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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2016

Open to Public Inspection

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

Name of foundation
THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION
% GREENDYKE JENCIK & ASSOC PLL

A Employer identification number
26-6130052

Number and street (or P O box number if mail is not delivered to street address)
110C LINDEN OAKS

Room/suite

B Telephone number (see instructions)

City or town, state or province, country, and ZIP or foreign postal code
ROCHESTER, NY 14625

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 ▶ ☐

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

H Check type of organization ☑ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)*▶$ 2,439,290

J Accounting method ☑ 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) (see instructions))*

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	0			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	45	462		
	4	Dividends and interest from securities	31,632	32,108		
	5a	Gross rents				
	b	Net rental income or (loss) ______				
	6a	Net gain or (loss) from sale of assets not on line 10	12,120			
	b	Gross sales price for all assets on line 6a 409,781				
	7	Capital gain net income (from Part IV, line 2)		21,540		
	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)		3,719		
	12	**Total.** Add lines 1 through 11	43,797	57,829		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)				
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	2,722			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	16,545	8,325		10,754
	24	**Total operating and administrative expenses.** Add lines 13 through 23	19,267	8,325		10,754
	25	Contributions, gifts, grants paid	69,250			69,250
	26	**Total expenses and disbursements.** Add lines 24 and 25	88,517	8,325		80,004
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-44,720			
	b	**Net investment income** (if negative, enter -0-)		49,504		
	c	**Adjusted net income**(if negative, enter -0-)				

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 (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	432,941	509,515	509,515
	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 (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)	1,009,508	888,304	1,928,193
	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 ▶)	1,672	1,582	1,582
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	1,444,121	1,399,401	2,439,290
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities**(add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☑ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	1,444,121	1,399,401	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	1,444,121	1,399,401	
	31	**Total liabilities and net assets/fund balances** (see instructions)	1,444,121	1,399,401	

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	1,444,121
2	Enter amount from Part I, line 27a	2	-44,720
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	1,399,401
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	1,399,401

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	See Additional Data Table			
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	See Additional Data Table			
b				
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a	See Additional Data Table			
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	21,540
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	67,212	2,363,742	0 028435
2014	123,201	2,309,079	0 053355
2013	142,625	2,172,108	0 065662
2012	109,186	1,914,516	0 057031
2011	69,717	1,867,532	0 037331

2 Total of line 1, column (d)	2	0 241814
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 048363
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	2,333,988
5 Multiply line 4 by line 3	5	112,879
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	495
7 Add lines 5 and 6	7	113,374
8 Enter qualifying distributions from Part XII, line 4	8	80,004

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	990
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	990
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	990
6	Credits/Payments				
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,360		
b	Exempt foreign organizations—tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	630		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	1,990
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	1,000
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 1,000 **Refunded** ▶			11	

Part VII-A **Statements Regarding Activities**

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)?	1b		No
	*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		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ______ **(2)** On foundation managers ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶NY			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

Part VII-A Statements Regarding Activities (continued)

			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		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
	Website address ▶			
14	The books are in care of ▶GREENDYKE JENCIK & ASSOC PLLC Telephone no ▶(585) 899-3470			
	Located at ▶110C LINDEN OAKS ROCHESTER NY ZIP+4 ▶14625			
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		No
	See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶			

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		
	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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☑ Yes ☐ No			
	If "Yes," list the years ▶ 2015 , 20___ , 20___ , 20___			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)	2b	Yes	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20___ , 20___ , 20___ , 20___			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016).*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**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? ☐ 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**		No
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**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
DAVID DELLA PENTA 32 WISTERIA DRIVE DOVER, NH 03862	DIRECTOR 0	0	0	0
KAREN DELLA PENTA 32 WISTERIA DRIVE DOVER, NH 03862	DIRECTOR 0	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

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

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

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	1,923,930
b	Average of monthly cash balances.	1b	445,601
c	Fair market value of all other assets (see instructions).	1c	0
d	**Total** (add lines 1a, b, and c).	1d	2,369,531
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). 1e		
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	2,369,531
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	35,543
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,333,988
6	**Minimum investment return.** Enter 5% of line 5.	6	116,699

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	116,699
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	990		
b	Income tax for 2016 (This does not include the tax from Part VI).	2b			
c	Add lines 2a and 2b.			2c	990
3	Distributable amount before adjustments Subtract line 2c from line 1.			3	115,709
4	Recoveries of amounts treated as qualifying distributions.			4	
5	Add lines 3 and 4.			5	115,709
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	115,709

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	80,004
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	80,004
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	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4.	6	80,004

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				115,709
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			87,485	
b Total for prior years 2014 , 2013 , 2012				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015. 0				
f **Total** of lines 3a through e.	0			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 80,004				
a Applied to 2015, but not more than line 2a			80,004	
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.				
e Remaining amount distributed out of corpus	0			
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	0			
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			7,481	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				115,709
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) . . .				
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2012. . . .				
b Excess from 2013. . . .				
c Excess from 2014. . . .				
d Excess from 2015. . . .				
e Excess from 2016. . . . 0				

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

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

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

	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 organization had $5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:

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

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

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

DAVID T DELLA PENTA
32 WISTERIA DRIVE
DOVER, NH 03862
(999) 999-9999

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

SCHOLARSHIP RECIPIENTS WILL BE BASED UPON INFORMATION PROVIDED BY APPLICANT IN THE SCHOLARSHIP APPLICATION, INCLUDING TRANSCRIPTS, LETTERS OF RECOMENDATION, AWARDS OR HONORS BESTOWED UPON APPLICANT, DEMONSTRATION OF NOTABLE ACADEMIC ACHIEVEMENTS AND/OR TALENT IN VARIOUS FORMS OF DANCE AND DEMONSTRATION OF FINANCIAL NEED

c Any submission deadlines

ANNUAL

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

TO PROVIDE SCHOLARSHIPS FOR INDIVIDUALS ENTERING COLLEGE OR POST GRADUATE STUDIES WHO HAVE SHOWN NOTABLE ACADEMIC ACHIEVEMENTS AND TO STUDENTS WHO HAVE DEMONSTRATED TALENT IN VARIOUS FORMS OF DANCE AND ARE PURSUING CAREERS IN DANCE ADDITIONALLY, SUPPORT HEALTHCARE INITIATIVES SPECIFICALLY FOCUSED ON WOMAN'S HEALTH AND ALZHEIMER RESEARCH

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* See Additional Data Table				
Total . . . . ▶ **3a**				69,250
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

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. . . .			14	31,677	
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			18	12,120	
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). .				43,797	

13 **Total.** Add line 12, columns (b), (d), and (e). **13** 43,797

(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) (See instructions)

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

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

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

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

******	2017-05-08	******	May the IRS discuss this return with the preparer shown below (see instr)? ☑ **Yes** ☐ **No**
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☐	PTIN
PETER GREENDYKE				P00968293
Firm's name ▶ GREENDYKE JENCIK & ASSOC CPAS PLLC				Firm's EIN ▶
Firm's address ▶ 110C LINDEN OAKS ROCHESTER, NY 14625				Phone no (585) 899-3470

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
LPL FINANCIAL			2016-12-31
LPL FINANCIAL			2016-12-31
LPL FINANCIAL			2016-12-31
LPL FINANCIAL			2016-12-31
VANGUARD NATURAL RESOURCES PTP BASIS ADJ			2016-08-08
BROOKFIELD PRPERTY PARTNERS PTP BASIS ADJ			2016-08-08
CAPITAL GAIN DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
3,673		3,898	-225
30,140		36,700	-6,560
115,879		122,858	-6,979
248,593		224,785	23,808
8,670			8,670
72			72
			2,076

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-225
			-6,560
			-6,979
			23,808
			8,670
			72

Form 990PF Part XV Line 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*				
THE MUSIC HALL 28 CHESTNUT STREET PORTSMOUTH, NH 03801	NONE		UNRESTRICTED	25,000
COCHECO VALLEY HUMANE SOCIETY 262 COUNTY FARM ROAD DOVER, NH 03820	NONE		UNRESTRICTED	500
WENTWORTH-DOUGLASS HOSPITAL & HEALTH FOUNDATION 789 CENTRAL AVENUE DOVER, NH 03820	NONE		UNRESTRICTED	250
MD ANDERSON CANCER CENTER 1515 HOLCOMBE BLVD HOUSTON, TX 77030	NONE		UNRESTRICTED	500
R4 ALLIANCE PO BOX 731 SUN VALLEY, ID 83353	NONE		UNRESTRICTED	5,000
TRADITION ARNOLD PALMER SCHOLARSHIP FUND 78505 OLD AVE 52 LA QUINTA, CA 92253	NONE		UNRESTRICTED	34,500
AUGUSTANA UNIVERSITY ATHLETICS 2001 S SUMMIT AVE SIOUX FALLS, SD 57197	NONE		UNRESTRICTED	3,000
SAFER-SEACOAST AREA FELINE EDUC & RESCUE PO BOX 1531 HAMPTON, NH 03843	NONE		UNRESTRICTED	500
Total . . . . ▶ **3a**				69,250

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Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2016 Depreciation Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491135003487

TY 2016 Investments Corporate Stock Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ALCOA INC	0	0
AMAZON.COM INC	86,070	749,870
ANI PHARMACEUTICALS INC	23,935	16,792
BIOGEN IDEC INC	56,730	283,580
BROOKFIELD	0	0
EATON VANCE SENIOR INC. TRUST	24,700	34,736
TWO HARBORS INVEST CORP	37,823	34,880
VANGUARD NATURAL RES LLC	0	0
WEATHERFORD INT'L LTD	0	0
ANNALY CAPITAL MANAGEMENT INC	36,448	24,925
COHEN & STEERS REIT	32,659	57,348
ISHARES TRUST STOCK INDEX FUND	33,955	55,815
KKR & COMPANY DEL COM UNITS	30,480	23,085
MACROGENICS INC	31,752	30,660
MCDERMOTT INTL INC	34,472	51,730
BERKSHIRE HATHAWAY	50,232	105,122
IVY ASSET STRATEGY	0	0
POWERSHARES FINANCIAL	22,743	44,900
MEDICAL PROPERTIES TRUST	23,214	33,210
INVESCO SENIOR INCOME TRUST	25,840	32,480
ALLIANZGI NFJ DIVIDEND	17,006	18,915
SPDR EURO STOXX 50 ETF	0	0
NUANCE COMMUNICATION INC	38,025	37,250
FIRST TRUST	100,187	99,142
FIRST TRUST MULTI ASSET	47,148	43,953
FIRST TRUST VI	0	0
ARES CAPITAL CORP	70,710	82,450
DELPHI AUTOMOTIVE	64,175	67,350

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TY 2016 Other Assets Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

Other Assets Schedule

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
DIVIDENDS RECEIVABLE	1,672	1,582	1,582

TY 2016 Other Expenses Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LPL ADVISORY FEES	16,545	5,791		10,754
BROOKFIELD PROPERTY PARTNERS		22		
VANGUARD NATURAL RESOURCES LLC		2,051		
KKR & CO PTP		461		

TY 2016 Other Income Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
VANGUARD NATURAL RESOURCES, LLC PTP INC		3,224	
KKR & CO		490	
BROOKFIELD PROPERTY PARTNERS		5	

TY 2016 Taxes Schedule

Name: THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION

EIN: 26-6130052

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX INVESTMENT INCOME	2,722			

THE DAVID T & KAREN DELLA PENTA CHARITABLE FOUNDATION
EIN #: 26-6130052
2016

AVERAGE OF MONTH-END FAIR MARKET VALUES OF ASSETS

	CASH & CASH EQUIVALENTS	INVESTMENTS	TOTAL
JAN	433,048	1,762,223	2,195,271
FEB.	418,754	1,711,147	2,129,901
MAR.	421,858	1,799,988	2,221,846
APR	413,973	1,905,588	2,319,561
MAY	392,634	1,998,080	2,390,714
JUNE	349,033	1,971,216	2,320,249
JULY	283,413	2,191,429	2,474,842
AUG.	553,314	1,964,155	2,517,469
SEPT.	532,817	2,018,738	2,551,555
OCT.	533,239	1,903,586	2,436,825
NOV.	505,616	1,932,820	2,438,436
DEC.	509,514	1,928,193	2,437,707
TOTAL	5,347,213	23,087,163	28,434,376
AVERAGE	445,601	1,923,930	2,369,531

RILEY NICHOLS & MUNN

Independence · Integrity · Experience

Investment Account Strategic Asset Management II

Statement Period
December 1 to December 31, 2016

THEDAVID T & KAREN DELLA PENTA CHARITABLE FOUNDA DTD 11-30-07	2521-5229
Investment Objective	Growth

PETER GREENDYKE
GREENDYKE JENCIK LLP
110-C LINDEN OAKS
ROCHESTER NY 14625

Total Value of Your Account as of December 31, 2016 **$2,437,707.38**

INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2015	**$2,404,185.08**
Beginning Value as of December 1, 2016	**$2,438,435.60**
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	3,898 35
Increase/decrease in Market Value[1]	-4,626 57
Ending Value as of December 31, 2016	**$2,437,707.38**

Statement for the Account of:
Thedavid T & Karen Della Penta
Charitable Founda DTD 11-30-07

	Year-End Value December 31, 2015	*Value on November 30, 2016*	*Value on December 31, 2016*
TOTAL VALUE OF YOUR ACCOUNT	**$2,404,185.08**	**$2,438,435.60**	**$2,437,707.38**

Your Financial Consultant:
Riley/Nichols/Munn • (585)419-6860
100 Linden Oaks, Suite 101
Rochester, NY 14625

Securities Offered Through
LPL Financial
Member FINRA/SIPC
4707 Executive Drive, San Diego, CA 92121-3091
75 State Street, 22nd Floor, Boston, MA 02109-1827

LPL Financial

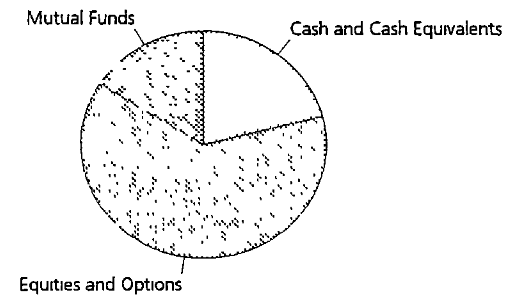
1 *Increase/decrease in Market Value reflects the impact of changes in the value of securities held in your LPL Financial account, as well as the impact of any transfers of securities into or out of your account during the statement period*

Investment Account Strategic Asset Management II

Statement Period
December 1 to December 31, 2016

ACCOUNT INVESTMENT SUMMARY as of December 31, 2016

Investment Type	*Amount*	*Percent*
Cash and Cash Equivalents	$509,514 54	20 90%
Equities and Options	1,540,903 84	63.21%
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	387,289 00	15 89%
Total	**$2,437,707.38**	**100.00%**



FINANCIAL MARKET INDICATORS

	Year-End Value December 2015	*Value on November 30, 2016*	*Value on December 31, 2016*
Dow Jones Industrial Average	17,425 03	19,123 58	19,762.60
S&P 500 Index	2,043 94	2,198 81	2,238.83
NASDAQ Composite Index	5,007 41	5,323 68	5,383.12
3-Month Treasury Bill	0 16%	0 47%	0 50%
30-Year Treasury Bond	3 02%	3 03%	3 07%

EARNINGS SUMMARY as of December 31, 2016

Estimated Annual Income	$41,428 00

LPL Financial

Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

Description	Interest Paid in December[1]	Blended Interest Rate[1]	Current Balance
Cash			$3,144 11
Insured Cash Account[2]			
Bank Hapoalim BM			246,502 09
Citibank NA			246,502.09
Morton Community Bank			10,741 79
Cadence Bank N A			2,148 01
Nationwide Bank			304 85
Wells Fargo Bank NA			171 60
Total Insured Cash Account	4 28	0 010%	506,370.43
TOTAL CASH AND CASH EQUIVALENTS			**$509.514.54**

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/18/07	AMAZON COM INC C AMZN	1,000	$749 87	$749,870 00	$86 0700	$86,070 00 86,070 00	$663,800 00	—	—
12/12/11	ANI PHARMACEUTICALS INC C ANIP	136 05666	60 62	8,247 75	91 4730	12,445.51 12,445 51	-4,197 76	—	—
04/26/11		138 16667		8,375 67	81 3238	11,236 24 11,236 24	-2,860 57	—	

EQUITIES AND OPTIONS continue on page 4

1 *Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month*
2 *Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See message section for further information.*
3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/12/11	ANI PHARMACEUTICALS INC (continued)	2.77667		168 32	91 2964	253 50 253 50	-85 18	—	
Total		**277**		**16,791.74**	**86.4088**	**23,935.25** **23,935.25**	**-7,143.51**	**—**	
06/10/09	ANNALY CAPITAL C MANAGEMENT INC NLY	1,500	9 97	14,955 00	14 3698	20,477 27 20,477 27	-5,522 27	1,800	12.04%
08/11/10		1,000		9,970 00	17.5699	16,851 53 16,851 53	-6,881 53	1,200	
Total		**2,500**		**24,925 00**	**14.9315**	**37,328.80** **37,328 80**	**-12,403.80**	**3,000**	
06/17/16	ARES CAPITAL CORP C ARCC	3,000	16 49	49,470 00	14 0699	42,209 70 42,209 70	7,260 30	4,560	9 22%
07/15/16		2,000		32,980 00	14 2499	28,499 80 28,499 80	4,480 20	3,040	
Total		**5,000**		**82,450.00**	**14.1419**	**70,709.50** **70,709.50**	**11,740.50**	**7,600**	
08/23/10	BERKSHIRE HATHAWAY INC C DE CL B NEW BRK/B	645	162.98	105,122.10	77 8795	50,232 28 50,232 28	54,889 82	—	—
12/18/07	BIOGEN INC C BIIB	1,000	283 58	283,580 00	56 7300	56,730.00 56,730 00	226,850 00	—	—
06/24/16	DELPHI AUTOMOTIVE PLC C DLPH	900	67 35	60,615 00	64.1758	57,758 20 57,758 20	2,856.80	1,044	1 72%

EQUITIES AND OPTIONS continue on page 5

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	*Description/Security ID*	*Quantity*	*Price*	*Market Value*	*Unit Cost*	*Cost Basis/ Purchase Cost*[3]	*Unrealized Gain or Loss*	*Estimated Annual Income*[a]	*Estimated 30-Day Yield*[a]
06/24/16	DELPHI AUTOMOTIVE PLC (continued)	100		6,735 00	64 1700	6,417 00 6,417 00	318 00	116	
Total		**1,000**		**67,350.00**	**64.1752**	**64,175.20** **64,175.20**	**3,174.80**	**1,160**	
09/12/14	KKR & COMPANY DEL C COM UNITS KKR	1,500	15 39	23,085 00	20 3199	30,479 85 30,479 85	-7,394 85	960	4 16%
10/31/14	MACROGENICS INC C MGNX	700	20 44	14,308 00	21 1540	14,807 80 14,807 80	-499 80	—	—
10/31/14		600		12,264 00	21 1916	12,714 96 12,714 96	-450 96	—	
10/31/14		100		2,044 00	21 1200	2,112 00 2,112 00	-68 00	—	
10/31/14		100		2,044 00	21 1700	2,117 00 2,117 00	-73 00	—	
Total		**1,500**		**30,660.00**	**21.1678**	**31,751 76** **31,751.76**	**-1,091 76**	**—**	
04/24/14	MCDERMOTT INTL INC C MDR	3,500	7.39	25,865 00	7 0099	24,534 65 24,534 65	1,330 35	—	—
01/09/15		2,971		21,955 69	2 8399	8,437 34 8,437 34	13,518 35	—	

EQUITIES AND OPTIONS continue on page 6

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/09/15	MCDERMOTT INTL INC (continued)	529		3,909.31	2 8350	1,499 72 1,499 72	2,409 59	—	
Total		7,000		51,730.00	4.9245	34,471.71 34,471.71	17,258.29	—	
05/08/12	MEDICAL PROPERTIES [C] TRUST MPW	2,700	12 30	33,210 00	9 3900	23,694 30 23,694.30	9,515 70	2,484	7 48%
01/15/14	NUANCE COMMUNICATION INC [C] NUAN	2,500	14 90	37,250 00	15.2099	38,024 75 38,024 75	-774 75	—	—
06/21/11	TWO HARBORS INVT CORP [C] TWO	2,500	8 72	21,800 00	10.7900	24,596 84 24,596 84	-2,796 84	2,400	11.01%
07/29/11		1,500		13,080.00	9 7690	13,226 61 13,226 61	-146 61	1,440	
Total		4,000		34,880.00	9.4559	37,823.45 37,823.45	-2,943.45	3,840	
TOTAL EQUITIES AND OPTIONS				**$1,540,903.84**		**$585,426.85 $585,426.85**	**$955,476.99**	**$19,044**	

C Dividends and/or capital gains distributed by this security will be distributed as cash.

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
04/18/12* *Purchases*	ALLIANZGI NFJ DIV INT & PREM STRATEGY NFJ	1,500	$12 61	$18,915 00	$12 37	$18,554 47 18,554 47	$360.53	$1,800	9.52%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 7

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS (continued)

Date Acquired	*Description/Security ID*	*Quantity*	*Price*	*Market Value*	*Unit Cost*	*Cost Basis/ Purchase Cost*[3]	*Unrealized Gain or Loss*	*Estimated Annual Income*[a]	*Estimated 30-Day Yield*[a]
10/22/09* *Purchases*	COHEN & STEERS REIT & PREFERRED INCOME FUND INC RNP	3,000	19 116	57,348 00	10 89	32,658 70 32,658.70	24,689.30	4,463	7 78%
06/10/09* *Purchases*	EATON VANCE SENIOR INCOME TRUST EVF	5,200	6 68	34,736 00	4 75	24,699 80 24,699 80	10,036 20	2,059	5 93%
11/10/16 *Purchases*	FIRST TRUST LOW DURATION OPPORTUNITIES ETF LMBS	1,900	52 18	99,142 00	52 73	100,187 00 100,187 00	-1,045 00	2,679	2 70%
05/01/15* *Purchases*	FIRST TRUST MULTI ASSET DIVERSIFIED INCOME INDEX ETF MDIV	2,300	19 11	43,953 00	20 91	48,088 64 48,088 64	-4,135 64	2,780	6 33%
06/10/09	INVESCO SENIOR INCOME TR VVR	5,000	4 64	23,200 00	3 26	16,319 70 16,319 70	6,880 30	1,410	6.08%
12/06/10 *Purchases*		2,000		9,280 00	4.76	9,520 00 9,520 00	-240 00	564	
Total		7,000		32,480.00	3.69	25,839.70 25,839.70	6,640.30	1,974	
03/19/09* *Purchases*	ISHARES U S PREFERRED STOCK ETF PFF	1,500	37 21	55,815 00	22.64	33,955 08 33,955.08	21,859 92	3,742	6 71%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 8

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

Account Holdings as of December 31, 2016

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/19/09* *Purchases*	POWERSHARES FINANCIAL PREFERRED ETF PGF	2,500	17 96	44,900 00	9.10	22,743 00 22,743 00	22,157 00	2,887	6 44%
TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS				**$387,289.00**		**$306,726.39** **$306,726.39**	**$80,562.61**	**$22,384**	

* *Date of Earliest Acquisition*

Value of Your LPL Financial Account

Market Value	Cost Basis/ Purchase Cost[4]	Unrealized Gain or Loss	Estimated Annual Income
$2,437,707.38	**$1,401,667.78** **$1,401,667.78**	**$1,036,039.60**	**$41,428**

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*
4 *Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments*

LPL Financial