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Form **990-PF****Return of Private Foundation**

OMB No 1545-0052

2016Department of the Treasury
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation
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 ▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

For calendar year 2016 or tax year beginning

, 2016, and ending

, 20

Name of foundation HAWK ROCK FOUNDATION		A Employer identification number 26-1518305						
Number and street (or P O box number if mail is not delivered to street address) 22/F, TAI YAU BUILDING, 181 JOHNSTON ROAD		B Telephone number (see instructions) () -						
City or town, state or province, country, and ZIP or foreign postal code WANCHAI HONG KONG		C If exemption application is pending, check here. ☐						
G Check all that apply: <table border="0"> <tr> <td>☐ Initial return</td> <td>☐ Initial return of a former public charity</td> </tr> <tr> <td>☐ Final return</td> <td>☐ Amended return</td> </tr> <tr> <td>☐ Address change</td> <td>☐ Name change</td> </tr> </table>		☐ Initial return	☐ Initial return of a former public charity	☐ Final return	☐ Amended return	☐ Address change	☐ Name change	D 1 Foreign organizations, check here. ☐ 2 Foreign organizations meeting the 85% test, check here and attach computation ☐
☐ Initial return	☐ Initial return of a former public charity							
☐ Final return	☐ Amended return							
☐ Address change	☐ Name change							
H Check type of organization: <table border="0"> <tr> <td>☒ Section 501(c)(3) exempt private foundation</td> <td>☐ Other taxable private foundation</td> </tr> <tr> <td>☐ Section 4947(a)(1) nonexempt charitable trust</td> <td>☐ Other taxable private foundation</td> </tr> </table>		☒ Section 501(c)(3) exempt private foundation	☐ Other taxable 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. ☐		
☒ Section 501(c)(3) exempt private foundation	☐ Other taxable private foundation							
☐ Section 4947(a)(1) nonexempt charitable trust	☐ Other taxable private foundation							
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 34,113,559.		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here. ☐						
J Accounting method: <table border="0"> <tr> <td>☐ Cash</td> <td>☒ Accrual</td> </tr> <tr> <td colspan="2">☐ Other (specify) _____</td> </tr> </table> (Part I, column (d) must be on cash basis)		☐ Cash	☒ Accrual	☐ Other (specify) _____				
☐ Cash	☒ Accrual							
☐ Other (specify) _____								

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)		10,000,000.			
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		390,598.	390,598.		ATCH 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		-21,608.			
b Gross sales price for all assets on line 6a 3,092,590.					
7 Capital gain net income (from Part IV, line 2)			0.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11		10,368,990.	390,598.		
13 Compensation of officers, directors, trustees, etc.		0.			
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees (attach schedule)					
b Accounting fees (attach schedule) ATCH 2		11,188.			
c Other professional fees (attach schedule)					
17 Interest					
18 Taxes (attach schedule) (see instructions) [3]		17,860.	17,860.		
19 Depreciation (attach schedule) and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses (attach schedule) ATCH 4		113,965.	113,965.		
24 Total operating and administrative expenses. Add lines 13 through 23.		143,013.	131,825.		
25 Contributions, gifts, grants paid		1,820,000.			1,820,000.
26 Total expenses and disbursements. Add lines 24 and 25		1,963,013.	131,825.	0.	1,820,000.
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements		8,405,977.			
b Net investment income (if negative, enter -0-)			258,773.		
c Adjusted net income (if negative, enter -0-)					

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing					
	2 Savings and temporary cash investments			14,453,991.	13,876,115.	13,876,114.
	3 Accounts receivable ▶ Less allowance for doubtful accounts ▶					
	4 Pledges receivable ▶ Less allowance for doubtful accounts ▶					
	5 Grants receivable.					
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)					
	7 Other notes and loans receivable (attach schedule) ▶ Less allowance for doubtful accounts ▶					
	8 Inventories for sale or use.					
	9 Prepaid expenses and deferred charges					
	10a Investments - U S and state government obligations (attach schedule). .					
	b Investments - corporate stock (attach schedule) ATCH 5			10,351,032.	19,371,885.	20,237,445.
	c Investments - corporate bonds (attach schedule). 11 Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶					
	12 Investments - mortgage loans					
	13 Investments - other (attach schedule) 14 Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶					
	15 Other assets (describe ▶ ATCH 6)			40,000.		
	16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)			24,845,023.	33,248,000.	34,113,559.
Liabilities	17 Accounts payable and accrued expenses			6,500.	3,500.	
	18 Grants payable					
	19 Deferred revenue.					
	20 Loans from officers, directors, trustees, and other disqualified persons. .					
	21 Mortgages and other notes payable (attach schedule)					
	22 Other liabilities (describe ▶)					
Net Assets or Fund Balances	23 Total liabilities (add lines 17 through 22)			6,500.	3,500.	
	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.					
	24 Unrestricted					
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒					
	27 Capital stock, trust principal, or current funds					
	28 Paid-in or capital surplus, or land, bldg, and equipment fund					
	29 Retained earnings, accumulated income, endowment, or other funds . .			24,838,523.	33,244,500.	
	30 Total net assets or fund balances (see instructions)			24,838,523.	33,244,500.	
	31 Total liabilities and net assets/fund balances (see instructions)			24,845,023.	33,248,000.	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	24,838,523.
2 Enter amount from Part I, line 27a.	2	8,405,977.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	33,244,500.
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	33,244,500.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)			(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1 a SEE PART IV SCHEDULE					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a					
b					
c					
d					
e					
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					
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	-21,608.	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8			3	0.	

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	1,468,833.	16,609,292.	0.088434
2014	880,000.	12,912,084.	0.068153
2013	740,000.	12,302,658.	0.060150
2012	637,117.	9,133,097.	0.069759
2011	328,827.	5,029,089.	0.065385
2 Total of line 1, column (d)			2 0.351881
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years.			3 0.070376
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 25,588,110.
5 Multiply line 4 by line 3.			5 1,800,789.
6 Enter 1% of net investment income (1% of Part I, line 27b).			6 2,588.
7 Add lines 5 and 6.			7 1,803,377.
8 Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions			8 1,820,000.

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)		1	2,588.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3 Add lines 1 and 2		3	2,588.
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	2,588.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	11,467.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	6,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	17,467.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	14,879.	
11 Enter the amount of line 10 to be Credited to 2017 estimated tax ☒ 4,000. Refunded ☐	11	10,879.	

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 ☒ \$ _____ (2) On foundation managers ☒ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☒ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		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?	N/A	
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) ☒ DE, _____		
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 ☒ ATTCH. 7	X	

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X
Website address ☐ N/A		
14 The books are in care of ☐ EAST ASIA SENTINEL TAX SVC LTD Telephone no ☐ 852-28101018		
Located at ☐ ATTACHMENT 8 ZIP+4 ☐		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ☐ and enter the amount of tax-exempt interest received or accrued during the year. ☐ 15		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ☐		

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)? ☐ ☒	1b	N/A
Organizations relying on a current notice regarding disaster assistance check here ☐		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016? ☐	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No		
If "Yes," list the years ☐		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions) ☐	2b	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) ☐	3b	N/A
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? ☐	4b	X

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

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

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

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

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

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

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

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

Organizations relying on a current notice regarding disaster assistance check here ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

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

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? ☐ **7b**

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

(a) Name and address	(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
ATCH 9		0.	0.	0.

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

(a) Name and address of each employee paid more than \$50,000	(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. ☐

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		0.
Total number of others receiving over \$50,000 for professional services		▶

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 TO OPERATE EXCLUSIVELY AND TO RECEIVE AND ADMINISTER FUNDS FOR CHARITABLE AND EDUCATIONAL PURPOSES WITHIN THE MEANING OF SECTION 501(C)(3) AND RELATED REGULATIONS AND TO	
2 DISTRIBUTE FUNDS TO SUCH CHARITIES AT SUCH TIMES AND IN SUCH AMOUNTS AS MAY BE DETERMINED BY THE FOUNDATION CONSISTENT WITH THE CODE	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	16,720,401.
b	Average of monthly cash balances	1b	9,257,376.
c	Fair market value of all other assets (see instructions).	1c	
d	Total (add lines 1a, b, and c)	1d	25,977,777.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	25,977,777.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	389,667.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	25,588,110.
6	Minimum investment return. Enter 5% of line 5	6	1,279,406.

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

1	Minimum investment return from Part X, line 6	1	1,279,406.
2a	Tax on investment income for 2016 from Part VI, line 5 2a		2,588.
b	Income tax for 2016 (This does not include the tax from Part VI). 2b		
c	Add lines 2a and 2b	2c	2,588.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,276,818.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,276,818.
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	1,276,818.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,820,000.
b	Program-related investments - total from Part IX-B	1b	
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	1,820,000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	2,588.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,817,412.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				1,276,818.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.				
b Total for prior years 20 <u>14</u> , 20 <u>13</u> , 20 <u>12</u>				
3 Excess distributions carryover, if any, to 2016				
a From 2011	79,719.			
b From 2012	206,228.			
c From 2013	141,834.			
d From 2014	246,962.			
e From 2015	640,702.			
f Total of lines 3a through e	1,315,445.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>1,820,000.</u>				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions).				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2016 distributable amount.				1,276,818.
e Remaining amount distributed out of corpus.	543,182.			
5 Excess distributions carryover applied to 2016 . (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:	1,858,627.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017.				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	79,719.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	1,778,908.			
10 Analysis of line 9				
a Excess from 2012	206,228.			
b Excess from 2013	141,834.			
c Excess from 2014	246,962.			
d Excess from 2015	640,702.			
e Excess from 2016	543,182.			

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

NOT APPLICABLE

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets.					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)**1 Information Regarding Foundation Managers:**

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

STEVEN AND BARBARA WATSON

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

NONE

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

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

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

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

c Any submission deadlines

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> ATCH 10				
Total			3a	1,820,000.
b <i>Approved for future payment</i>				
Total			3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments .					
4	Dividends and interest from securities					390,598.
5	Net rental income or (loss) from real estate					
a	Debt-financed property					
b	Not debt-financed property					
6	Net rental income or (loss) from personal property. .					
7	Other investment income					
8	Gain or (loss) from sales of assets other than inventory					-21,608.
9	Net income or (loss) from special events					
10	Gross profit or (loss) from sales of inventory . .					
11	Other revenue a _____					
b	_____					
c	_____					
d	_____					
e	_____					
12	Subtotal Add columns (b), (d), and (e)					368,990.
13	Total. Add line 12, columns (b), (d), and (e)					368,990.

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]

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

- | | | | |
|--|-------|-----|----|
| <p>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?</p> <p>a Transfers from the reporting foundation to a noncharitable exempt organization of</p> <p>(1) Cash</p> <p>(2) Other assets</p> <p>b Other transactions</p> <p>(1) Sales of assets to a noncharitable exempt organization</p> <p>(2) Purchases of assets from a noncharitable exempt organization</p> <p>(3) Rental of facilities, equipment, or other assets</p> <p>(4) Reimbursement arrangements</p> <p>(5) Loans or loan guarantees</p> <p>(6) Performance of services or membership or fundraising solicitations</p> <p>c Sharing of facilities, equipment, mailing lists, other assets, or paid employees</p> <p>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.</p> | | Yes | No |
| | | | |
| | 1a(1) | | X |
| | 1a(2) | | X |
| | | | |
| | 1b(1) | | X |
| | 1b(2) | | X |
| | 1b(3) | | X |
| | 1b(4) | | X |
| | 1b(5) | | X |
| | 1b(6) | | X |
| | 1c | | X |

[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

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.

**Sign
Here**

Signature of officer or trustee

07/31/2017

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

**Paid
Preparer
Use Only**

Print/Type preparer's name
NILAR T CHAN

Preparer's signature

Date 7/27/2017

Check ☐ if self-employed

PTIN	P00382081
------	-----------

Firm's name	▶ EAST ASIA SENTINEL TAX SVC LTD
Firm's address	▶ 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI, HK

Firm's EIN 98-0577907

Phone no 852 28101018

00000

Form **990-PF** (2016)

Schedule of Contributors

OMB No 1545-0047

2016

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

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

Name of the organization

HAWK ROCK FOUNDATION

Employer identification number

26-1518305

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization

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

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

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

☐ 501(c)(3) taxable private foundation

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

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

General Rule

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

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

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

Name of organization **HAWK ROCK FOUNDATION**

Employer identification number

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	STEVEN & BARBARA WATSON C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD. WANCHAI, HONG KONG HONG KONG	\$ 10,000,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization **HAWK ROCK FOUNDATION**

Employer identification number

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

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

Name of organization **HAWK ROCK FOUNDATION**

Employer identification number

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

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

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					23,308.	
1,310,409.		SEE ATTACHMENT A 1,393,136.					VARIOUS -82,727.	VARIOUS
1,758,873.		SEE ATTACHMENT B 1,721,062.					VARIOUS 37,811.	VARIOUS
TOTAL GAIN (LOSS)							<u>-21,608.</u>	

ATTACHMENT 1FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
CAPITAL GUARDIAN AMERICAN FUNDS	388,452. 2,146.	388,452. 2,146.
TOTAL	<u>390,598.</u>	<u>390,598.</u>

ATTACHMENT 2

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
TAX PREPARATION FEES	11,188.			
TOTALS	<u>11,188.</u>			

ATTACHMENT 3FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES ON DIVIDENDS	17,860.	17,860.
TOTALS	<u>17,860.</u>	<u>17,860.</u>

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BANK CHARGES/INVESTMENT FEES	113,965.	113,965.
TOTALS	113,965.	113,965.

ATTACHMENT 5

FORM 990PF, PART II - CORPORATE STOCK

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
CAPITAL GUARDIAN	19,371,885.	20,237,445.
TOTALS	<u>19,371,885.</u>	<u>20,237,445.</u>

FORM 990PF, PART II - OTHER ASSETS

ATTACHMENT 6

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
OTHER RECEIVABLE		
TOTALS		

OTHER RECEIVABLE

TOTALS

FORM 990PF, PART VII-A, LINE 10 - SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 7

NAME AND ADDRESS

STEVEN & BARBARA WATSON
C/O 22/F, TAI YAU BLDG, 181 JOHNSTON RD.
WANCHAI, HONG KONG

FORM 990PF, PART VII-A, LINE 14 - LOCATION OF BOOKS

22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI
HONG KONG

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 9

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
BARBARA WATSON 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI HONG KONG	DIRECTOR 2.00	0.	0.	0.
KATHARINE G WATSON 100 BRENTWOOD STREET PORTLAND, ME 04103	DIRECTOR .50	0.	0.	0.
WILLIAM W WATSON 5125 PENN AVE, FLOOR 3 PITTSBURGH, PA 15224	DIRECTOR .50	0.	0.	0.
CHARLES P WATSON 1212 CHESTNUT STREET BURBANK, CA 91506	VICE PRESIDENT .50	0.	0.	0.
STEVEN T. WATSON 22/F, TAI YAU BLDG, 181 JOHNSTON RD WANCHAI HONG KONG	DIRECTOR 2.00	0.	0.	0.
GRAND TOTALS		0.	0.	0.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 10

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
FOLK ARTS RAJASTHAN 314 E 84TH ST. #11 NEW YORK, NY 10028	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
LEARNING ALLY 20 ROSZEL ROAD PRINCETON, NJ 08540	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000
HALF THE SKY FOUNDATION 715 HEARST AVENUE, SUITE 200 BERKELEY, CA 94710	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	150,000
ACCION INTERNATIONAL 10 FAWCETT ST, SUITE 204 CAMBRIDGE, MA 02138	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	150,000
THE BROWN LEDGE FOUNDATION, INC 25 WILSON STREET BURLINGTON, VT 05401-3352	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
FREE GEEK COMMUNITY TECHNOLOGY CENTER 1731 SE 10TH AVE PORTLAND, OR 97214	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000

FORM 990PF, PART XV -- GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 10 (CONT'D.)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
NEW ENGLAND HISTORICAL GENEALOGICAL SOCIETY 101 NEWBURY ST BOSTON, MA 02116	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	40,000
NEW YORK GENEALOGICAL & BIOGRAPHICAL SOCIETY 36 W 44TH ST, 7TH FLOOR NEW YORK, NY 10036-8105	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	40,000
MEALS ON WHEELS OF LAMOILLE COUNTY PO BOX 1427, 24 UPPER MAIN STREET MORRISVILLE, VT 05661	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
LEWIS & CLARK 0615 S.W PALATINE HILL ROAD PORTLAND, OR 97219	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	30,000
THE GLOBAL FUND FOR CHILDREN 1101 FOURTEENTH STREET, NW SUITE 420 WASHINGTON, DC 20005	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000
THE HARLEM CHILDREN'S ZONE 35 EAST 125TH ST NEW YORK, NY 10035	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 10 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
VERMONT FOOD BANK 33 PARKER ROAD, WILSON INDUSTRIAL PARK BARRE, VT 05641	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000
ACTION AGAINST HUNGER ONE WHITEHALL STREET, 2ND FLOOR NEW YORK, NY 10004	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000
THE NATURE CONSERVANCY 1917 FIRST AVENUE SEATTLE, WA 98110	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000
KING BAUDOUIN FOUNDATION 10 ROCKEFELLER PLAZA NEW YORK, NY 10020	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000.
RAISE THE CHILDREN INTERNATIONAL 112 HIGH ST HAMPTON, NH 03842	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
NEPAL YOUTH FOUNDATION 3030 BRIDGEWAY, SUITE 202 SAUSALITO, CA 94965	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	100,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 10 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
CROSSROADS GLOBAL VILLAGAE U S 1290 ORANGE STREET WILMINGTON, DE 19801	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	150,000.
HEALTHY KIDS BRIGHTER FUTURE P.O. BOX 382 BRUNSWICK, ME 04011	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	70,000.
PREBLE STREET 38 PREBLE STREET PORTLAND, ME 04101	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000.
KARUNA SHECHEN USA 237 WEST 35TH ST , SUITE 1101 NEW YORK, NY 10001	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
GORKHA FOUNDATION 13711 MONET CT CHANTILLY, VA 20151	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	50,000
COPELEY HEALTH SYSTEMS 528 WASHINGTON HIGHWAY MORRISVILLE, VT 05661	UNRELATED 501 (C) (3)	FURTHER THE CHARITY ACTIVITY	40,000.
TOTAL CONTRIBUTIONS PAID			<u>1,820,000</u>

2016 Tax Information Statement

Account Number: 70-614900
 Recipient's Tax ID Number: XX-XXX8305
 Recipient's Name and Address:
 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

Capital Bank & Trust
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

2016 Proceeds from Broker and Barter Exchange Transactions

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

Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales										
370.0	ABN AMRO COUPON RIGHTS EXP 06/06/2016									
BZ01MS905	06/07/2016	Various	0.00	0.00			0.00		0.00	0.00
370.0	ABN AMRO GROUP COUPON RIGHTS 09/06/2016									
BZ02MZ907	09/07/2016	Various	0.00	0.00			0.00		0.00	0.00
120.0	AIR LIQUIDE SA RTS EXP 09/28/2016									
BD1LVR901	09/19/2016	06/10/2016	355.60	0.00			355.60		0.00	0.00
100.0	AMERISOURCEBERGEN CORP									
03073E105	10/18/2016	03/08/2016	8,109.57	8,809.00			-699.43		0.00	0.00
1380.0	BAE SYSTEMS PLC									
026349902	10/17/2016	06/10/2016	9,166.68	9,587.93			-421.25		0.00	0.00
1210 0	BAE SYSTEMS PLC									
026349902	10/17/2016	Various	7,938.35	8,676.78			-738.43		0.00	0.00
310.0	BMW AG									
575602909	09/14/2016	Various	26,243.76	26,573.53			-329.77		0.00	0.00
27.0	BNP PARIBAS									
730968906	02/03/2016	03/17/2015	1,198.03	1,507.61			-309.58		0.00	0.00
113.0	BNP PARIBAS									
730968906	02/03/2016	03/17/2015	5,002.96	6,309.65			-1,306.69		0.00	0.00

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

2016 Tax Information Statement

Account Number: 70-614900
 Recipient's Tax ID Number: XX-XXX8305
☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Recipient's Name and Address:
 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

CAPITAL BANK & TRUST
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

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Description of property				Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Federal Income Tax	
Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
200.0	BURBERRY GROUP PLC									
317430908	07/13/2016	01/08/2016		3,348.07	3,204.72			143.35	0.00	0.00
200.0	BURBERRY GROUP PLC									
317430908	07/13/2016	01/08/2016		3,285.80	3,204.71			81.09	0.00	0.00
200.0	BURBERRY GROUP PLC									
317430908	07/13/2016	01/08/2016		3,307.26	3,204.72			102.54	0.00	0.00
120.0	BURBERRY GROUP PLC									
317430908	07/14/2016	01/11/2016		2,030.76	1,926.30			104.46	0.00	0.00
2196.0	CAIXABANK SA									
B283W9907	02/04/2016	Various		6,148.51	9,581.53			-3,433.02	0.00	0.00
516.363	CAIXABANK SA									
B283W9907	02/05/2016	Various		1,487.36	2,250.39			-763.03	0.00	0.00
46.0	CAIXABANK SA									
B283W9907	04/07/2016	03/01/2016		129.08	129.14			-0.06	0.00	0.00
0.317	CAIXABANK SA									
B283W9907	04/08/2016	03/01/2016		0.92	0.89			0.03	0.00	0.00
0.618	CALIFORNIA RESOURCES CORPORATION									
130570107	03/24/2016	09/28/2015		0.61	0.18			0.43	0.00	0.00

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2016 Tax Information Statement

Account Number: 70-614900
 Recipient's Tax ID Number: XX-XXX8305
 Recipient's Name and Address:
 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

Capital Bank & Trust
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
49.0	CALIFORNIA RESOURCES CORPORATION									
13057Q107	03/29/2016	Various	50.39	14.04			36.35		0.00	0.00
125.0	CHEVRON CORP									
166764100	10/18/2016	06/09/2016	12,724.10	12,876.25			-152.15		0.00	0.00
6000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	02/04/2016	Various	6,140.88	8,772.47			-2,631.59		0.00	0.00
4000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	07/11/2016	06/10/2016	4,258.71	4,650.56			-391.85		0.00	0.00
6000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	07/12/2016	06/10/2016	6,300.86	6,975.84			-674.98		0.00	0.00
14000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	07/13/2016	Various	14,635.68	16,193.58			-1,557.90		0.00	0.00
3000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	07/14/2016	03/31/2016	3,211.95	3,362.38			-150.43		0.00	0.00
2000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	07/18/2016	Various	2,134.34	2,196.65			-62.31		0.00	0.00
6000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/16/2016	03/09/2016	6,474.12	6,512.41			-38.29		0.00	0.00

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 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

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 IRVINE, CA 92618

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4000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/20/2016	03/09/2016	4,272.37	4,341.61			-69.24		0.00	0.00
1980.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/28/2016	03/09/2016	2,130.18	2,149.09			-18.91		0.00	0.00
288.0	CIE FINANCIERE RICHEMON REG									
ACI06R7K8	05/10/2016	03/09/2016	18,478.97	19,513.80			-1,034.83		0.00	0.00
122.0	CIE FINANCIERE RICHEMON REG									
ACI06R7K8	05/11/2016	03/09/2016	7,788.28	8,266.26			-477.98		0.00	0.00
100.0	COCA-COLA CO									
191216100	10/17/2016	Various	4,172.90	4,506.60			-333.70		0.00	0.00
640.0	COCA-COLA CO									
191216100	10/17/2016	Various	26,674.80	27,615.27			-940.47		0.00	0.00
100.0	COCA-COLA CO									
191216100	10/17/2016	09/12/2016	4,173.40	4,242.87			-69.47		0.00	0.00
100.0	COCA-COLA CO									
191216100	10/17/2016	06/09/2016	4,177.15	4,574.19			-397.04		0.00	0.00
500.0	COCA-COLA CO									
191216100	10/17/2016	06/09/2016	20,807.94	22,870.95			-2,063.01		0.00	0.00

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 IRVINE, CA 92618

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 2365 GARFIELD RD
 HYDE PARK, VT 05655

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Description of property

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1250.0	CREDIT SUISSE COUPON RIGHTS EXP 06/01/16									
ACIOLY5B8	06/01/2016	Various	0.00	0.00			0.00		0.00	0.00
0 17	CREDIT SUISSE GROUP REG									
717158901	06/16/2016	03/09/2016	2.05	2.60			-0.55		0.00	0.00
820.0	CREDIT SUISSE GROUP REG									
717158901	07/08/2016	Various	8,500.37	12,382.66			-3,882.29		0.00	0.00
85.0	CVS HEALTH CORPORATION									
126650100	10/17/2016	10/19/2015	7,391.73	8,800.18			-1,408.45		0.00	0.00
300 0	DAVITA INC									
23918K108	10/28/2016	Various	16,653.71	22,667.83			-6,014.12		0.00	0.00
150.0	DAVITA INC									
23918K108	10/31/2016	09/12/2016	8,765.78	9,534.75			-768.97		0.00	0.00
312 0	ELECTROLUX AB SER B									
B1KKBX907	04/25/2016	03/09/2016	8,386.11	7,545.77			840.34		0.00	0.00
167 0	ELECTROLUX AB SER B									
B1KKBX907	04/26/2016	03/09/2016	4,392.96	4,038.93			354.03		0.00	0.00
76.0	ELECTROLUX AB SER B									
B1KKBX907	04/27/2016	03/09/2016	2,011.92	1,838.07			173.85		0.00	0.00

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143.0	ELRINGKLINGER AG									
513863902	08/19/2016	Various	2,548.44	3,508.92			-960.48		0.00	0.00
151.0	ELRINGKLINGER AG									
513863902	08/23/2016	Various	2,664.29	3,723.39			-1,059.10		0.00	0.00
154.0	ELRINGKLINGER AG									
513863902	08/29/2016	Various	2,619.86	3,687.19			-1,067.33		0.00	0.00
70.0	ELRINGKLINGER AG									
513863902	08/31/2016	Various	1,212.52	1,640.02			-427.50		0.00	0.00
170 0	EXPRESS SCRIPTS HOLDING CO									
30219G108	08/12/2016	06/09/2016	12,938.17	13,086.13			-147.96		0.00	0.00
45.0	FEDEX CORP COMMON STOCK									
31428X106	01/29/2016	03/17/2015	5,962.12	8,032.95			-2,070.83		0.00	0.00
55.0	FORTIVE CORPORATION									
34959J108	07/08/2016	03/08/2016	2,666.07	2,419.63			246.44		0.00	0.00
120.0	GOLDMAN SACHS GROUP INC									
38141G104	06/13/2016	06/09/2016	17,852.78	18,410.40			-557.62		0.00	0.00
3330.0	GREENE KING PLC									
B0HZP1905	12/16/2016	Various	28,860.96	38,447.75			-9,586.79		0.00	0.00

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 HYDE PARK, VT 05655

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100.0	HEXCEL CORP									
428291108	10/17/2016	06/09/2016	4,213.20	4,401.25			-188.05		0.00	0.00
190.0	HEXCEL CORP									
428291108	10/18/2016	06/09/2016	8,019.72	8,362.38			-342.66		0.00	0.00
160.0	ILLUMINA INC									
452327109	11/11/2016	Various	22,123.87	24,218.49			-2,094.62		0.00	0.00
300.0	IMPERIAL BRANDS PLC									
045449907	10/17/2016	Various	14,106.12	15,624.38			-1,518.26		0.00	0.00
235.0	IMPERIAL BRANDS PLC									
045449907	10/17/2016	09/12/2016	10,987.07	12,239.11			-1,252.04		0.00	0.00
140.0	INTERNATIONAL BUSINESS MACHINES CORP									
459200101	11/28/2016	Various	23,002.78	20,875.63			2,127.15		0.00	0.00
450.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/17/2016	09/12/2016	15,438.66	16,374.24			-935.58		0.00	0.00
600.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/19/2016	03/08/2016	20,417.07	18,528.00			1,889.07		0.00	0.00
100.0	JABIL CIRCUIT INC									
466313103	01/07/2016	03/17/2015	2,045.94	2,228.00			-182.06		0.00	0.00

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 IRVINE, CA 92618

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 HYDE PARK, VT 05655

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100.0	JABIL CIRCUIT INC									
466313103	01/26/2016	03/17/2015	1,948.20	2,228.00			-279.80		0.00	0.00
100.0	JABIL CIRCUIT INC									
466313103	02/01/2016	03/17/2015	1,989.57	2,228.00			-238.43		0.00	0.00
25.0	JABIL CIRCUIT INC									
466313103	02/16/2016	03/17/2015	501.55	557.00			-55.45		0.00	0.00
190.0	KINDER MORGAN INC									
494568101	03/17/2016	Various	3,600.86	6,185.94			-2,585.08		0.00	0.00
500.0	KINDER MORGAN INC									
494568101	03/17/2016	Various	9,444.24	17,907.31			-8,463.07		0.00	0.00
100.0	LIBERTY GLOBAL PLC CL A									
G5480U104	01/20/2016	03/17/2015	3,256.17	5,013.91			-1,757.74		0.00	0.00
100.0	LIBERTY GLOBAL PLC CL A									
G5480U104	01/21/2016	03/17/2015	3,291.18	5,013.90			-1,722.72		0.00	0.00
400.0	LIBERTY GLOBAL PLC CL A									
G5480U104	08/24/2016	Various	12,620.88	13,273.52			-652.64		0.00	0.00
400.0	LIBERTY GLOBAL PLC CL A									
G5480U104	08/25/2016	03/08/2016	12,469.68	12,660.52			-190.84		0.00	0.00

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 HYDE PARK, VT 05655

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Description of property			Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Cusip Number	Date Sold or Disposed	Date Acquired								
175.0	LIBERTY GLOBAL PLC CL A									
G5480U104	08/26/2016	03/08/2016	5,476.10	5,538.97			-62.87		0.00	0.00
0.446	LIBERTY LILAC GROUP CL A									
G5480U138	07/01/2016	03/08/2016	14.23	16.44			-2.21		0.00	0.00
100.0	LIBERTY LILAC GROUP CL A									
G5480U138	07/07/2016	Various	3,418.24	3,774.13			-355.89		0.00	0.00
23.6988	LIBERTY LILAC GROUP CL A									
G5480U138	07/08/2016	03/08/2016	826.69	873.31			-46.62		0.00	0.00
95.0	LILLY ELI & COMPANY COMMON STOCK									
532457108	07/21/2016	10/19/2015	7,622.91	7,667.53			-44.62		0.00	0.00
68.0	L'OREAL									
405780909	09/15/2016	06/10/2016	12,564.45	12,763.87			-199.42		0.00	0.00
17.0	L'OREAL									
405780909	09/15/2016	06/10/2016	3,157.27	3,190.97			-33.70		0.00	0.00
155.0	LYONDELLBASELL INDUSTRIES NV									
N53745100	10/18/2016	09/12/2016	12,511.26	11,755.20			756.06		0.00	0.00
2215.0	MARKS & SPENCER GROUP PLC									
312748908	10/17/2016	06/10/2016	8,759.58	12,042.58			-3,283.00		0.00	0.00

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100 0	MARSH & MCLENNAN COMPANIES INC COMMON STOCK									
571748102	10/17/2016	06/09/2016	6,561.41	6,671.50			-110.09		0.00	0.00
270.0	MARSH & MCLENNAN COMPANIES INC COMMON STOCK									
571748102	10/18/2016	Various	17,640.73	17,810.69			-169.96		0.00	0.00
100.0	MERCURY GENERAL CORP									
589400100	10/21/2016	03/08/2016	5,118.50	5,418.00			-299.50		0.00	0.00
100.0	MERCURY GENERAL CORP									
589400100	10/24/2016	Various	5,187.36	5,398.10			-210.74		0.00	0.00
180.0	MERCURY GENERAL CORP									
589400100	10/25/2016	06/09/2016	9,287.81	9,573.30			-285.49		0.00	0.00
385.0	NESTLE SA REG									
712387901	10/18/2016	07/07/2016	29,054.11	30,071.35			-1,017.24		0.00	0.00
35.0	NESTLE SA REG									
712387901	10/18/2016	07/07/2016	2,646.45	2,733.76			-87.31		0.00	0.00
380.0	NOVARTIS AG NAMEN									
710306903	03/21/2016	03/09/2016	27,828.17	27,716.18			111.99		0.00	0.00
275.0	NOVARTIS AG NAMEN									
710306903	06/14/2016	06/10/2016	21,130.94	22,071.06			-940.12		0.00	0.00

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Recipient's Name and Address:
HAWK ROCK FOUNDATION
2365 GARFIELD RD
HYDE PARK, VT 05655

Account Number: 70-614900
Recipient's Tax ID Number: XX-XXX8305

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65.0	NOVARTIS AG NAMED									
710306903	06/20/2016	06/10/2016	5,146.94	5,216.79			-69.85		0.00	0.00
365.0	NOVARTIS AG NAMED									
710306903	10/18/2016	Various	27,571.86	27,482.27			89.59		0.00	0.00
420.0	NUCOR CORP									
670346105	10/18/2016	Various	19,735.66	19,104.94			630.72		0.00	0.00
100.0	PACWEST BANCORP									
695263103	10/17/2016	09/12/2016	4,148.28	4,253.08			-104.80		0.00	0.00
200.0	PACWEST BANCORP									
695263103	10/18/2016	09/12/2016	8,262.59	8,506.16			-243.57		0.00	0.00
100.0	PACWEST BANCORP									
695263103	10/19/2016	Various	4,183.55	3,715.83			467.72		0.00	0.00
310.0	PACWEST BANCORP									
695263103	10/20/2016	03/08/2016	12,949.31	10,963.89			1,985.42		0.00	0.00
170.0	PAYCHEX INC									
704326107	10/18/2016	06/09/2016	9,517.46	9,392.50			124.96		0.00	0.00
90.0	PAYCHEX INC									
704326107	10/18/2016	03/08/2016	5,050.50	4,712.40			338.10		0.00	0.00

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100.0	PAYCHEX INC									
704326107	10/18/2016	Various	5,586.22	5,380.50			205.72		0.00	0.00
900 0	PFIZER INC COMMON STOCK									
717081103	10/17/2016	Various	29,298.22	28,709.90			588.32		0.00	0.00
465.0	PHILIP MORRIS INTERNATIONAL INC									
718172109	10/17/2016	Various	44,398.71	45,578.28			-1,179.57		0.00	0.00
100.0	PHILIP MORRIS INTERNATIONAL INC									
718172109	10/17/2016	06/09/2016	9,559.54	10,167.70			-608.16		0.00	0.00
80.0	PNC FINANCIAL SERVICES GROUP INC									
693475105	08/03/2016	03/08/2016	6,616.27	6,867.20			-250.93		0.00	0.00
370.0	PROCTER & GAMBLE COMPANY COMMON STOCK									
742718109	11/29/2016	Various	30,651.50	31,288.48			-636.98		0.00	0.00
500.0	PRUDENTIAL PLC									
070995006	06/15/2016	Various	8,516.95	9,830.73			-1,313.78		0.00	0.00
75.0	PRUDENTIAL PLC									
070995006	06/16/2016	03/09/2016	1,270.60	1,474.61			-204.01		0.00	0.00
127.0	SAMPO OYJ A SHS									
522603901	07/18/2016	03/09/2016	5,284.47	5,860.20			-575.73		0.00	0.00

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2016 Tax Information Statement

Account Number: 70-614900
 Recipient's Tax ID Number: XX-XXX8305
 Recipient's Name and Address:
 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

Capital Bank & Trust
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property										
Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
317.0	SAMPO OYJ A SHS									
522603901	07/20/2016	03/09/2016	13,152.17	14,627.41			-1,475.24		0.00	0.00
105.0	SAMPO OYJ A SHS									
522603901	07/21/2016	Various	4,360.90	4,845.05			-484.15		0.00	0.00
104.0	SAMPO OYJ A SHS									
522603901	07/25/2016	Various	4,302.79	4,664.20			-361.41		0.00	0.00
17.0	SAMPO OYJ A SHS									
522603901	07/26/2016	06/10/2016	705.95	744.95			-39.00		0.00	0.00
115.0	SIEMENS AG NAMED									
572797900	10/18/2016	06/10/2016	13,278.96	12,311.79			967.17		0.00	0.00
2895 0	SIRIUS XM HOLDINGS INC									
829688103	06/15/2016	03/08/2016	11,310.51	11,360.85			-50.34		0.00	0.00
400.0	SOFTBANK GROUP CORP									
677062903	06/20/2016	Various	21,826.33	22,073.87			-247.54		0.00	0.00
117.0	SVENSKA HANDELSBANKEN AB CL A SHS									
BXDZ90900	10/18/2016	03/09/2016	1,625.47	1,562.30			63.17		0.00	0.00
295.0	TATE & LYLE PLC									
087541009	10/25/2016	09/12/2016	2,803.01	2,813.99			-10.98		0.00	0.00

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 HYDE PARK, VT 05655

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300.0	TATE & LYLE PLC									
087541009	10/26/2016	09/12/2016	2,836.58	2,861.69			-25.11		0.00	0.00
300.0	TATE & LYLE PLC									
087541009	10/27/2016	09/12/2016	2,830.05	2,861.69			-31.64		0.00	0.00
500.0	TATE & LYLE PLC									
087541009	10/28/2016	Various	4,708.49	4,645.62			62.87		0.00	0.00
300.0	TATE & LYLE PLC									
087541009	10/31/2016	03/09/2016	2,858.91	2,470.56			388.35		0.00	0.00
300.0	TATE & LYLE PLC									
087541009	11/01/2016	03/09/2016	2,868.91	2,470.56			398.35		0.00	0.00
400.0	TATE & LYLE PLC									
087541009	11/01/2016	03/09/2016	3,815.32	3,294.08			521.24		0.00	0.00
55.0	TATE & LYLE PLC									
087541009	11/02/2016	03/09/2016	528.39	452.94			75.45		0.00	0.00
0.109	TOTAL SA (FR)									
B15C55900	01/22/2016	10/14/2015	4.53	5.59			-1.06		0.00	0.00
0.135	TOTAL SA (FR)									
B15C55900	04/21/2016	10/14/2015	6.36	6.92			-0.56		0.00	0.00

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291.0	TOTAL SA (FR)									
B15C55900	06/15/2016	Various	13,230.64	14,579.79			-1,349.15		0.00	0.00
134.0	TOTAL SA (FR)									
B15C55900	06/15/2016	Various	6,047.46	6,381.52			-334.06		0.00	0.00
189.554	TOTAL SA COUPON RIGHTS EXP 01/06/2016									
BD968P902	01/06/2016	Various	0.00	0.00			0.00		0.00	0.00
565.554	TOTAL SA COUPON RIGHTS EXP 04/01/2016									
BZ6DD7909	04/06/2016	Various	0.00	0.00			0.00		0.00	0.00
576.554	TOTAL SA COUPON RIGHTS EXP 06/15/2016									
BDB1B6902	06/15/2016	Various	0.00	0.00			0.00		0.00	0.00
362.223	TOTAL SA COUPON RIGHTS EXP 10/06/2016									
AC10Q2PF2	10/06/2016	Various	0.00	0.00			0.00		0.00	0.00
300.0	TREND MICRO INC									
612528901	06/15/2016	06/10/2016	10,211.80	10,442.94			-231.14		0.00	0.00
500.0	UNILEVER PLC									
B10RZP905	10/17/2016	09/12/2016	21,382.41	23,340.44			-1,958.03		0.00	0.00
475.0	UNILEVER PLC									
B10RZP905	11/30/2016	06/10/2016	19,064.59	21,886.87			-2,822.28		0.00	0.00

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200.0	VERIZON COMMUNICATIONS COMMON STOCK									
92343V104	10/17/2016	06/09/2016	10,081.74	10,383.68			-301.94		0.00	0.00
475.0	VERIZON COMMUNICATIONS COMMON STOCK									
92343V104	10/18/2016	Various	23,953.91	24,636.60			-682.69		0.00	0.00
600.0	VIACOM INC CLASS B									
92553P201	09/23/2016	Various	21,314.11	22,986.29			-1,672.18		0.00	0.00
445.0	VIACOM INC CLASS B									
92553P201	09/26/2016	09/12/2016	15,641.27	16,532.37			-891.10		0.00	0.00
335.0	WELLS FARGO & CO (NEW)									
949746101	08/03/2016	03/08/2016	15,916.00	16,537.98			-621.98		0.00	0.00
1000.0	WELLS FARGO & CO (NEW)									
949746101	10/27/2016	Various	46,427.28	48,745.64			-2,318.36		0.00	0.00
100.0	WILLIS TOWERS WATSON PLC									
G96629103	01/19/2016	01/05/2016	11,045.50	12,343.00			-1,297.50		0.00	0.00
25.0	WILLIS TOWERS WATSON PLC									
G96629103	01/20/2016	01/05/2016	2,737.83	3,085.75			-347.92		0.00	0.00
95.0	WILLIS TOWERS WATSON PLC									
G96629103	03/29/2016	01/05/2016	11,160.50	11,725.85			-565.35		0.00	0.00

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 HYDE PARK, VT 05655

Capital Bank & Trust
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

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144.0	ZODIAC AEROSPACE									
729433904	10/27/2016	Various	3,477.77	3,906.93			-429.16		0.00	0.00
137.0	ZODIAC AEROSPACE									
729433904	10/28/2016	Various	3,334.92	3,634.06			-299.14		0.00	0.00
190.0	ZODIAC AEROSPACE									
729433904	10/31/2016	Various	4,621.15	5,020.62			-399.47		0.00	0.00
145.0	ZODIAC AEROSPACE									
729433904	11/01/2016	Various	3,561.24	3,789.38			-228.14		0.00	0.00
120.0	ZODIAC AEROSPACE									
729433904	11/07/2016	Various	2,835.37	3,040.93			-205.56		0.00	0.00
269.0	ZODIAC AEROSPACE									
729433904	11/10/2016	03/09/2016	6,536.35	5,145.51			1,390.84		0.00	0.00
325.0	ZODIAC AEROSPACE									
729433904	11/14/2016	03/09/2016	7,684.15	6,216.69			1,467.46		0.00	0.00
318.0	ZODIAC AEROSPACE									
729433904	12/07/2016	Various	7,267.32	6,082.80			1,184.52		0.00	0.00
143.0	ZODIAC AEROSPACE									
729433904	12/13/2016	03/09/2016	3,230.75	2,735.35			495.40		0.00	0.00

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2365 GARFIELD RD
HYDE PARK, VT 05655

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Description of property		Date Sold or Disposed		Date Acquired		Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Total Short Term Sales						1,310,409.47	1,393,136.10	0.00	0.00	-82,726.63		0.00	0.00

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 2365 GARFIELD RD
 HYDE PARK, VT 05655

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Long Term Sales										
55.0	3M COMPANY									
88579Y101	01/25/2016	04/01/2014	7,609.55	7,502.86			106.69		0.00	0.00
40.0	3M COMPANY									
88579Y101	01/29/2016	Various	6,031.54	3,414.93			2,616.61		0.00	0.00
370.0	ABBVIE INC									
00287Y109	01/13/2016	Various	19,509.04	17,156.47			2,352.57		0.00	0.00
1300.0	ABERDEEN ASSET MGMT PLC									
000312900	10/18/2016	Various	5,243.13	8,545.85			-3,302.72		0.00	0.00
1300.0	ABERDEEN ASSET MGMT PLC									
000312900	10/19/2016	01/19/2015	5,263.30	8,121.21			-2,857.91		0.00	0.00
900.0	ABERDEEN ASSET MGMT PLC									
000312900	10/20/2016	Various	3,570.09	5,622.38			-2,052.29		0.00	0.00
700.0	ABERDEEN ASSET MGMT PLC									
000312900	10/24/2016	09/25/2014	2,769.16	4,689.00			-1,919.84		0.00	0.00

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900.0	ABERDEEN ASSET MGMT PLC									
000312900	10/24/2016	Various	3,514.30	5,979.05			-2,464.75		0.00	0.00
220.0	ABERDEEN ASSET MGMT PLC									
000312900	10/25/2016	09/25/2014	858.22	1,473.68			-615.46		0.00	0.00
136 0	AIR LIQUIDE SA RTS EXP	09/28/2016								
BD1LVR901	09/19/2016	09/07/2006	403.02	0.00			403.02		0.00	0.00
1000.0	AJINOMOTO CO INC									
601090004	01/06/2016	02/23/2011	22,875.39	11,218.67			11,656.72		0.00	0.00
15.0	ALPHABET INC CL C									
02079K107	06/03/2016	11/24/2008	10,838.77	1,911.45			8,927.32		0.00	0.00
1714 286	AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND-CLASS F-2									
02630F506	10/03/2016	07/10/2015	16,200.00	17,177.15			-977.15		0.00	0.00
5.0	AMERISOURCEBERGEN CORP									
03073E105	10/18/2016	03/17/2015	405.48	550.30			-144.82		0.00	0.00
300.0	AMERISOURCEBERGEN CORP									
03073E105	10/18/2016	Various	24,321.96	25,034.96			-713.00		0.00	0.00
1250 0	ASTRAZENECA PLC (GBP)									
098952906	10/17/2016	Various	74,905.66	90,149.92			-15,244.26		0.00	0.00

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375.0	AUTOMATIC DATA PROCESSING INC COMMON STOCK								
053015103	09/30/2016	Various	33,124.82	24,063.87			9,060.95		0.00
4290.0	BAE SYSTEMS PLC								
026349902	10/17/2016	Various	28,145.06	33,644.86			-5,499.80		0.00
97.0	BAYER AG								
506921907	02/01/2016	Various	10,807.01	5,141.92			5,665.09		0.00
55.0	BMW AG								
575602909	09/14/2016	12/21/2011	4,656.15	3,799.52			856.63		0.00
90.0	BMW AG								
575602909	09/14/2016	Various	7,619.16	6,979.87			639.29		0.00
165.0	BNP PARIBAS								
730968906	02/03/2016	Various	7,321.31	7,370.56			-49.25		0.00
165.0	BOEING CO								
097023105	10/18/2016	Various	22,300.45	20,548.58			1,751.87		0.00
95.0	BRISTOL-MYERS SQUIBB CO								
110122108	03/02/2016	Various	6,141.03	3,557.41			2,583.62		0.00
103.0	BROADCOM CORP								
111320107	01/12/2016	06/08/2011	5,553.55	3,455.34			2,098.21		0.00

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97.0	BROADCOM CORP								
111320107	01/12/2016	06/22/2011	5,230.05	3,137.29			2,092.76		0.00
92.0	BROADCOM CORP								
111320107	01/12/2016	06/22/2011	4,967.73	2,945.93			2,021.80		0.00
3.0	BROADCOM CORP								
111320107	01/12/2016	06/22/2011	161.99	97.03			64.96		0.00
100.0	BROADCOM CORP								
111320107	02/03/2016	02/19/2009	2,476.25	1,692.34			783.91		0.00
108.0	BROADCOM CORP								
111320107	02/03/2016	06/22/2011	2,674.36	3,458.27			-783.91		0.00
0.062	BROADCOM LTD								
Y09827109	02/02/2016	06/22/2011	7.55	4.53			3.02		0.00
1427.637	CAIXABANK SA								
B283W9907	02/05/2016	Various	4,112.26	9,051.29			-4,939.03		0.00
2918.0	CAIXABANK SA								
B283W9907	03/10/2016	Various	8,905.28	17,057.40			-8,152.12		0.00
1668.302	CAPITAL WORLD BOND FUND CL F2								
140541822	10/03/2016	Various	34,000.01	35,302.30			-1,302.29		0.00

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100.0	CATERPILLAR INC									
149123101	03/17/2016	08/09/2011	7,535.79	8,445.90			-910.11		0.00	0.00
0.462	CHARTER COMMUNICATIONS INC CL A									
16119P108	05/18/2016	04/24/2015	103.76	94.66			9.10		0.00	0.00
130.0	CHEVRON CORP									
166764100	10/18/2016	Various	13,233.06	15,797.74			-2,564.68		0.00	0.00
5000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	02/15/2016	01/19/2015	4,632.74	7,483.70			-2,850.96		0.00	0.00
5000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	02/16/2016	01/19/2015	4,788.05	7,483.70			-2,695.65		0.00	0.00
3000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	10/28/2016	Various	3,616.08	4,371.05			-754.97		0.00	0.00
4000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	11/01/2016	Various	4,837.08	5,502.82			-665.74		0.00	0.00
3000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	11/04/2016	Various	3,535.79	4,094.46			-558.67		0.00	0.00
1000 0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	11/07/2016	02/05/2015	1,208.04	1,363.31			-155.27		0.00	0.00

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4000.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/14/2016	Various	4,435.15	5,367.51			-932.37		0.00	0.00
1020.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/28/2016	05/29/2014	1,097.37	1,311.30			-213.93		0.00	0.00
3565.0	CHINA EVERBRIGHT INTERNATIONAL LIMITED									
663094902	12/29/2016	Various	3,859.46	4,558.80			-699.34		0.00	0.00
195.0	CIE FINANCIERE RICHEMON REG									
ACI06R7K8	05/11/2016	Various	12,448.47	12,947.42			-498.95		0.00	0.00
425.0	CONOCOPHILLIPS									
20825C104	01/22/2016	Various	15,939.49	33,090.43			-17,150.94		0.00	0.00
500.0	CREDIT SUISSE GROUP REG									
717158901	07/08/2016	06/01/2015	5,183.16	13,127.80			-7,944.64		0.00	0.00
165.0	DAVITA INC									
23918K108	10/31/2016	Various	9,642.35	13,822.81			-4,180.46		0.00	0.00
1891.0	DBS GROUP HOLDINGS LTD									
617520903	06/16/2016	Various	21,826.90	9,295.19			12,531.71		0.00	0.00
195.0	DELPHI AUTOMOTIVE PLC									
G27823106	01/22/2016	Various	12,677.90	11,736.40			941.50		0.00	0.00

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 HAWK ROCK FOUNDATION
 2365 GARFIELD RD
 HYDE PARK, VT 05655

Capital Bank & Trust
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

Corrected ☐ FATCA ☐ 2nd TIN notice ☐

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									Withheld	Withheld
200.0	DENSO CORP									
664038007		03/11/2016	04/23/2014	7,836.58	9,503.03			-1,666.45	0.00	0.00
279.0	DEUTSCHE WOHNEN AG (BEARER)									
B0YZ0Z908		12/16/2016	Various	8,238.97	6,093.81			2,145.16	0.00	0.00
426.0	DEUTSCHE WOHNEN AG (BEARER)									
B0YZ0Z908		12/16/2016	Various	12,599.83	10,052.41			2,547.42	0.00	0.00
255.0	EATON CORP PLC									
G29183103		09/27/2016	12/03/2012	16,140.68	13,172.03			2,968.65	0.00	0.00
579.0	ELECTROLUX AB SER B									
B1KKBX907		04/22/2016	Various	15,440.93	18,781.09			-3,340.16	0.00	0.00
111.0	ELECTROLUX AB SER B									
B1KKBX907		04/25/2016	02/03/2015	2,983.52	3,491.90			-508.38	0.00	0.00
6240.25	EMERGING MARKETS GROWTH FUND INC									
290886100		10/03/2016	12/18/2009	40,000.00	52,043.69			-12,043.69	0.00	0.00
358.0	ESSILOR COUPON RIGHTS EXP 05/30/2016									
BYV9WK903		06/01/2016	Various	0.00	0.00			0.00	0.00	0.00
47.0	FEDEX CORP COMMON STOCK									
31428X106		01/29/2016	09/09/2011	6,227.11	3,450.74			2,776.37	0.00	0.00

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Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
33.0	FEDEX CORP COMMON STOCK									
31428X106	01/29/2016	02/19/2009	4,372.22	1,587.94			2,784.28		0.00	0.00
100.0	FORTIVE CORPORATION									
34959J108	07/06/2016	Various	4,774.47	1,473.98			3,300.49		0.00	0.00
100.0	FORTIVE CORPORATION									
34959J108	07/07/2016	Various	4,762.80	1,330.30			3,432.50		0.00	0.00
10.0	FORTIVE CORPORATION									
34959J108	07/08/2016	02/19/2009	484.74	131.57			353.17		0.00	0.00
155.0	GOLDMAN SACHS GROUP INC									
38141G104	12/13/2016	11/03/2008	37,076.88	13,892.80			23,184.08		0.00	0.00
2595.0	GREENE KING PLC									
B0HZP1905	12/16/2016	Various	22,490.75	34,382.62			-11,891.87		0.00	0.00
5.0	HOME DEPOT INC									
437076102	07/13/2016	09/14/2011	667.51	167.53			499.98		0.00	0.00
75.0	HOME DEPOT INC									
437076102	07/13/2016	09/14/2011	10,012.61	2,513.02			7,499.59		0.00	0.00
40.0	ILLUMINA INC									
452327109	11/11/2016	09/18/2015	5,530.97	8,329.87			-2,798.90		0.00	0.00

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100.0	ILLUMINA INC									
452327109	11/14/2016	Various	13,648.44	19,776.87			-6,128.43		0.00	0.00
15.0	ILLUMINA INC									
452327109	11/15/2016	08/25/2015	2,034.38	2,923.47			-889.09		0.00	0.00
65.0	IMPERIAL BRANDS PLC									
045449907	10/17/2016	01/30/2015	3,038.98	3,103.70			-64.72		0.00	0.00
610.0	IMPERIAL BRANDS PLC									
045449907	10/18/2016	Various	28,693.96	27,648.71			1,045.25		0.00	0.00
145.0	INTERNATIONAL BUSINESS MACHINES CORP									
459200101	11/28/2016	Various	23,824.31	20,035.55			3,788.76		0.00	0.00
50.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/17/2016	11/04/2014	1,715.41	1,777.33			-61.92		0.00	0.00
190.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/18/2016	Various	6,504.77	6,026.15			478.62		0.00	0.00
110.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/18/2016	Various	3,765.92	3,633.46			132.46		0.00	0.00
62.0	IRON MOUNTAIN INCORPORATED									
46284V101	10/18/2016	05/14/2014	2,116.93	1,840.14			276.79		0.00	0.00

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38.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/18/2016	02/24/2012	1,297.47	1,186.66			110.81	0.00	0.00
62.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/18/2016	02/24/2012	2,120.54	1,936.12			184.42	0.00	0.00
38.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/18/2016	02/24/2012	1,299.68	1,186.66			113.02	0.00	0.00
100.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/19/2016	Various	3,416.86	2,962.08			454.78	0.00	0.00
200.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/19/2016	Various	6,769.27	5,915.20			854.07	0.00	0.00
348.0	IRON MOUNTAIN INCORPORATED								
46284V101	10/19/2016	Various	11,841.90	7,398.55			4,443.35	0.00	0.00
70.0	JABIL CIRCUIT INC								
466313103	02/16/2016	02/10/2012	1,404.35	1,725.53			-321.18	0.00	0.00
55.0	JABIL CIRCUIT INC								
466313103	02/16/2016	11/06/2012	1,103.42	1,016.10			87.32	0.00	0.00
125.0	LIBERTY GLOBAL PLC CL A								
G5480U104	01/21/2016	Various	4,113.98	5,106.37			-992.39	0.00	0.00

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107.3012	LIBERTY LILAC GROUP CL A									
G5480U138	07/08/2016	Various	3,743.03	4,260.30			-517.27		0.00	0.00
5.0	LIBERTY LILAC GROUP CL C									
G5480U153	05/12/2016	05/05/2014	210.18	201.24			8.94		0.00	0.00
0.101	LIBERTY LILAC GROUP CL C									
G5480U153	07/01/2016	05/05/2014	3.26	4.09			-0.83		0.00	0.00
13.0	LIBERTY LILAC GROUP CL C									
G5480U153	07/07/2016	Various	451.08	526.82			-75.74		0.00	0.00
145 0	LILLY ELI & COMPANY COMMON STOCK									
532457108	07/21/2016	Various	11,634.98	12,835.20			-1,200.22		0.00	0.00
15.0	L'OREAL									
405780909	09/15/2016	02/09/2015	2,771.57	2,650.90			120.67		0.00	0.00
50.0	LYONDELLBASELL INDUSTRIES NV									
N53745100	10/18/2016	03/17/2015	4,035.89	4,216.50			-180.61		0.00	0.00
300.0	LYONDELLBASELL INDUSTRIES NV									
N53745100	10/18/2016	Various	24,324.12	26,370.75			-2,046.63		0.00	0.00
800.0	MARKS & SPENCER GROUP PLC									
312748908	10/17/2016	Various	3,162.39	5,913.15			-2,750.76		0.00	0.00

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											Withheld	Withheld
1615.0	MARKS & SPENCER GROUP PLC											
312748908		10/17/2016	Various			6,412.62	11,817.82			-5,405.20	0.00	0.00
385.0	MARKS & SPENCER GROUP PLC											
312748908		10/17/2016	02/05/2015			1,522.54	2,852.20			-1,329.66	0.00	0.00
30.0	MARSH & MCLENNAN COMPANIES INC COMMON STOCK											
571748102		10/18/2016	02/13/2015			1,960.08	1,691.57			268.51	0.00	0.00
95.0	MARSH & MCLENNAN COMPANIES INC COMMON STOCK											
571748102		10/19/2016	02/13/2015			6,198.08	5,356.62			841.46	0.00	0.00
100.0	MERCURY GENERAL CORP											
589400100		10/17/2016	02/04/2015			5,476.32	5,994.48			-518.16	0.00	0.00
20.0	MERCURY GENERAL CORP											
589400100		10/25/2016	01/30/2015			1,031.98	1,142.00			-110.02	0.00	0.00
225.0	MERCURY GENERAL CORP											
589400100		10/31/2016	Various			12,292.56	12,835.17			-542.61	0.00	0.00
100.0	MERCURY GENERAL CORP											
589400100		10/31/2016	02/09/2015			5,499.92	5,632.65			-182.73	0.00	0.00
65.0	MICROSOFT CORPORATION COMMON STOCK											
594918104		05/31/2016	09/07/2006			3,386.79	1,663.03			1,723.76	0.00	0.00

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300.0	MOSAIC CO/THE									
61945C103	02/18/2016	Various	7,735.44	16,065.09			-8,329.65		0.00	0.00
1500.0	NATIONAL GRID PLC									
B08SNH908	10/18/2016	Various	19,599.53	18,364.80			1,234.73		0.00	0.00
500.0	NATIONAL GRID PLC									
B08SNH908	10/19/2016	Various	6,500.36	4,751.51			1,748.85		0.00	0.00
51.0	NESTLE SA REG									
712387901	10/18/2016	Various	3,848.73	3,802.18			46.55		0.00	0.00
180.0	NIELSEN HOLDINGS PLC									
G6518L108	01/07/2016	Various	8,151.28	4,741.33			3,409.95		0.00	0.00
120.0	NIELSEN HOLDINGS PLC									
G6518L108	01/07/2016	Various	5,434.19	3,160.91			2,273.28		0.00	0.00
70.0	NIELSEN HOLDINGS PLC									
G6518L108	01/07/2016	08/09/2011	3,168.72	1,863.41			1,305.32		0.00	0.00
30.0	NIELSEN HOLDINGS PLC									
G6518L108	01/07/2016	08/09/2011	1,358.03	798.60			559.42		0.00	0.00
175.0	NIELSEN HOLDINGS PLC									
G6518L108	01/08/2016	Various	7,921.29	4,550.67			3,370.62		0.00	0.00

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Description of property										Federal Income Tax Withheld	
Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary		Withheld	State Tax Withheld
20.0	NIELSEN HOLDINGS PLC										
G6518L108	01/08/2016	08/09/2011	905.29	525.70			379.59			0.00	0.00
100 0	NORFOLK SOUTHERN CORPORATION COMMON STOCK										
655844108	10/17/2016	Various	9,486.01	8,005.81			1,480.20			0.00	0.00
160 0	NORFOLK SOUTHERN CORPORATION COMMON STOCK										
655844108	10/18/2016	Various	15,226.94	8,011.51			7,215.43			0.00	0.00
609.0	NOVARTIS AG NAMEN										
710306903	06/20/2016	Various	48,222.86	48,437.89			-215.03			0.00	0.00
15.0	NOVARTIS AG NAMEN										
710306903	08/19/2016	10/27/2011	1,218.91	875.55			343.36			0.00	0.00
110.0	NOVARTIS AG NAMEN										
710306903	08/19/2016	Various	8,938.67	6,044.70			2,893.97			0.00	0.00
130.0	NOVARTIS AG NAMEN										
710306903	10/18/2016	10/27/2011	9,820.12	7,588.12			2,232.00			0.00	0.00
190.0	NUCOR CORP										
670346105	10/18/2016	Various	8,928.04	9,032.72			-104.68			0.00	0.00
200.0	NUCOR CORP										
670346105	10/18/2016	02/11/2015	9,373.41	9,526.04			-152.63			0.00	0.00

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700.0	PACWEST BANCORP									
695263103	10/19/2016	Various	29,284.84	31,291.81			-2,006.97		0.00	0.00
200.0	PAYCHEX INC									
704326107	10/14/2016	Various	11,248.06	9,893.07			1,355.00		0.00	0.00
100 0	PAYCHEX INC									
704326107	10/17/2016	02/06/2015	5,567.89	4,778.28			789.61		0.00	0.00
500 0	PAYCHEX INC									
704326107	10/17/2016	Various	27,831.74	23,750.37			4,081.37		0.00	0.00
30.0	PAYCHEX INC									
704326107	10/18/2016	02/05/2015	1,679.55	1,417.05			262.50		0.00	0.00
1005.0	PFIZER INC COMMON STOCK									
717081103	10/17/2016	Various	32,716.36	32,276.30			440.06		0.00	0.00
620.0	PROCTER & GAMBLE COMPANY COMMON STOCK									
742718109	10/17/2016	Various	54,511.94	49,025.79			5,486.15		0.00	0.00
225.0	PRUDENTIAL PLC									
070995006	06/16/2016	12/01/2014	3,811.79	5,481.30			-1,669.51		0.00	0.00
225.0	PRUDENTIAL PLC									
070995006	06/17/2016	Various	3,949.46	5,402.85			-1,453.39		0.00	0.00

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Cusip Number	Date Sold or Disposed	Date Acquired									
130.0	ROYAL CARIBBEAN CRUISES										
V7780T103	06/17/2016	03/17/2015		9,689.33	10,133.50			-444.17		0.00	0.00
158.0	SAMPO OYJ A SHS										
522603901	10/17/2016	10/31/2011		7,190.95	4,370.72			2,820.23		0.00	0.00
355.0	SAMPO OYJ A SHS										
522603901	10/17/2016	Various		16,156.88	10,029.74			6,127.14		0.00	0.00
734.0	SAMPO OYJ A SHS										
522603901	10/17/2016	Various		33,363.89	34,695.61			-1,331.72		0.00	0.00
464.0	SAMPO OYJ A SHS										
522603901	10/18/2016	Various		21,188.82	12,288.55			8,900.27		0.00	0.00
244.0	SAMPO OYJ A SHS										
522603901	10/18/2016	Various		11,142.40	6,289.44			4,852.96		0.00	0.00
100.0	SCRIPPS NETWORKS INTERACTIVE CL A										
811085101	01/08/2016	02/23/2010		5,296.90	3,998.00			1,298.90		0.00	0.00
180.0	SCRIPPS NETWORKS INTERACTIVE CL A										
811085101	01/08/2016	Various		9,637.51	7,195.54			2,441.97		0.00	0.00
248.0	SIEMENS AG NAMEN										
572797900	10/17/2016	Various		28,569.12	28,188.23			380.89		0.00	0.00

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 HYDE PARK, VT 05655

CAPITAL BANK & TRUST
 C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
 IRVINE, CA 92618

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Description of property		Date Sold or Disposed		Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
33.0	SIEMENS AG NAMEN											
572797900		10/18/2016		07/15/2013	3,810.49	3,457.43			353.06		0.00	0.00
170.0	SIRIUS XM HOLDINGS INC											
82968B103		06/15/2016		04/26/2013	664.18	533.83			130.35		0.00	0.00
100.0	SIRIUS XM HOLDINGS INC											
82968B103		09/26/2016		04/26/2013	415.18	314.02			101.16		0.00	0.00
400.0	SIRIUS XM HOLDINGS INC											
82968B103		09/26/2016		04/26/2013	1,659.92	1,256.08			403.84		0.00	0.00
400.0	SIRIUS XM HOLDINGS INC											
82968B103		09/27/2016		04/26/2013	1,667.36	1,256.08			411.28		0.00	0.00
500.0	SIRIUS XM HOLDINGS INC											
82968B103		09/28/2016		04/26/2013	2,081.65	1,570.10			511.55		0.00	0.00
300.0	SIRIUS XM HOLDINGS INC											
82968B103		09/29/2016		Various	1,245.72	942.02			303.70		0.00	0.00
500.0	SIRIUS XM HOLDINGS INC											
82968B103		09/30/2016		04/25/2013	2,086.95	1,569.35			517.60		0.00	0.00
500.0	SIRIUS XM HOLDINGS INC											
82968B103		10/03/2016		04/25/2013	2,094.45	1,569.35			525.10		0.00	0.00

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2016 Tax Information Statement

Recipient's Name and Address:
HAWK ROCK FOUNDATION
2365 GARFIELD RD
HYDE PARK, VT 05655

Account Number: 70-614900
Recipient's Tax ID Number: XX-XXX8305

CAPITAL BANK & TRUST
C/O PCS TAX, 6455 IRVINE CENTER DR, C-2E
IRVINE, CA 92618

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property			Date		Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Federal Income Tax	
Cusip Number	Date Sold or Disposed	Date Acquired								Withheld	State Tax Withheld
100.0	SIRIUS XM HOLDINGS INC										
82968B103	10/03/2016	04/25/2013			418.66	313.87			104.79	0.00	0.00
100.0	SIRIUS XM HOLDINGS INC										
82968B103	10/05/2016	04/25/2013			417.26	313.87			103.39	0.00	0.00
200.0	SIRIUS XM HOLDINGS INC										
82968B103	10/07/2016	04/25/2013			830.82	627.74			203.08	0.00	0.00
100.0	SIRIUS XM HOLDINGS INC										
82968B103	10/14/2016	04/25/2013			411.87	313.87			98.00	0.00	0.00
370.0	SIRIUS XM HOLDINGS INC										
82968B103	10/18/2016	04/25/2013			1,522.10	1,161.32			360.78	0.00	0.00
300.0	SIRIUS XM HOLDINGS INC										
82968B103	10/19/2016	04/25/2013			1,239.30	941.61			297.69	0.00	0.00
100.0	SIRIUS XM HOLDINGS INC										
82968B103	10/20/2016	04/25/2013			412.76	313.87			98.89	0.00	0.00
300.0	SIRIUS XM HOLDINGS INC										
82968B103	10/21/2016	04/25/2013			1,239.99	941.61			298.38	0.00	0.00
300.0	SIRIUS XM HOLDINGS INC										
82968B103	10/24/2016	04/25/2013			1,241.97	941.61			300.36	0.00	0.00

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Description of property				Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
Cusip Number	Date Sold or Disposed	Date Acquired									
200.0	SIRIUS XM HOLDINGS INC										
829688B103	10/24/2016	04/25/2013		832.98	627.74			205.24		0.00	0.00
400.0	SIRIUS XM HOLDINGS INC										
829688B103	10/25/2016	04/25/2013		1,661.96	1,255.48			406.48		0.00	0.00
200 0	SIRIUS XM HOLDINGS INC										
829688B103	10/25/2016	Various		834.92	627.70			207.22		0.00	0.00
400.0	SIRIUS XM HOLDINGS INC										
829688B103	10/26/2016	Various		1,672.28	1,255.05			417.23		0.00	0.00
300.0	SOFTBANK GROUP CORP										
677062903	06/03/2016	Various		16,583.34	18,074.61			-1,491.27		0.00	0.00
200 0	ST JUDE MEDICAL										
790849103	03/16/2016	Various		10,866.96	12,889.55			-2,022.59		0.00	0.00
30.0	ST JUDE MEDICAL										
790849103	03/17/2016	10/29/2014		1,607.25	1,851.91			-244.66		0.00	0.00
1713.0	SVENSKA HANDELSBANKEN AB CL A SHS										
BXDZ9Q900	10/18/2016	Various		23,798.50	27,214.74			-3,416.24		0.00	0.00
300.0	TATE & LYLE PLC										
087541009	10/17/2016	02/02/2015		2,890.45	3,067.80			-177.35		0.00	0.00

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Description of property		Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
800.0 TATE & LYLE PLC		800.0										
		087541009	10/17/2016	Various	7,706.23	8,212.30			-506.07		0.00	0.00
300.0 TATE & LYLE PLC		300.0										
		087541009	10/18/2016	02/02/2015	2,915.48	3,060.45			-144.97		0.00	0.00
600.0 TATE & LYLE PLC		600.0										
		087541009	10/19/2016	Various	5,791.01	6,100.60			-309.59		0.00	0.00
300.0 TATE & LYLE PLC		300.0										
		087541009	10/20/2016	Various	2,902.33	2,949.19			-46.86		0.00	0.00
300.0 TATE & LYLE PLC		300.0										
		087541009	10/21/2016	03/02/2015	2,872.86	2,741.96			130.90		0.00	0.00
400.0 TATE & LYLE PLC		400.0										
		087541009	10/24/2016	Various	3,811.51	3,648.56			162.95		0.00	0.00
5.0 TATE & LYLE PLC		5.0										
		087541009	10/25/2016	03/03/2015	47.51	45.57			1.94		0.00	0.00
0.669 TOTAL SA (FR)		0.669										
		B15C55900	07/05/2016	11/11/2014	32.13	38.96			-6.83		0.00	0.00
0.327 TOTAL SA (FR)		0.327										
		B15C55900	10/28/2016	11/11/2014	15.71	19.04			-3.33		0.00	0.00

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Description of property									
Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld
379.446	TOTAL SA COUPON RIGHTS EXP 01/06/2016								
BD96BP902	01/06/2016	Various	0.00	0.00			0.00		0.00
379.446	TOTAL SA COUPON RIGHTS EXP 04/01/2016								
BZ6DD7909	04/06/2016	Various	0.00	0.00			0.00		0.00
379.446	TOTAL SA COUPON RIGHTS EXP 06/15/2016								
BDB1B6902	06/15/2016	Various	0.00	0.00			0.00		0.00
378.777	TOTAL SA COUPON RIGHTS EXP 10/06/2016								
ACIOQ2PF2	10/06/2016	Various	0.00	0.00			0.00		0.00
220.0	TOWERS WATSON & COMPANY CL A								
891894107	01/11/2016	Various	27,154.60	23,551.58			3,603.02		0.00
200.0	TREND MICRO INC								
612528901	06/15/2016	04/05/2013	6,807.86	5,534.61			1,273.25		0.00
200.0	TREND MICRO INC								
612528901	06/16/2016	02/20/2009	6,770.76	4,773.47			1,997.29		0.00
245.0	UNILEVER PLC								
B10RZP905	09/28/2016	Various	11,659.40	10,618.80			1,040.60		0.00
675.0	UNILEVER PLC								
B10RZP905	10/17/2016	Various	28,866.26	28,653.30			212.96		0.00

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265.0	UNILEVER PLC								
B10RZP905	11/30/2016	Various	10,636.04	10,889.00			-252.96		0.00
135.0	UNITED TECHNOLOGIES CORPORATION COMMON STOCK								
913017109	01/06/2016	09/07/2006	12,566.33	8,417.85			4,148.48		0.00
100.0	VERISIGN INC								
92343E102	07/19/2016	Various	8,311.76	4,545.81			3,765.95		0.00
100.0	VERISIGN INC								
92343E102	08/24/2016	Various	7,437.16	4,543.45			2,893.71		0.00
25.0	VERISIGN INC								
92343E102	08/25/2016	Various	1,869.85	1,135.18			734.67		0.00
300.0	VERIZON COMMUNICATIONS COMMON STOCK								
92343V104	10/18/2016	10/30/2013	15,128.79	15,415.38			-286.59		0.00
225.0	VERIZON COMMUNICATIONS COMMON STOCK								
92343V104	10/27/2016	02/12/2015	10,931.38	11,136.38			-205.00		0.00
55.0	VIACOM INC CLASS B								
92553P201	09/26/2016	08/12/2015	1,933.19	2,529.68			-596.49		0.00
750.0	VIACOM INC CLASS B								
92553P201	09/26/2016	Various	26,182.14	34,232.88			-8,050.74		0.00

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Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
5.0	WELLS FARGO & CO (NEW)									
949746101	10/27/2016	07/02/2014		232.14	263.39			-31.25	0.00	0.00
3600.0	WYNN MACAU LTD									
B4JSTL903	09/30/2016	Various		5,939.09	9,411.19			-3,472.10	0.00	0.00
3600.0	WYNN MACAU LTD									
B4JSTL903	10/03/2016	Various		5,800.38	7,065.54			-1,265.16	0.00	0.00
2400.0	WYNN MACAU LTD									
B4JSTL903	10/04/2016	Various		3,806.04	4,078.56			-272.52	0.00	0.00
340.0	XILINX INC									
983919101	10/18/2016	Various		17,012.82	14,728.01			2,284.81	0.00	0.00
100.0	XILINX INC									
983919101	10/18/2016	Various		4,992.40	4,172.29			820.11	0.00	0.00
62.0	ZODIAC AEROSPACE									
729433904	11/07/2016	01/03/2014		1,464.94	2,197.56			-732.62	0.00	0.00
290.0	ZODIAC AEROSPACE									
729433904	11/09/2016	Various		6,830.43	10,259.64			-3,429.21	0.00	0.00
81.0	ZODIAC AEROSPACE									
729433904	11/10/2016	Various		1,968.19	2,874.37			-906.18	0.00	0.00
Total Long Term Sales				1,758,873.04	1,721,062.11	0.00	0.00	37,810.93	0.00	0.00

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