Form **990-PF** Department of the Treasury Internal Revenue Service

# Return of Private Foundation

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

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

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

OMB No 1545-0052

**2016**

**Open to Public Inspection**

For calendar year 2016 or tax year beginning , 2016, and ending , 20

Name of foundation: WILLIAM SIEKMAN FDN

A Employer identification number: 39-6539731

Number and street (or P O box number if mail is not delivered to street address): C/O 111 WEST MONROE STREET TAX DIV 10C

Room/suite:

B Telephone number (see instructions): 312-461-5154

City or town, state or province, country, and ZIP or foreign postal code: CHICAGO, IL 60603

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

G Check all that apply: [ ] Initial return [ ] Initial return of a former public charity [ ] Final return [ ] Amended return [ ] Address change [ ] Name change

D 1 Foreign organizations, check here ▶ [ ]

2 Foreign organizations meeting the 85% test, check here and attach computation ▶ [ ]

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 2,494,018.

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

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

**Part I Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (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 ▶ [X] if the foundation is **not** required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 57,367. | 54,357. | | STMT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 408,880. | | | |
| | b Gross sales price for all assets on line 6a 1,787,628. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 408,880. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 466,247. | 463,237. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 17,249. | 8,624. | | 8,624. |
| | 14 Other employee salaries and wages | | NONE | NONE | |
| | 15 Pension plans, employee benefits | | NONE | NONE | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) STMT 6 | 1,530. | 765. | NONE | 765. |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) STMT 7 | 1,095. | 375. | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | NONE | NONE | |
| | 22 Printing and publications | | NONE | NONE | |
| | 23 Other expenses (attach schedule) | | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 19,874. | 9,764. | NONE | 9,389. |
| | 25 Contributions, gifts, grants paid | 114,498. | | | 114,498. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 134,372. | 9,764. | NONE | 123,887. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | 331,875. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 453,473. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | | |

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## Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions )

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | 2,533. | | |
| | 2 | Savings and temporary cash investments | 98,093. | 78,664. | 78,664. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less allowance for doubtful accounts ▶ NONE | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments - U S and state government obligations (attach schedule) | 143,558. | 97,012. | 96,693. |
| | b | Investments - corporate stock (attach schedule) | 1,100,490. | 1,148,783. | 1,241,534. |
| | c | Investments - corporate bonds (attach schedule) | 729,492. | 1,083,460. | 1,077,127. |
| | 11 | Investments - land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | **Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I) | 2,074,166. | 2,407,919. | 2,494,018. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | | NONE | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.** ▶ ☒ | | | |
| | 27 | Capital stock, trust principal, or current funds | 2,074,166. | 2,407,919. | |
| | 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) | 2,074,166. | 2,407,919. | |
| | 31 | **Total liabilities and net assets/fund balances** (see instructions) | 2,074,166. | 2,407,919. | |

## 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 | 2,074,166. |
| 2 | Enter amount from Part I, line 27a | 2 | 331,875. |
| 3 | Other increases not included in line 2 (itemize) ▶ TIMING DIFFERENCE | 3 | 1,878. |
| 4 | Add lines 1, 2, and 3 | 4 | 2,407,919. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 2,407,919. |

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

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 1,787,628. | | 1,378,748. | 408,880. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | 408,880. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } **2** 408,880.

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part

1 Enter the appropriate amount in each column for each year, see 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 | 88,515. | 2,500,801. | 0.035395 |
| 2014 | 75,512. | 1,772,310. | 0.042607 |
| 2013 | 70,903. | 1,494,738. | 0.047435 |
| 2012 | 73,000. | 1,409,993. | 0.051773 |
| 2011 | 67,266. | 1,402,759. | 0.047953 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) . . . . . | 2 | 0.225163 |
| 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 | 0.045033 |
| 4 | Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 . . . . . | 4 | 2,450,895. |
| 5 | Multiply line 4 by line 3. . . . . | 5 | 110,371. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) . . . . . | 6 | 4,535. |
| 7 | Add lines 5 and 6. . . . . | 7 | 114,906. |
| 8 | Enter qualifying distributions from Part XII, line 4 . . . . . | 8 | 123,887. |

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

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

| | | | | |
|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter ______ (attach copy of letter if necessary - see instructions) | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b | | 1 | 4,535. |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 2 | |
| 3 | Add lines 1 and 2 | | 3 | 4,535. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 4 | NONE |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | | 5 | 4,535. |
| 6 | Credits/Payments | | | |
| a | 2016 estimated tax payments and 2015 overpayment credited to 2016 | 6a 1,426. | | |
| b | Exempt foreign organizations - tax withheld at source | 6b NONE | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c NONE | | |
| d | Backup withholding erroneously withheld | 6d | | |
| 7 | Total credits and payments. Add lines 6a through 6d | | 7 | 1,426. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | 3,109. |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | |
| 11 | Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ NONE **Refunded** ▶ | | 11 | |

**Part VII-A Statements Regarding Activities**

| | | Line | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? | 1b | | X |
| | *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ______ (2) On foundation managers ▶ $ ______ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ WI | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 10 | | X |

## Part VII-A Statements Regarding Activities *(continued)*

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ BMO HARRIS BANK N.A. Telephone no ▶ (920)738-3827
Located at ▶ 221 W COLLEGE AVE, APPLETON, WI ZIP+4 ▶ 54912

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

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶ | | | |

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly): | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | 1b | | 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? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____ , ____ , ____ , ____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions ) | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ____ , ____ , ____ , ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016 )* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? | 4b | | X |

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

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

**(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? . . . . . . [ ] Yes [X] 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 [X] No

**(3)** Provide a grant to an individual for travel, study, or other similar purposes? . . . . . . [ ] Yes [X] No

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

**b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? . . . . . . **5b**

Organizations relying on a current notice regarding disaster assistance check here . . . . . . ▶ [ ]

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

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

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . . . [ ] Yes [X] No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . . . **6b** X (No)

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

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? . . [ ] Yes [X] No

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . . . **7b**

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| BMO HARRIS BANK N.A.<br>C/O 111 WEST MONROE ST, TAX DIV 10C, CHICAGO, IL 6060 | TRUSTEE<br>2 | 17,249. | -0- | -0- |
| | | | | |
| | | | | |
| | | | | |

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

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

**Total** number of other employees paid over $50,000 . . . . . . ▶ NONE

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

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

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

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

| List the foundation s four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 NONE | |
| 2 | |
| 3 | |
| 4 | |

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

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

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 2,367,064. |
| b | Average of monthly cash balances | 1b | 121,154. |
| c | Fair market value of all other assets (see instructions) | 1c | NONE |
| d | **Total** (add lines 1a, b, and c) | 1d | 2,488,218. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | NONE |
| 3 | Subtract line 2 from line 1d | 3 | 2,488,218. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 37,323. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 2,450,895. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 122,545. |

**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 | 122,545. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 | 2a | 4,535. | | |
| b | Income tax for 2016. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 4,535. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 118,010. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 1,000. |
| 5 | Add lines 3 and 4 | | | 5 | 119,010. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | NONE |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 119,010. |

**Part XII** **Qualifying Distributions** (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 123,887. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | NONE |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | NONE |
| b | Cash distribution test (attach the required schedule) | 3b | NONE |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 123,887. |
| 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 | 4,535. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 119,352. |

**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 | | | | 119,010. |
| 2 Undistributed income, if any, as of the end of 2016 | | | | |
| a Enter amount for 2015 only | | | 113,497. | |
| b Total for prior years 20 14 ,20____,20____ | | NONE | | |
| 3 Excess distributions carryover, if any, to 2016 | | | | |
| a From 2011 . . . . . . NONE | | | | |
| b From 2012 . . . . . . NONE | | | | |
| c From 2013 . . . . . . NONE | | | | |
| d From 2014 . . . . . . NONE | | | | |
| e From 2015 . . . . . . NONE | | | | |
| f **Total** of lines 3a through e | NONE | | | |
| 4 Qualifying distributions for 2016 from Part XII, line 4: ▶ $ 123,887. | | | | |
| a Applied to 2015, but not more than line 2a | | | 113,497. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | NONE | | |
| c Treated as distributions out of corpus (Election required - see instructions) | NONE | | | |
| d Applied to 2016 distributable amount | | | | 10,390. |
| e Remaining amount distributed out of corpus | NONE | | | |
| 5 Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | NONE | | | NONE |
| 6 **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e. Subtract line 5 | NONE | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | NONE | | |
| 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 | | NONE | | |
| d Subtract line 6c from line 6b Taxable amount - see instructions | | NONE | | |
| e Undistributed income for 2015. Subtract line 4a from line 2a Taxable amount - see instructions | | | | |
| f Undistributed income for 2016 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017 | | | | 108,620. |
| 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) | NONE | | | |
| 8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) | NONE | | | |
| 9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a | NONE | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2012 . . . NONE | | | | |
| b Excess from 2013 . . . NONE | | | | |
| c Excess from 2014 . . . NONE | | | | |
| d Excess from 2015 . . . NONE | | | | |
| e Excess from 2016 . . . NONE | | | | |

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) NOT APPLICABLE

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

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

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

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

**1 Information Regarding Foundation Managers:**

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

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:

SEE STATEMENT 8

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

SEE ATTACHED STATEMENT FOR LINE 2

c Any submission deadlines:

SEE ATTACHED STATEMENT FOR LINE 2

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

SEE ATTACHED STATEMENT FOR LINE 2

**Part XV Supplementary Information** *(continued)*

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SEE STATEMENT 17 | | | | 114,498. |
| **Total** . . . . . . . . ▶ **3a** | | | | 114,498. |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . ▶ **3b** | | | | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 57,367. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 408,880. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 466,247. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 466,247.

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

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.) |
|---|---|
| | NOT APPLICABLE |

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

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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

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

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

Signature of officer or trustee — Date: 4-17-17 — Title: BMO Harris Bank N.A., Trustee

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| PATRICK T. BURKE | | 3/12/17 | | P00010768 |
| Firm's name ▶ FRIEDMAN & HUEY ASSOCIATES LLP | | | Firm's EIN ▶ 36-3382360 | |
| Firm's address ▶ 1313 WEST 175TH STREET HOMEWOOD, IL 60430 | | | Phone no 708-799-6800 | |

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| CHAMPLAIN MID CAP FUND-INS | 832. | 832. |
| WESTWOOD SHORT DURAT H/Y - I | 1,259. | 1,259. |
| AETNA INC NEW COMMON STOCK | 68. | 68. |
| ALLIANCE DATA SYSTEMS CORP COMMON STOCK | 6. | 6. |
| ALLSTATE CORP | 13. | 13. |
| AMEREN CORP | 100. | 100. |
| AMERICAN ELECTRIC POWER INC COMMON STOCK | 151. | 151. |
| AMERICAN INTERNATIONAL GROUP | 26. | 26. |
| AMERIPRISE FINANCIAL INC. | 756. | 756. |
| AMGEN INC COMMON STOCK | 60. | 60. |
| APPLE COMPUTER INC COMMON STOCK | 617. | 617. |
| APPLIED MATERIALS INC COMMON STOCK | 22. | 22. |
| ARCHER DANIELS MIDLAND COMPANY COMMON ST | 261. | 261. |
| AVERY DENNISON CORP COMMON STOCK | 94. | 94. |
| BAIRD CORE PLUS BOND FUND-IS | 2,868. | 2,868. |
| BAKER HUGHES INC COMMON STOCK | 112. | 112. |
| BECTON DICKINSON & COMPANY COMMON STOCK | 58. | 58. |
| BED BATH & BEYOND INC COMMON STOCK | 12. | 12. |
| BLACKROCK STRATEGIC INCOME OPP FD-IN | 882. | 882. |
| BLACKHAWK PA SCH DIS 3.000% 3/01/19 | 262. | -188. |
| BMO PYRFORD INTL STOCK FUND CLASS I | 1,780. | 1,780. |
| BMO ULTRA SHORT TAX-FREE FUND CL I | 114. | 114. |
| BMO SHORT-TERM INCOME FUND CLASS I | 522. | 522. |
| BMO PRIME MMKT PREMIER | 201. | 201. |
| BMO GOVERNMENT MMKT PREMIER | 64. | 64. |
| BMO MORTGAGE INCOME FUND - I | 1,241. | 1,241. |
| BOEING COMPANY COMMON STOCK | 633. | 633. |
| CIGNA CORPORATION COMMON STOCK | 2. | 2. |
| CVS CORP | 225. | 225. |
| CALAMOS MARKET NEU INC FD-I | 1,360. | 1,360. |
| CAPITAL ONE FINANCIAL CORP COMMON STOCK | 82. | 82. |
| CATERPILLAR INC COMMON STOCK | 79. | 79. |

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| CHEVRON TEXACO INC COMMON STOCK | 37. | 37. |
| CISCO SYSTEMS INC COMMON STOCK | 695. | 695. |
| CITIGROUP INC | 34. | 34. |
| CLEAR LAKE TX WATR 3.000% 3/01/17 | 85. | -215. |
| COCA COLA ENTERPRISES INC | 220. | 220. |
| COMCAST CORP-CL A | 384. | 384. |
| DEUTSCHE X-TRACKERS MSCI EAFE HEDG | 75. | 75. |
| DISCOVER FINL SVCS | 300. | 300. |
| DOUBLELINE CORE FIX INCOME-I | 3,689. | 3,689. |
| DOVER CORPORATION COMMON STOCK | 28. | 28. |
| DR PEPPER SNAPPLE GROUP INC | 177. | 177. |
| EOG RES INC COMMON STOCK | 88. | 88. |
| EMERSON ELECTRIC COMPANY COMMON STOCK | 242. | 242. |
| EXELON CORPORATION COMMON STOCK | 268. | 268. |
| EXXON MOBIL CORP COMMON STOCK | 1,031. | 1,031. |
| FARGO ND 2.000% 5/01/18 | 165. | -135. |
| FEDERATED INST HI YLD BOND FUND | 531. | 531. |
| FEDERATED ULTRA SHORT FD-INS | 513. | 513. |
| FEDEX CORP COMMON STOCK | 9. | 9. |
| FIDELITY ADV FLO RT H/I-I | 2,689. | 2,689. |
| FIFTH THIRD BANCORP | 146. | 146. |
| FOOT LOCKER INC COMMON STOCK | 67. | 67. |
| GATEWAY FUND-Y | 1,271. | 1,271. |
| GENERAL DYNAMICS | 155. | 155. |
| GENERAL ELECTRIC COMPANY COMMON STOCK | 566. | 566. |
| GILEAD SCIENCES INC COMMON STOCK | 180. | 180. |
| HP INC | 67. | 67. |
| HALLIBURTON COMPANY COMMON STOCK | 92. | 92. |
| HARTFORD FLOATING RATE FUND-Y | 3,061. | 3,061. |
| HEWLETT PACKARD ENTERPRISE COMPANY | 30. | 30. |
| HOME DEPOT INC COMMON STOCK | 126. | 126. |
| HOST MARRIOTT CORP NEW COMMON STOCK | 44. | 44. |
| HUMANA INC COMMON STOCK | 25. | 25. |

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| HUNTINGTON INGALLS INDUSTRIES | 109. | 109. |
| INTEL CORPORATION COMMON STOCK | 48. | 48. |
| ISHARES BARCLAYS TIPS BOND ETF | 447. | 447. |
| ISHARES TRUST S&P 500/BARRA VALUE INDEX | 155. | 155. |
| JANUS ENTERPRISE I | 106. | 106. |
| JOHNSON & JOHNSON COMMON STOCK | 628. | 628. |
| KAUKAUNA WI 2.000% 4/01/19 | 156. | -44. |
| KROGER COMPANY | 261. | 261. |
| LEAR CORP | 39. | 39. |
| LILLY ELI & COMPANY COMMON STOCK | 444. | 444. |
| LOWES COS INC - UN | 40. | 40. |
| MACY S INC | 341. | 341. |
| MAGNA INTERNATIONAL INC COMMON STOCK CLA | 77. | 77. |
| MARATHON PETROLEUM CORPORATION | 332. | 332. |
| MASTERCARD INC-A | 228. | 228. |
| MCKESSON HBOC INC COMMON STOCK | 50. | 50. |
| MERCK & CO INC NEW | 166. | 166. |
| MICROSOFT CORP | 678. | 678. |
| MISSISSIPPI ST DEV 4.000% 7/01/19 | 350. | -250. |
| NETAPP INC | 88. | 88. |
| NEVADA ST HSG DIV 2.500% 10/01/16 | 155. | -95. |
| NIKE INC CLASS B COMMON STOCK | 125. | 125. |
| NORDSTROM INC | 43. | 43. |
| NORTHROP GRUMMAN CORP COMMON STOCK | 445. | 445. |
| ORACLE CORPORATION COMMON STOCK | 384. | 384. |
| OSHKOSH TRUCK CORPORATION COMMON STOCK C | 80. | 80. |
| P G & E CORP | 56. | 56. |
| P P G INDUSTRIES INC COMMON STOCK | 286. | 286. |
| PARKER-HANNIFIN CORPORATION COMMON STOCK | 21. | 21. |
| PEPSICO INC | 291. | 291. |
| PFIZER INC COMMON STOCK | 810. | 810. |
| PHILIP MORRIS INTERNATIONAL | 428. | 428. |
| PIMCO INVESTMENT GRD CORP-IN | 1,685. | 1,685. |

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| QUALCOMM, INC. | 269. | 269. |
| S & P 500 DEPOSITARY RECEIPT TR UNIT SER | 1,000. | 1,000. |
| SKYWORKS SOLUTIONS INC COMMON STOCK | 65. | 65. |
| SOUTHWEST AIRLINES COMPANY COMMON STOCK | 131. | 131. |
| SYSCO CORPORATION | 16. | 16. |
| TCW EMERGING MARKETS INCOME I | 1,494. | 1,494. |
| TAMPA BAY FL ETM 3.000% 10/01/17 | 53. | -97. |
| TAMPA BAY FL ETM 3.000% 10/01/17 | 107. | -193. |
| TEMPLETON GLOBAL BOND FUND-AD | 58. | 58. |
| TESORO PETROLEUM CORPORATION COMMON STOC | 130. | 130. |
| TIME WARNER INC | 137. | 137. |
| TRAVELERS COMPANIES INC | 283. | 283. |
| TWEEDY BROWNE FUND INC GLOBAL VALUE FUND | 952. | 952. |
| TYSON FOODS INC CLASS A COMMON STOCK | 91. | 91. |
| UGI CORPORATION NEW COMMON STOCK | 104. | 104. |
| US BANCORP COMMON STOCK | 130. | 130. |
| UNION PACIFIC CORPORATION | 190. | 190. |
| UNUMPROVIDENT CORPORATION COMMON STOCK | 207. | 207. |
| VANGUARD REIT INDEX FUND-ADM | 1,461. | 1,461. |
| VANGUARD S/C VAL INDX-ADM | 525. | 525. |
| VANGUARD HIG DIV YIELD IN IV | 1,537. | 1,537. |
| VANGUARD FIXED INCOME SECS FD SHORT TERM | 2,581. | 2,581. |
| VANGUARD FTSE EMERGING MARKETS ETF | 703. | 703. |
| VANGUARD IND FD MID-CAP | 248. | 248. |
| VERIZON COMMUNICATIONS COMMON STOCK | 322. | 322. |
| WAL-MART STORES INC | 275. | 275. |
| WASHINGTON ST ECON 2.000% 6/01/16 | 33. | -67. |
| WELLS FARGO & COMPANY NEW COMMON STOCK | 947. | 947. |
| WEST VIRGINIA ST 2.400% 5/01/17 | 188. | -172. |
| WISDOMTREE INTL S/C DVD FUND | 563. | 563. |
| WYNDHAM WORLDWIDE CORP | 20. | 20. |
| XEROX CORPORATION | 70. | 70. |
| AMDOCS LIMITED COMMON STOCK | 166. | 166. |

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

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| DELPHI AUTOMOTIVE PLC | 270. | 270. |
| EVEREST RE GROUP LTD COMMON STOCK | 219. | 219. |
| MEDTRONIC PLC | 83. | 83. |
| LYONDELLBASELL INDUSTRIES NV | 335. | 335. |
| TOTAL | 57,367. | 54,357. |

## FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| TAX PREPARATION FEE (NON-ALLOC | 1,530. | 765. | | 765. |
| TOTALS | 1,530. | 765. | NONE | 765. |

## FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAXES | 19. | 19. |
| FEDERAL ESTIMATES - PRINCIPAL | 720. | |
| FOREIGN TAXES ON QUALIFIED FOR | 219. | 219. |
| FOREIGN TAXES ON NONQUALIFIED | 137. | 137. |
| TOTALS | 1,095. | 375. |

RECIPIENT NAME:
C/O BMO HARRIS BANK N.A.
ADDRESS:
221 W COLLEGE AVE
APPLETON, WI 54912
RECIPIENT'S PHONE NUMBER: 9207383827
FORM, INFORMATION AND MATERIALS:
WRITTEN FORM
SUBMISSION DEADLINES:
NONE
RESTRICTIONS OR LIMITATIONS ON AWARDS:
NONE

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
OUTAGAMIE COUNTY HISTORICAL SOCIETY
ADDRESS:
330 E. COLLEGE AVENUE
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,500.

RECIPIENT NAME:
FIRST CONGREGATIONAL CHURCH OF CHRIST
ADDRESS:
724 E SOUTH RIVER ST
APPLETON, WI 54915
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,500.

RECIPIENT NAME:
THE APPLETON CEMETERY ASSOCIATION
ADDRESS:
714 OWAISSA STREET
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 7,500.

RECIPIENT NAME:
ECLEA
ADDRESS:
3701 N GILLETT STREET
APPLETON, WI 54914
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 1,000.

RECIPIENT NAME:
ACTS 1:8 MINISTRY
ATTN: JEFF VAN BEAVER
ADDRESS:
2121 S. ONEIDA STREET
GREEN BAY, WI 54304
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 3,000.

RECIPIENT NAME:
THE AVENUE 91.1 RADIO
ADDRESS:
2300 RIVERSIDE DR.
GREEN BAY, WI 54301
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,500.

RECIPIENT NAME:
SOUTHERN OREGON UNIVESITY FDN
ADDRESS:
1250 SISKIYOU BLVD
ASHLAND, OR 97520
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 24,000.

RECIPIENT NAME:
BUBOLZ NATURE CENTER
ADDRESS:
4815 N LYNNDALE DR
APPLETON, WI 54913
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,000.

RECIPIENT NAME:
SALVATION ARMY OF THE FOX CITIES
ADDRESS:
PO BOX 1605
APPLETON, WI 54912
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 4,749.

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
HILLSDALE COLLEGE
ADDRESS:
3 E COLLEGE ST
HILLSDALE, MI 49242-9989
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................ 2,500.

RECIPIENT NAME:
YMCA OF THE FOX CITIES
ADDRESS:
229 E. COLLEGE AVENUE
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................ 4,000.

RECIPIENT NAME:
LAWRENCE UNIVERSITY
ADDRESS:
711 E. BOLDT WAYK SPC 1847
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................ 16,500.

RECIPIENT NAME:
CURATIVE CONNECTIONS
ADDRESS:
P O BOX 8027
GREEN BAY, WI 54914
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,000.

RECIPIENT NAME:
THEDACARE CANCER CENTER
ADDRESS:
1818 N. MEADE STREET
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 5,000.

RECIPIENT NAME:
ATTIC THEATRE
ADDRESS:
PO BOX 41
APPLETON, WI 54912
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,500.

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
BOYS & GIRLS CLUB OF THE FOX VALLEY
ADDRESS:
117 S. LOCUST STREET
APPLETON, WI 54914
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,500.

RECIPIENT NAME:
APPLETON ALLIANCE CHURCH
ADDRESS:
2693 W. GRAND CHUTE BLVD.
APPLETON, WI 54913
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 7,249.

RECIPIENT NAME:
LEAVEN INC
ADDRESS:
1475 OPPORTUNITY WAY
MENASHA, WI 54952
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,500.

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
COTS - COMMUNITY OUTREACH TEMPORARY SERV
ADDRESS:
PO BOX 1645
APPLETON, WI 54912
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,500.

RECIPIENT NAME:
MEMORIAL PRESBYTERIAN CHURCH
ADDRESS:
803 E. COLLEGE AVENUE
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,000.

RECIPIENT NAME:
HOPE CLINIC & CARE CENTER
ADDRESS:
2693 W GRAND CHUTE BLVD
APPLETON, WI 54913
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 3,000.

RECIPIENT NAME:
CHAPS ACADEMY
ADDRESS:
N5367 MAYFLOWER ROAD
SHIOCTON, WI 54170
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,000.

RECIPIENT NAME:
THE APPLETON HISTORICAL SOCIETY
ADDRESS:
2631 N. MEADE STREET
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATIING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 2,500.

RECIPIENT NAME:
DYSLEXIA READING CONNECTION
ADDRESS:
222 N ONEIDA ST
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID ........................................... 4,000.

FORM 990PF, PART XV, LINE 3a - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
VIZCAYA MUSEUM / THE VIZCAYANS
ADDRESS:
3251 S. MIAMI AVENUE
MIAMI, FL 33129
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 1,000.

RECIPIENT NAME:
THE BARNACLE SOCIETY
ADDRESS:
3485 MAIN HIGHWAY
COCONUT GROVE, FL 33133
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 500.

RECIPIENT NAME:
THE TROUT MUSEUM OF ART
ADDRESS:
111 WEST COLLEGE AVE
APPLETON, WI 54911
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL OPERATING PURPOSES
FOUNDATION STATUS OF RECIPIENT:
PC
AMOUNT OF GRANT PAID .......................................... 2,500.

TOTAL GRANTS PAID: 114,498.

## · *Details of assets in your account*

| DESCRIPTION OF ASSET | QUANTITY | X | CURRENT UNIT VALUE | = | CURRENT TOTAL MARKET VALUE | - | FEDERAL TAX COST | = | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **CASH & SHORT-TERM** | | | | | | | | | | | |
| CASH | 573 230 | | 1 0000 | | 573 23 | | 573 23 | | 0 00 | 0 00 | 0 00% |
| BMO GOVERNMENT MMKT PREMIER | 78,090 280 | | 1 0000 | | 78,090 28 | | 78,090 28 | | 0 00 | 119 67 | 0 15% |
| BMO GOVERNMENT MMKT PREMIER (INCOME INVESTMENT) | 0 000 | | 1 0000 | | 0 00 | | 0.00 | | 0 00 | 0 00 | 0 00% |
| **TOTAL CASH & SHORT-TERM** | | | | | **$78,663.51** | | **$78,663.51** | | **$0.00** | **$119.67** | **.15%** |
| **FIXED INCOME/LOW VOLATILITY** | | | | | | | | | | | |
| **Tax-exempt** | | | | | | | | | | | |
| BLACKHAWK PENNSYLVANIA SCH DIST<br>SCHOOL DISTRICT REVENUE<br>DTD 09/22/2011 3 000% 03/01/2019<br>NON CALLABLE<br>AGM ST AID WITHHLDG<br>MOODYS A2 S&P N/R | 15,000 000 | | 102 2420 | | 15,336 30 | | 15,485 97 | | -149 67 | 450 00 | 2 93% |
| CLEAR LAKE TEXAS CITY WATR AUTH<br>GENERAL OBLIGATION<br>DTD 08/01/2011 3 000% 03/01/2017<br>NON CALLABLE<br>MOODYS N/R S&P AA- | 10,000 000 | | 100 3160 | | 10,031 60 | | 10,108 71 | | -77 11 | 300 00 | 2 99% |
| FARGO NORTH DAKOTA<br>GENERAL OBLIGATION<br>DTD 12/15/2011 2 000% 05/01/2018<br>NON CALLABLE<br>MOODYS AA1 S&P. N/R | 15,000 000 | | 101 1900 | | 15,178 50 | | 15,206 40 | | -27 90 | 300 00 | 1 98% |
| KAUKAUNA WISCONSIN<br>GENERAL OBLIGATION<br>DTD 08/01/2012 2.000% 04/01/2019<br>NON CALLABLE<br>MOODYS N/R S&P AA- | 10,000 000 | | 100 6160 | | 10,061 60 | | 10,114 69 | | -53 09 | 200 00 | 1 99% |

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## · Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| MISSISSIPPI STATE DEV BANK<br>MEDICAL FACILITIES<br>DTD 07/27/2011 4 000% 07/01/2019<br>NON CALLABLE<br>AGM<br>MOODYS N/R S&P AA | | 15,000 000 | 105 3100 | 15,796 50 | 15,805 04 | -8 54 | 600.00 | 3 80% |
| TAMPA BAY FLORIDA WTR REGL WTR<br>WATER REVENUE<br>DTD 08/16/2011 3 000% 10/01/2017<br>ESCROWED TO MATURITY<br>MOODYS N/R S&P N/R | | 5,000 000 | 101 5220 | 5,076 10 | 5,097.98 | -21 88 | 150 00 | 2.95% |
| TAMPA BAY FLORIDA WTR REGL WTR<br>WATER REVENUE<br>DTD 08/16/2011 3 000% 10/01/2017<br>ESCROWED TO MATURITY<br>MOODYS AA1 S&P AA+ | | 10,000.000 | 101 5220 | 10,152 20 | 10,195 96 | -43 76 | 300 00 | 2 95% |
| WEST VIRGINIA STATE HSG DEV FUND<br>HOUSING REVENUE<br>DTD 11/16/2011 2 400% 05/01/2017<br>NON CALLABLE<br>GO OF PROG<br>MOODYS AAA S&P AAA | | 15,000.000 | 100 4030 | 15,060 45 | 15,087 28 | -26 83 | 360 00 | 2 39% |
| **Total Tax-exempt** | | | | **$96,693.25** | **$97,102.03** | **-$408.78** | **$2,660.00** | **2.75%** |
| **Corporate and other taxable** | | | | | | | | |
| International | | | | | | | | |
| TCW EMERGING MARKETS INCOME FUND | TGEIX | 7,692.308 | 8 1000 | 62,307 69 | 65,076 93 | -2,769 24 | 3,046 15 | 4 89% |
| Taxable funds | | | | | | | | |
| BAIRD CORE PLUS BOND FUND | BCOIX | 10,964.912 | 11 0300 | 120,942 98 | 112,811.27 | 8,131 71 | 3,410 09 | 2.82% |
| BMO MORTGAGE INCOME FUND - I | MGIIX | 13,283 741 | 9 1500 | 121,546 23 | 125,132 84 | -3,586 61 | 3,759 30 | 3.09% |

## • *Details of assets in your account (continued)*

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| DOUBLELINE CORE FIX INCOME FUND | DBLFX | 11,555.960 | 10 7900 | 124,688.81 | 126,884 44 | -2,195 63 | 3,767 24 | 3 02% |
| FEDERATED ULTRASHORT BOND FUND | FULIX | 12,074 643 | 9 1000 | 109,879 25 | 110,000 00 | -120 75 | 1,412 73 | 1.29% |
| ISHARES BARCLAYS TIPS BOND ETF | TIP | 675 000 | 113 1700 | 76,389 75 | 78,313 30 | -1,923 55 | 1,127 93 | 1 48% |
| VANGUARD SHORT-TERM INVESTMENT GRADE FUND | VFSUX | 11,606 314 | 10 6300 | 123,375 12 | 124,012 30 | -637 18 | 2,553 39 | 2 07% |
| **Total Corporate and other taxable** | | | | **$739,129.83** | **$742,231.08** | **-$3,101.25** | **$19,076.83** | **2.58%** |
| **Alternatives-Low Volatility** | | | | | | | | |
| Hedge funds | | | | | | | | |
| CALAMOS MARKET NEUTRAL INCOME FUND | CMNIX | 7,710 100 | 12 8700 | 99,228 99 | 100,154 20 | -925 21 | 1,403 24 | 1 41% |
| Opportunistic low volatility | | | | | | | | |
| BLACKROCK STRATEGIC INCOME OPPORTUNITIES FUND | BSIIX | 10,204.082 | 9 8300 | 100,306 13 | 100,000 00 | 306.13 | 2,877 55 | 2 87% |
| HARTFORD FLOATING RATE FUND | HFLYX | 8,136 454 | 8 6600 | 70,461 69 | 72,984 72 | -2,523 03 | 3,034 90 | 4 31% |
| WESTWOOD SHORT DURATION HIGH YIELD FUND | WHGHX | 7,280 514 | 9 3400 | 68,000 00 | 68,000 00 | 0 00 | 3,014 13 | 4 43% |
| **Total Alternatives-Low Volatility** | | | | **$337,996.81** | **$341,138.92** | **-$3,142.11** | **$10,329.82** | **3.06%** |
| **TOTAL FIXED INCOME/LOW VOLATILITY** | | | | **$1,173,819.89** | **$1,180,472.03** | **-$6,652.14** | **$32,066.65** | **2.73%** |
| **EQUITY/HIGH VOLATILITY** | | | | | | | | |
| **U.S. equity** | | | | | | | | |
| ALLIANCE DATA SYSTEMS CORP<br>Information technology | ADS | 11 000 | 228 5000 | 2,513 50 | 1,948.87 | 564 63 | 22 88 | 0 91% |
| ALLSTATE CORP<br>Financials | ALL | 39 000 | 74 1200 | 2,890 68 | 2,676 18 | 214 50 | 51 48 | 1 78% |
| ALPHABET INC CL C<br>Information technology | GOOG | 19 000 | 771 8200 | 14,664 58 | 7,345 39 | 7,319 19 | 0 00 | 0.00% |

## · Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| AMEREN CORP<br>Utilities | AEE | 117 000 | 52 4600 | 6,137 82 | 5,900 04 | 237 78 | 205 92 | 3 35% |
| AMERICAN INTERNATIONAL GROUP<br>Financials | AIG | 40 000 | 65 3100 | 2,612 40 | 2,361 20 | 251 20 | 51 20 | 1 96% |
| AMERIPRISE FINANCIAL INC<br>Financials | AMP | 34 000 | 110 9400 | 3,771 96 | 944 52 | 2,827.44 | 102 00 | 2 70% |
| AMGEN INC<br>Health care | AMGN | 59 000 | 146 2100 | 8,626 39 | 10,033 41 | -1,407 02 | 271 40 | 3 15% |
| APPLE INC<br>Information technology | AAPL | 64 000 | 115 8200 | 7,412 48 | 3,726 84 | 3,685 64 | 145 92 | 1 97% |
| APPLIED MATERIALS INC<br>Information technology | AMAT | 218 000 | 32 2700 | 7,034 86 | 6,679.30 | 355 56 | 87 20 | 1 24% |
| AVERY DENNISON CORP<br>Materials | AVY | 114 000 | 70 2200 | 8,005 08 | 8,885 00 | -879 92 | 186 96 | 2 34% |
| BECTON DICKINSON<br>Health care | BDX | 42 000 | 165 5500 | 6,953 10 | 7,316 32 | -363 22 | 122 64 | 1.76% |
| BERRY PLASTICS G<br>Materials | BERY | 53 000 | 48 7300 | 2,582 69 | 2,394.39 | 188 30 | 0 00 | 0 00% |
| BOEING CO<br>Industrials | BA | 54 000 | 155 6800 | 8,406 72 | 3,947 81 | 4,458 91 | 306 72 | 3 65% |
| CELGENE CORP<br>Health care | CELG | 28 000 | 115 7500 | 3,241 00 | 3,408 20 | -167 20 | 0 00 | 0 00% |
| CISCO SYSTEMS INC<br>Information technology | CSCO | 237 000 | 30 2200 | 7,162 14 | 5,044 76 | 2,117.38 | 246 48 | 3 44% |
| CITIGROUP INC<br>Financials | C | 215 000 | 59 4300 | 12,777 45 | 10,068 76 | 2,708 69 | 137 60 | 1 08% |

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## · Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| CITRIX SYS INC<br>Information technology | CTXS | 86.000 | 89 3100 | 7,680 66 | 7,593.48 | 87 18 | 0 00 | 0.00% |
| COMCAST CORP-CL A<br>CL A COMMON STOCK<br>Consumer discretionary | CMCSA | 175 000 | 69 0500 | 12,083 75 | 3,681.91 | 8,401 84 | 192 50 | 1 59% |
| CVS HEALTH CORP<br>Consumer staples | CVS | 69 000 | 78 9100 | 5,444 79 | 3,770.84 | 1,673 95 | 138 00 | 2 53% |
| DISCOVER FINL SVCS<br>Financials | DFS | 131 000 | 72 0900 | 9,443 79 | 5,810 57 | 3,633 22 | 157 20 | 1 66% |
| DR PEPPER SNAPPLE GROUP INC<br>Consumer staples | DPS | 55 000 | 90 6700 | 4,986 85 | 2,847 89 | 2,138 96 | 116 60 | 2.34% |
| EOG RES INC<br>Energy | EOG | 100 000 | 101 1000 | 10,110 00 | 9,437 61 | 672 39 | 67 00 | 0 66% |
| EXXON MOBIL CORPORATION<br>Energy | XOM | 55 000 | 90 2600 | 4,964 30 | 932 12 | 4,032 18 | 165 00 | 3 32% |
| FEDEX CORPORATION<br>Industrials | FDX | 22 000 | 186 2000 | 4,096 40 | 3,635 91 | 460 49 | 35 20 | 0 86% |
| F5 NETWORKS INC<br>Information technology | FFIV | 44 000 | 144 7200 | 6,367 68 | 5,470.17 | 897 51 | 0 00 | 0 00% |
| HOLOGIC INC<br>Health care | HOLX | 70 000 | 40 1200 | 2,808 40 | 2,697 76 | 110 64 | 0 00 | 0 00% |
| HOME DEPOT INC<br>Consumer discretionary | HD | 31 000 | 134 0800 | 4,156 48 | 3,222.13 | 934 35 | 85 56 | 2.06% |
| HOST HOTELS & RESORTS, INC<br>Financials | HST | 146 000 | 18 8400 | 2,750 64 | 2,652 82 | 97 82 | 116 80 | 4 25% |
| HUNTINGTON INGALLS INDUSTRIES<br>Industrials | HII | 32 000 | 184 1900 | 5,894 08 | 3,141.12 | 2,752 96 | 76 80 | 1.30% |

## · Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| IDEXX LABS INC<br>Health care | IDXX | 30 000 | 117 2700 | 3,518 10 | 3,456 02 | 62 08 | 0 00 | 0.00% |
| INTEL CORP<br>Information technology | INTC | 182 000 | 36 2700 | 6,601 14 | 6,397 03 | 204 11 | 189 28 | 2 87% |
| JETBLUE AIRWAYS CORP<br>Industrials | JBLU | 188 000 | 22 4200 | 4,214 96 | 3,020 99 | 1,193 97 | 0 00 | 0 00% |
| JOHNSON & JOHNSON<br>Health care | JNJ | 107 000 | 115 2100 | 12,327 47 | 9,811 89 | 2,515 58 | 342 40 | 2.78% |
| KROGER CO<br>Consumer staples | KR | 162 000 | 34 5100 | 5,590 62 | 2,809.16 | 2,781.46 | 77 76 | 1 39% |
| LEAR CORP<br>Consumer discretionary | LEA | 65 000 | 132 3700 | 8,604 05 | 7,530 86 | 1,073 19 | 78 00 | 0 91% |
| LOWES COS INC<br>Consumer discretionary | LOW | 136 000 | 71 1200 | 9,672 32 | 10,337 73 | -665 41 | 190 40 | 1 97% |
| MICROSOFT CORP<br>Information technology | MSFT | 95 000 | 62 1400 | 5,903 30 | 2,467 15 | 3,436.15 | 148 20 | 2.51% |
| NORDSTROM INC<br>Consumer discretionary | JWN | 115 000 | 47 9300 | 5,511 95 | 5,930 34 | -418 39 | 170 20 | 3 09% |
| PARKER HANNIFIN CORP<br>Industrials | PH | 34 000 | 140 0000 | 4,760 00 | 4,200 02 | 559 98 | 85 68 | 1 80% |
| PEPSICO INC<br>Consumer staples | PEP | 100 000 | 104 6300 | 10,463 00 | 1,499 53 | 8,963 47 | 301 00 | 2.88% |
| PG & E CORP<br>Utilities | PCG | 115 000 | 60 7700 | 6,988 55 | 7,305 66 | -317 11 | 225 40 | 3 22% |
| QUANTA SERVICES INCORPORATED<br>Industrials | PWR | 167 000 | 34 8500 | 5,819 95 | 4,571.12 | 1,248 83 | 0 00 | 0 00% |

## · Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| SOUTHWEST AIRLINES CO<br>Industrials | LUV | 135 000 | 49 8400 | 6,728 40 | 3,000.37 | 3,728 03 | 54 00 | 0 80% |
| STEEL DYNAMICS INC<br>Materials | STLD | 105.000 | 35 5800 | 3,735 90 | 2,809 31 | 926 59 | 58 80 | 1 57% |
| SYSCO CORP<br>Consumer staples | SYY | 51 000 | 55 3700 | 2,823 87 | 2,678 43 | 145 44 | 67 32 | 2 38% |
| TERADATA CORP<br>Information technology | TDC | 112 000 | 27 1700 | 3,043 04 | 3,541 05 | -498 01 | 0 00 | 0 00% |
| TRAVELERS COMPANIES INC<br>Financials | TRV | 52 000 | 122 4200 | 6,365 84 | 4,395 01 | 1,970 83 | 139 36 | 2 19% |
| TYSON FOODS INC CLASS A<br>CLASS A COMMON STOCK<br>Consumer staples | TSN | 115 000 | 61 6800 | 7,093 20 | 4,220.41 | 2,872 79 | 103 50 | 1 46% |
| UNITED RENTALS INC<br>Industrials | URI | 74 000 | 105 5800 | 7,812 92 | 6,338 66 | 1,474 26 | 0 00 | 0 00% |
| UNUMPROVIDENT CORP<br>Financials | UNM | 163 000 | 43 9300 | 7,160 59 | 5,639 29 | 1,521 30 | 130 40 | 1 82% |
| VERIZON COMMUNICATIONS<br>Telecommunication services | VZ | 230 000 | 53 3800 | 12,277 40 | 11,605 75 | 671 65 | 531 30 | 4.33% |
| WAL MART STORES INC<br>Consumer staples | WMT | 31 000 | 69 1200 | 2,142 72 | 1,814 68 | 328 04 | 62 00 | 2 89% |
| WELLS FARGO & CO<br>Financials | WFC | 182 000 | 55 1100 | 10,030 02 | 5,194 28 | 4,835 74 | 276 64 | 2 76% |
| WYNDHAM WORLDWIDE CORP<br>Consumer discretionary | WYN | 40 000 | 76 3700 | 3,054 80 | 2,848.40 | 206 40 | 80 00 | 2 62% |
| **Total U.S. equity** | | | | **$347,824.78** | **$260,998.46** | **$86,826.32** | **$6,400.70** | **1.84%** |

**U.S. equity funds**

## • Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| CHAMPLAIN MID CAP FUND<br>Mid cap diversified equity | CIPIX | 4,960.317 | 15 2700 | 75,744 04 | 75,446 42 | 297 62 | 122 52 | 0.16% |
| CONESTOGA SMALL CAP FUND<br>Small cap growth | CCASX | 1,052 909 | 40 2900 | 42,421 70 | 40,273 77 | 2,147 93 | 0 00 | 0 00% |
| JANUS ENTERPRISE FUND<br>Small cap growth | JMGRX | 657 757 | 95 2200 | 62,631 62 | 63,243 34 | -611 72 | 105 90 | 0 17% |
| VANGUARD HIGH YIELD INDEX FUND<br>Large cap value | VHDYX | 3,462.604 | 29 9700 | 103,774 24 | 99,653 74 | 4,120 50 | 2,957 06 | 2 85% |
| VANGUARD SMALL-CAP VALUE INDEX FUND<br>Small cap value | VSIAX | 841 220 | 51 9700 | 43,718 20 | 40,269 20 | 3,449 00 | 773 08 | 1 77% |
| **Total U.S. equity funds** | | | | **$328,289.80** | **$318,886.47** | **$9,403.33** | **$3,958.56** | **1.21%** |
| **International** | | | | | | | | |
| BMO PYRFORD INTERNATIONAL STOCK FUND CLASS I<br>Developed large cap | MISNX | 6,082 725 | 11 6200 | 70,681 26 | 74,939 17 | -4,257 91 | 1,666 67 | 2.36% |
| DEUTSCHE X-TRACKERS MSCI EAFE HEDGED EQUITY FUND<br>Developed large cap | DBEF | 2,100 000 | 28 0600 | 58,926 00 | 55,014 75 | 3,911 25 | 1,505 70 | 2 55% |
| TWEEDY BROWNE GLOBAL VALUE FUND<br>Developed large cap | TBGVX | 1,973.165 | 25 0400 | 49,408 05 | 50,906 20 | -1,498 15 | 576 16 | 1 17% |
| VANGUARD FTSE EMERGING MARKETS ETF<br>Emerging | VWO | 1,015.000 | 35 7800 | 36,316 70 | 38,355 63 | -2,038 93 | 913 50 | 2 51% |
| WISDOMTREE INTERNATIONAL SMALLCAP DIVIDEND FUND<br>Developed small cap | DLS | 600 000 | 60 0200 | 36,012 00 | 36,082 20 | -70 20 | 1,184 40 | 3 29% |
| **Total International** | | | | **$251,344.01** | **$255,297.95** | **-$3,953.94** | **$5,846.43** | **2.33%** |
| **Alternatives-High Volatility** | | | | | | | | |

## Details of assets in your account (continued)

| DESCRIPTION OF ASSET | | QUANTITY | X CURRENT UNIT VALUE | = CURRENT TOTAL MARKET VALUE | - FEDERAL TAX COST | = UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | YIELD |
|---|---|---|---|---|---|---|---|---|
| Hedge funds | | | | | | | | |
| GATEWAY FUND<br>Total return hedge funds | GTEYX | 4,124 051 | 30 8300 | 127,144 49 | 123,230 31 | 3,914.18 | 2,033 16 | 1 60% |
| **Total Alternatives-High Volatility** | | | | **$127,144.49** | **$123,230.31** | **$3,914.18** | **$2,033.16** | **1.60%** |
| **REITS** | | | | | | | | |
| VANGUARD REIT INDEX FUND<br>Domestic reits | VGSLX | 760 122 | 116 8700 | 88,835 46 | 95,950 20 | -7,114 74 | 4,281 01 | 4 82% |
| **Total REITS** | | | | **$88,835.46** | **$95,950 20** | **-$7,114.74** | **$4,281.01** | **4.82%** |
| **Commodities** | | | | | | | | |
| CREDIT SUISSE COMMODITY RETURN STRATEGY FUND<br>Commodities | CRSOX | 19,348 269 | 5 0700 | 98,095 72 | 94,419 55 | 3,676 17 | 0 00 | 0 00% |
| **Total Commodities** | | | | **$98,095.72** | **$94,419.55** | **$3,676.17** | **$0.00** | **.00%** |
| **TOTAL EQUITY/HIGH VOLATILITY** | | | | **$1,241,534.26** | **$1,148,782.94** | **$92,751.32** | **$22,519.86** | **1.81%** |
| **TOTAL ASSETS IN YOUR ACCOUNT** | | | | **$2,494,017.66** | **$2,407,918.48** | **$86,099.18** | **$54,706.18** | **2.19%** |

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