EXTENDED TO NOVEMBER 15, 2017

Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation: BASSLER FAMILY FOUNDATION, INC.

A Employer identification number: 26-1561741

Number and street (or P O box number if mail is not delivered to street address): 13 SEAGATE ROAD | Room/suite:

B Telephone number: 203.655.9658

City or town, state or province, country, and ZIP or foreign postal code: DARIEN, CT 06820

C If exemption application is pending, check here ▶ [ ]

G Check all that apply: [ ] 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 ▶ [ ]

H Check type of organization: [X] Section 501(c)(3) exempt private foundation [ ] Section 4947(a)(1) nonexempt charitable trust [ ] Other taxable private foundation

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 853,080.

J Accounting method: [X] Cash [ ] Accrual [ ] Other (specify) (Part I, column (d) must be on cash basis)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ [ ]

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

	Line		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received			N/A	
	2	Check ▶ [X] if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	20,673.	20,673.		STATEMENT 1
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	32,160.			
	b	Gross sales price for all assets on line 6a 4,000.				
	7	Capital gain net income (from Part IV, line 2)		32,160.		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss)				
	11	Other income				
	12	**Total.** Add lines 1 through 11	52,833.	52,833.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0.	0.		0.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees				
	b	Accounting fees STMT 2	1,500.	1,500.		0.
	c	Other professional fees				
	17	Interest				
	18	Taxes STMT 3	1,051.	1,051.		0.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses STMT 4	13,174.	13,174.		0.
	24	**Total operating and administrative expenses** Add lines 13 through 23	15,725.	15,725.		0.
	25	Contributions, gifts, grants paid	59,300.			59,300.
	26	**Total expenses and disbursements** Add lines 24 and 25	75,025.	15,725.		59,300.
	27	Subtract line 26 from line 12:				
	a	Excess of revenue over expenses and disbursements	-22,192.			
	b	**Net investment income** (if negative, enter -0-)		37,108.		
	c	**Adjusted net income** (if negative enter -0-)			N/A	

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Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	108,371.	3,756.	3,756.
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 5	711,096.	793,669.	849,324.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	819,467.	797,425.	853,080.
Liabilities	17 Accounts payable and accrued expenses	6,850.	7,000.	
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	6,850.	7,000.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [X] **and complete lines 27 through 31.**			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	812,617.	790,425.	
	30 **Total net assets or fund balances**	812,617.	790,425.	
	31 **Total liabilities and net assets/fund balances**	819,467.	797,425.	

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	812,617.
2 Enter amount from Part I, line 27a	2	-22,192.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	790,425.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	790,425.

Part IV | Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	UBS FINANCIAL - SEE SCHEDULE ATTACHED			
b	UBS FINANCIAL - SEE SCHEDULE ATTACHED			
c	CAPITAL GAINS DIVIDENDS			
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				-3,696.
b				31,856.
c	4,000.			4,000.
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				-3,696.
b				31,856.
c				4,000.
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 — 32,160.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c).
If (loss), enter -0- in Part I, line 8 — 3 — N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	50,140.	920,587.	.054465
2014	52,650.	962,219.	.054717
2013	52,150.	912,982.	.057121
2012	47,290.	869,865.	.054365
2011	51,256.	917,016.	.055894

2	**Total** of line 1, column (d)	2	.276562
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	.055312
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	855,551.
5	Multiply line 4 by line 3	5	47,322.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	371.
7	Add lines 5 and 6	7	47,693.
8	Enter qualifying distributions from Part XII, line 4	8	59,300.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)				
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	371.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0.
3 Add lines 1 and 2			3	371.
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	371.
6 Credits/Payments:				
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,000.		
b Exempt foreign organizations - tax withheld at source	6b			
c Tax paid with application for extension of time to file (Form 8868)	6c			
d Backup withholding erroneously withheld	6d			
7 Total credits and payments. Add lines 6a through 6d			7	1,000.
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	629.
11 Enter the amount of line 10 to be: **Credited to 2017 estimated tax** ▶ 629. **Refunded** ▶			11	0.

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
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			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		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*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		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?	6		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*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CT			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	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*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		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 ▶ BASSLER FAMILY FOUNDATION, INC Telephone no. ▶ 203-655-9658

Located at ▶ 13 SEAGATE ROAD, DARIEN, CT ZIP+4 ▶ 06820

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 | N/A

			Yes	No
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)? N/A	1b		
	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.) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)* N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		X

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

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

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

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

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

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

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

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

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

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

If "Yes," attach the statement required by Regulations section 53 4945-5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X |

If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN P. BASSLER 13 SEAGATE ROAD DARIEN, CT 06820	DIRECTOR/PRESIDENT 1.00	0.	0.	0.
SARA A. BASSLER 13 SEAGATE ROAD DARIEN, CT 06820	DIRECTOR/VICE PRESIDENT 1.00	0.	0.	0.
PETER J. BASSLER 40 STURGES COMMONS WESTPORT, CT 06880	DIRECTOR/TREASURER 1.00	0.	0.	0.
E. ELENA HIRSCH 8 PAR ROAD MONTEBELLO, NY 10901	DIRECTOR/SECRETARY 1.00	0.	0.	0.

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

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

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

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

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

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

Part IX-A **Summary of Direct Charitable Activities**

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

Part IX-B **Summary of Program-Related Investments**

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:			
a	Average monthly fair market value of securities		1a	859,863.
b	Average of monthly cash balances		1b	8,717.
c	Fair market value of all other assets		1c	
d	**Total** (add lines 1a, b, and c)		1d	868,580.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e 0.		
2	Acquisition indebtedness applicable to line 1 assets		2	0.
3	Subtract line 2 from line 1d		3	868,580.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	13,029.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	855,551.
6	**Minimum investment return.** Enter 5% of line 5		6	42,778.

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	42,778.
2a	Tax on investment income for 2016 from Part VI, line 5	2a 371.		
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	371.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	42,407.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	42,407.
6	Deduction from distributable amount (see instructions)		6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1		7	42,407.

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	59,300.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	59,300.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	371.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	58,929.

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				42,407.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years: ___ , ___ , ___		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011 5,923.				
b From 2012 4,317.				
c From 2013 7,297.				
d From 2014 5,397.				
e From 2015 4,793.				
f **Total** of lines 3a through e	27,727.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ $ 59,300.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				42,407.
e Remaining amount distributed out of corpus	16,893.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	44,620.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	5,923.			
9 **Excess distributions carryover to 2017** Subtract lines 7 and 8 from line 6a	38,697.			
10 Analysis of line 9:				
a Excess from 2012 4,317.				
b Excess from 2013 7,297.				
c Excess from 2014 5,397.				
d Excess from 2015 4,793.				
e Excess from 2016 16,893.				

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

1 a 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			
	(a) 2016	**(b)** 2015	**(c)** 2014	**(d)** 2013	**(e) Total**
2 a 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).)

NONE

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 ▶ [X] 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 *Paid during the year*				
CROHNS & COLITIS FOUNDATION OF AMERICA 30 GLEN ST WHITE PLAINS, NY 10603	NONE	OTHER PUBLIC CHARITY	GENERAL	11,000.
FIRST CONGREGATIONAL CHURCH 14 BROOKSIDE RD DARIEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	29,600.
GREENWICH LEADERSHIP FORUM PO BOX 1517 GREENWICH, CT 06836	NONE	OTHER PUBLIC CHARITY	GENERAL	400.
LIBERATION PROGRAMS INC 129 GLOVER AVE NORWALK, CT 06850	NONE	OTHER PUBLIC CHARITY	GENERAL	10,000.
PERSON TO PERSON 1846 POST ROAD DARIEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	59,300.
b *Approved for future payment* NONE				
Total			▶ 3b	0.

623611 11-23-16

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
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					20,673.
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					32,160.
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)		0.		0.	52,833.

13 Total Add line 12, columns (b), (d), and (e) 13 52,833.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
1	INVESTMENT INCOME IS ADDED TO PRINCIPAL AND UTILIZED TO PURSUE A
2	PROGRAM OF SUPPORTING VARIOUS CHARITABLE ORGANIZATIONS DETERMINED BY
3	THE DIRECTORS TO BE WORTHWHILE CHARITABLE ORGANIZATIONS IN NEED OF
4	ADDITIONAL FINANCIAL SUPPORT. THE DIRECTORS SELECT SUCH CHARITABLE
5	ORGANIZATIONS AT LEAST ANNUALLY.

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

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

d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
		N/A	

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Bassler | 5/13/17 | PRESIDENT

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
CATHERINE J. O'BRIEN	CATHERINE J. O'BR	5.11.17		P00387420
Firm's name ▶ BARISH & O'BRIEN			Firm's EIN ▶ 13-3341682	
Firm's address ▶ 572 NORTH BROADWAY WHITE PLAINS, NY 10603			Phone no. 914-428-8600	

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PEOPLE TO PEOPLE INTERNATIONAL 2405 GRAND BLVD #500 KANSAS CITY, MO 64108	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
PLANNED PARENTHOOD 345 WHITNEY AVE NEW HAVEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
THE COMMUNITY FUND OF DARIEN 701 POST ROAD DARIEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	3,000.
UNIVERSITY LIGGETT 1045 COOK ROAD GROSSE POINT WOODS, MI 48236	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
INTERNATIONAL INSTITUTE OF CONNECTICUT 670 CLINTON AVENUE BRIDGEPORT, CT 06605	NONE	OTHER PUBLIC CHARITY	GENERAL	150.
NEIGHBORS LINK 75 SELLECK STREET STAMFORD, CT 06902	NONE	OTHER PUBLIC CHARITY	GENERAL	150.
BRIGHTER LIVES FOR KIDS FOUNDATION PO BOX 841 SOUTHPORT, CT 06890	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
Total from continuation sheets				7,300.

FORM 990-PF — DIVIDENDS AND INTEREST FROM SECURITIES — STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
UBS FINANCIAL	1,387.	627.	760.	760.	
UBS FINANCIAL	23,286.	3,373.	19,913.	19,913.	
TO PART I, LINE 4	24,673.	4,000.	20,673.	20,673.	

FORM 990-PF — ACCOUNTING FEES — STATEMENT 2

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PROFESSIONAL FEES	1,500.	1,500.		0.
TO FORM 990-PF, PG 1, LN 16B	1,500.	1,500.		0.

FORM 990-PF — TAXES — STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	935.	935.		0.
FOREIGN TAX	116.	116.		0.
TO FORM 990-PF, PG 1, LN 18	1,051.	1,051.		0.

FORM 990-PF — OTHER EXPENSES — STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BROKER FEES	13,174.	13,174.		0.
TO FORM 990-PF, PG 1, LN 23	13,174.	13,174.		0.

FORM 990-PF CORPORATE STOCK STATEMENT 5

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE SCHEDULE ATTACHED	793,669.	849,324.
TOTAL TO FORM 990-PF, PART II, LINE 10B	793,669.	849,324.

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, *UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances*

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	1,442 39	3,756 11					250,000 00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ACCENTURE PLC IRELAND CL A Symbol ACN Exchange NYSE EAI $123 Current yield 2 06%	Nov 20, 15	51 000	107 885	5,502 16	117 130	5,973 63	471 47	LT
ADIENT PLC Symbol ADNT Exchange NYSE	Oct 31, 16	12 000	46 585	559 02	58 600	703 20	144 18	ST
ADOBE SYSTEMS INC (DELAWARE) Symbol ADBE Exchange OTC	Mar 11, 16	63 000	86 056	5,421 59	102 950	6,485 85	1,064 26	ST
ADVANSIX INC Symbol ASIX Exchange NYSE	Jan 14, 16	1 000	13 100	13 10	22 140	22 14	9 04	ST
ALPHABET INC CL A Symbol GOOGL Exchange OTC	Jan 14, 16	7 000	731 748	5,122 24	792 450	5,547 15	424 91	ST
AMERIPRISE FINANCIAL INC Symbol AMP Exchange NYSE EAI $174 Current yield 2 70%	Jan 14, 16	57 000	94 988	5,414 37	110 940	6,323 58	909 21	ST

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Mar 11, 16	1 000	92 280	92 28	110 940	110 94	18 66	ST
Security total		58 000	94 942	5,506 65		6,434 52	927 87	
BECTON DICKINSON & CO Symbol BDX Exchange NYSE EAI $105 Current yield 1 76%	Jan 14, 16	36 000	145 510	5,238 39	165 550	5,959 80	721 41	ST
BLACKROCK INC Symbol BLK Exchange NYSE EAI $156 Current yield 2 41%	Dec 12, 16	17 000	389 580	6,622 86	380 540	6,469 18	-153 68	ST
BRITISH AMER TOBACCO PLC GB SPON ADR Symbol BTI Exchange AMEX EAI $200 Current yield 3 86%	Feb 12, 16	46 000	109 240	5,025 04	112 670	5,182 82	157 78	ST
CHUBB LTD CHF Symbol CB Exchange NYSE EAI $127 Current yield 2 09% CHF Exchange rate 1 01635	Apr 6, 16	46 000	119 230	5,484 61	132 120	6,077 52	592 91	ST
COCA COLA CO COM Symbol KO Exchange NYSE EAI $167 Current yield 3 38%	Dec 22, 15	119 000	42 949	5,111 02	41 460	4,933 74	-177 28	LT
COLGATE PALMOLIVE CO Symbol CL Exchange NYSE EAI $123 Current yield 2 38%	Oct 11, 11	21 000	45 364	952 66	65 440	1,374 24	421 58	LT
	Oct 21, 11	38 000	46 673	1,773 60	65 440	2,486 72	713 12	LT
	Jan 27, 12	8 000	45 290	362 32	65 440	523 52	161 20	LT
	Jun 11, 13	12 000	59 235	710 82	65 440	785 28	74 46	LT
Security total		79 000	48 094	3,799 40		5,169 76	1,370 36	
COMCAST CORP NEW CL A Symbol CMCSA Exchange OTC EAI $100 Current yield 1 59%	Jan 14, 16	91 000	54 953	5,000 78	69 050	6,283 55	1,282 77	ST
CRANE CO Symbol CR Exchange NYSE EAI $135 Current yield 1 84%	Dec 23, 15	102 000	48 453	4,942 25	72 120	7,356 24	2,413 99	LT
CVS HEALTH CORP Symbol CVS Exchange NYSE EAI $108 Current yield 2 53%	Jan 14, 16	54 000	95 704	5,168 05	78 910	4,261 14	-906 91	ST

continued next page

Account name BASSLER FAMILY FOUNDATION,INC
Account number. WE C1306 1Y

Your Financial Advisor:
THE FORTIS GROUP
212-626-8500/800-458-1764

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
DANAHER CORP								
Symbol DHR Exchange NYSE								
EAI $30 Current yield 0 64%	Jan 14, 16	60 000	65 768	3,946 11	77 840	4,670 40	724 29	ST
DIAGEO PLC NEW GB SPON ADR								
Symbol DEO Exchange NYSE								
EAI $156 Current yield 3 00%	Oct 11, 11	27 000	79 677	2,151 30	103 940	2,806 38	655 08	LT
	Oct 21, 11	19 000	84 447	1,604 50	103 940	1,974 86	370 36	LT
	Jun 11, 13	4 000	118 770	475 08	103 940	415 76	-59 32	LT
Security total		50 000	84 618	4,230 88		5,197 00	966 12	
ECOLAB INC								
Symbol ECL Exchange NYSE								
EAI $75 Current yield 1 25%	Jan 14, 16	51 000	104 263	5,317 43	117 220	5,978 22	660 79	ST
EXXON MOBIL CORP								
Symbol XOM Exchange. NYSE								
EAI $180 Current yield 3 32%	May 10, 16	60 000	90 000	5,400 00	90 260	5,415 60	15 60	ST
FACEBOOK INC CL A								
Symbol FB Exchange OTC	Jan 14, 16	49 000	96 495	4,728 27	115 050	5,637 45	909 18	ST
FORTIVE CORP								
Symbol FTV Exchange NYSE								
EAI $8 Current yield 0 50%	Jan 14, 16	30 000	42 834	1,285 04	53 630	1,608 90	323 86	ST
HOME DEPOT INC								
Symbol HD Exchange NYSE								
EAI $116 Current yield 2 06%	Aug 20, 15	42 000	121 239	5,092 05	134 080	5,631 36	539 31	LT
HONEYWELL INTL INC								
Symbol HON Exchange NYSE								
EAI $130 Current yield 2 29%	Jan 14, 16	49 000	98 448	4,824 00	115 850	5,676 65	852 65	ST
INTEL CORP								
Symbol INTC Exchange OTC								
EAI $177 Current yield 2 87%	Oct 21, 11	22 000	23 999	527 98	36 270	797 94	269 96	LT
	Jun 11, 13	145 000	25 023	3,628 38	36 270	5,259 15	1,630 77	LT
	Mar 11, 16	3 000	31 696	95 09	36 270	108 81	13 72	ST
Security total		170 000	25 009	4,251 45		6,165 90	1,914 45	

continued next page

Account name. BASSLER FAMILY FOUNDATION,INC
Account number. WE C1306 1Y

Your Financial Advisor
THE FORTIS GROUP
212-626-8500/800-458-1764

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
INVESCO LTD								
Symbol IVZ Exchange NYSE								
EAI $200 Current yield 3 68%	Feb 10, 14	179 000	34 218	6,125 18	30 340	5,430 86	-694 32	LT
JOHNSON CTLS INTL PLC								
Symbol JCI Exchange NYSE								
EAI $120 Current yield 2 43%	Sep 6, 16	120 000	47 843	5,741 16	41 190	4,942 80	-798 36	ST
LOCKHEED MARTIN CORP								
Symbol LMT Exchange NYSE								
EAI $182 Current yield 2 91%	Jan 14, 16	25 000	215 455	5,386 38	249 940	6,248 50	862 12	ST
LOWES COMPANIES INC								
Symbol LOW Exchange NYSE								
EAI $105 Current yield 1 97%	Mar 11, 16	75 000	72 060	5,404 50	71 120	5,334 00	-70 50	ST
MARSH & MCLENNAN COS INC								
Symbol MMC Exchange NYSE								
EAI $125 Current yield 2 01%	Sep 11, 15	92 000	53 794	4,949 07	67 590	6,218 28	1,269 21	LT
MCDONALDS CORP								
Symbol MCD Exchange NYSE								
EAI $165 Current yield 3 08%	Nov 11, 15	44 000	114 298	5,029 13	121 720	5,355 68	326 55	LT
MEDTRONIC PLC								
Symbol MDT Exchange NYSE								
EAI $120 Current yield 2 41%	Jan 27, 15	50 000	76 210	3,810 54	71 230	3,561 50	-249 04	LT
	Jan 27, 15	10 000	76 210	762 10	71 230	712 30	-49 80	LT
	Jan 27, 15	10 000	76 211	762 11	71 230	712 30	-49 81	LT
Security total		70 000	76 211	5,334 75		4,986 10	-348 65	
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI $159 Current yield 2 51%	Dec 13, 13	102 000	36 782	3,751 82	62 140	6,338 28	2,586 46	LT
MYLAN N V EUR								
Symbol MYL Exchange OTC								
EUR Exchange rate 0 94809	Jan 14, 16	107 000	50 982	5,455 08	38 150	4,082 05	-1,373 03	ST
	Mar 11, 16	4 000	48 387	193 55	38 150	152 60	-40 95	ST
Security total		111 000	50 889	5,648 63		4,234 65	-1,413 98	
NEXTERA ENERGY INC COM								
Symbol NEE Exchange NYSE								
EAI $164 Current yield 2 92%	Oct 11, 11	8 000	54 557	436 46	119 460	955 68	519 22	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Oct 21, 11	32 000	55 748	1,783 96	119 460	3,822 72	2,038 76	LT
	Jun 11, 13	7 000	78 710	550 97	119 460	836 22	285 25	LT
Security total		47 000	58 966	2,771 39		5,614 62	2,843 23	
NORDSTROM INC Symbol JWN Exchange NYSE EAI $142 Current yield 3 09%	Aug 20, 13	96 000	57 179	5,489 27	47 930	4,601 28	-887 99	LT
NOVARTIS AG SPON ADR Symbol NVS Exchange NYSE EAI $168 Current yield 3 16%	Oct 11, 11	13 000	57 524	747 82	72 840	946 92	199 10	LT
	Oct 21, 11	31 000	58 519	1,814 10	72 840	2,258 04	443 94	LT
	Jan 27, 12	13 000	54 490	708 37	72 840	946 92	238 55	LT
	Jun 11, 13	8 000	72 256	578 05	72 840	582 72	4 67	LT
	Mar 11, 16	8 000	74 246	593 97	72 840	582 72	-11 25	ST
Security total		73 000	60 854	4,442 31		5,317 32	875 01	
O REILLY AUTOMOTIVE INC Symbol ORLY Exchange OTC	Jan 14, 16	20 000	237 322	4,746 44	278 410	5,568 20	821 76	ST
PAREXEL INTL CORP Symbol PRXL Exchange OTC	Jan 14, 16	82 000	66 346	5,440 42	65 720	5,389 04	-51 38	ST
	Mar 11, 16	5 000	61 798	308 99	65 720	328 60	19 61	ST
Security total		87 000	66 085	5,749 41		5,717 64	-31 77	
PEPSICO INC Symbol PEP Exchange NYSE EAI $160 Current yield 2 89%	Jul 15, 15	53 000	96 881	5,134 74	104 630	5,545 39	410 65	LT
PRAXAIR INC Symbol PX Exchange NYSE EAI $138 Current yield 2 56%	Sep 19, 16	46 000	118 009	5,428 45	117 190	5,390 74	-37 71	ST
RED HAT INC Symbol RHT Exchange NYSE	Jan 14, 16	71 000	75 676	5,373 02	69 700	4,948 70	-424 32	ST
	Mar 11, 16	4 000	71 942	287 77	69 700	278 80	-8 97	ST
Security total		75 000	75 477	5,660 79		5,227 50	-433 29	
ROCKWELL COLLINS INC Symbol COL Exchange NYSE EAI $79 Current yield 1 42%	Jan 14, 16	60 000	87 407	5,244 45	92 760	5,565 60	321 15	ST

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ROCKWELL AUTOMATION INC NEW								
Symbol ROK Exchange NYSE								
EAI $155 Current yield 2 26%	Jan 29, 15	51 000	107 820	5,498 83	134 400	6,854 40	1,355 57	LT
STARBUCKS CORP								
Symbol SBUX Exchange OTC								
EAI $94 Current yield 1 80%	Jan 14, 16	92 000	58 548	5,386 50	55 520	5,107 84	-278 66	ST
	Mar 11, 16	2 000	57 625	115 25	55 520	111 04	-4 21	ST
Security total		94 000	58 529	5,501 75		5,218 88	-282 87	
TEXAS INSTRUMENTS								
Symbol TXN Exchange OTC								
EAI $192 Current yield 2 74%	Jan 14, 16	96 000	50 260	4,824 96	72 970	7,005 12	2,180 16	ST
THERMO FISHER SCIENTIFIC INC								
Symbol TMO Exchange NYSE								
EAI $23 Current yield 0 43%	Jan 14, 16	38 000	137 097	5,209 70	141 100	5,361 80	152 10	ST
TIME WARNER INC NEW								
Symbol TWX Exchange NYSE								
EAI $124 Current yield 1 67%	Jan 14, 16	77 000	70 775	5,449 71	96 530	7,432 81	1,983 10	ST
TJX COS INC NEW								
Symbol TJX Exchange NYSE								
EAI $75 Current yield 1 39%	Jan 14, 16	72 000	68 390	4,924 08	75 130	5,409 36	485 28	ST
UNION PACIFIC CORP								
Symbol UNP Exchange NYSE								
EAI $160 Current yield 2 34%	Apr 16, 14	66 000	93 637	6,180 09	103 680	6,842 88	662 79	LT
UNTD TECHNOLOGIES CORP								
Symbol UTX Exchange NYSE								
EAI $148 Current yield 2 41%	Oct 11, 11	17 000	73 700	1,252 90	109 620	1,863 54	610 64	LT
	Oct 21, 11	24 000	75 199	1,804 78	109 620	2,630 88	826 10	LT
	Jun 11, 13	15 000	94 482	1,417 23	109 620	1,644 30	227 07	LT
Security total		56 000	79 909	4,474 91		6,138 72	1,663 81	
VF CORP								
Symbol VFC Exchange NYSE								
EAI $116 Current yield 3 15%	Nov 13, 12	33 000	39 493	1,303 28	53 350	1,760 55	457 27	LT
	Jun 11, 13	36 000	47 350	1,704 60	53 350	1,920 60	216 00	LT
Security total		69 000	43 592	3,007 88		3,681 15	673 27	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
VISA INC CL A								
Symbol V Exchange NYSE								
EAI $44 Current yield 0 85%	Sep 19, 16	66 000	82 599	5,451 59	78 020	5,149 32	-302 27	ST
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange NYSE								
EAI $87 Current yield 1 49%	Jul 5, 16	56 000	97 669	5,469.51	104.220	5,836 32	366 81	ST
Total				**$255,623.27**		**$285,409.92**	**$29,786.65**	

Total estimated annual income $5,635

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
VANGUARD SMALL-CAP ETF									
Symbol VB									
Trade date Mar 13, 13	33 000	90 323	2,980 68	2,980 68	128 960	4,255 68	1,275 00		LT
Trade date Jul 10, 13	173 000	97 480	16,864 09	16,864 09	128 960	22,310 08	5,445 99		LT
Trade date Jan 14, 16	108 000	100 380	10,841 04	10,841 04	128 960	13,927 68	3,086 64		ST
EAI $606 Current yield 1 50%									
Security total	314 000	97 726	30,685 81	30,685 81		40,493 44	9,807 63	9,807 63	
VANGUARD MID-CAP ETF									
Symbol VO									
Trade date Aug 18, 14	350 000	118 620	41,517 01	41,517 01	131 630	46,070 50	4,553 49		LT
Trade date Jan 14, 16	154 000	109 890	16,923 06	16,923 06	131 630	20,271 02	3,347 96		ST
EAI $961 Current yield 1 45%									
Security total	504 000	115 953	58,440 07	58,440 07		66,341 52	7,901 45	7,901 45	

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Your assets › Equities › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
VANGUARD REIT ETF									
Symbol VNQ									
Trade date Jan 14, 16	317 000	76 040	24,104 91	24,104 91	82 530	26,162 01	2,057 10	2,057 10	ST
EAI $1,260 Current yield 4 82%									
Total			**$113,230.79**	**$113,230.79**		**$132,996.97**	**$19,766.18**	**$19,766.18**	

Total estimated annual income $2,827

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

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Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, *including* shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
DAY HAGAN TACTICAL									
DIVIDEND FUND CLASS I									
Symbol DHQIX									
Trade date Mar 11, 16	4,021 000	10 640	42,783 44	42,783 44	11 220	45,115 62	2,332 18		ST
Total reinvested	45 574	11 337		516 71	11 220	511 34	-5 37		
EAI $146 Current yield 0 32%									
Security total	4,066 574	10 648	42,783 44	43,300 15		45,626 96	2,326 81	2,843 52	
FIRST EAGLE OVERSEAS									
FUND CLASS I									
Symbol SGOIX									
Trade date Sep 6, 16	1,172 790	24 860	29,155 57	29,155 57	22 850	26,798 25	-2,357 32		ST
Total reinvested	44 727	22 760		1,017 99	22 850	1,022 01	4 02		
EAI $129 Current yield 0 46%									
Security total	1,217 517	24 783	29,155 57	30,173 56		27,820 26	-2,353 30	-1,335 31	
Total			**$71,939 01**	**$73,473 71**		**$73,447.22**	**-$26.49**	**$1,508.21**	

Total estimated annual income. $275

Your assets (continued)

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES 20+ YEAR TREAS BOND									
ETF									
Symbol TLT									
Trade date Jan 14, 16	570 000	123 562	70,430 74	70,430 74	119 130	67,904 10	-2,526 64	-2,526 64	ST
EAI $1,769 Current yield 2 61%									

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
GUGGENHEIM TOTAL RETURN									
BOND FUND CLASS									
INSTITUTIONAL									
Symbol GIBIX									
Trade date Jan 14, 16	3,935 112	26 150	102,903 18	102,903 18	26 450	104,083 71	1,180 53		ST
Trade date Mar 11, 16	137 995	25 929	3,578 21	3,578 21	26 450	3,649 97	71 76		ST
Total reinvested	184 661	26 605		4,912 92	26 450	4,884 28	-28 64		
EAI $4,428 Current yield 3 93%									
Security total	4,257 768	26 163	106,481 39	111,394 31		112,617 96	1,223 65	6,136 57	

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Your assets › **Fixed income** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
PRUDENTIAL TOTAL RETURN									
BOND FUND CLASS Z									
Symbol PDBZX									
Trade date Mar 12, 13	4,287 541	14 544	62,359 19	62,359 19	14 080	60,368 58	-1,990 61		LT
Trade date Jun 11, 13	62 186	14 259	886 76	886 76	14 080	875 58	-11 18		LT
Trade date Aug 1, 14	6 255	14 338	89 69	89 69	14 080	88 07	-1 62		LT
Trade date Jan 14, 16	2,944 052	14 039	41,334 49	41,334 49	14 080	41,452 25	117 76		ST
Total reinvested	788 200	14 329		11,294 61 [2]	14 080	11,097 85	-196 76		
EAI $3,324 Current yield 2 92%									
Security total	8,088 234	14 337	104,670 13	115,964 74		113,882 33	-2,082 41	9,212 20	
Total			**$211,151 52**	**$227,359.05**		**$226,500.29**	**-$858.76**	**$15,348.77**	

Total estimated annual income $7,752

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Other

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends *It is not a tax lot for the purposes of determining holding periods or cost basis* The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis *may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes*

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss *may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes*

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, *including shares that have been realized as either a gain or a loss* It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST EAGLE GLOBAL FUNDS									
CLASS I									
Symbol SGIIX									
Trade date Oct 5, 12	477 231	50 194	23,954 57	23,954 57	54 490	26,004 32	2,049 75		LT
Total reinvested	215 027	51 285		11,027 80 [2]	54 490	11,716 81	689 01		
EAI $242 Current yield 0 64%									
Security total	692 258	50 534	23,954 57	34,982 37		37,721 13	2,738 76	13,766 56	
PUTNAM CAPITAL SPECTRUM									

continued next page

Your assets › **Other** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FUND CLASS Y									
Symbol PVSYX									
Trade date Jul 10, 13	443 809	30 966	13,743 05	13,743 05	33 080	14,681 18	938 13		LT
Total reinvested	322 354	35 779		11,533 58	33 080	10,663 45	-870 13		
Security total	766 162	32 991	13,743 05	25,276 63		25,344 63	68 00	11,601 58	
Total			**$37,697.62**	**$60,259.00**		**$63,065.76**	**$2,806.76**	**$25,368.14**	

Total estimated annual income. $242

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**3,756.11**	**0.44%**	**3,756.11**		
Equities	Common stock	285,409 92		255,623 27	5,635 00	29,786 65
	Closed end funds & Exchange traded products	132,996 97		113,230 79	2,827 00	19,766 18
	Mutual funds	73,447 22		73,473 71	275 00	-26 49
	Total equities	**491,854.11**	**57.66%**	**442,327.77**	**8,737.00**	**49,526.34**
Fixed income	Closed end funds & Exchange traded products	67,904 10		70,430 74	1,769 00	-2,526 64
	Mutual funds	226,500 29		227,359 05	7,752 00	-858 76
	Total fixed income	**294,404.39**	**34 51%**	**297,789.79**	**9,521.00**	**-3,385.40**
Other	**Mutual funds**	**63,065.76**	**7.39%**	**60,259.00**	**242.00**	**2,806.76**
Total		**$853,080.37**	**100.00%**	**$804,132.67**	**$18,500.00**	**$48,947.70**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 30		**Cash and money balance**					**$1,442 39**
Dec 1	Dividend	INTEL CORP PAID ON 170				44 20	
Dec 1	Dividend	PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z AS OF 11/30/16				292 98	
Dec 1	Reinvestment	PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z DIVIDEND REINVESTED AT 14 17 NAV ON 11/30/16 AS OF 11/30/16		20 676		-292 98	
Dec 1	Dividend	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL AS OF 11/30/16				392 70	
Dec 1	Reinvestment	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL DIVIDEND REINVESTED AT 26 61 NAV ON 11/30/16 AS OF 11/30/16		14 758		-392 70	
Dec 1	Dividend	TJX COS INC NEW PAID ON 72				18 72	1,505 31
Dec 2	Dividend	HILTON WORLDWIDE HOLDINGS INC PAID ON 255				17 85	
Dec 2	Dividend	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL AS OF 12/01/16				203 31	
Dec 2	St Cap Gain	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL SHORT TERM CAPITAL GAIN AS OF 12/01/16				499 12	
Dec 2	Reinvestment	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL DIVIDEND REINVESTED AT 26 37 NAV ON 12/01/16 AS OF 12/01/16		7 710		-203 31	
Dec 2	Reinvestment	GUGGENHEIM TOTAL RETURN BOND FUND CLASS INSTITUTIONAL ST CAP GAINS REINVESTED AT 26 37 NAV ON 12/01/16 AS OF 12/01/16		18 928		-499 12	
Dec 2	Dividend	STARBUCKS CORP PAID ON 94				23 50	1,546 66
Dec 5	Dividend	ROCKWELL COLLINS INC PAID ON 60				19 80	
Dec 5	Foreign Dividend	INVESCO LTD PAID ON 179				50 12	1,616 58
Dec 6	Bsa Check	FCC DARIEN CHECK PAID 001235				-4,000 00	
Dec 6	Dividend	VISA INC CL A PAID ON 66				10 89	-2,372 53

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