 / Symbol:							
04/18/16	46.000	993.70	07/13/15	1,011.78	...	-18.08	Sale
04/19/16	68.000	1,481.36	07/13/15	1,495.67	...	-14.31	Sale
	Security total:	2,475.06		2,507.45	...	-32.39	
SKY PLC SPON ADR / CUSIP: 83084V106 / Symbol:							
02/12/16	18.000	1,015.71	07/13/15	1,211.50	...	-195.79	Sale
07/22/16	3.000	137.42	04/26/16	172.38	...	-34.96	Sale
	Security total:	1,153.13		1,383.88	...	-230.75	
SUMITOMO MITSUI FINANCIAL SPON ADR / CUSIP: 86562M209 / Symbol: SMFG							
01/27/16	99.000	676.68	07/13/15	869.44	...	-192.76	Sale
02/22/16	289.000	1,536.01	07/13/15	2,538.06	...	-1,002.05	Sale
02/23/16	42.000	223.83	07/13/15	368.85	...	-145.02	Sale
	Security total:	2,436.52		3,776.35	...	-1,339.83	
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR / CUSIP: 86603T104 / Symbol:							
05/26/16	19.000	438.62	07/13/15	398.35	...	40.27	Sale
SYNGENTA AG SPON ADR / CUSIP: 87160A100 / Symbol: SYT							
01/25/16	5.000	352.68	07/13/15	407.62	...	-54.94	Sale
01/26/16	18.000	1,263.33	07/13/15	1,467.41	...	-204.08	Sale
	2 transactions for 05/11/16						
	8.000	642.99	07/13/15	652.19	...	-9.20	Sale
	2.000	160.75	10/29/15	135.41	...	25.34	Sale
05/11/16	10.000	803.74	Various	787.60	...	16.14	Total of 2 transactions
05/12/16	19.000	1,530.14	10/29/15	1,286.35	...	243.79	Sale
05/13/16	2.000	161.26	10/29/15	135.41	...	25.85	Sale
	Security total:	4,111.15		4,084.39	...	26.76	

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
TORAY IND ADR JAPAN ADR / CUSIP: 890880206 / Symbol:							
01/27/16	66,000	1,143.54	07/13/15	1,060.22	...	83.32	Sale
01/29/16	64,000	1,060.59	07/13/15	1,028.10	...	32.49	Sale
	Security total:	2,204.13		2,088.32	...	115.81	
WPP PLC NEW SPON ADR / CUSIP: 92937A102 / Symbol: WPPGY							
05/26/16	2,000	231.95	07/13/15	233.06	...	-1.11	Sale
WILLIAM HILL PLC ADR / CUSIP: 96925P104 / Symbol:							
08/02/16	4,000	64.34	03/24/16	75.59	...	-11.25	Sale
08/03/16	14,000	229.37	03/24/16	284.57	...	-35.20	Sale
	Security total:	293.71		340.16	...	-46.45	
MARKIT LTD "NAME CHANGE EFF: 07/2016" / CUSIP: G58249106 / Symbol:							
03/22/16	13,000	443.80	07/13/15	340.80	...	103.00	Sale
Totals:		31,948.80		35,728.73	...	-3,779.93	

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ASTRAZENECA PLC SPON ADR / CUSIP: 046353108 / Symbol: AZN							
08/12/16	40,000	1,338.33	07/13/15	1,347.18	...	-8.85	Sale
	2 transactions for 12/02/16	884.58	07/13/15	1,145.10	...	-260.52	Sale
	34,000						

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS (continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
ASTRAZENECA PLC SPON ADR / CUSIP: 048353108 / Symbol: AZN (conf'd)							
12/02/16	36,000	936.61	08/08/15	1,233.24	...	-296.63	Sale
	70,000	1,821.19	Various	2,378.34	...	-557.15	Total of 2 transactions
Security total:							
		3,159.52		3,725.52	...	-566.00	
ATOS ORIGIN SA ADR / CUSIP: 04962A105 / Symbol:							
08/17/16	25,000	491.63	07/13/15	400.98	...	90.65	Sale
09/29/16	10,000	213.33	07/13/15	160.39	...	52.94	Sale
12/08/16	34,000	710.00	07/13/15	545.33	...	164.67	Sale
12/09/16	38,000	784.17	07/13/15	609.48	...	174.69	Sale
12/13/16	37,000	751.93	07/13/15	593.45	...	158.48	Sale
Security total:							
		2,951.06		2,309.63	...	641.43	
ERICSSON SEK 10 NEW 2002 ADR / CUSIP: 294821608 / Symbol: ERIC							
10/12/16	239,000	1,336.60	07/13/15	2,525.39	293.47 W	-895.32	Sale
10/17/16	59,000	318.74	10/08/16	712.30	...	-393.56	Sale
Security total:							
		1,655.34		3,237.69	293.47 W	-1,288.88	
INFINEON TECHNOLOGIES ADR / CUSIP: 45662N103 / Symbol:							
08/29/16	60,000	1,004.51	07/13/15	745.45	...	259.06	Sale
2 transactions for 08/30/16							
	66,000	1,117.53	07/13/15	819.98	...	297.55	Sale
	3,000	50.80	08/20/15	31.43	...	19.37	Sale
08/30/16	69,000	1,168.33	Various	851.41	...	316.92	Total of 2 transactions
2 transactions for 08/31/16							
	8,000	134.88	08/20/15	83.80	...	51.08	Sale
	25,000	421.52	08/20/15	304.85	...	116.67	Sale
08/31/16	33,000	556.40	Various	388.65	...	167.75	Total of 2 transactions

UBS FINANCIAL SERVICES INC.

Account UG 09133

Proceeds Not Reported to the IRS (continued)

2016

02/14/2017

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
INFINEON TECHNOLOGIES ADR / CUSIP: 45662N103 / Symbol: (cont'd)						
Security total:		2,729.24	1,985.51	...	743.73	
KONINKLIJKE PHILIPS NV SPON ADR / CUSIP: 500472303 / Symbol: PHG						
12/02/16	19,000	536.82	500.37	...	36.45	Sale
NATIONAL GRID PLC NEW SPON ADR / CUSIP: 536274300 / Symbol: NGG						
10/10/16	19,000	1,235.24	1,228.14	...	7.10	Sale
NOVARTIS AG SPON ADR / CUSIP: 86987V109 / Symbol: NVS						
11/03/16	24,000	1,698.97	1,361.04	...	335.93	Sale
OTSUKA HLDGS CO LTD UNSPONSORED ADR / CUSIP: 689164101 / Symbol:						
07/19/16	42,000	970.86	732.43	...	238.43	Sale
ROYAL DSM N V SPON ADR / CUSIP: 780249108 / Symbol:						
08/17/16	32,000	549.88	474.57	...	75.31	Sale
SEIKO EPSON CORP UNSPONSORED ADR ADR / CUSIP: 81603X108 / Symbol:						
2 transactions for 12/02/16						
	59,000	582.31	475.43	...	106.88	Sale
	6,000	59.22	47.03	...	12.19	Sale
	65,000	641.53	522.46	...	119.07	Total of 2 transactions
SKY PLC SPON ADR / CUSIP: 83084V106 / Symbol:						
07/21/16	35,000	1,609.51	2,355.68	...	-746.17	Sale
07/22/16	3,000	137.42	201.92	...	-64.50	Sale
Security total:		1,746.93	2,557.60	...	-810.67	
SOCIETE GENERALE FRANCE SPONS ADR ADR / CUSIP: 83364L109 / Symbol:						
12/02/16	48,000	409.19	465.12	...	-55.93	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09133

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Proceeds Not Reported to the IRS (continued)

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
UNIBAIL-RODAMCO SE ADR REPSTG SHS NEW JCE ISSUE 2008 UNSPONSORED ADR / CUSIP: 904587102 / Symbol:							
10/10/16	96,000	2,357.18	07/13/15	2,514.01	...	-156.83	Sale
VODAFONE GROUP PLC SPON ADR / CUSIP: 92857W308 / Symbol: VOD							
10/03/16	30,000	875.45	07/13/15	1,103.25	...	-227.80	Sale
2 transactions for 10/13/16							
	72,000	1,989.05	07/13/15	2,647.81	...	-658.76	Sale
	8,000	221.00	10/05/15	259.07	...	-38.07	Sale
10/13/16	80,000	2,210.05	Various	2,906.88	...	-696.83	Total of 2 transactions
Security total:							
		3,085.50		4,010.13	...	-924.63	
WPP PLC NEW SPON ADR / CUSIP: 92937A102 / Symbol: WPPGY							
08/28/16	19,000	2,253.55	07/13/15	2,214.07	...	39.48	Sale
08/29/16	1,000	116.97	07/13/15	116.53	...	0.44	Sale
Security total:							
		2,370.52		2,330.60	...	39.92	
WILLIAM HILL PLC ADR / CUSIP: 96925P104 / Symbol:							
07/28/16	26,000	427.18	07/13/15	645.73	...	-218.55	Sale
07/29/16	24,000	400.57	07/13/15	596.06	...	-195.49	Sale
08/01/16	26,000	427.60	07/13/15	645.73	...	-218.13	Sale
08/02/16	25,000	402.09	07/13/15	620.90	...	-218.81	Sale
Security total:							
		1,657.44		2,508.42	...	-850.98	
IHS MARKIT LTD FOREIGN STOCK / CUSIP: G47567105 / Symbol: INFO							
11/21/16	36,000	1,288.48	07/13/15	943.77	...	344.71	Sale
12/07/16	15,000	528.09	07/13/15	393.23	...	134.86	Sale
12/08/16	17,000	601.10	07/13/15	445.67	...	155.43	Sale

UBS FINANCIAL SERVICES INC.

Account UG 09133

Proceeds Not Reported to the IRS

(continued)

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported		Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)		Gain or loss(-) & Loss not allowed (X) also not reported (Z)		Additional Information
		(G)ross or (N)et	Date acquired						
IHS MARKIT LTD FOREIGN STOCK / CUSIP: G47567105 / Symbol: INFO (cont'd)									
	Security total:		2,417.67	1,782.67		...		635.00	
	Totals:		30,170.89	32,245.91		293.47 W		-1,781.55	