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

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

2016**Open to Public Inspection****For calendar year 2016 or tax year beginning****, 2016, and ending**

Name of foundation

Rice Family Foundation

Number and street (or P.O. box number if mail is not delivered to street address)

4471 Jutland Drive

Room/suite

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

San DiegoCA 92117**G Check all that apply**☐ Initial return☐ Final return☐ Address change☐ Initial return of a former public charity☐ Amended return☐ Name change**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, column (c), line 16)▶ \$ 6,839,293.**J Accounting method:**☒ Cash☐ Accrual☐ Other (specify)

(Part I, column (d) must be on cash basis.)

A Employer identification number33-0592384**B Telephone number (see instructions)**(858) 273-3165**C If exemption application is pending, check here.** ▶ ☐**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** ▶ ☐**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) . . .**2** Check ☒ if the foundation is not required to attach Sch. B**3** Interest on savings and temporary cash investments844.844.**4** Dividends and interest from securities184,158.184,158.**5a** Gross rents**b** Net rental income or (loss)**6a** Net gain or (loss) from sale of assets not on line 10-345,179.L-6a Stmt**b** Gross sales price for all assets on line 6a3,656,998.**7** Capital gain net income (from Part IV, line 2)0.**8** Net short-term capital gain0.**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)See Line 11-Stmt258,165.258,165.**12** Total. Add lines 1 through 1197,988.443,167.0.**13** Compensation of officers, directors, trustees, etc.54,000.27,000.27,000.**14** Other employee salaries and wages**15** Pension plans, employee benefits**16a** Legal fees (attach schedule)1,770.1,770.**b** Accounting fees (attach sch.)4,000.4,000.**c** Other professional fees (attach sch.)44,123.44,123.**17** Interest**18** Taxes (attach schedule)(see instrs)5,314.5,314.**19** Depreciation (attach schedule) and depletion**20** Occupancy3,600.1,800.1,800.**21** Travel, conferences, and meetings2,915.1,444.1,471.**22** Printing and publications138.138.**23** Other expenses (attach schedule)See Line 23 Stmt4,001.1,225.2,776.**24** Total operating and administrative expenses. Add lines 13 through 23119,861.80,906.38,955.**25** Contributions, gifts, grants paid323,750.323,750.**26** Total expenses and disbursements. Add lines 24 and 25443,611.80,906.362,705.**27** Subtract line 26 from line 12:**a** Excess of revenue over expenses and disbursements-345,623.**b** Net investment income (if negative, enter -0-)362,261.**c** Adjusted net income (if negative, enter -0-)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	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
ASSETS	1	Cash — non-interest-bearing				
	2	Savings and temporary cash investments		546,909.	576,518.	576,518.
	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 sch)				
		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) L-10b Stmt	4,052,078.	3,446,981.	3,918,842.	
	c	Investments — corporate bonds (attach schedule) L-10c Stmt	1,224,157.	1,445,434.	1,494,333.	
	LIABILITIES	11	Investments — land, buildings, and equipment basis	849,600.		
		Less accumulated depreciation (attach schedule) L-11 Stmt	0.	849,600.	849,600.	849,600.
12		Investments — mortgage loans				
13		Investments — other (attach schedule)				
14		Land, buildings, and equipment basis				
		Less accumulated depreciation (attach schedule)				
15		Other assets (describe)				
16		Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I).	6,672,744.	6,318,533.	6,839,293.	
17		Accounts payable and accrued expenses				
18		Grants payable				
NET ASSETS OR FUND BALANCES	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe)				
	23	Total liabilities (add lines 17 through 22)				
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.				
27	Capital stock, trust principal, or current funds	6,672,744.	6,318,533.			
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)	6,672,744.	6,318,533.			
31	Total liabilities and net assets/fund balances (see instructions)	6,672,744.	6,318,533.			

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	6,672,744.
2	Enter amount from Part I, line 27a	2	-345,623.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	6,327,121.
5	Decreases not included in line 2 (itemize) Adjustment to book values — Investments	5	8,588.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	6,318,533.

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 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a RBC Acct #231: Securities: Various Sch B-1	P	various	various
b RBC Acct # 234: Equities: Various Sch B-2	P	various	various
c RBC Acct#740: PVG Asset Mgt Sch B-3	P	various	various
d RBC Acct #231: Capital Gain Distribution Sch B-4	P	various	various
e See Columns (a) thru (d)			

(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 550,551.		570,705.	-20,154.
b 2,303,148.		2,639,957.	-336,809.
c 803,299.		814,798.	-11,499.
d 0.		0.	3,858.
e See Columns (e) thru (h)		0.	19,425.

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			-20,154.
b			-336,809.
c			-11,499.
d 0.	0.	0.	3,858.
e See Columns (i) thru (l)	0.	0.	19,425.

2 Capital gain net income or (net capital loss).	2	-345,179.
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	-345,179.

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	363,916.	6,775,190.	0.053713
2014	358,696.	7,096,175.	0.050548
2013	327,612.	7,199,778.	0.045503
2012	362,857.	6,837,731.	0.053067
2011	321,582.	6,656,709.	0.048309

2 Total of line 1, column (d)	2	0.251140
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	0.050228
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5.	4	6,540,424.
5 Multiply line 4 by line 3	5	328,512.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,623.
7 Add lines 5 and 6.	7	332,135.
8 Enter qualifying distributions from Part XII, line 4	8	362,705.

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)

1 a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	3,623.
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	3,623.
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	3,623.
6 Credits/Payments.			
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a	4,451.	
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld	6 d		
7 Total credits and payments. Add lines 6a through 6d	7	4,451.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	828.	
11 Enter the amount of line 10 to be Credited to 2017 estimated tax 828. Refunded	11		

Part VII-A Statements Regarding Activities

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

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Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' attach schedule (see instructions)	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 Lisa Wilson Telephone no (858) 273-3165		
Located at 4471 Jutland Drive San Diego CA ZIP + 4 92117		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 — Check here		
and enter the amount of tax-exempt interest received or accrued during the year	15	
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If 'Yes,' enter the name of the foreign country		

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

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

	Yes	No
1 a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If any answer is 'Yes' to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1 b	X
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?	1 c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If 'Yes,' list the years 20 __, 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)	2 b	X
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 __		
3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If 'Yes,' did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)	3 b	
4 a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	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?	4 b	X

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** During the year did the foundation pay or incur any amount to

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is 'Yes' to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No
If 'Yes' to 6b, file Form 8870

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

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

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (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
Shar Salter 4471 Jutland Drive San Diego CA 92117	Director/VP 2.00	3,000.	0.	0.
Lisa Wilson 4471 Jutland Drive San Diego CA 92117	Dir/Treas/CFO 27.00	48,000.	0.	0.
Michelle Brookman 4471 Jutland Drive San Diego CA 92117	Dir/Secty 3.00	6,000.	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
N/A				

Total number of other employees paid over \$50,000 ☐ None

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	1 a	5,648,111.
b Average of monthly cash balances	1 b	142,313.
c Fair market value of all other assets (see instructions)	1 c	849,600.
d Total (add lines 1a, b, and c)	1 d	6,640,024.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	
2 Acquisition indebtedness applicable to line 1 assets	2	
3 Subtract line 2 from line 1d	3	6,640,024.
4 Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	99,600.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	6,540,424.
6 Minimum investment return. Enter 5% of line 5	6	327,021.

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	327,021.
2a Tax on investment income for 2016 from Part VI, line 5	2 a	3,623.
b Income tax for 2016. (This does not include the tax from Part VI)	2 b	
c Add lines 2a and 2b	2 c	3,623.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	323,398.
4 Recoveries of amounts treated as qualifying distributions	4	
5 Add lines 3 and 4	5	323,398.
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	323,398.

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	1 a	362,705.
b Program-related investments — total from Part IX-B	1 b	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)	3 a	
b Cash distribution test (attach the required schedule)	3 b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	362,705.
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	3,623.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	359,082.

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				323,398.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years 20 , 20 , 20				
3 Excess distributions carryover, if any, to 2016:				
a From 2011	0.			
b From 2012	0.			
c From 2013	0.			
d From 2014	0.			
e From 2015	9,137.			
f Total of lines 3a through e	9,137.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 362,705.				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required — see instructions)				
c Treated as distributions out of corpus (Election required — see instructions)				
d Applied to 2016 distributable amount				314,261.
e Remaining amount distributed out of corpus	48,444.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	9,137.			9,137.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5.	48,444.			
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				
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 instructions.			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)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	48,444.			
10 Analysis of line 9				
a Excess from 2012	0.			
b Excess from 2013	0.			
c Excess from 2014	0.			
d Excess from 2015	0.			
e Excess from 2016	48,444.			

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)

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

Tax year	Prior 3 years			(e) Total
(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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).)

N/A

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.

N/A

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

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

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

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

c Any submission deadlines.

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

Part VII 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				
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c) (3)	School Outreach Program Save Our Aquatic Resources	15,000.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c) (3)	Zoo Express Program	5,000.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c) (3)	Safari Express Program	10,000.
Words Alive 5111 Santa Fe Street, Ste 219 San Diego CA 92109		501(c) (3)	Rolling Readers Educational Program	5,000.
ArtsBusXpress 2665 Ariane Drive, 202A San Diego CA 92117		501(c) (3)	Student Transportation To the Arts	5,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c) (3)	Ms. Smarty-Plants Educational Program	10,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c) (3)	Capital Campaign	5,000.
The New Children's Museum 200 West Island Avenue San Diego CA 92101		501(c) (3)	Educational Program Support	20,000.
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c) (3)	Coast to Cactus Exhibition Project Support	40,000.
See Line 3a statement				208,750.
Total			3 a	323,750.
b Approved for future payment				
Total			3 b	

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	1 a (1)	X
	(2) Other assets	1 a (2)	X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1 b (1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1 b (2)	X
	(3) Rental of facilities, equipment, or other assets	1 b (3)	X
	(4) Reimbursement arrangements	1 b (4)	X
	(5) Loans or loan guarantees	1 b (5)	X
	(6) Performance of services or membership or fundraising solicitations	1 b (6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	1 c	X

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

[illegible]

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

b If 'Yes,' complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

**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.

Gisa B. Wilson
Signature of officer or trustee

5-7-17
Date

CFO, Director
Title

May the IRS discuss this return with the preparer shown below (see instructions)?

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check ☐ self-employed

PTIN

Firm's name

Firm's address

- ▶ Non-Paid Preparer

Form's EIN ▶

Phone no

Form 990-PF
Part I, Line 6a

Net Gain or Loss From Sale of Assets

2016

Name <u>Rice Family Foundation</u>	Employer Identification Number <u>33-0592384</u>
---------------------------------------	---

Asset Information:

Description of Property..... <u>RBC Account #231</u>	
Date Acquired: <u>various</u>	How Acquired: ... <u>Purchased</u>
Date Sold: ... <u>various</u>	Name of Buyer: ... _____
Sales Price: .. <u>550,551.</u>	Cost or other basis (do not reduce by depreciation) ... <u>570,705.</u>
Sales Expense:.. _____	Valuation Method:
Total Gain (Loss): .. <u>-20,154.</u>	Accumulation Depreciation:
Description of Property..... <u>RBC Account #234</u>	
Date Acquired: <u>various</u>	How Acquired: ... <u>Purchased</u>
Date Sold: ... <u>various</u>	Name of Buyer: ... _____
Sales Price: .. <u>2,303,148.</u>	Cost or other basis (do not reduce by depreciation) ... <u>2,639,957.</u>
Sales Expense:.. _____	Valuation Method:
Total Gain (Loss): .. <u>-336,809.</u>	Accumulation Depreciation:
Description of Property..... <u>RBC Account #740</u>	
Date Acquired: <u>various</u>	How Acquired: ... <u>Purchased</u>
Date Sold: ... <u>various</u>	Name of Buyer: ... _____
Sales Price: .. <u>803,299.</u>	Cost or other basis (do not reduce by depreciation) ... <u>814,798.</u>
Sales Expense:.. _____	Valuation Method:
Total Gain (Loss): .. <u>-11,499.</u>	Accumulation Depreciation:
Description of Property..... <u>Capital Gain Distributions: Various RBC Accounts</u>	
Date Acquired: <u>various</u>	How Acquired: ... _____
Date Sold: ... _____	Name of Buyer: ... _____
Sales Price: .. _____	Cost or other basis (do not reduce by depreciation) ... _____
Sales Expense:.. _____	Valuation Method:
Total Gain (Loss): .. <u>23,283.</u>	Accumulation Depreciation:
Description of Property..... _____	
Date Acquired:	How Acquired: ... _____
Date Sold: ... _____	Name of Buyer: ... _____
Sales Price: .. _____	Cost or other basis (do not reduce by depreciation) ... _____
Sales Expense: .. _____	Valuation Method:
Total Gain (Loss): .. _____	Accumulation Depreciation:
Description of Property..... _____	
Date Acquired:	How Acquired: ... _____
Date Sold: ... _____	Name of Buyer: ... _____
Sales Price: .. _____	Cost or other basis (do not reduce by depreciation) ... _____
Sales Expense: .. _____	Valuation Method:
Total Gain (Loss): .. _____	Accumulation Depreciation:
Description of Property..... _____	
Date Acquired:	How Acquired: ... _____
Date Sold: ... _____	Name of Buyer: ... _____
Sales Price: .. _____	Cost or other basis (do not reduce by depreciation) ... _____
Sales Expense: .. _____	Valuation Method:
Total Gain (Loss): .. _____	Accumulation Depreciation:
Description of Property..... _____	
Date Acquired:	How Acquired: ... _____
Date Sold: ... _____	Name of Buyer: ... _____
Sales Price: .. _____	Cost or other basis (do not reduce by depreciation) ... _____
Sales Expense: .. _____	Valuation Method:
Total Gain (Loss): .. _____	Accumulation Depreciation:

Form 990-PF, Page 1, Part I, Line 11

Line 11 Stmt

Other income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
Lease income	257,239.	257,239.	
Misc Income: Heber Acct	664.	664.	
1099-Misc	262.	262.	
Total	258,165.	258,165.	

Form 990-PF, Page 1, Part I, Line 18

Line 18 Stmt

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Property Taxes	4,407.	4,407.		
Foreign Taxes Paid	832.	832.		
Tax withheld-Investments	75.	75.		
Total	5,314.	5,314.		

Form 990-PF, Page 1, Part I, Line 23

Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
CA Form 199 Filing Fee	10.			10.
Insurance	1,781.			1,781.
Investment Exp.:1099	127.	127.		
Misc. Expenses:Equity Acct	43.	43.		
Postage	207.			207.
RRF-1: Tax Filing Fee	75.			75.
Supplies	903.	200.		703.
RBC Bank Sweep Prog: Reinvest Interest	855.	855.		
Total	4,001.	1,225.		2,776.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (a) thru (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 Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
RBC Acct #234: Capital Gain Distribution Sch B-5	P	various	various
RBC Acct #740: Capitla Gain Distribution Sch B-6	P	various	various

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (e) thru (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)
0.		0.	18,487.

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

Continued

(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)
0.		0.	938.
Total		0.	19,425.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (i) thru (l)Complete only for assets showing gain in column (h) and owned
by the foundation on 12/31/69

(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	(l) Gains (Column (h) gain minus column (k), but not less than -0-) or losses (from column (h))
0.	0.	0.	18,487.
0.	0.	0.	938.
Total	0.	0.	19,425.

Form 990-PF, Page 11, Part XV, line 3a
Line 3a statement

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Founda- tion status of re- cipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a Paid during the year				
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c)(3)	Special Projects-Education Programs	Person or <input type="checkbox"/> Business <input checked="" type="checkbox"/> 10,000.
Reuben H. Fleet Science Center 1875 El Prado San Diego CA 92101		501(c)(3)	School Scholarships- Access Science	Person or <input type="checkbox"/> Business <input checked="" type="checkbox"/> 10,000.
Reuben H. Fleet Science Center 1875 El Prado San Diego CA 92101		501(c)(3)	Sci-Tech Educational Program	Person or <input type="checkbox"/> Business <input type="checkbox"/> 20,000.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Student Scholarships	Person or <input type="checkbox"/> Business <input checked="" type="checkbox"/> 2,500.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Morgan Rice Internship Program	Person or <input type="checkbox"/> Business <input checked="" type="checkbox"/> 50,500.

Form 990-PF, Page 11, Part XV, line 3a

Continued

Line 3a statement

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foun- dation status of re- cipient	Purpose of grant or contribution	Person or Business Checkbox
				Amount
a Paid during the year				
Burbank Elemetary 2146 Julian Ave. San Diego CA 92113		501(c)(3)	Turnaround Arts Program	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 30,000.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept. Traveling Play Support Fall 2016	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 4,500.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept. Traveling Play Support Spring 2017	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 1,500.
SAY San Diego 8755 Aero Drive, #100 San Diego CA 92123		501(c)(3)	General Support School Programs	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 5,000.
Heritage Of the Americas Museum 12100 Cuyamaca College Dr. West El Cajon CA 92019		501(c)(3)	Education Programs	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 5,000.
East County Youth Symphony 339 Hart Drive El Cajon CA 92021		501(c)(3)	General Support Music Programs	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 5,000.
Maritime Museum of SD 1492 N. Harbor Drive San Diego CA 92101		501(c)(3)	Educational Programs	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 15,000.
Elementary Institute of Science 608 51st Street San Diego CA 92114		501(c)(3)	Educational Programs	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 10,000.
Monarch School 1625 Newton Ave. San Diego CA 92113		501(c)(3)	Core Program Support	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 10,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Living Lab Educational Equipment	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 5,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Ocean Science Explorers Program	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 5,000.
Barrio Logan College Institute 1625 Newton Ave. San Diego CA 92113		501(c)(3)	College Scholarships	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 10,000.
SD River Park Foundation 4891 Pacific Hwy, 114 San Diego CA 92110		501(c)(3)	Cool River Educational Program	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 2,500.
Simon Youth Foundation 225 West Washington St. Indianapolis IN 46204		501(c)(3)	General Support	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 400.
Alzheimer's Asso. 1060 La Avenida Street Mountain View CA 94043		501(c)(3)	General Support	Person or Business <input type="checkbox"/> <input checked="" type="checkbox"/> 250.

Form 990-PF, Page 11, Part XV, line 3a
Line 3a statement

Continued

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Founda- tion status of re- cipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a Paid during the year				
MD Anderson Cancer Center PO Box 4486 Houston TX 77210		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 250.
Guitars in the Classroom 2770 Historic Secatur Rd, #203 San Diego CA 92106		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 1,000.
Power Surge Athletics 5300 Hickman Fields Drive San Diego CA 92117		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 650.
Boys and Girls Club of Carlsbad 7805 Centella St. Carlsbad CA 92009		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 400.
ASPCA 424 East 92nd Street New York NY 10128		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 340.
ArtReach 2210 Columbia Street San Diego CA 92102		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 1,000.
Friends of Balboa Park 2125 Park Blvd San Diego CA 92101		501(c)(3)	Educational Programs	Person or Business <input checked="" type="checkbox"/> 1,000.
Grossmont High Educational Foundation 1100 Murray Drive La Mesa CA 91944		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 100.
Grossmont High School 1100 Murray Drive La Mesa CA 91944		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 360.
Maxfund Animal Adoption Center 1005 Galapago Street Denver CO 80204		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 500.
The Wild Animal Sanctuary 1946 WCR 53 Keenesburg CO 80643		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 250.
Carlsbad Educational Foundation 5631 Palmer Way Carlsbad CA 92010		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 500.
Center for Community Solutions 4508 Mission Bay Drive San Diego CA 92109		501(c)(3)	General Support	Person or Business <input checked="" type="checkbox"/> 250.

Total

208,750.

Form 990-PF, Page 1, Part I

Line 16a - Legal Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Fischer & Ritchey, LLP	Legal Advisors	1,770.			1,770.
Total		<u>1,770.</u>			<u>1,770.</u>

Form 990-PF, Page 1, Part I

Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
L. Wilson	Prep 990PF	4,000.			4,000.
Total		<u>4,000.</u>			<u>4,000.</u>

Form 990-PF, Page 1, Part I

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
RBC Dain Rauscher	Investment Svcs	42,123.	42,123.		
Summit Realty Interests, LLC	Real Estate Consulting	2,000.	2,000.		
Total		<u>44,123.</u>	<u>44,123.</u>		

Form 990-PF, Page 2, Part II, Line 10b

L-10b Stmt

Line 10b - Investments - Corporate Stock:	End of Year	
	Book Value	Fair Market Value
Various Securities RBC Wealth Mgt Acct 234, Sch A-2	3,033,474.	3,506,874.
Various Securities RBC Wealth Mgt Acct 740, Sch A-3	413,507.	411,968.
Total	<u>3,446,981.</u>	<u>3,918,842.</u>

Form 990-PF, Page 2, Part II, Line 10c

L- 10c Stmt

Line 10c - Investments - Corporate Bonds:	End of Year	
	Book Value	Fair Market Value
Misc Fixed Income:RBC Wealth Mgt Acct 231, Sch A-1	1,445,434.	1,494,333.

Form 990-PF, Page 2, Part II, Line 10c
L- 10c Stmt

Continued

Line 10c - Investments - Corporate Bonds:	End of Year	
	Book Value	Fair Market Value
Total	<u>1,445,434.</u>	<u>1,494,333.</u>

Form 990-PF, Page 2, Part II, Line 11
L-11 Stmt

Line 11b - Description of Investments Land, Buildings and Equipment	(a) Cost/Other Basis	(b) Accumulated Depreciation	(c) Book Value
Parcel 585-090-45-00	40,000.	0.	40,000.
Parcel 585-090-44-00	41,600.	0.	41,600.
Value of leased-fee estate, 585-090-45-00	768,000.	0.	768,000.
Total	<u>849,600.</u>	<u>0.</u>	<u>849,600.</u>

Supporting Statement of:

Form 990-PF, p2/Line 11(c)

Description	Amount
Parcel 585-090-45-0	40,000.
Parcel 585-090-44-00	41,600.
Value of leased fee estate 585-090-45-00	768,000.
Total	<u>849,600.</u>

Supporting Statement of:

Form 990-PF, p12/Line 3 Column (d)

Description	Amount
RBC Branch Sweep Program Acct 231	343.
RBC Branch Sweep Program Acct 234	494.
RBC Branch Sweep Program Acct 740	7.
Total	<u>844.</u>

Supporting Statement of:

Form 990-PF, p12/Line 4 Column (d)

Description	Amount
RBC Accounts - Interest	23,652.
RBC Accounts - Dividends	160,387.
Interest on US Treasury	72.
Bond Premium	47.
Total	<u>184,158.</u>

Schedule A-1

THE RICE FAMILY FOUNDATION
ATTN: LISA WILSONINVESTMENT ACCESS
ACCOUNT STATEMENT
WITH PORTFOLIO FOCUS
2016 ANNUAL STATEMENTAccount number
7231
Page 4 of 24

ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statement" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated.

RBC BRANCH SWEEP PROGRAM

Deposits in the RBC Branch Sweep Program are not insured by the Federal Deposit Insurance Corporation (FDIC), Securities Investor Protection Corporation (SIPC) or any governmental agency of the United States, Canada or any other jurisdiction. The Deposits in the RBC Branch Sweep program are obligations of the Royal Bank of Canada Three World Financial Center Branch located in New York (Branch) and the Royal Bank of Canada (RBC), and are not obligations of RBC Capital Markets LLC or any other RBC affiliates. The payment of principal and interest on Deposit Accounts at the Branch is subject to the creditworthiness of RBC. In the event of the failure of the Branch, you will be a general unsecured creditor of RBC. Deposit information is included on this statement solely as a service to our clients. Please refer to the RBC Branch Sweep Program Disclosure Statement and our website www.rbcwm-usa.com for more information regarding the merits and risks involved with electing the RBC Branch Sweep Program as your cash sweep option. For questions concerning Program balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BRANCH SWEEP PROGRAM NOT SIPC OR FDIC COVERED RBCP UNINSURED DEPOSIT		\$47,697.68	\$363,415.49	\$342.72
DEPOSITS ARE HELD AT: RBC WFC Branch	New York, NY	\$47,697.68		
TOTAL RBC BRANCH SWEEP PROGRAM		\$47,697.68		\$342.72

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$2,441.54	
TOTAL CASH AND MONEY MARKET				\$2,441.54	

TAXABLE FIXED INCOME

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ISHARES CORE U S AGGREGATE BD ETF	AGG	1,350.000	\$108.060	\$145,881.00	\$149,818.95	-\$3,937.95	\$3,491.10
POWERSHARES EXCHANGE-TRADED FD TR II BUILD AMERICA BOND PORTFOLIO	BAB	2,200.000	\$29.090	\$63,998.00	\$64,123.62	-\$125.62	\$2,730.20
COHEN & STEERS PFD SECS & INCOME FD INC CL I	CPXX	14,704.000	\$13.440	\$197,621.76	\$185,285.46	\$12,336.30	\$11,351.49

Sch A-1



**Wealth
Management**

A Division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC.



**INVESTMENT ACCESS
ACCOUNT STATEMENT
WITH PORTFOLIO FOCUS
2016 ANNUAL STATEMENT**

Account Number:
231
Page 5 of 24

TAXABLE FIXED INCOME
(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
FIRST TRUST SENIOR LOAN FUND ETF	FTSL	1,575.000	\$48.550	\$76,466.25	\$76,499.33	-\$33.08	\$2,827.13
FIRST TRUST EXCHANGE TRADED FUND IV FIRST TRUST TACTICAL HIGH YIELD ETF	HYLS	1,590.000	\$48.230	\$76,685.70	\$76,496.49	\$189.21	\$4,118.10
FIRST TRUST EXCHANGE TRADED FUND IV FIRST TRUST LOW DURATION OPPORTUNITIES ETF	LMBS	2,000.000	\$52.180	\$104,360.00	\$103,014.96	\$1,345.04	\$2,960.00
LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	NEFZX	7,038.000	\$14.120	\$99,376.56	\$100,009.98	-\$633.42	\$2,463.30
NEUBERGER BERMAN HIGH INCOME BD FD INSTL CL	NHILX	9,226.000	\$8.700	\$80,266.20	\$75,007.38	\$5,258.82	\$4,373.12
PROSPECT CAPITAL CORPORATION 6.25% NOTES DUE 2024 CALLABLE 12/15/18 AT 25.00 MOODY N/R S&P BBB-	PBB	1,700.000	\$25.100	\$42,670.00	\$37,570.00	\$5,100.00	\$2,656.25
POWERSHARES GLOBAL EXCHANGE TRADED FD TR EMERGING MARKETS SOVEREIGN DEBT PORTFOLIO	PCY	5,240.000	\$28.260	\$148,082.40	\$150,698.68	-\$2,616.28	\$7,692.32
AMERICAN EXPRESS CO NT ORIGINAL ISSUE DISCOUNT MOODY A3 S&P BBB+	025816AYS CPN: 7.000% DUE: 03/19/2018 DTD: 03/19/2008 BOOK ENTRY ONLY	50,000.000	\$106.269	\$53,134.50 \$991.67	\$50,257.58	\$2,876.92	\$3,500.00
VERIZON COMMUNICATIONS INC NT ORIGINAL ISSUE DISCOUNT CALLABLE 09/01/21 AT 100.000 MOODY BAA1 S&P BBB+	92343VCN2 CPN: 3.000% DUE: 11/01/2021 DTD: 10/29/2014 BOOK ENTRY ONLY	25,000.000	\$100.729	\$25,182.25 \$125.00	\$24,925.81	\$256.44	\$750.00
MERCK & CO INC NEW ORIGINAL ISSUE DISCOUNT CALLABLE: SUBJ MAKE-WHOLE CALL MOODY A1 S&P AA	58933YAQ8 CPN: 2.350% DUE: 02/10/2022 DTD: 02/10/2015 BOOK ENTRY ONLY	25,000.000	\$99.299	\$24,824.75 \$230.10	\$24,531.60	\$293.15	\$587.50
QUALCOMM INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE: SUBJ MAKE-WHOLE CALL MOODY A1 S&P A+	747525AE3 CPN: 3.000% DUE: 05/20/2022 DTD: 05/20/2015 BOOK ENTRY ONLY	25,000.000	\$101.329	\$25,332.25 \$85.42	\$25,083.65	\$248.60	\$750.00

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TAXABLE FIXED INCOME
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DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCUMULATED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
AT&T INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE 04/30/22 AT 100.000 MOODY BAA1 S&P BBB+	CPN: 3.000% DUE 06/30/2022 DTD: 05/04/2015 BOOK ENTRY ONLY 00206RCM2	25,000.000	\$98.161	\$24,540.25	\$24,378.47	\$161.78	\$750.00
J P MORGAN CHASE & CO ORIGINAL ISSUE DISCOUNT MOODY BAA1 S&P BBB+	CPN: 3.375% DUE 05/01/2023 DTD: 05/01/2013 BOOK ENTRY ONLY 46625HJ0	25,000.000	\$99.642	\$24,910.50 \$140.63	\$24,562.58	\$347.92	\$843.75
FREEMONT-MCMORAN INC SENIOR NOTES ORIGINAL ISSUE DISCOUNT CALLABLE 08/14/24 AT 100.000 MOODY B1 S&P BB-	CPN: 4.550% DUE 11/14/2024 DTD: 11/14/2014 BOOK ENTRY ONLY 35671DBL8	25,000.000	\$93.750	\$23,437.50 \$148.51	\$22,584.80	\$852.70	\$1,137.50
WELLS FARGO & CO NEW ORIGINAL ISSUE DISCOUNT MOODY A3 S&P A-	CPN: 4.100% DUE 06/03/2026 DTD: 06/03/2014 BOOK ENTRY ONLY 94974BFY1	25,000.000	\$101.319	\$25,329.75 \$79.72	\$25,380.94	-\$51.19	\$1,025.00
MORGAN STANLEY SUBORDINATED ORIGINAL ISSUE DISCOUNT MOODY BAA2 S&P BBB-	CPN: 4.350% DUE 09/08/2026 DTD: 09/08/2014 BOOK ENTRY ONLY 6174467Y9	25,000.000	\$102.475	\$25,618.75 \$341.35	\$24,926.00	\$692.75	\$1,087.50
BANK OF AMERICA CORP SUBORDINATED ORIGINAL ISSUE DISCOUNT MOODY BAA3 S&P BBB	CPN: 4.250% DUE 10/22/2026 DTD: 10/22/2014 BOOK ENTRY ONLY 06051GFL8	25,000.000	\$101.211	\$25,302.75 \$203.65	\$24,759.50	\$543.25	\$1,062.50
FNMA GTD PASS THRU POOL#828378 DELAY DAYS 24 FACTOR = .15085150 CURRENT BALANCE = 28,662 MOODY N/R S&P N/R	CPN: 6.000% DUE 06/01/2030 DTD: 06/01/2005 BOOK ENTRY ONLY 31407EDX2	190,000.000	\$113.135	\$32,426.51 \$143.31	\$28,554.30	\$3,872.21	\$1,719.71
DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 DELAY DAYS 24 FACTOR = .01875436 CURRENT BALANCE = 1,407 MOODY N/A S&P N/R	CPN: 5.500% DUE 09/25/2033 DTD: 01/28/2004 BOOK ENTRY ONLY 251563CG5	75,000.000	\$103.203	\$1,451.63 \$6.45	\$1,304.60	\$147.03	\$77.36



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DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT DELAY DAYS 24 FACTOR = .03954501 CURRENT BALANCE = 2,096 MOODY N/A S&P B+	CPN: 5.500% DUE: 10/25/2033 DTD: 09/25/2003 BOOK ENTRY ONLY 55265KQ28	53,000.000	\$97.250	\$2,038.25 \$9.61	\$2,127.32	-\$89.07	\$115.27
FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED DELAY DAYS 24 FACTOR = .09070205 CURRENT BALANCE = 36,281 MOODY B2 S&P CCC	CPN: 6.250% DUE: 10/25/2034 DTD: 08/25/2004 BOOK ENTRY ONLY 32051D6Y3	400,000.000	\$103.182	\$37,435.28 \$188.96	\$36,099.42	\$1,335.86	\$2,267.55
GOLDMAN SACHS GROUP INC ORIGINAL ISSUE DISCOUNT MOODY BAA2 S&P BBB-	CPN: 5.150% DUE: 05/22/2045 DTD: 05/22/2015 BOOK ENTRY ONLY 38148LAF3	25,000.000	\$105.166	\$26,291.50 \$139.48	\$24,613.25	\$1,678.25	\$1,287.50
TOTAL TAXABLE FIXED INCOME		1,084,823.000		\$1,412,664.29	\$1,382,614.67	\$30,049.62	\$61,624.15
ESTIMATED ACCRUED BOND INTEREST				\$2,833.86			

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
NEXPOINT CREDIT STRATEGIES FUND	NHF	1,500.000	\$22.770	\$34,155.00	\$34,818.99	-\$663.99	\$3,600.00
TOTAL MIXED ASSETS				\$34,155.00	\$34,818.99	-\$663.99	\$3,600.00

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
NEXPOINT RESIDENTIAL TRUST INC	NXRT	2,000.000	\$22.340	\$44,680.00	\$28,000.00	\$16,680.00
TOTAL OTHER ASSETS				\$44,680.00	\$28,000.00	\$16,680.00

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ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statements" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated.

RBC BRANCH SWEEP PROGRAM

Deposits in the RBC Branch Sweep Program are not insured by the Federal Deposit Insurance Corporation (FDIC), Securities Investor Protection Corporation (SIPC) or any governmental agency of the United States, Canada or any other jurisdiction. The Deposits in the RBC Branch Sweep program are obligations of the Royal Bank of Canada Three World Financial Center Branch located in New York (Branch) and the Royal Bank of Canada (RBC), and are not obligations of RBC Capital Markets LLC or any other RBC affiliates. The payment of principal and interest on Deposit Accounts at the Branch is subject to the creditworthiness of RBC. In the event of the failure of the Branch, you will be a general unsecured creditor of RBC. Deposit information is included on this statement solely as a service to our clients. Please refer to the RBC Branch Sweep Program Disclosure Statement and our website www.rbc.com-usa.com for more information regarding the merits and risks involved with electing the RBC Branch Sweep Program as your cash sweep option. For questions concerning Program balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BRANCH SWEEP PROGRAM NOT SIPC OR FDIC COVERED RBP UNINSURED DEPOSIT		\$318,104.42	\$37,616.54	\$494.06
DEPOSITS ARE HELD AT: RBC WFC Branch	New York, NY	\$318,104.42		
TOTAL RBC BRANCH SWEEP PROGRAM		\$318,104.42		\$494.06

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$6,870.42	
TOTAL CASH AND MONEY MARKET				\$6,870.42	

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ALTRIA GROUP INC	MO	2,950.000	\$67.620	\$199,479.00	\$167,111.90	\$32,367.10	\$7,198.00
APPLE INC	AAPL	775.000	\$115.820	\$89,760.50	\$90,456.92	-\$696.42	\$1,767.00
AT&T INC	T	4,950.000	\$42.530	\$210,523.50	\$167,211.00	\$43,312.50	\$9,702.00
COSTCO WHOLESALE CORP-NEW	COST	1,180.000	\$160.110	\$188,929.80	\$184,988.60	\$3,941.20	\$2,124.00
DOW CHEMICAL COMPANY (THE)	DOW	3,400.000	\$57.220	\$194,548.00	\$183,855.00	\$10,693.00	\$6,256.00
GUGGENHEIM S&P 500 EQUAL WEIGHT ETF	RSP	2,160.000	\$86.640	\$187,142.40	\$185,474.88	\$1,667.52	\$2,239.92

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DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
INTEGRITY FD WILLISTON BASIN/MID NORTH AMER CL A	ICPAX	37,464.000	\$5.930	\$222,161.52	\$173,504.52	\$48,657.00	
LOCKHEED MARTIN CORP	LMT	590.000	\$249.940	\$147,464.60	\$104,457.19	\$43,007.41	\$4,295.20
MCDONALDS CORP	MCD	1,601.000	\$121.720	\$194,873.72	\$121,848.67	\$73,025.05	\$6,019.76
MICROSOFT CORP	MSFT	4,300.000	\$62.140	\$267,202.00	\$165,287.70	\$101,914.30	\$6,708.00
NUVEEN NASDAQ 100 DYNAMIC OVERWRITE FUND SHARES OF BENEFICIAL INTEREST	QQQX	4,200.000	\$18.560	\$77,952.00	\$80,722.44	-\$2,770.44	\$5,880.00
PHILIP MORRIS INTERNATIONAL INC	PM	1,700.000	\$91.490	\$155,533.00	\$118,030.83	\$37,502.17	\$7,072.00
WEC ENERGY GROUP INC	WEC	2,880.000	\$58.650	\$168,912.00	\$180,776.60	-\$11,864.60	\$5,702.40
WESTERN DIGITAL CORP	WDC	3,781.000	\$67.950	\$256,918.95	\$177,964.18	\$78,954.77	\$7,562.00
TOTAL US EQUITIES				\$2,581,400.99	\$2,101,690.43	\$459,710.56	\$72,526.26

INTERNATIONAL EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
BROADCOM LIMITED SHS	AVGO	1,060.000	\$176.770	\$187,376.20	\$185,974.88	\$1,401.32	\$4,324.80
HENDERSON GLOBAL FDS GLOBAL EQUITY INCOME FD CL I	HFQIX	24,015.000	\$7.130	\$171,226.95	\$195,001.80	-\$23,774.85	\$12,007.50
ING GROEP NV-SPONSORED ADR	ING	13,650.000	\$14.100	\$192,465.00	\$184,340.09	\$8,124.91	\$8,162.70
TOTAL INTERNATIONAL EQUITIES				\$551,068.15	\$665,316.77	-\$14,248.62	\$24,495.00

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
MUTUAL FD SER TR CTLYST HGD FTR STRACY FD CL I	HFXIX	18,084.000	\$10.470	\$189,339.48	\$200,009.04	-\$10,669.56
VENTAS INC	VTR	3,280.000	\$62.520	\$205,065.60	\$166,457.66	\$38,607.94
TOTAL OTHER ASSETS				\$394,405.08	\$366,466.70	\$27,938.38

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ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower. In the event the investment matures, is sold or called, the full EAI may not be realized.

* The Unrealized Gain/Loss may not reflect your investments' total return. Specifically, the net cost may include dividend and capital gains distributions which have been reinvested. Additionally, the information that appears in these columns may be based on information provided by you or at your direction. RBC has not verified such data. Please see "About Your Statements" on page 2 for further information.

Your Financial Advisor has elected to display Asset Detail with the following options: asset purchases (tax lots) consolidated.

RBC BANK DEPOSIT PROGRAM

Deposits in the RBC Bank Deposit Program, with the exception of amounts classified as "Pending Deposits," are held by the Program Banks, not RBC Capital Markets. They are not covered by SIPC. Balances classified as "Pending Deposits" are scheduled to be deposited in the Program Banks on the business day following the statement date, and thus, these deposits are covered by SIPC until such time as they are deposited in the Program Banks. Deposit information is included on this statement solely as a service to our clients. All balance and transaction information is provided by the Program Banks. RBC Capital Markets is not responsible for the accuracy of this information. Deposits are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 per depositor at each bank subject to certain limitations. This means that your funds in excess of \$250,000 in the same insurable capacity at any single Program Bank are not insured. FDIC insurance coverage amounts are subject to the combined total of all deposits at a specific Program Bank including deposits held by the Program Bank outside of this account. Please refer to the RBC Bank Deposit Program Disclosure Statement and our website at www.rbcwmconnect.com for more details, including the current aggregate FDIC deposit insurance amount available through the Program. For questions concerning bank balances, please contact your Financial Advisor.

DESCRIPTION	BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR END STATEMENT BALANCE	YTD INCOME
RBC BANK DEPOSIT PROGRAM NOT SIPC COVERED		\$64,678.10	\$50,357.09	\$7.26
DEPOSITS ARE HELD AT: Citibank N.A.	New York, NY	\$64,678.10		
TOTAL RBC BANK DEPOSIT PROGRAM		\$64,678.10		\$7.26

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				\$884.75	
TOTAL CASH AND MONEY MARKET				\$884.75	

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ARLINGTON ASSET INVESTMENT CORP CL-A	AI	290.000	\$14.820	\$4,297.80	\$3,619.32	\$678.48	\$725.00
AT&T INC	T	130.000	\$42.530	\$5,528.90	\$4,738.37	\$790.53	\$254.80
BANK OF AMERICA CORP	BAC	95.000	\$22.100	\$2,099.50	\$1,159.86	\$939.64	\$28.50
CATERPILLAR INC	CAT	27.000	\$92.740	\$2,503.98	\$2,075.85	\$428.13	\$83.16
CENTURYLINK INC	CTL	290.000	\$23.780	\$6,896.20	\$7,122.93	-\$226.73	\$626.40

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DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
CITIGROUP INC COM	C	60.000	\$59.430	\$3,565.80	\$2,719.18	\$846.62	\$38.40
CVS HEALTH CORPORATION	CVS	64.000	\$78.910	\$5,050.24	\$5,992.54	-\$942.30	\$128.00
CYPRESS SEMICONDUCTOR CORP	CY	726.000	\$11.440	\$8,305.44	\$6,787.55	\$1,517.89	\$319.44
DOLLAR GENERAL CORPORATION	DG	70.000	\$74.070	\$5,184.90	\$4,877.61	\$307.29	\$70.00
FRONTIER COMMUNICATIONS CORP	FTR	3,400.000	\$3.380	\$11,492.00	\$14,145.13	-\$2,653.13	\$1,428.00
GENERAL ELECTRIC COMPANY COM	GE	90.000	\$31.600	\$2,844.00	\$2,199.52	\$644.48	\$86.40
GUESS INC	GES	375.000	\$12.100	\$4,537.50	\$5,495.76	-\$958.26	\$337.50
JPMORGAN CHASE & CO ALERIAN MLP INDEX ETN BASED ON WAP LEVEL OF INDEX	AMJ	170.000	\$31.610	\$5,373.70	\$4,450.02	\$923.68	\$353.26
KOHL'S CORP	KSS	65.000	\$49.380	\$3,209.70	\$2,276.64	\$933.06	\$130.00
MACYS INC	M	140.000	\$35.810	\$5,013.40	\$4,599.24	\$414.16	\$211.40
MERCK & CO INC	MRK	60.000	\$58.870	\$3,532.20	\$3,075.15	\$457.05	\$112.80
MICROSOFT CORP	MSFT	45.000	\$62.140	\$2,796.30	\$2,302.19	\$494.11	\$70.20
OLIN CORPORATION	OLN	130.000	\$25.610	\$3,329.30	\$2,471.55	\$857.75	\$104.00
PFIZER INC	PFE	110.000	\$32.480	\$3,572.80	\$3,297.03	\$275.77	\$140.80
PITNEY BOWES INC	PBI	400.000	\$15.190	\$6,076.00	\$6,714.45	-\$638.45	\$300.00
STAPLES INC	SPLS	615.000	\$9.050	\$5,565.75	\$4,983.57	\$582.18	\$295.20
STATE STREET CORP	STT	24.000	\$77.720	\$1,865.28	\$1,229.42	\$635.86	\$36.48
TARGET CORP	TGT	70.000	\$72.230	\$5,056.10	\$4,779.52	\$276.58	\$168.00
WALT DISNEY CO	DIS	52.000	\$104.220	\$5,419.44	\$4,773.38	\$646.06	\$81.12
WELLS FARGO & CO	WFC	37.000	\$55.110	\$2,039.07	\$1,685.34	\$353.73	\$56.24
WINDSTREAM HOLDINGS INC COM	WIN	259.000	\$7.330	\$1,898.47	\$1,298.37	\$600.10	\$155.40
TOTAL US EQUITIES				\$117,053.77	\$108,889.49	\$8,184.28	\$8,340.50

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INTERNATIONAL EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ASTRAZENECA PLC EACH ADS REPRESENTING 1/2 OF AN ORDINARY SHARE	AZN	440.000	\$27.320	\$12,020.80	\$12,120.66	-\$99.86	\$602.80
BP P L C SPONSORED ADR (FRM BP AMOCO PLC)	BP	90.000	\$37.380	\$3,364.20	\$2,721.08	\$643.12	\$214.20
GLAXOSMITHKLINE PLC SPONSORED ADR(FRM GLAXO WEL)	GSK	385.000	\$38.510	\$14,826.35	\$14,930.84	-\$104.49	\$795.80
ROYAL CARIBBEAN CRUISES LTD	RCL	29.000	\$82.040	\$2,379.16	\$2,206.56	\$172.60	\$55.68
TELEFONICA SA SPONSORED ADR	TEF	468.000	\$9.200	\$4,305.60	\$4,832.05 Purchase Reinvest \$4,670.47 \$161.58	-\$526.45 -\$530.47 \$4.01	\$326.20
TOTAL INTERNATIONAL EQUITIES				\$38,896.11	\$38,811.19	\$84.92	\$1,994.68

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
POWERSHARES EXCHAN CEF INCOM COMPOSITE PT ETF	PCEF	635.000	\$22.410	\$14,230.35	\$14,925.47	-\$695.12	\$1,098.55
TOTAL MIXED ASSETS				\$14,230.35	\$14,925.47	-\$695.12	\$1,098.55

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
ARES CAPITAL CORPORATION	ARCC	495.000	\$16.490	\$8,162.55	\$7,024.50	\$1,138.05
BLACKROCK CAPITAL INVESTMENT CORPORATION	BKCC	475.000	\$6.960	\$3,306.00	\$4,129.41	-\$823.41
CBL & ASSOCIATES PROPERTIES INC	CBL	485.000	\$11.500	\$5,577.50	\$4,441.18	\$1,136.32
COMMUNICATIONS SALES & LEASING INC COM	CSAL	204.000	\$25.410	\$5,183.64	\$4,123.45	\$1,060.19
CYS INVESTMENTS INC	CYS	550.000	\$7.730	\$4,251.50	\$3,537.10	\$714.40
GLOBAL MEDICAL REIT INC COM NEW	GMRE	405.000	\$8.920	\$3,612.60	\$3,589.05	\$23.55
INDEPENDENCE REALTY TRUST INC	IRT	900.000	\$8.920	\$8,028.00	\$6,722.06	\$1,305.94
INVESCO MORTGAGE CAPITAL INC	IVR	470.000	\$14.600	\$6,862.00	\$5,123.71	\$1,738.29
LEXINGTON REALTY TRUST	LXP	500.000	\$10.800	\$5,400.00	\$3,572.11	\$1,827.89

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**Wealth
Management**

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**MANAGED ACCOUNT PROGRAM
ACCOUNT STATEMENT
2016 ANNUAL STATEMENT**

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OTHER ASSETS
(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
MEDLEY CAPITAL CORPORATION	MCC	1,353.000	\$7.510	\$10,161.03	\$10,701.26	-\$540.23
NEW SENIOR INVESTMENT GROUP INC	SNR	475.000	\$9.790	\$4,650.25	\$4,311.77	\$338.48
PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW	SDS	4,385.000	\$15.110	\$66,257.35	\$87,598.89	-\$21,341.54
PROSHARES TRUST PROSHARES SHORT S&P 500	SH	1,980.000	\$36.540	\$72,349.20	\$73,734.77	-\$1,385.57
PROSPECT CAPITAL CORPORATION	PSEC	650.000	\$8.350	\$5,427.50	\$4,692.79	\$734.71
SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST	SIR	180.000	\$25.200	\$4,536.00	\$3,214.29	\$1,321.71
SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST	SNH	237.000	\$18.930	\$4,486.41	\$3,525.28	\$961.13
SOLAR CAPITAL LTD	SLRC	220.000	\$20.820	\$4,580.40	\$3,776.43	\$803.97
SOLAR SR CAP LTD	SUNS	150.000	\$16.440	\$2,466.00	\$2,360.78	\$105.22
THL CR INC	TCRD	255.000	\$10.010	\$2,552.55	\$2,471.36	\$81.19
TPG SPECIALTY LENDING INC COM	TSLX	140.000	\$18.680	\$2,615.20	\$2,219.41	\$395.79
TRIPLEPOINT VENTURE GROWTH BDC CORP	TPVG	270.000	\$11.780	\$3,180.60	\$2,980.02	\$200.58
TWO HARBORS INVESTMENT CORP	TWO	820.000	\$8.720	\$7,150.40	\$6,778.03	\$372.37
WHITESTONE REIT COMMON SHARE	WSR	208.000	\$14.380	\$2,991.04	\$2,273.16	\$717.88
TOTAL OTHER ASSETS				\$243,787.72	\$262,900.81	-\$9,113.09

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
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Schedule B-1

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
40.000	ALLERGAN PLC 5.500% MANDATORY CONVERTIBLE PREFERRED SHARES SERIES A SYMBOL: AGNPRA, CUSIP: G0177J116	<input type="checkbox"/>	09/30/15	06/09/16	35,107.23	37,625.20	-2,517.97
4,150.000	DOUBLELINE INCOME SOLUTIONS FD COM SYMBOL: DSL, CUSIP: 258622109	<input type="checkbox"/>	10/13/16	11/11/16	73,187.90	78,006.00	-4,818.10
4,600.000	ISHARES INTERNATIONAL PREFERRED STOCK ETF SYMBOL: IPFF, CUSIP: 46429B135	<input type="checkbox"/>	04/07/16	06/16/16	70,378.92	75,256.00	-4,877.08
565.000	ISHARES 20 PLUS YEAR TREASURY BOND ETF SYMBOL: TLT, CUSIP: 464287432	<input type="checkbox"/>	04/07/16	10/12/16	74,815.66	74,930.24	-114.58
Short-Term Subtotal					253,489.71		-12,327.73

Long-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
3,800.000	ALPS ETF TR RIVERFRONT STRATEGIC INCOME FD SYMBOL: RIGS, CUSIP: 00162Q783	<input type="checkbox"/>	06/23/14	02/09/16	85,103.68	92,154.42	-7,050.74
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.790, ORIGINAL COST: 4.44, PURCHASE FACTOR: 0.00006387, SALE FACTOR: 0.00006387 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	01/25/16	4.79	4.44	0.35
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.810, ORIGINAL COST: 4.46,	<input checked="" type="checkbox"/>	06/16/09	02/25/16	4.81	4.46	0.35

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THE RICE FAMILY FOUNDATION
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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)							
QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	PURCHASE FACTOR: 0.00006413, SALE FACTOR: 0.00006413 CUSIP: 251563CG5						
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 210.470, ORIGINAL COST: 195.21, PURCHASE FACTOR: 0.00280627, SALE FACTOR: 0.00280627 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	03/25/16	210.47	195.21	15.26
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.320, ORIGINAL COST: 4.01, PURCHASE FACTOR: 0.0000576, SALE FACTOR: 0.0000576 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	04/25/16	4.32	4.01	0.31
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.340, ORIGINAL COST: 4.03, PURCHASE FACTOR: 0.00005787, SALE FACTOR: 0.00005787 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	05/25/16	4.34	4.03	0.31
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.330, ORIGINAL COST: 4.02, PURCHASE FACTOR: 0.00005773, SALE FACTOR: 0.00005773 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	06/25/16	4.33	4.02	0.31
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.320, ORIGINAL COST: 4.01, PURCHASE FACTOR: 0.0000576, SALE FACTOR: 0.0000576 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	07/25/16	4.32	4.01	0.31
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.350, ORIGINAL COST: 4.03, PURCHASE FACTOR: 0.000058, SALE FACTOR: 0.000058 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	08/25/16	4.35	4.03	0.32
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.360, ORIGINAL COST: 4.04, PURCHASE FACTOR: 0.00005813, SALE FACTOR: 0.00005813 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	09/25/16	4.36	4.04	0.32
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1	<input checked="" type="checkbox"/>	06/16/09	10/25/16	4.38	4.06	0.32

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
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SAN DIEGO CA 92117-3646

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.380, ORIGINAL COST: 4.06, PURCHASE FACTOR: 0.0000584, SALE FACTOR: 0.0000584 CUSIP: 251563CG5						
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.430, ORIGINAL COST: 4.11, PURCHASE FACTOR: 0.00005907, SALE FACTOR: 0.00005907 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	11/25/16	4.43	4.11	0.32
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 4.450, ORIGINAL COST: 4.13, PURCHASE FACTOR: 0.00005933, SALE FACTOR: 0.00005933 CUSIP: 251563CG5	<input checked="" type="checkbox"/>	06/16/09	12/25/16	4.45	4.13	0.32
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,363.712, ORIGINAL COST: 1,356.89, PURCHASE FACTOR: 0.00340928, SALE FACTOR: 0.00340928 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	01/25/16	1,363.71	1,356.89	6.82
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 627.580, ORIGINAL COST: 624.44, PURCHASE FACTOR: 0.00158895, SALE FACTOR: 0.00158895 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	02/25/16	627.58	624.44	3.14
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 104.040, ORIGINAL COST: 103.52, PURCHASE FACTOR: 0.0002601, SALE FACTOR: 0.0002601 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	03/25/16	104.04	103.52	0.52
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 319.852, ORIGINAL COST: 318.25, PURCHASE FACTOR: 0.00079963, SALE FACTOR: 0.00079963 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	04/25/16	319.85	318.25	1.60
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES	<input checked="" type="checkbox"/>	08/17/10	05/25/16	99.12	98.62	0.50

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THE RICE FAMILY FOUNDATION
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SAN DIEGO CA 92117-3646

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 99.120, ORIGINAL COST: 98.62, PURCHASE FACTOR: 0.0002478, SALE FACTOR: 0.0002478 CUSIP: 32051D6Y3						
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 699.680, ORIGINAL COST: 696.18, PURCHASE FACTOR: 0.0017492, SALE FACTOR: 0.0017492 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	06/25/16	699.68	696.18	3.50
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 291.152, ORIGINAL COST: 289.70, PURCHASE FACTOR: 0.00072788, SALE FACTOR: 0.00072788 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	07/25/16	291.15	289.70	1.45
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 41.032, ORIGINAL COST: 40.83, PURCHASE FACTOR: 0.00010258, SALE FACTOR: 0.00010258 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	08/25/16	41.03	40.83	0.20
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 724.512, ORIGINAL COST: 720.89, PURCHASE FACTOR: 0.00181128, SALE FACTOR: 0.00181128 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	09/25/16	724.51	720.89	3.62
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 703.372, ORIGINAL COST: 699.86, PURCHASE FACTOR: 0.00175843, SALE FACTOR: 0.00175843 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	11/25/16	703.37	699.86	3.51
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 558.032, ORIGINAL COST: 555.24, PURCHASE FACTOR: 0.00139508, SALE FACTOR: 0.00139508 CUSIP: 32051D6Y3	<input checked="" type="checkbox"/>	08/17/10	12/25/16	558.03	555.24	2.79

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 112.520, ORIGINAL COST: 112.10, PURCHASE FACTOR: 0.00059221, SALE FACTOR: 0.00059221 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	01/25/16	112.52	112.10	0.42
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 121.450, ORIGINAL COST: 120.99, PURCHASE FACTOR: 0.00063921, SALE FACTOR: 0.00063921 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	02/25/16	121.45	120.99	0.46
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 130.389, ORIGINAL COST: 129.90, PURCHASE FACTOR: 0.00068626, SALE FACTOR: 0.00068626 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	03/28/16	130.39	129.90	0.49
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 114.530, ORIGINAL COST: 114.10, PURCHASE FACTOR: 0.00060279, SALE FACTOR: 0.00060279 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	04/25/16	114.53	114.10	0.43
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 123.371, ORIGINAL COST: 122.91, PURCHASE FACTOR: 0.00064932, SALE FACTOR: 0.00064932 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	05/25/16	123.37	122.91	0.46
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 115.750, ORIGINAL COST: 115.32, PURCHASE FACTOR: 0.00060921, SALE FACTOR: 0.00060921 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	08/27/16	115.75	115.32	0.43
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 122.080, ORIGINAL COST: 121.60, PURCHASE FACTOR: 0.00064242, SALE FACTOR: 0.00064242 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	07/25/16	122.06	121.60	0.46
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 125.311, ORIGINAL COST: 124.84, PURCHASE FACTOR: 0.00085953, SALE FACTOR: 0.00085953 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	08/25/16	125.31	124.84	0.47
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 125.980, ORIGINAL COST: 125.51, PURCHASE FACTOR: 0.00066305, SALE FACTOR: 0.00066305 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	09/26/16	125.98	125.51	0.47

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 118.361, ORIGINAL COST: 117.92, PURCHASE FACTOR: 0.00062295, SALE FACTOR: 0.00062295 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	10/25/16	118.36	117.92	0.44
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 135.611, ORIGINAL COST: 135.10, PURCHASE FACTOR: 0.00071374, SALE FACTOR: 0.00071374 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	11/25/16	135.61	135.10	0.51
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 128.011, ORIGINAL COST: 127.53, PURCHASE FACTOR: 0.00067374, SALE FACTOR: 0.00067374 CUSIP: 31407EJX2	<input checked="" type="checkbox"/>	05/03/06	12/27/16	128.01	127.53	0.48
760.000	ISHARES 7 TO 10 YEAR TREASURY BOND ETF SYMBOL: IEF, CUSIP: 464287440	<input type="checkbox"/>	12/12/14	12/15/16	78,751.76	81,150.52	-2,398.76
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 94.120, ORIGINAL COST: 95.53, PURCHASE FACTOR: 0.00177585, SALE FACTOR: 0.00177585 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	01/25/16	94.12	95.53	-1.41
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 154.860, ORIGINAL COST: 157.18, PURCHASE FACTOR: 0.00292189, SALE FACTOR: 0.00292189 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	02/25/16	154.86	157.18	-2.32
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 8.620, ORIGINAL COST: 8.75, PURCHASE FACTOR: 0.00016284, SALE FACTOR: 0.00016284 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	03/25/16	8.62	8.75	-0.13
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 8.900, ORIGINAL COST: 9.03, PURCHASE FACTOR: 0.00016792, SALE FACTOR: 0.00016792 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	04/25/16	8.90	9.03	-0.13

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 9.510, ORIGINAL COST: 9.65, PURCHASE FACTOR: 0.00017943, SALE FACTOR: 0.00017943 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	05/25/16	9.51	9.65	-0.14
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 103.870, ORIGINAL COST: 105.43, PURCHASE FACTOR: 0.00195981, SALE FACTOR: 0.00195981 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	06/25/16	103.87	105.43	-1.56
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 142.630, ORIGINAL COST: 144.77, PURCHASE FACTOR: 0.00269113, SALE FACTOR: 0.00269113 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	07/25/16	142.63	144.77	-2.14
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 175.100, ORIGINAL COST: 177.73, PURCHASE FACTOR: 0.00330377, SALE FACTOR: 0.00330377 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	08/25/16	175.10	177.73	-2.63
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 68.650, ORIGINAL COST: 69.68, PURCHASE FACTOR: 0.00129528, SALE FACTOR: 0.00129528 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	09/25/16	68.65	69.68	-1.03
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 7.530, ORIGINAL COST: 7.64, PURCHASE FACTOR: 0.00014208, SALE FACTOR: 0.00014208 CUSIP: 55265KQ28	<input checked="" type="checkbox"/>	07/28/10	10/25/16	7.53	7.64	-0.11
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033	<input checked="" type="checkbox"/>	07/28/10	12/25/16	167.73	170.25	-2.52

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
ADJUSTED QUANTITY: 167.730, ORIGINAL COST: 170.25, PURCHASE FACTOR: 0.00316472, SALE FACTOR: 0.00316472 CUSIP: 55265KQ28							
125,000.000	WACHOVIA BK NATL ASSN MEDIUM TERM SUB BK NTS 5.600% DUE 03/15/2016 CUSIP: 92976GAE1	<input checked="" type="checkbox"/>	04/24/06	03/15/16	125,000.00	123,413.75	1,586.25
Long-Term Subtotal					297,061.72		-7,825.40
Total Gains and Losses					550,551.43		-20,153.13
Short-Term							-12,327.73
Long-Term							-7,825.40
Term Unknown							0.00

* Return of principal. Quantity represents face value.

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:

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Schedule B-2

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
54.413	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	07/31/15	06/01/16	644.25	654.04	-9.79
1.672	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	12/28/15	06/01/16	19.80	19.38	0.42
29.514	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	10/30/15	06/01/16	349.45	348.26	1.19
35.129	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	04/29/16	06/01/16	415.93	412.77	3.16
95.464	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	12/28/15	06/01/16	1,130.29	1,106.43	23.86
3,170.000	BANK OF MONTREAL SYMBOL: BMO, CUSIP: 063671101	<input type="checkbox"/>	10/28/15	01/15/16	154,488.05	188,154.40	-33,666.35
4,035.000	COCA COLA COMPANY (THE) SYMBOL: KO, CUSIP: 191216100	<input type="checkbox"/>	06/01/16	11/29/16	166,528.88	179,995.30	-13,466.42
1,625.000	CONOCOPHILLIPS SYMBOL: COP, CUSIP: 20825C104	<input type="checkbox"/>	07/09/15	03/14/16	65,489.32	96,112.16	-30,622.84
1,625.000	CONOCOPHILLIPS SYMBOL: COP, CUSIP: 20825C104	<input type="checkbox"/>	07/09/15	06/14/16	71,062.95	96,112.16	-25,049.21
2,525.000	FIRST TRUST ETF DOW JONES INTERNET INDEX FUND SYMBOL: FDN, CUSIP: 33733E302	<input type="checkbox"/>	10/30/15	02/18/16	159,273.66	188,530.03	-29,256.37
2,365.000	KINDER MORGAN INC SYMBOL: KMI, CUSIP: 49456B101	<input type="checkbox"/>	05/19/15	01/08/16	34,886.65	101,477.77	-66,591.12

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3846

ACCOUNT NUMBER:

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
2,330.000	POWERSHARES EXCHANGE TRADED FD TR POWERSHARES DWA MOMENTUM PORTFOLIO SYMBOL: PDP, CUSIP: 73935X153	<input type="checkbox"/>	02/19/15	01/13/16	89,914.65	99,957.00	-10,042.35
Short-Term Subtotal					744,203.88		-208,675.82

Long-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
12.831	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	04/30/15	08/01/16	151.92	157.69	-5.77
54.594	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	01/30/15	06/01/16	646.39	648.03	-1.64
23.109	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	10/31/14	08/01/16	273.61	270.38	3.23
11.490	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	04/30/14	08/01/16	136.04	130.41	5.63
44.430	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	07/31/14	06/01/16	526.05	518.50	7.55
17,388.000	ASTOR DYNAMIC ALLOCATION FUND CLASS I SYMBOL: ASTIX, CUSIP: 66537V732	<input type="checkbox"/>	04/17/14	06/01/16	205,873.92	197,006.04	8,867.88
1,540.000	BOSTON PROPERTIES INC SYMBOL: BXP, CUSIP: 101121101	<input type="checkbox"/>	09/23/15	11/29/16	193,160.08	181,332.00	11,828.08
1,800.000	GILEAD SCIENCES INC SYMBOL: GILD, CUSIP: 375558103	<input type="checkbox"/>	09/30/15	10/13/16	131,451.31	175,410.00	-43,958.69
12,563.000	HIGHLAND LONG SHORT HEALTHCARE FUND Z SYMBOL: HHCZX, CUSIP: 430101873	<input type="checkbox"/>	02/19/15	04/21/16	148,117.77	200,002.96	-51,885.19
700.000	ISHARES RUSSELL MID CAP ETF SYMBOL: IWR, CUSIP: 464287499	<input type="checkbox"/>	12/23/14	01/20/16	98,285.26	118,502.23	-20,216.97
3,600.000	LAZARD LTD SHS A SYMBOL: LAZ, CUSIP: G54050102	<input checked="" type="checkbox"/>	05/11/15	05/27/16	126,002.25	199,257.00	-73,254.75

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3846

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
590.000	LOCKHEED MARTIN CORP SYMBOL: LMT, CUSIP: 539830109	<input type="checkbox"/>	08/25/14	11/25/16	156,464.58	104,457.19	52,007.39
299.000	MCDONALDS CORP SYMBOL: MCD, CUSIP: 580135101	<input checked="" type="checkbox"/>	11/05/10	06/14/16	36,667.96	23,641.48	13,026.48
800.000	MICROSOFT CORP SYMBOL: MSFT, CUSIP: 594918104	<input type="checkbox"/>	12/02/13	01/11/16	41,311.23	30,751.20	10,560.03
1,260.000	POWERSHARES EXCHANGE TRADED FD TR POWERSHARES DWA MOMENTUM PORTFOLIO SYMBOL: PDP, CUSIP: 73935X153	<input type="checkbox"/>	12/23/14	01/13/16	48,623.38	51,984.51	-3,361.13
495.000	REYNOLDS AMERICAN INC SYMBOL: RAI, CUSIP: 761713106	<input type="checkbox"/>	04/17/15	06/14/16	24,973.59	18,460.28	6,513.31
4,865.000	REYNOLDS AMERICAN INC SYMBOL: RAI, CUSIP: 761713106	<input type="checkbox"/>	04/17/15	12/15/16	270,840.64	181,432.88	89,407.76
13,258.000	SALIENT MLP & ENERGY INFRASTRUCTURE FUND CLASS I SYMBOL: SMLPX, CUSIP: 79471L602	<input type="checkbox"/>	08/21/14	01/13/16	75,438.02	203,114.60	-127,676.58
Long-Term Subtotal					1,558,944.00		-128,133.38
Total Gains and Losses					2,303,147.88		-336,809.20
Short-Term							-208,675.82
Long-Term							-128,133.38
Term Unknown							0.00

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Schedule B-3

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
165.000	ALPS ETF TR ALERIAN MLP ORIGINAL COST 2,039.43 WASH SALE LOSS DISALLOWED: 129.08 SYMBOL: AMLP, CUSIP: 00162Q866	<input type="checkbox"/>	11/24/15	01/06/16	1,910.35	1,910.35	0.00
200.000	ALPS ETF TR ALERIAN MLP SYMBOL: AMLP, CUSIP: 00162Q866	<input type="checkbox"/>	11/24/15	01/12/16	1,977.96	2,472.04	-494.08
165.000	ALPS ETF TR ALERIAN MLP ORIGINAL COST 1,653.91 WASH SALE REPLACEMENT ADDITION: 129.08 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: AMLP, CUSIP: 00162Q866	<input type="checkbox"/>	12/07/15	01/12/16	1,631.82	1,782.99	-151.17
10.000	ALPS ETF TR ALERIAN MLP SYMBOL: AMLP, CUSIP: 00162Q866	<input type="checkbox"/>	12/07/15	01/12/16	98.90	100.24	-1.34
65.000	AMERICAN EXPRESS COMPANY SYMBOL: AXP, CUSIP: 025816109	<input type="checkbox"/>	12/22/15	02/11/16	3,322.50	4,466.36	-1,143.86
31.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	10/05/15	01/13/16	4,577.75	4,446.47	131.28
19.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	03/09/16	04/08/16	2,961.51	2,679.21	282.30
12.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	03/09/16	04/27/16	1,929.91	1,692.14	237.78
13.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	05/12/16	07/08/16	2,087.71	1,996.02	91.69
17.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	03/09/16	07/08/16	2,730.08	2,397.19	332.89
8.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	05/12/16	08/08/16	1,376.17	1,228.32	147.85
4.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	10/26/16	11/03/16	542.73	636.54	-93.81
22.000	AMGEN INC	<input type="checkbox"/>	05/12/16	11/03/16	2,985.01	2,985.01	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	ORIGINAL COST 3,377.88 WASH SALE LOSS DISALLOWED: 392.87 SYMBOL: AMGN, CUSIP: 031162100						
22.000	AMGEN INC ORIGINAL COST 3,500.96 WASH SALE REPLACEMENT ADDITION: 392.87 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	10/26/16	11/09/16	3,187.98	3,893.83	-705.85
13.000	AMGEN INC SYMBOL: AMGN, CUSIP: 031162100	<input type="checkbox"/>	10/26/16	11/09/16	1,883.80	2,068.75	-184.95
85.000	ARLINGTON ASSET INVESTMENT CORP CL-A SYMBOL: AI, CUSIP: 041358205	<input type="checkbox"/>	05/13/16	08/09/16	1,278.88	1,007.70	271.18
160.000	ASTRAZENECA PLC EACH ADS REPRESENTING 1/2 OF AN ORDINARY SHARE SYMBOL: AZN, CUSIP: 046353108	<input type="checkbox"/>	03/16/16	05/26/16	4,769.39	4,571.84	197.55
10.000	AT&T INC SYMBOL: T, CUSIP: 00206R102	<input type="checkbox"/>	03/30/15	01/15/16	340.49	329.98	10.51
55.000	AT&T INC SYMBOL: T, CUSIP: 00206R102	<input type="checkbox"/>	03/30/15	02/02/16	1,985.39	1,814.87	170.52
65.000	AT&T INC SYMBOL: T, CUSIP: 00206R102	<input type="checkbox"/>	09/23/15	07/05/16	2,835.92	2,087.87	748.05
210.000	BANK OF AMERICA CORP SYMBOL: BAC, CUSIP: 060505104	<input type="checkbox"/>	01/20/16	05/26/16	3,096.76	2,817.93	278.83
55.000	BANK OF AMERICA CORP SYMBOL: BAC, CUSIP: 060505104	<input type="checkbox"/>	02/16/16	09/09/16	869.27	671.50	197.77
100.000	BANK OF AMERICA CORP SYMBOL: BAC, CUSIP: 060505104	<input type="checkbox"/>	01/20/16	09/09/16	1,580.49	1,341.87	238.62
60.000	BANK OF AMERICA CORP SYMBOL: BAC, CUSIP: 060505104	<input type="checkbox"/>	02/16/16	11/15/16	1,196.49	732.54	463.95
467.000	BARCLAYS BK PLC IPATH EXH TRADED NTS LKD TO GS CRUDE OIL TOTAL RETURN IDX SYMBOL: OIL, CUSIP: 06738C786	<input type="checkbox"/>	01/15/16	01/21/16	2,138.31	2,610.95	-472.64
328.000	BARCLAYS BK PLC IPATH EXH TRADED NTS LKD TO GS CRUDE OIL TOTAL RETURN IDX SYMBOL: OIL, CUSIP: 06738C786	<input type="checkbox"/>	01/15/16	01/22/16	1,554.72	1,833.82	-279.10
65.000	CATERPILLAR INC SYMBOL: CAT, CUSIP: 149123101	<input type="checkbox"/>	12/15/15	01/12/16	3,950.20	4,290.98	-340.78

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
70.000	CATERPILLAR INC SYMBOL: CAT, CUSIP: 149123101	<input type="checkbox"/>	12/15/15	01/15/16	4,147.03	4,621.05	-474.02
33.000	CATERPILLAR INC SYMBOL: CAT, CUSIP: 149123101	<input type="checkbox"/>	03/30/16	10/17/16	2,871.00	2,537.14	333.86
670.000	CBL & ASSOCIATES PROPERTIES INC SYMBOL: CBL, CUSIP: 124830100	<input type="checkbox"/>	05/25/16	08/09/16	8,190.37	6,101.49	2,088.88
315.000	CBL & ASSOCIATES PROPERTIES INC SYMBOL: CBL, CUSIP: 124830100	<input type="checkbox"/>	05/25/16	08/15/16	4,112.61	2,868.61	1,244.00
40.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	<input type="checkbox"/>	09/23/15	03/07/16	1,700.01	2,004.69	-304.69
60.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	<input type="checkbox"/>	01/14/16	05/26/16	2,768.67	2,719.18	49.49
40.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	<input type="checkbox"/>	01/14/16	11/01/16	1,946.60	1,812.79	133.82
31.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	07/24/15	08/14/16	810.05	632.14	177.91
21.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	11/17/15	06/23/16	615.19	394.87	220.32
45.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	08/11/15	06/23/16	1,318.26	942.96	375.30
49.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	07/24/15	06/23/16	1,435.44	999.17	436.26
75.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	11/17/15	07/06/16	2,193.48	1,389.92	803.57
4.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	11/17/15	08/09/16	120.64	74.11	46.52
46.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	01/20/16	08/09/16	1,387.31	764.33	622.98

CORRECTED COPY: March 15, 2017

Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
335.000	COMTECH TELECOMMUNICATIONS CORP SYMBOL: CMTL, CUSIP: 205826209	<input type="checkbox"/>	06/17/16	11/02/16	3,245.95	4,667.25	-1,421.30
125.000	COMTECH TELECOMMUNICATIONS CORP SYMBOL: CMTL, CUSIP: 205826209	<input type="checkbox"/>	06/27/16	11/02/16	1,211.17	1,436.56	-225.39
50.000	CONOCOPHILLIPS SYMBOL: COP, CUSIP: 20825C104	<input type="checkbox"/>	08/24/15	01/20/16	1,705.48	2,159.58	-454.10
30.000	CONOCOPHILLIPS SYMBOL: COP, CUSIP: 20825C104	<input type="checkbox"/>	08/21/15	01/20/16	1,023.29	1,394.70	-371.41
180.000	CSX CORPORATION COM SYMBOL: CSX, CUSIP: 126408103	<input type="checkbox"/>	12/21/15	02/17/16	4,443.92	4,522.39	-78.47
23.000	CVS HEALTH CORPORATION SYMBOL: CVS, CUSIP: 126650100	<input type="checkbox"/>	01/26/16	11/09/16	1,715.07	2,161.91	-446.84
42.000	CVS HEALTH CORPORATION SYMBOL: CVS, CUSIP: 126650100	<input type="checkbox"/>	06/20/16	11/15/16	3,131.70	3,949.37	-817.67
22.000	CVS HEALTH CORPORATION SYMBOL: CVS, CUSIP: 126650100	<input type="checkbox"/>	01/26/16	11/15/16	1,640.41	2,067.92	-427.50
41.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	<input type="checkbox"/>	05/13/15	05/11/16	390.22	503.92	-113.71
314.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	<input type="checkbox"/>	08/20/15	05/11/16	2,988.48	2,920.23	68.25
66.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	<input type="checkbox"/>	08/20/15	05/26/16	658.84	613.81	45.04
144.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	<input type="checkbox"/>	01/28/16	05/26/16	1,437.48	1,091.72	345.75
170.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	<input type="checkbox"/>	01/28/16	08/08/16	1,962.41	1,288.84	673.57
485.000	CYS INVESTMENTS INC SYMBOL: CYS, CUSIP: 12673A108	<input type="checkbox"/>	12/23/15	04/20/16	4,032.59	3,561.75	470.84
385.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	<input type="checkbox"/>	03/01/16	10/13/16	2,071.75	3,596.86	-1,525.11
330.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	<input type="checkbox"/>	03/01/16	12/22/16	1,873.96	3,083.03	-1,209.06
545.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP: 294821608	<input type="checkbox"/>	06/27/16	12/22/16	3,094.88	3,917.19	-822.31

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
345.000	FIBRIA CELULOSE S A SPONSORED ADR SYMBOL: FBR, CUSIP: 31573A109	<input type="checkbox"/>	03/30/16	12/22/16	3,098.20	2,988.53	109.67
980.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP: 31678A103	<input type="checkbox"/>	11/19/15	01/12/16	5,457.23	6,261.51	-804.28
400.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP: 31678A103	<input type="checkbox"/>	10/16/15	01/12/16	2,227.44	2,433.08	-205.64
75.000	FIFTH STREET FINANCE CORPORATION SYMBOL: FSC, CUSIP: 31678A103	<input type="checkbox"/>	06/29/15	01/12/16	417.64	496.90	-79.25
240.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	<input type="checkbox"/>	10/22/15	03/01/16	3,853.01	4,521.84	-668.83
50.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	<input type="checkbox"/>	01/11/16	03/01/16	802.71	913.86	-111.14
160.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	<input type="checkbox"/>	01/11/16	04/22/16	2,972.70	2,924.34	48.36
35.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	<input type="checkbox"/>	01/11/16	04/27/16	649.53	639.70	9.83
215.000	FIFTH THIRD BANCORP SYMBOL: FITB, CUSIP: 316773100	<input type="checkbox"/>	01/25/16	04/27/16	3,989.99	3,223.73	766.26
100.000	GAP INC ORIGINAL COST 2,836.75 WASH SALE LOSS DISALLOWED: 538.10 SYMBOL: GPS, CUSIP: 364760108	<input type="checkbox"/>	09/30/15	01/15/16	2,298.65	2,298.65	0.00
100.000	GAP INC ORIGINAL COST 2,307.77 WASH SALE REPLACEMENT ADDITION: 538.10 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: GPS, CUSIP: 364760108	<input type="checkbox"/>	01/08/16	05/12/16	1,783.58	2,845.87	-1,062.29
45.000	GAP INC SYMBOL: GPS, CUSIP: 364760108	<input type="checkbox"/>	09/30/15	05/12/16	802.61	1,276.54	-473.93
40.000	GAP INC SYMBOL: GPS, CUSIP: 364760108	<input type="checkbox"/>	01/08/16	05/12/16	713.43	923.11	-209.68
25.000	GOLDMAN SACHS GROUP INC SYMBOL: GS, CUSIP: 38141G104	<input type="checkbox"/>	06/15/16	09/09/16	4,228.20	3,687.91	540.29
16.000	GOLDMAN SACHS GROUP INC SYMBOL: GS, CUSIP: 38141G104	<input type="checkbox"/>	06/15/16	11/01/16	2,844.54	2,360.27	484.27

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
150.000	HATTERAS FINANCIAL CORP CUSIP: 41902R103	<input type="checkbox"/>	10/28/15	03/02/16	2,071.80	2,180.11	-108.31
180.000	HATTERAS FINANCIAL CORP CUSIP: 41902R103	<input type="checkbox"/>	10/28/15	04/11/16	2,505.56	2,253.46	252.10
134.000	HATTERAS FINANCIAL CORP CUSIP: 41902R103	<input type="checkbox"/>	11/17/15	04/11/16	2,098.40	1,833.03	265.37
155.000	HATTERAS FINANCIAL CORP CUSIP: 41902R103	<input type="checkbox"/>	10/29/15	04/11/16	2,427.26	2,131.93	295.33
196.000	HATTERAS FINANCIAL CORP CUSIP: 41902R103	<input type="checkbox"/>	11/16/15	04/11/16	3,069.31	2,692.43	376.88
225.000	HORIZON TECHNOLOGY FIN CORP SYMBOL: HRZN, CUSIP: 44045A102	<input type="checkbox"/>	08/03/15	06/07/16	2,694.77	2,343.29	351.48
33.000	INTERNATIONAL BUSINESS MACHINES CORP SYMBOL: IBM, CUSIP: 459200101	<input type="checkbox"/>	12/21/15	01/13/16	4,392.65	4,442.25	-49.60
230.000	INVESCO MORTGAGE CAPITAL INC SYMBOL: IVR, CUSIP: 46131B100	<input type="checkbox"/>	02/18/16	08/09/16	3,594.61	2,351.31	1,243.30
59.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 6,680.07 WASH SALE LOSS DISALLOWED: 343.73 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	12/22/15	01/07/16	6,316.34	6,316.34	0.00
1.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 109.87 WASH SALE LOSS DISALLOWED: 2.82 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	01/04/16	01/07/16	107.06	107.06	0.00
42.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 4,614.90 WASH SALE REPLACEMENT ADDITION: 244.69 WASH SALE LOSS DISALLOWED: 811.50 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	01/04/16	01/20/16	4,048.09	4,048.09	0.00
1.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 102.08 WASH SALE REPLACEMENT ADDITION: 2.82 WASH SALE LOSS DISALLOWED: 8.52 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	01/14/16	01/20/16	96.38	96.38	0.00
152.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 15,516.29 WASH SALE LOSS DISALLOWED: 866.08 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	01/14/16	01/20/16	14,650.22	14,650.22	0.00
17.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 1,735.37	<input type="checkbox"/>	01/14/16	01/20/16	1,638.51	1,638.51	0.00

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THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE REPLACEMENT ADDITION: 99.04 WASH SALE LOSS DISALLOWED: 195.90 SYMBOL: IWM, CUSIP: 464287655						
42.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 4,038.17 WASH SALE REPLACEMENT ADDITION: 811.50 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	02/18/16	4,210.83	4,847.68	-636.85
86.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 8,264.54 WASH SALE REPLACEMENT ADDITION: 490.02 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	02/18/16	8,622.17	8,754.56	-132.40
1.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 96.09 WASH SALE REPLACEMENT ADDITION: 8.52 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	02/18/16	100.26	104.62	-4.36
17.000	ISHARES RUSSELL 2000 ETF ORIGINAL COST 1,633.68 WASH SALE REPLACEMENT ADDITION: 195.90 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	03/08/16	1,823.17	1,829.59	-6.42
2.000	ISHARES RUSSELL 2000 ETF SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	03/08/16	214.49	192.20	22.29
66.000	ISHARES RUSSELL 2000 ETF SYMBOL: IWM, CUSIP: 464287655	<input type="checkbox"/>	02/12/16	03/08/16	7,078.19	6,718.62	359.57
195.000	JUNIPER NETWORKS SYMBOL: JNPR, CUSIP: 48203R104	<input type="checkbox"/>	04/20/16	10/12/16	4,553.58	4,587.26	-33.68
140.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	<input type="checkbox"/>	01/06/16	03/01/16	1,737.29	1,648.88	88.41
250.000	KB HOME SYMBOL: KBH, CUSIP: 48666K109	<input type="checkbox"/>	01/06/16	03/03/16	3,286.75	2,944.42	342.33
80.000	KOHL'S CORP SYMBOL: KSS, CUSIP: 500255104	<input type="checkbox"/>	03/31/16	07/07/16	3,055.27	3,704.78	-649.51
20.000	KOHL'S CORP SYMBOL: KSS, CUSIP: 500255104	<input type="checkbox"/>	03/31/16	08/12/16	908.70	926.19	-17.49
40.000	KOHL'S CORP SYMBOL: KSS, CUSIP: 500255104	<input type="checkbox"/>	05/12/16	08/12/16	1,817.40	1,401.01	416.39
20.000	LEXINGTON REALTY TRUST SYMBOL: LXP, CUSIP: 529043101	<input type="checkbox"/>	01/14/16	05/12/16	185.33	146.62	38.71

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
210.000	LEXINGTON REALTY TRUST SYMBOL: LXP, CUSIP: 529043101	<input type="checkbox"/>	09/02/15	05/12/16	1,945.92	1,652.78	293.14
270.000	LEXINGTON REALTY TRUST SYMBOL: LXP, CUSIP: 529043101	<input type="checkbox"/>	01/08/16	05/12/16	2,501.90	2,104.87	397.03
365.000	LEXINGTON REALTY TRUST SYMBOL: LXP, CUSIP: 529043101	<input type="checkbox"/>	08/26/15	05/12/16	3,382.20	2,875.47	506.73
110.000	MACYS INC SYMBOL: M, CUSIP: 55616P104	<input type="checkbox"/>	12/18/15	07/07/16	3,719.37	3,833.50	-114.13
25.000	MERCK & CO INC ORIGINAL COST 1,346.77 WASH SALE LOSS DISALLOWED: 70.77 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	08/25/15	01/12/16	1,276.00	1,276.00	0.00
55.000	MERCK & CO INC ORIGINAL COST 2,815.92 WASH SALE LOSS DISALLOWED: 8.71 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	10/05/15	01/12/16	2,807.21	2,807.21	0.00
5.000	MERCK & CO INC ORIGINAL COST 262.42 WASH SALE LOSS DISALLOWED: 7.22 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	12/15/15	01/12/16	255.20	255.20	0.00
25.000	MERCK & CO INC ORIGINAL COST 1,312.12 WASH SALE REPLACEMENT ADDITION: 70.77 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	12/15/15	04/28/16	1,398.46	1,382.90	15.57
5.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	12/15/15	04/28/16	279.69	262.42	17.27
5.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	02/03/16	04/28/16	279.69	249.99	29.70
55.000	MERCK & CO INC ORIGINAL COST 2,866.66 WASH SALE REPLACEMENT ADDITION: 8.71 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	12/15/15	04/28/16	3,076.61	2,895.38	181.23
5.000	MERCK & CO INC ORIGINAL COST 249.98 WASH SALE REPLACEMENT ADDITION: 7.22 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	02/03/16	08/08/16	312.41	267.21	55.20
20.000	MERCK & CO INC SYMBOL: MRK, CUSIP: 58933Y105	<input type="checkbox"/>	02/03/16	08/08/16	1,249.63	999.96	249.68

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
30.000	MICROSOFT CORP SYMBOL: MSFT, CUSIP: 594918104	<input type="checkbox"/>	05/20/16	08/08/16	1,733.78	1,534.79	198.99
15.000	MICROSOFT CORP SYMBOL: MSFT, CUSIP: 594918104	<input type="checkbox"/>	05/20/16	09/09/16	849.58	767.40	82.19
90.000	NORDSTROM INC SYMBOL: JWN, CUSIP: 655664100	<input type="checkbox"/>	12/21/15	01/15/16	4,085.89	4,473.87	-387.98
195.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	<input type="checkbox"/>	01/22/16	02/24/16	2,926.14	2,863.75	62.39
25.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	<input type="checkbox"/>	02/03/16	04/05/16	421.62	343.60	78.02
100.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	<input type="checkbox"/>	01/22/16	04/05/16	1,886.49	1,468.59	217.90
45.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	<input type="checkbox"/>	09/15/16	11/01/16	980.66	855.53	125.12
160.000	OLIN CORPORATION SYMBOL: OLN, CUSIP: 680665205	<input type="checkbox"/>	02/03/16	11/01/16	3,486.78	2,199.02	1,287.76
75.000	PFIZER INC SYMBOL: PFE, CUSIP: 717081103	<input type="checkbox"/>	01/26/16	04/08/16	2,444.19	2,287.58	156.61
30.000	PFIZER INC SYMBOL: PFE, CUSIP: 717081103	<input type="checkbox"/>	01/26/16	11/09/16	975.56	915.03	60.53
120.000	PITNEY BOWES INC SYMBOL: PBI, CUSIP: 724479100	<input type="checkbox"/>	12/21/15	03/07/16	2,377.45	2,381.46	-4.01
105.000	PITNEY BOWES INC SYMBOL: PBI, CUSIP: 724479100	<input type="checkbox"/>	12/21/15	03/18/16	2,223.84	2,083.78	140.06
125.000	PITNEY BOWES INC SYMBOL: PBI, CUSIP: 724479100	<input type="checkbox"/>	01/14/16	03/18/16	2,647.43	2,339.30	308.13
160.000	POWERSHARES DB MULTI-SECTOR COMMODITY TR OIL FUND ETF SYMBOL: DBO, CUSIP: 73936B507	<input type="checkbox"/>	01/22/16	02/23/16	1,136.45	1,208.00	-71.55
180.000	POWERSHARES DB MULTI-SECTOR COMMODITY TR OIL FUND ETF SYMBOL: DBO, CUSIP: 73936B507	<input type="checkbox"/>	01/21/16	02/23/16	1,278.51	1,274.18	4.33
390.000	PROSHARES SHORT S&P500 ETF CUSIP: 74347R503	<input type="checkbox"/>	01/08/16	01/12/16	8,591.04	8,640.96	-49.92
420.000	PROSHARES SHORT S&P500 ETF CUSIP: 74347R503	<input type="checkbox"/>	01/07/16	01/12/16	9,251.88	9,203.12	48.76

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
235.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 4,730.57 WASH SALE LOSS DISALLOWED: 188.26 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	11/17/15	01/14/16	5,285.05	5,285.05	0.00
5.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 96.88 WASH SALE REPLACEMENT ADDITION: 22.08 WASH SALE LOSS DISALLOWED: 8.52 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/02/15	01/14/16	112.45	112.45	0.00
355.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,878.51 WASH SALE REPLACEMENT ADDITION: 1,681.27 WASH SALE LOSS DISALLOWED: 575.98 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/02/15	01/14/16	7,983.80	7,983.80	0.00
360.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 7,246.83 WASH SALE REPLACEMENT ADDITION: 817.41 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	11/17/15	01/14/16	8,096.25	8,064.25	32.00
360.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,975.39 WASH SALE REPLACEMENT ADDITION: 533.22 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/02/15	01/20/16	8,464.30	7,508.61	955.69
50.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 968.80 WASH SALE LOSS DISALLOWED: 47.27 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/02/15	02/10/16	1,158.33	1,158.33	0.00
60.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,243.75 WASH SALE REPLACEMENT ADDITION: 223.24	<input type="checkbox"/>	12/11/15	02/10/16	1,390.00	1,390.00	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 77.00 SYMBOL: SDS, CUSIP: 74347B300						
185.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 3,834.90 WASH SALE REPLACEMENT ADDITION: 297.90 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	02/10/16	4,285.82	4,132.80	153.02
715.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/02/15	02/10/16	16,564.11	14,912.94	1,651.17
295.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 6,115.11 WASH SALE REPLACEMENT ADDITION: 436.94 WASH SALE LOSS DISALLOWED: 1,179.87 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	06/15/16	5,372.19	5,372.19	0.00
30.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 621.87 WASH SALE REPLACEMENT ADDITION: 73.07 WASH SALE LOSS DISALLOWED: 148.62 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	06/15/16	548.32	546.32	0.00
160.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 3,316.67 WASH SALE LOSS DISALLOWED: 998.25 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	06/15/16	2,913.73	2,913.73	0.00
5.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 113.46 WASH SALE REPLACEMENT ADDITION: 6.52 WASH SALE LOSS DISALLOWED: 28.93 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	06/15/16	91.05	91.05	0.00
355.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 8,056.08 WASH SALE REPLACEMENT ADDITION: 575.98	<input type="checkbox"/>	02/02/16	06/15/16	6,464.83	6,464.83	0.00

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Schedule of Realized Gains and Losses (con't)

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QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 2,167.23 SYMBOL: SDS, CUSIP: 74347B300						
50.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,134.88 WASH SALE REPLACEMENT ADDITION: 47.27 WASH SALE LOSS DISALLOWED: 271.39 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	06/15/16	910.54	910.54	0.00
235.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 5,332.90 WASH SALE REPLACEMENT ADDITION: 188.28 WASH SALE LOSS DISALLOWED: 1,241.62 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	06/15/16	4,279.54	4,279.54	0.00
60.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,361.59 WASH SALE REPLACEMENT ADDITION: 77.00 WASH SALE LOSS DISALLOWED: 345.94 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	08/15/16	1,092.65	1,092.65	0.00
10.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 226.93 WASH SALE LOSS DISALLOWED: 44.82 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	06/15/16	182.11	182.11	0.00
485.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	11/02/16	8,443.67	11,006.20	-2,562.54
40.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/24/16	11/02/16	696.38	904.00	-207.62
570.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/24/16	11/04/16	9,917.22	12,882.00	-2,964.78
55.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	03/03/16	11/04/16	956.92	1,121.02	-164.10

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
305.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	03/03/16	11/09/16	4,943.88	6,216.57	-1,272.69
155.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	03/03/16	12/07/16	2,346.64	3,159.24	-812.60
325.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	03/08/16	12/21/16	4,793.80	6,677.97	-1,884.17
220.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	03/03/16	12/21/16	3,245.04	4,484.08	-1,239.05
400.000	PROSHARES TR SHORT RUSSELL2000 SYMBOL: RWM, CUSIP: 74348A210	<input type="checkbox"/>	06/23/16	06/28/16	24,676.14	23,408.00	1,268.14
220.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 ORIGINAL COST 9,084.31 WASH SALE LOSS DISALLOWED: 382.29 SYMBOL: TWM, CUSIP: 74348A319	<input type="checkbox"/>	03/23/16	03/29/16	8,682.02	8,682.02	0.00
220.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 ORIGINAL COST 8,233.19 WASH SALE REPLACEMENT ADDITION: 382.29 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: TWM, CUSIP: 74348A319	<input type="checkbox"/>	04/15/16	05/24/16	8,119.69	8,615.48	-495.79
150.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL: TWM, CUSIP: 74348A319	<input type="checkbox"/>	04/15/16	05/24/16	5,536.16	5,613.54	-77.38
315.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL: TWM, CUSIP: 74348A319	<input type="checkbox"/>	08/01/16	09/14/16	9,674.28	9,758.64	-84.36
405.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	<input type="checkbox"/>	07/30/15	02/18/16	2,732.19	2,912.08	-179.89
95.000	QUALCOMM INC SYMBOL: QCOM, CUSIP: 747525103	<input type="checkbox"/>	11/18/15	05/26/16	5,280.51	4,529.51	751.00
30.000	QUALCOMM INC SYMBOL: QCOM, CUSIP: 747525103	<input type="checkbox"/>	01/28/16	08/08/16	1,840.75	1,322.18	518.57

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
15.000	QUALCOMM INC SYMBOL: QCOM, CUSIP: 747525103	<input type="checkbox"/>	01/28/16	09/09/16	909.43	661.09	248.34
5.000	QUALCOMM INC SYMBOL: QCOM, CUSIP: 747525103	<input type="checkbox"/>	01/28/16	11/01/16	338.69	220.36	118.33
35.000	QUALCOMM INC SYMBOL: QCOM, CUSIP: 747525103	<input type="checkbox"/>	03/30/16	11/01/16	2,370.85	1,801.53	569.32
555.000	RAIT FINL TR COM SYMBOL: RAS, CUSIP: 749227609	<input type="checkbox"/>	12/09/15	01/12/16	1,276.47	1,608.83	-332.36
55.000	ROYAL CARIBBEAN CRUISES LTD SYMBOL: RCL, CUSIP: V7780T103	<input type="checkbox"/>	03/28/16	10/03/16	4,081.61	4,147.79	-66.18
5.000	ROYAL CARIBBEAN CRUISES LTD SYMBOL: RCL, CUSIP: V7780T103	<input type="checkbox"/>	03/28/16	11/15/16	414.02	377.07	36.95
31.000	ROYAL CARIBBEAN CRUISES LTD SYMBOL: RCL, CUSIP: V7780T103	<input type="checkbox"/>	03/29/16	11/15/16	2,566.92	2,358.74	208.18
85.000	SEAGATE TECHNOLOGY PLC SYMBOL: STX, CUSIP: G7945M107	<input type="checkbox"/>	04/14/16	05/02/16	1,743.68	2,340.05	-596.37
5.000	SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SIR, CUSIP: 81618T100	<input type="checkbox"/>	01/07/16	05/10/16	122.63	97.52	25.11
120.000	SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SIR, CUSIP: 81618T100	<input type="checkbox"/>	09/18/15	05/10/16	2,943.09	2,262.83	680.26
95.000	SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SIR, CUSIP: 81618T100	<input type="checkbox"/>	01/07/16	06/01/16	2,320.94	1,852.79	468.15
105.000	SELECT INCOME REIT COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SIR, CUSIP: 81618T100	<input type="checkbox"/>	01/07/16	07/05/16	2,749.08	2,047.81	701.27
380.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND ORIGINAL COST 9,006.30 WASH SALE LOSS DISALLOWED: 464.06 SYMBOL: XLF, CUSIP: 81369Y605	<input type="checkbox"/>	12/22/15	01/07/16	8,542.24	8,542.24	0.00
200.000	SELECT SECTOR SPDR TRUST	<input type="checkbox"/>	01/04/16	02/02/16	4,212.90	4,896.24	-683.34

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	THE FINANCIAL SELECT SECTOR SPDR FUND ORIGINAL COST 4,652.00 WASH SALE REPLACEMENT ADDITION: 244.24 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: XLF, CUSIP: 81369Y605						
180.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND ORIGINAL COST 3,902.36 WASH SALE REPLACEMENT ADDITION: 219.82 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: XLF, CUSIP: 81369Y605	<input type="checkbox"/>	01/19/16	02/02/16	3,791.61	4,122.18	-330.57
225.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND SYMBOL: XLF, CUSIP: 81369Y605	<input type="checkbox"/>	01/19/16	02/02/16	4,739.51	4,877.96	-138.44
198.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	07/21/15	04/13/16	3,574.30	3,360.30	214.00
135.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	07/21/15	05/11/16	2,467.21	2,269.70	197.51
32.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	07/21/15	06/01/16	593.75	538.01	55.74
93.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	07/22/15	06/01/16	1,725.60	1,551.03	174.57
52.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	07/22/15	06/20/16	1,034.16	867.23	166.93
83.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	11/04/15	08/20/16	1,650.69	1,208.27	442.41
134.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 22,088.71	<input type="checkbox"/>	01/12/16	01/13/16	21,679.46	21,879.46	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED: 409.25 SYMBOL: DIA, CUSIP: 78467X109						
134.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 22,088.71 WASH SALE LOSS DISALLOWED: 409.25 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	01/12/16	01/13/16	21,679.46	21,679.46	0.00
134.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 21,569.49 WASH SALE REPLACEMENT ADDITION: 409.25 WASH SALE LOSS DISALLOWED: 6.75 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	01/19/16	02/01/16	21,896.56	21,972.00	-75.44
1.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 160.96 WASH SALE REPLACEMENT ADDITION: 3.05 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	01/19/16	02/01/16	163.41	164.02	-0.61
12.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 1,885.61 WASH SALE REPLACEMENT ADDITION: 38.85 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	01/20/16	02/01/16	1,960.89	1,922.26	38.62
27.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 4,291.56 WASH SALE REPLACEMENT ADDITION: 82.46 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	02/12/16	02/19/16	4,409.54	4,374.03	35.51
53.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78467X109	<input type="checkbox"/>	01/20/16	02/19/16	8,655.77	8,489.99	165.77
11.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 1,748.41 WASH SALE REPLACEMENT ADDITION: 8.75 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: DIA, CUSIP: 78487X109	<input type="checkbox"/>	02/12/16	02/29/16	1,823.13	1,755.16	67.97
41.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 SYMBOL: DIA, CUSIP: 78487X109	<input type="checkbox"/>	02/12/16	02/29/16	6,795.31	6,642.04	153.26

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
130.000	SPDR SER TR S&P HOMEBUILDERS ETF SYMBOL: XHB, CUSIP: 78464A888	<input type="checkbox"/>	12/23/15	01/20/16	3,663.48	4,478.42	-814.94
230.000	SPDR SER TR S&P HOMEBUILDERS ETF SYMBOL: XHB, CUSIP: 78464A888	<input type="checkbox"/>	01/14/16	01/20/16	6,481.53	6,950.35	-468.82
374.000	SPIRIT REALTY CAPITAL INC SYMBOL: SRC, CUSIP: 84860W102	<input type="checkbox"/>	08/26/15	01/20/16	3,389.05	3,574.60	-185.55
185.000	SPIRIT REALTY CAPITAL INC SYMBOL: SRC, CUSIP: 84860W102	<input type="checkbox"/>	09/10/15	01/20/16	1,676.40	1,649.86	26.54
390.000	STAPLES INC SYMBOL: SPLS, CUSIP: 855030102	<input type="checkbox"/>	05/24/16	11/09/16	3,110.06	3,286.49	-176.43
200.000	STAPLES INC SYMBOL: SPLS, CUSIP: 855030102	<input type="checkbox"/>	06/27/16	11/09/16	1,594.90	1,642.64	-47.74
45.000	STATE STREET CORP SYMBOL: STT, CUSIP: 857477103	<input type="checkbox"/>	06/28/16	08/08/16	3,063.42	2,305.16	758.26
21.000	STATE STREET CORP SYMBOL: STT, CUSIP: 857477103	<input type="checkbox"/>	06/28/16	11/15/16	1,650.91	1,075.74	575.17
240.000	TEREX CORP SYMBOL: TEX, CUSIP: 880779103	<input type="checkbox"/>	12/15/15	01/11/16	3,965.32	4,382.64	-417.32
180.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	<input type="checkbox"/>	07/08/15	01/14/16	813.94	1,196.86	-382.92
50.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	<input type="checkbox"/>	11/05/15	02/26/16	384.76	409.28	-24.52
35.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	<input type="checkbox"/>	12/07/15	08/09/16	311.08	289.31	21.78
275.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	<input type="checkbox"/>	11/05/15	08/09/16	2,444.22	2,251.04	193.18
50.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	<input type="checkbox"/>	07/28/15	01/15/16	2,221.76	2,290.69	-68.93
45.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	<input type="checkbox"/>	07/28/15	02/02/16	2,252.17	2,061.62	190.55
50.000	VERIZON COMMUNICATIONS SYMBOL: VZ, CUSIP: 92343V104	<input type="checkbox"/>	07/28/15	04/05/16	2,701.84	2,290.89	411.15
80.000	WAL-MART STORES INC SYMBOL: WMT, CUSIP: 931142103	<input type="checkbox"/>	11/12/15	01/04/16	4,850.57	4,575.88	274.71
75.000	WAL-MART STORES INC SYMBOL: WMT, CUSIP: 931142103	<input type="checkbox"/>	11/12/15	01/08/16	4,856.36	4,289.86	566.50

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
45.000	WELLS FARGO & CO SYMBOL: WFC, CUSIP: 949746101	<input type="checkbox"/>	02/26/16	05/26/16	2,271.12	2,173.01	98.11
90.000	WELLS FARGO & CO SYMBOL: WFC, CUSIP: 949746101	<input type="checkbox"/>	02/26/16	11/03/16	4,077.06	4,346.02	-268.96
15.000	WELLS FARGO & CO SYMBOL: WFC, CUSIP: 949746101	<input type="checkbox"/>	09/15/16	11/03/16	679.51	683.25	-3.74
55.000	WELLS FARGO & CO SYMBOL: WFC, CUSIP: 949746101	<input type="checkbox"/>	09/15/16	11/09/16	2,581.75	2,505.24	76.51
13.000	WELLS FARGO & CO SYMBOL: WFC, CUSIP: 949746101	<input type="checkbox"/>	09/15/16	11/15/16	676.05	592.15	83.90
112.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	07/28/15	06/14/16	1,616.46	1,387.53	228.93
42.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	08/24/15	07/12/16	663.55	454.89	208.66
68.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	07/28/15	07/12/16	1,074.32	840.21	234.11
49.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	04/06/15	03/03/16	383.47	567.88	-184.41
291.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	05/29/15	03/03/16	2,277.34	2,353.64	-76.29
29.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	05/29/15	04/14/16	243.31	230.20	13.11
161.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	06/03/15	04/14/16	1,350.79	1,250.44	100.35
59.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	06/03/15	05/11/16	527.77	458.23	69.54
66.000	WINDSTREAM HOLDINGS INC COM SYMBOL: WIN, CUSIP: 97382A200	<input type="checkbox"/>	07/22/15	05/11/16	580.39	311.06	279.33
Short-Term Subtotal					710,826.11		1,243.23

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Schedule of Realized Gains and Losses (con't)

		Long-Term			NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE			
145.000	AT&T INC SYMBOL: T, CUSIP: 00206R102	<input type="checkbox"/>	12/03/14	01/15/16	4,937.04	4,935.08	1.96
5.000	AT&T INC SYMBOL: T, CUSIP: 00206R102	<input type="checkbox"/>	03/30/15	07/05/16	218.15	164.99	53.16
130.000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	<input type="checkbox"/>	03/20/14	03/31/16	1,227.30	1,177.83	49.48
155.000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	<input type="checkbox"/>	04/14/14	03/31/16	1,463.33	1,412.58	50.75
40.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	<input type="checkbox"/>	01/29/15	03/07/16	1,700.01	1,890.79	-190.79
59.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	04/06/15	06/01/16	1,456.52	1,754.18	-297.66
96.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	04/27/15	06/01/16	2,369.92	2,637.76	-267.84
84.000	COMMUNICATIONS SALES & LEASING INC COM CUSIP: 20341J104	<input type="checkbox"/>	04/27/15	06/14/16	2,194.98	2,308.03	-113.05
30.000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP: 369604103	<input type="checkbox"/>	10/13/14	01/07/16	872.08	725.97	146.11
120.000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP: 369604103	<input type="checkbox"/>	08/04/14	01/07/16	3,488.33	3,024.00	464.33
65.000	GENERAL ELECTRIC COMPANY COM SYMBOL: GE, CUSIP: 369604103	<input type="checkbox"/>	10/13/14	07/12/16	2,093.02	1,572.94	520.09
120.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	09/25/13	08/02/16	1,044.85	861.12	183.73
180.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	08/13/13	08/02/16	1,567.28	1,288.25	301.03
230.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	01/24/14	08/02/16	2,002.63	1,640.36	362.27
60.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	01/24/14	09/27/16	594.13	427.92	166.21

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
195.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	11/20/14	09/27/16	1,930.92	1,698.82	232.10
145.000	INDEPENDENCE REALTY TRUST INC SYMBOL: IRT, CUSIP: 45378A106	<input type="checkbox"/>	06/29/15	09/27/16	1,435.82	1,100.59	335.23
355.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	03/17/14	06/01/16	2,295.91	4,823.30	-2,527.38
275.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	09/25/13	06/01/16	1,778.52	3,754.18	-1,975.66
75.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	09/04/13	06/01/16	485.05	971.07	-486.01
230.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	06/26/14	06/09/16	1,480.22	2,935.39	-1,455.17
125.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	09/30/14	06/09/16	804.47	1,471.10	-666.63
45.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	03/17/14	06/09/16	289.61	611.40	-321.80
580.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	12/05/14	08/19/16	4,462.71	6,131.59	-1,668.88
240.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	10/10/14	08/19/16	1,846.64	2,711.54	-864.90
160.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	09/30/14	08/19/16	1,231.09	1,883.01	-651.92
22.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	02/10/15	08/19/16	169.28	206.49	-37.21
43.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	02/10/15	08/22/16	323.30	403.59	-80.29
50.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	02/10/15	11/16/16	391.82	469.29	-77.47
30.000	MEDLEY CAPITAL CORPORATION SYMBOL: MCC, CUSIP: 58503F106	<input type="checkbox"/>	04/22/15	11/16/16	235.09	271.53	-36.44
175.000	POWERSHARES EXCHAN CEF INCOM COMPOSITE PT ETF SYMBOL: PCEF, CUSIP: 73936Q843	<input type="checkbox"/>	11/28/14	05/09/16	3,794.02	4,152.33	-358.31
220.000	POWERSHARES EXCHAN CEF INCOM COMPOSITE PT ETF SYMBOL: PCEF, CUSIP: 73936Q843	<input type="checkbox"/>	11/28/14	08/01/16	4,820.05	5,211.10	-391.05
25.000	PROSHARES TR	<input type="checkbox"/>	12/11/15	02/10/16	579.16	579.18	0.00

CORRECTED COPY: March 15, 2017

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 518.23 WASH SALE REPLACEMENT ADDITION: 99.07 WASH SALE LOSS DISALLOWED: 38.13 SYMBOL: SDS, CUSIP: 74347B300						
70.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,451.04 WASH SALE REPLACEMENT ADDITION: 303.29 WASH SALE LOSS DISALLOWED: 479.57 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	06/15/16	1,274.76	1,274.76	0.00
85.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,761.98 WASH SALE REPLACEMENT ADDITION: 246.18 WASH SALE LOSS DISALLOWED: 460.25 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	08/15/16	1,547.92	1,547.92	0.00
70.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,451.04 WASH SALE REPLACEMENT ADDITION: 274.91 WASH SALE LOSS DISALLOWED: 451.20 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	12/11/15	06/15/16	1,274.76	1,274.76	0.00
25.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 567.33 WASH SALE REPLACEMENT ADDITION: 38.13 WASH SALE LOSS DISALLOWED: 150.19 SYMBOL: SDS, CUSIP: 74347B300	<input type="checkbox"/>	02/02/16	06/15/16	455.27	455.27	0.00
270.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	<input type="checkbox"/>	03/20/14	02/18/16	1,821.46	2,917.86	-1,096.40
327.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	04/17/14	03/02/16	5,268.71	6,862.70	-1,593.99
98.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	05/28/14	03/02/16	1,579.00	2,180.61	-601.61

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CORRECTED COPY: March 15, 2017

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
2.000	SENIOR HOUSING PROPERTIES TRUST COMMON SHARES OF BENEFICIAL INTEREST SYMBOL: SNH, CUSIP: 81721M109	<input type="checkbox"/>	05/28/14	04/13/16	36.10	44.50	-8.40
85.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	06/22/15	08/15/16	1,709.51	1,803.48	108.04
240.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	05/06/15	08/15/16	4,826.87	4,571.86	255.01
60.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	06/22/15	11/18/16	1,233.30	1,131.86	101.44
65.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	06/30/15	11/18/16	1,336.08	1,179.02	157.06
65.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	07/07/15	11/18/16	1,336.08	1,169.35	166.73
70.000	SOLAR CAPITAL LTD SYMBOL: SLRC, CUSIP: 83413U100	<input type="checkbox"/>	08/03/15	11/18/16	1,438.85	1,238.97	199.88
195.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	<input type="checkbox"/>	03/14/14	01/14/16	881.77	1,911.94	-1,030.17
360.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	<input type="checkbox"/>	11/27/13	02/26/16	2,770.28	3,263.83	-493.55
100.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	<input type="checkbox"/>	09/25/13	02/26/16	769.52	953.20	-183.68
43.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	01/12/12	05/02/16	585.05	444.41	140.64
82.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	08/22/12	05/02/16	1,115.67	955.00	160.67
57.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	09/25/13	05/05/16	778.59	796.66	-18.08
93.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	08/22/12	05/05/16	1,270.32	1,083.07	187.26
58.000	WHITESTONE REIT COMMON SHARE SYMBOL: WSR, CUSIP: 966084204	<input type="checkbox"/>	09/25/13	06/14/16	837.09	808.74	28.36
190.000	WHITESTONE REIT	<input type="checkbox"/>	10/03/13	06/14/16	2,742.21	2,359.58	382.63

THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON- COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	COMMON SHARE SYMBOL: WSR, CUSIP: 966084204						
	Long-Term Subtotal				92,472.42		-12,742.17
Total Gains and Losses					803,298.53		-11,498.94
	Short-Term						1,243.23
	Long-Term						-12,742.17
	Term Unknown						0.00

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:
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CORRECTED COPY: March 15, 2017

1099-DIV (con't)

RBC Capital Markets, LLC - Dividends

BOX 2a - Total capital gain distributions

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
19248X307	COHEN & STEERS PFD SECS & INCOME FD INC CL I				
11/30/16	C M	\$694.23	12/03/16	C M	\$748.99
			TOTAL		\$1,443.22
543487284	LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A				
12/19/16	C M	\$2,227.40			
			TOTAL		\$2,227.40
543487284	LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A				
12/19/16	M X	\$4.31			

REVISED AMOUNTS ARE HIGHLIGHTED FOR YOUR REFERENCE

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3846

ACCOUNT NUMBER:

'231

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CORRECTED COPY: March 15, 2017

1099-DIV (cont) RBC Capital Markets LLC Dividends

BOX 2a – Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION					
DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
543487284	LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A				
TOTAL					\$4.31
65341D102	NEXPOINT RESIDENTIAL TRUST INC				
03/31/16	C M	\$24.30	09/30/16	C M	\$24.30
06/30/16	C M	\$24.30	12/30/16	C M	\$25.95
TOTAL					\$98.85
65341D102	NEXPOINT RESIDENTIAL TRUST INC				
03/31/16	M X	\$20.70	09/30/16	M X	\$20.70
06/30/16	M X	\$20.70	12/30/16	M X	\$22.11
TOTAL					\$84.21

Box 2a Total Amount \$3,857.99

ACCOUNT NUMBER:
: '234
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Schedule 0-5

RBC Capital Markets, LLC - Dividends

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
66537V732	ASTOR DYNAMIC ALLOCATION FUND CLASS I				
01/28/16	C M	\$40.15	07/29/16	C M	\$59.69
04/29/16	C M	\$59.69	10/31/16	C M	\$59.69
			TOTAL		\$412.77
101121101	BOSTON PROPERTIES INC				
01/28/16	C M	\$40.15	07/29/16	C M	\$59.69
04/29/16	C M	\$59.69	10/31/16	C M	\$59.69
			TOTAL		\$219.22
101121101	BOSTON PROPERTIES INC				
01/28/16	M X	\$23.77	07/29/16	M X	\$35.34
04/29/16	M X	\$35.34	10/31/16	M X	\$35.34
			TOTAL		\$129.79
62827M797	MUTUAL FD SER TR CTLYST HGD FTR STRAGY FD CL I				
12/16/16	C	\$13,577.47			
			TOTAL		\$13,577.47
670699107	NUVEEN NASDAQ 100 DYNAMIC OVERWRITE FUND SHARES OF BENEFICIAL INTEREST				
01/28/16	C M	\$852.52	07/29/16	C M	\$852.52
04/29/16	C M	\$852.52	10/31/16	C M	\$852.52
			TOTAL		\$3,410.08

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:

'234

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REG Capital Markets, LLC - Dividends

BOX 2a -- Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
92276F100 VENTAS INC					
03/31/16	C M	\$93.77	09/30/16	C M	\$93.77
06/30/16	C M	\$93.77	12/30/16	C M	\$99.55
			TOTAL		\$380.86
92276F100 VENTAS INC					
03/31/16	M X	\$87.83	09/30/16	M X	\$87.83
06/30/16	M X	\$87.83	12/30/16	M X	\$93.25
			TOTAL		\$356.74

Box 2a Total Amount \$18,486.93

THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:
0103740
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BOX 2a -- Total capital gain distributions

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
04010L103	ARES CAPITAL CORPORATION				
09/30/16	C M	\$11.23			
TOTAL					\$11.23
45378A106	INDEPENDENCE REALTY TRUST INC				
02/16/16	C M	\$50.22	04/15/16	C M	\$50.22
03/15/16	C M	\$50.22	05/16/16	C M	\$50.22

Sch B-6

CORRECTED COPY: March 15, 2017

1099-DIV (con't)

RBC Capital Markets, LLC - Dividends

BOX 2a - Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT	
45378A106 INDEPENDENCE REALTY TRUST INC						
06/15/16	C M	\$50.22	10/17/16	C M	\$16.74	
07/15/16	C M	\$50.22	11/15/16	C M	\$16.74	
08/15/16	C M	\$50.22	12/15/16	C M	\$32.40	
09/15/16	C M	\$31.14	01/17/17	# C M	\$32.40	
TOTAL					\$480.96	
45378A106 INDEPENDENCE REALTY TRUST INC						
02/16/16	M X	\$27.62	08/15/16	M X	\$27.62	
03/15/16	M X	\$27.62	09/15/16	M X	\$17.12	
04/15/16	M X	\$27.62	10/17/16	M X	\$9.20	
05/16/16	M X	\$27.62	11/15/16	M X	\$9.20	
06/15/16	M X	\$27.62	12/15/16	M X	\$17.82	
07/15/16	M X	\$27.62	01/17/17	# M X	\$17.82	
TOTAL					\$264.50	
648691103 NEW SENIOR INVESTMENT GROUP INC						
03/22/16	C M	\$7.18*	09/22/16	C M	\$7.18*	
06/22/16	C M	\$7.18*	12/22/16	C M	\$7.18*	
TOTAL					\$28.72	
648691103 NEW SENIOR INVESTMENT GROUP INC						
03/22/16	M X	\$0.87*	09/22/16	M X	\$0.87*	
06/22/16	M X	\$0.87*	12/22/16	M X	\$0.87*	
TOTAL					\$3.48	
749227609 RAIT FINL TR COM						
01/29/16	C M	\$15.92*	TOTAL			\$15.92
749227609 RAIT FINL TR COM						
01/29/16	M X	\$10.34*	TOTAL			\$10.34
84860W102 SPIRIT REALTY CAPITAL INC						
01/15/16	C M	\$3.39	TOTAL			\$3.39
84860W102 SPIRIT REALTY CAPITAL INC						
01/15/16	M X	\$0.83	TOTAL			\$0.83
87265K102 TPG SPECIALTY LENDING INC COM						
01/31/17	# C M	\$6.78*	TOTAL			\$6.78*

* REVISED AMOUNTS ARE HIGHLIGHTED FOR YOUR REFERENCE

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CORRECTED COPY: March 15, 2017

1099-DIV (con't)

RBC Capital Markets, LLC - Dividends

BOX 2a – Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION

DATE **NOTES** **AMOUNT**
87265K102 TPG SPECIALTY LENDING INC COM

966084204 WHITESTONE REIT COMMON SHARE

07/08/16	C M	\$2.66
08/09/16	C M	\$2.66
09/09/16	C M	\$2.66
10/12/16	C M	\$2.66
11/11/16	C M	\$2.66
12/09/16	C M	\$1.89

966084204 WHITESTONE REIT COMMON SHARE

07/08/16	M X	\$12.75
08/09/16	M X	\$13.05
09/09/16	M X	\$13.05
10/12/16	M X	\$13.05
11/11/16	M X	\$13.05
12/09/16	M X	\$9.28

DATE **NOTES** **AMOUNT**

TOTAL **\$6.78**

07/08/16	C M	\$0.58
08/09/16	C M	\$0.58
09/09/16	C M	\$0.58
10/12/16	C M	\$0.58
11/11/16	C M	\$0.58
12/09/16	C M	\$0.58

TOTAL **\$18.93**

07/08/16	M X	\$2.84
08/09/16	M X	\$2.84
09/09/16	M X	\$2.84
10/12/16	M X	\$2.84
11/11/16	M X	\$2.84
12/09/16	M X	\$2.84

TOTAL **\$92.81**

Box 2a Total Amount \$937.89