EXTENDED TO NOVEMBER 15, 2017

Form **990-PF** — **Return of Private Foundation** or Section 4947(a)(1) Trust Treated as Private Foundation — OMB No 1545-0052 — **2016** — Open to Public Inspection

Department of the Treasury, Internal Revenue Service

▶ 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

For calendar year 2016 or tax year beginning , and ending

Name of foundation: FRANCES & FRANK WILKINSON FOUNDATION

A Employer identification number: 41-1911630

Number and street (or P O box number if mail is not delivered to street address): 222 2ND STREET SE — Room/suite: 1501

B Telephone number: 612-373-7080

City or town, state or province, country, and ZIP or foreign postal code: MINNEAPOLIS, MN 55414

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 [X] 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) ▶$ 1,489,652.

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))

		(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	886.		N/A	
	2 Check ▶ [X] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	23,288.	21,624.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	539.			
	b Gross sales price for all assets on line 6a 797,932.				
	7 Capital gain net income (from Part IV, line 2)		539.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income				
	12 **Total** Add lines 1 through 11	24,713.	22,163.		
Operating and Administrative Expenses	13 Compensation of officers, directors trustees etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees STMT 2	3,300.	1,650.		1,650.
	c Other professional fees STMT 3	11,427.	5,714.		5,713.
	17 Interest				
	18 Taxes STMT 4	1,712.	851.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 5	25.	0.		25.
	24 **Total operating and administrative expenses** Add lines 13 through 23	16,464.	8,215.		7,388.
	25 Contributions, gifts, grants paid	136,500.			136,500.
	26 **Total expenses and disbursements** Add lines 24 and 25	152,964.	8,215.		143,888.
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-128,251.			
	b **Net investment income** (if negative enter -0-)		13,948.		
	c **Adjusted net income** (if negative enter -0-)			N/A	

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Part II Balance Sheets

Attached schedules and amounts in the description column should be for end of year amounts only

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	126,920.	119,676.	119,676.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 6	1,040,420.	827,439.	1,038,366.
	c Investments - corporate bonds STMT 7	322,261.	325,569.	331,610.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	1,489,601.	1,272,684.	1,489,652.
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			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [X] and complete lines 27 through 31			
	27 Capital stock, trust principal, or current funds	1,489,601.	1,272,684.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 Total net assets or fund balances	1,489,601.	1,272,684.	
	31 Total liabilities and net assets/fund balances	1,489,601.	1,272,684.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	1,489,601.
2	Enter amount from Part I, line 27a	2	-128,251.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	1,361,350.
5	Decreases not included in line 2 (itemize) ▶ BASIS ADJUSTMENTS	5	88,666.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,272,684.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr.)	(d) Date sold (mo , day, yr.)
1a	CHARLES SCHWAB - SEE ATTACHED	P	01/01/16	12/31/16
b	CAPITAL GAINS DIVIDENDS			
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	782,920.		797,393.	-14,473.
b	15,012.			15,012.
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				-14,473.
b				15,012.
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** 539.

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	145,598.	1,642,078.	.088667
2014	228,235.	1,676,584.	.136131
2013	132,781.	1,640,570.	.080936
2012	140,639.	1,592,049.	.088338
2011	61,456.	1,648,531.	.037279

2	Total of line 1, column (d)	2	.431351
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	.086270
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	1,487,944.
5	Multiply line 4 by line 3	5	128,365.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	139.
7	Add lines 5 and 6	7	128,504.
8	Enter qualifying distributions from Part XII, line 4	8	143,888.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ **(attach copy of letter if necessary-see instructions)**			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b		1	139.
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	139.
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	139.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a 1,840.		
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d		7	1,840.
8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached		8	
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	1,701.
11 Enter the amount of line 10 to be: **Credited to 2017 estimated tax** ▶ 1,701. **Refunded** ▶		11	0.

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation ▶ $ 0. **(2)** On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		X
If "Yes," attach a detailed description of the activities			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		X
If "Yes," attach the statement required by General Instruction T			
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) ▶ MN			
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 ▶ FRANK S. WILKINSON JR. Telephone no ▶ (612)373-7080

Located at ▶ 188 BANK ST SE, MINNEAPOLIS, MN ZIP+4 ▶55414

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

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

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)).			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of (**1**) any purchase by the foundation or disqualified persons after May 26, 1969; (**2**) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (**3**) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)* N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		X

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

5a During the year did the foundation pay or incur any amount to:
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b |
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No
If "Yes," attach the statement required by Regulations section 53.4945-5(d)
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X (No)
If "Yes" to 6b, file Form 8870
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
FRANK S. WILKINSON, JR. 222 2ND STREET SE, #1501 MINNEAPOLIS, MN 55414	PRESIDENT 5.00	0.	0.	0.
FRANCES WILKINSON 222 2ND STREET SE, #1501 MINNEAPOLIS, MN 55414	SECRETARY 5.00	0.	0.	0.

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,397,599.
b	Average of monthly cash balances	1b	113,004.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,510,603.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	1,510,603.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	22,659.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,487,944.
6	**Minimum investment return** Enter 5% of line 5	6	74,397.

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	74,397.
2a	Tax on investment income for 2016 from Part VI, line 5 — 2a: 139.		
b	Income tax for 2016. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	139.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	74,258.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	74,258.
6	Deduction from distributable amount (see instructions)	6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	74,258.

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	143,888.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	143,888.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	139.
6	**Adjusted qualifying distributions** Subtract line 5 from line 4	6	143,749.

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				74,258.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years: ____ , ____ , ____		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011 61,456.				
b From 2012 141,475.				
c From 2013 53,259.				
d From 2014 149,998.				
e From 2015 65,315.				
f Total of lines 3a through e	471,503.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ $ 143,888.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				74,258.
e Remaining amount distributed out of corpus	69,630.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	541,133.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr			0.	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	61,456.			
9 **Excess distributions carryover to 2017** Subtract lines 7 and 8 from line 6a	479,677.			
10 Analysis of line 9:				
a Excess from 2012 141,475.				
b Excess from 2013 53,259.				
c Excess from 2014 149,998.				
d Excess from 2015 65,315.				
e Excess from 2016 69,630.				

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

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

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

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

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

1 ***Information Regarding Foundation Managers:***

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

SEE STATEMENT 8

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.

FRANCES WILKINSON

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
BRECK 123 OTTAWA AV. N. MINNEAPOLIS, MN 55422	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	500.
CHILDRENS THEATER COMPANY 2400 3RD AVE S MINNEAPOLIS, MN 55404	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	500.
CONSERVATION MINNESOTA 1101 W RIVER PKWY MINNEAPOLIS, MN 55415	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	12,500.
DAVIDSON COLLEGE P.O. BOX 1385 DAVIDSON, MN 28036	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	3,000.
GUTHRIE THEATER 818 SOUTH 2ND ST MINNEAPOLIS, MN 55415	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	10,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	136,500.
b Approved for future payment NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income (a) Business code	(b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	(d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	23,288.	
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	539.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		23,827.	0.

13 Total Add line 12, columns (b), (d), and (e) 13 23,827.

(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).

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

▶ [signature] 9/22/17 ▶ President

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
LAURA C. GUST, CPA	LAURA C. GUST, CP	09/19/17		P01249425

Firm's name ▶ WIPFLI LLP Firm's EIN ▶ 39-0758449

Firm's address ▶ 7601 FRANCE AVENUE SOUTH, SUITE 400 MINNEAPOLIS, MN 55435 Phone no. 952.548.3400

623622 11-23-16

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MINNEAPOLIS INSTITUTE OF ART 1401 3RD AV. S. MINNEAPOLIS, MN 55405	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	2,500.
MINNEAPOLIS PARKS FOUNDATION 4800 MINNEHAHA AVENUE SOUTH MINNEAPOLIS, MN 55417	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	30,000.
MN FILM SOCIETY 125 SE MAIN STREET, SUITE 341 MINNEAPOLIS, MN 55414	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	2,000.
MN OPERA 620 NORTH 1ST STREET MINNEAPOLIS, MN 55401	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	500.
MN ORCHESTRA 1111 NICOLLET MALL MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	1,000.
MN PUBLIC RADIO 480 CEDAR ST ST PAUL, MN 55101	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	1,000.
PROJECT SUCCESS 1 GROVELAND TERRACE, SUITE 300 MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	1,000.
PUBLIC THEATER				38,000.
ST MARK'S CATHEDRAL CHURCH 519 OAK GROVE ST MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	5,000.
ST PAUL CHAMBER ORCHESTRA 408 PETER ST. ST PAUL, MN 55102	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	500.
Total from continuation sheets				110,000.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
TRUST FOR PUBLIC LAND 2610 UNIVERSITY AV. ST PAUL, MN 55114	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	10,000.
TWIN CITIES PUBLIC TELEVISION 172 E. 4TH ST. ST PAUL, MN 55101	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	1,000.
WALKER ART CENTER 1750 HENNERPIN AVE MINNEAPOLIS, MN 55403	N/A	PUBLIC CHARITIES	GENERAL SUPPORT	17,500.
Total from continuation sheets				

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CHARLES SCHWAB	21,613.	0.	21,613.	21,613.	
CHARLES SCHWAB	15,012.	15,012.	0.	0.	
CHARLES SCHWAB	11.	0.	11.	11.	
CHARLES SCHWAB - TAX EXEMPT DIVIDENDS	1,664.	0.	1,664.	0.	
TO PART I, LINE 4	38,300.	15,012.	23,288.	21,624.	

FORM 990-PF ACCOUNTING FEES STATEMENT 2

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREP FEES	3,300.	1,650.		1,650.
TO FORM 990-PF, PG 1, LN 16B	3,300.	1,650.		1,650.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	11,427.	5,714.		5,713.
TO FORM 990-PF, PG 1, LN 16C	11,427.	5,714.		5,713.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX	851.	851.		0.
TAX ESTIMATES	861.	0.		0.
TO FORM 990-PF, PG 1, LN 18	1,712.	851.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MN STATE REGISTRATION FEE	25.	0.		25.
TO FORM 990-PF, PG 1, LN 23	25.	0.		25.

FORM 990-PF	CORPORATE STOCK	STATEMENT 6
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CHARLES SCHWAB - SEE ATTACHED SCHEDULE	827,439.	1,038,366.
TOTAL TO FORM 990-PF, PART II, LINE 10B	827,439.	1,038,366.

FORM 990-PF	CORPORATE BONDS	STATEMENT 7
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CHARLES SCHWAB - SEE ATTACHED SCHEDULE	325,569.	331,610.
TOTAL TO FORM 990-PF, PART II, LINE 10C	325,569.	331,610.

FORM 990-PF — PART XV - LINE 1A — STATEMENT 8

LIST OF FOUNDATION MANAGERS

NAME OF MANAGER

FRANK S. WILKINSON, JR.
FRANCES WILKINSON

charles SCHWAB

3204-7641 FRANCES & FRANK WILKINSON FOUN
Corp 222 2ND ST SE
MINNEAPOLIS MN

Total Known Realized Gain/(Loss) $/%
($14,472.35)/(1.81%)

Total Known Short-Term Gain/(Loss)
($13,646.05)

Total Known Long-Term Gain/(Loss)
($826.30)

Total Known Proceeds
$782,920.38

Total Known Cost Basis
$797,392.73

Cost Basis - Realized Gain/(Loss) - Filtered by: From 01/01/2016 Through 12/31/2016 **Results: 55**

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
AAXJ	ISHARES MSCI ALL COUNT ASA EX JP ETF	01/05/2016	09/02/2015	1,003.00000	$52,235 28	$52,275 06	($39.78)		($39 78)	(0.08%)	
⊟ ARTJX	ARTISAN INTL SM CAP FD INV SHR	12/19/2016	Hide Lots	909.39000	$17,660.35	$20,317 23	($2,656 88)		($2,656.88)	(13.08%)	
		12/19/2016	02/23/2016	619.52800	$12,031 23	$13,617 23	($1,586.00)		($1,586.00)	(11 65%)	
		12/19/2016	10/03/2016	94.38000	$1,832.86	$2,200.00	($367.14)		($367.14)	(16.69%)	
		12/19/2016	10/05/2016	195 48200	$3,796 26	$4,500 00	($703 74)		($703.74)	(15.64%)	
⊟ ARTJX	ARTISAN INTL SM CAP FD INV SHR	06/09/2016	Hide Lots	200 34100	$4,700 00	$4,986 07	($39 02)	($247 05)	($286 07)	(5.74%)	
		06/09/2016	11/21/2013	122.30200	$2,869.21	$3,116.26		($247 05)	($247.05)	(7 93%)	
		06/09/2016	11/19/2015	71.87900	$1,686.28	$1,722 22	($35.94)		($35.94)	(2.09%)	
		06/09/2016	11/19/2015	3.12800	$73.38	$74.95	($1.57)		($1.57)	(2.09%)	
		06/09/2016	11/19/2015	3 03200	$71 13	$72 64	($1.51)		($1.51)	(2.08%)	
⊟ ARTJX	ARTISAN INTL SM CAP FD INV SHR	06/30/2016	Hide Lots	1,865.63800	$41,100 00	$34,570 24	($152.34)	$6,682.10	$6,529.76	18 89%	
		06/30/2016	12/20/2006	720.80300	$15,879 28	$11,026 89		$4,852 39	$4,852 39	44 01%	a
		06/30/2016	12/19/2007	8.47100	$186 62	$129.59		$57.03	$57.03	44.01%	a
		06/30/2016	12/19/2007	458.69900	$10,105.14	$7,017.21		$3,087 93	$3,087.93	44.01%	a
		06/30/2016	08/26/2013	208.49700	$4,593 19	$5,300 00		($706 81)	($706.81)	(13.34%)	
		06/30/2016	11/21/2013	11.99600	$264.27	$305.66		($41 39)	($41.39)	(13.54%)	
		06/30/2016	11/21/2013	10.90400	$240 22	$277 83		($37 61)	($37.61)	(13.54%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		06/30/2016	11/21/2013	6.09900	$134.36	$155.39		($21.03)	($21 03)	(13.53%)	
		06/30/2016	09/11/2014	132.99000	$2,929.77	$3,344 70		($414 93)	($414 93)	(12.41%)	
		06/30/2016	11/19/2014	0 59500	$13 11	$13 51		($0 40)	($0 40)	(2 96%)	
		06/30/2016	11/19/2014	141.00700	$3,106.38	$3,199 46		($93.08)	($93.08)	(2.91%)	
		06/30/2016	04/28/2016	165.57700	$3,647.66	$3,800 00	($152.34)		($152 34)	(4 01%)	
⊟ BMDIX	BAIRD MID CAP FUND INST	04/28/2016	Hide Lots	937.09000	$14,300.00	$11,002.98		$3,297.02	$3,297.02	29.96%	
		04/28/2016	11/19/2012	820 12900	$12,515 17	$9,227 47		$3,287.70	$3,287 70	35 63%	
		04/28/2016	12/26/2013	31 78800	$485 09	$474 60		$10 49	$10 49	2 21%	
		04/28/2016	12/26/2013	49.02700	$748 15	$731 98		$16 17	$16.17	2 21%	
		04/28/2016	12/26/2014	3 14300	$47 96	$49 47		($1 51)	($1 51)	(3 05%)	
		04/28/2016	12/26/2014	33 00300	$503 63	$519 46		($15 83)	($15 83)	(3.05%)	
BMDIX	BAIRD MID CAP FUND INST	05/27/2016	11/19/2012	89 68600	$1,400 00	$1,009 08		$390 92	$390 92	38.74%	
BMDIX	BAIRD MID CAP FUND INST	06/09/2016	11/19/2012	31 66600	$500 00	$356.28		$143.72	$143 72	40.34%	
⊟ BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	02/23/2016	Hide Lots	3,087.31800	$29,700 00	$31,955 30	($58 40)	($2,196 90)	($2,255.30)	(7 06%)	
		02/23/2016	07/01/2014	2,901.05800	$27,908.17	$30,087 05		($2,178.88)	($2,178.88)	(7.24%)	
		02/23/2016	07/01/2014	10.31000	$99 18	$108 09		($8 91)	($8.91)	(8.24%)	
		02/23/2016	07/15/2014	10.79500	$103.85	$112.96		($9.11)	($9.11)	(8.06%)	
		02/23/2016	02/27/2015	9 04800	$87.04	$92.45	($5 41)		($5.41)	(5.85%)	
		02/23/2016	03/31/2015	9 51000	$91 49	$97 17	($5 68)		($5.68)	(5.85%)	
		02/23/2016	04/30/2015	12.16300	$117.01	$123.91	($6.90)		($6.90)	(5.57%)	
		02/23/2016	05/29/2015	12.79700	$123.11	$129.99	($6.88)		($6.88)	(5.29%)	
		02/23/2016	06/30/2015	10 88500	$104 71	$109 70	($4 99)		($4.99)	(4 55%)	
		02/23/2016	07/31/2015	11.39700	$109.64	$114.74	($5.10)		($5 10)	(4.44%)	
		02/23/2016	08/31/2015	10.74300	$103.35	$107.52	($4.17)		($4.17)	(3.88%)	
		02/23/2016	09/30/2015	9.21700	$88 67	$91 50	($2.83)		($2 83)	(3.09%)	
		02/23/2016	10/30/2015	11.00300	$105.85	$109.68	($3.83)		($3.83)	(3.49%)	
		02/23/2016	11/30/2015	11.49600	$110 59	$114 24	($3 65)		($3 65)	(3.20%)	
		02/23/2016	12/23/2015	56 89600	$547 34	$556 30	($8 96)		($8.96)	(1.61%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	03/08/2016	07/01/2014	2,790.45600	$26,900.00	$28,936 15		($2,036 15)	($2,036 15)	(7.04%)	
⊟ BSIIX	BLACKROCK STRAT INCM OPPTY PORT INSTL	04/28/2016	Hide Lots	215 68000	$2,094 25	$2,201 61		($107 36)	($107.36)	(4.88%)	
		04/28/2016	07/01/2014	46 42800	$450 82	$480 80		($29 98)	($29.98)	(6 24%)	
		04/28/2016	07/17/2014	11.65000	$113.12	$120.49		($7.37)	($7.37)	(6.12%)	
		04/28/2016	07/31/2014	13.06000	$126 81	$134 95		($8 14)	($8.14)	(6.03%)	
		04/28/2016	07/31/2014	0 01100	$0 11	$0 11		$0 00	$0 00	0 00%	
		04/28/2016	08/29/2014	2 06500	$20 05	$21 32		($1 27)	($1 27)	(5 96%)	
		04/28/2016	08/29/2014	9 51200	$92 36	$98 19		($5 83)	($5 83)	(5 94%)	
		04/28/2016	11/28/2014	11.62800	$112 91	$119 57		($6 66)	($6 66)	(5 57%)	
		04/28/2016	12/22/2014	101.64200	$986 94	$1,026.87		($39 93)	($39 93)	(3.89%)	
		04/28/2016	12/31/2014	10 19600	$99 00	$102 91		($3 91)	($3 91)	(3 80%)	
		04/28/2016	01/30/2015	9.48800	$92.13	$96.40		($4 27)	($4.27)	(4.43%)	
⊟ DEM	WISDOMTREE EMRG MRKT HG DIV ETF	06/24/2016	Hide Lots	1,458.00000	$49,269 85	$48,699.95	$569.90		$569 90	1.17%	
		06/24/2016	01/14/2016	617.00000	$20,850 14	$18,067 42	$2,782.72		$2,782.72	15.40%	
		06/24/2016	04/28/2016	822.00000	$27,777.65	$29,991 49	($2,213.84)		($2,213 84)	(7.38%)	
		06/24/2016	06/01/2016	19.00000	$642 06	$641 04	$1.02		$1 02	0 16%	
EZU	ISHARES MSCI EUROZONE ETF	02/03/2016	10/17/2014	363.00000	$11,831 77	$13,014 15		($1,182 38)	($1,182.38)	(9.09%)	
EZU	ISHARES MSCI EUROZONE ETF	02/23/2016	10/17/2014	1,281.00000	$40,978 43	$45,925.95		($4,947.52)	($4,947.52)	(10.77%)	
⊟ GOODX	GOODHAVEN FD	04/28/2016	Hide Lots	242.00900	$5,300 00	$5,589 75		($289 75)	($289.75)	(5.18%)	
		04/28/2016	02/03/2012	140 10000	$3,068 19	$3,072 66		($4 47)	($4 47)	(0 15%)	
		04/28/2016	12/18/2012	4.58800	$100.48	$110.35		($9 87)	($9.87)	(8 94%)	
		04/28/2016	12/18/2012	17 81200	$390.08	$428 39		($38 31)	($38.31)	(8 94%)	
		04/28/2016	12/18/2012	0.36900	$8 08	$8 87		($0 79)	($0 79)	(8 91%)	
		04/28/2016	12/18/2013	9.14700	$200.32	$253.10		($52 78)	($52.78)	(20.85%)	
		04/28/2016	12/18/2013	0.48900	$10.71	$13 53		($2.82)	($2.82)	(20.84%)	
		04/28/2016	12/19/2014	69.50400	$1,522 14	$1,702 85		($180 71)	($180.71)	(10 61%)	
GOODX	GOODHAVEN FD	06/09/2016	02/03/2012	107.67200	$2,400 00	$2,361.45		$38 55	$38 55	1.63%	
GOODX	GOODHAVEN FD	05/27/2016	02/03/2012	87 96300	$1,900 00	$1,929 20		($29 20)	($29.20)	(1 51%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
GSCIX	ABERDEEN US SM CAP EQTY FD INST CL	06/09/2016	11/30/2015	336 32300	$10,500 00	$9,719 73	$780.27		$780 27	8 03%	
GSCIX	ABERDEEN US SM CAP EQTY FD INST CL	09/21/2016	09/03/2015	99.64600	$3,100.00	$2,629 66		$470.34	$470 34	17.89%	
IEMG	ISHARES CORE MSCI EMERGING ETF	01/14/2016	08/25/2015	1,518.00000	$55,269.66	$59,162 84	($3,893 18)		($3,893 18)	(6 58%)	
IHYIX	VOYA HIGH YIELD BD CL I	04/28/2016	02/03/2016	1,454 31100	$11,300 00	$10,703 73	$596 27		$596 27	5 57%	
IHYIX	VOYA HIGH YIELD BD CL I	05/27/2016	02/03/2016	283 87100	$2,200 00	$2,089 29	$110.71		$110 71	5 30%	
IHYIX	VOYA HIGH YIELD BD CL I	10/05/2016	02/03/2016	3,714 28600	$29,900 00	$27,337 15	$2,562 85		$2,562 85	9 37%	
IJR	ISHARES CORE S&P SMALL CAP ETF	02/03/2016	11/30/2015	654.00000	$66,105 17	$76,043 85	($9,938.68)		($9,938 68)	(13.07%)	
IVIQX	IVA INTL FD CL I	06/09/2016	12/17/2014	113 42200	$1,800 00	$1,849 91		($49 91)	($49 91)	(2 70%)	
IVIQX	IVA INTL FD CL I	05/27/2016	Hide Lots	359 20500	$5,600 00	$5,858 64		($258 64)	($258 64)	(4 41%)	
		05/27/2016	12/17/2014	293.50400	$4,575.72	$4,787.05		($211 33)	($211.33)	(4.41%)	
		05/27/2016	12/17/2014	30 05200	$468 51	$490 15		($21 64)	($21.64)	(4 41%)	
		05/27/2016	12/17/2014	35.64900	$555.77	$581 44		($25 67)	($25.67)	(4.41%)	
JBGIX	ABERDEEN TOTAL RETURN BD FD CL I	09/08/2016	09/19/2012	502.54900	$6,900 00	$7,009 76		($109 76)	($109.76)	(1.57%)	
JBGIX	ABERDEEN TOTAL RETURN BD FD CL I	02/03/2016	Hide Lots	2,391 13800	$31,300 00	$33,305 15	($11 62)	($1,993 53)	($2,005.15)	(6.02%)	
		02/03/2016	09/19/2012	2,282.01400	$29,871.56	$31,830 48		($1,958 92)	($1,958.92)	(6.15%)	
		02/03/2016	09/27/2012	11 85600	$155.20	$165.85		($10.65)	($10.65)	(6.42%)	
		02/03/2016	10/31/2012	13.15300	$172.17	$184 00		($11.83)	($11.83)	(6.43%)	
		02/03/2016	11/29/2012	13.61600	$178.23	$190 36		($12 13)	($12.13)	(6 37%)	
		02/03/2016	02/26/2015	11.10900	$145.42	$148.49	($3.07)		($3.07)	(2.07%)	
		02/03/2016	03/30/2015	13.32900	$174.48	$178.33	($3.85)		($3.85)	(2 16%)	
		02/03/2016	04/29/2015	10.26200	$134 33	$136 82	($2.49)		($2 49)	(1 82%)	
		02/03/2016	05/28/2015	9.85600	$129.02	$130 43	($1.41)		($1 41)	(1 08%)	
		02/03/2016	07/30/2015	9.03100	$118.22	$118 54	($0.32)		($0.32)	(0.27%)	
		02/03/2016	09/29/2015	8 91400	$116 68	$116 84	($0 16)		($0 16)	(0 14%)	
		02/03/2016	10/29/2015	7 99800	$104 69	$105.01	($0 32)		($0.32)	(0.30%)	
JBGIX	ABERDEEN TOTAL RETURN BD FD CL I	06/09/2016	09/19/2012	37.01000	$500 00	$516 23		($16 23)	($16.23)	(3.14%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
JENIX	JENSEN QUALITY GROWTH FD CL I	06/09/2016	02/22/2008	12 69700	$500 00	$334 65		$165 35	$165 35	49.41%	
⊟ JENIX	JENSEN QUALITY GROWTH FD CL I	02/03/2016	Hide Lots	112.39100	$4,000 00	$3,063.40		$936.60	$936.60	30.57%	
		02/03/2016	02/22/2008	104.33000	$3,713.11	$2,749 82		$963.29	$963 29	35.03%	a
		02/03/2016	09/17/2014	8 06100	$286 89	$313 58		($26 69)	($26.69)	(8 51%)	
JENIX	JENSEN QUALITY GROWTH FD CL I	05/27/2016	02/22/2008	223 59300	$8,700 00	$5,893 24		$2,806 76	$2,806 76	47 63%	
KBWB	POWERSHARES KBW BANK ETF	09/21/2016	03/08/2016	14 00000	$512 75	$462 95	$49.80		$49.80	10.76%	
KBWB	POWERSHARES KBW BANK ETF	05/27/2016	03/08/2016	24 00000	$876 88	$793 62	$83 26		$83 26	10 49%	
LSBDX	LOOMIS SAYLES BOND FUND CL I	05/27/2016	04/28/2016	127 05500	$1,700 00	$1,717 78	($17 78)		($17.78)	(1.04%)	
⊟ LSBDX	LOOMIS SAYLES BOND FUND CL I	02/03/2016	Hide Lots	3,570.74300	$44,670 00	$47,546.89	($1,559.43)	($1.317 46)	($2,876.89)	(6.05%)	
		02/03/2016	12/14/2007	67.06300	$838.96	$963 03		($124 07)	($124 07)	(12.88%)	a
		02/03/2016	02/26/2008	30 91000	$386 68	$444 49		($57 81)	($57.81)	(13 01%)	a
		02/03/2016	03/25/2008	38.02600	$475.71	$536.16		($60 45)	($60.45)	(11.27%)	a
		02/03/2016	04/28/2008	34.54800	$432.20	$494.73		($62.53)	($62.53)	(12.64%)	a
		02/03/2016	05/27/2008	36 32200	$454 39	$520 86		($66 47)	($66.47)	(12.76%)	a
		02/03/2016	06/24/2008	38.36300	$479 92	$537 85		($57 93)	($57.93)	(10.77%)	a
		02/03/2016	07/29/2008	39 92700	$499 49	$543.01		($43.52)	($43.52)	(8.01%)	a
		02/03/2016	08/26/2008	39 47800	$493 87	$529 00		($35 13)	($35.13)	(6.64%)	a
		02/03/2016	09/23/2008	43 82500	$548 25	$546 50		$1 75	$1 75	0 32%	a
		02/03/2016	10/16/2008	368.78200	$4,613.47	$3,824.40		$789 07	$789.07	20 63%	a
		02/03/2016	01/27/2009	62 39800	$780 60	$655 80		$124 80	$124 80	19 03%	a
		02/03/2016	04/28/2009	55.52400	$694.61	$586.89		$107 72	$107.72	18.35%	a
		02/03/2016	05/27/2009	55 67300	$696 47	$622 42		$74 05	$74 05	11 90%	a
		02/03/2016	06/23/2009	53 76800	$672 64	$625 86		$46 78	$46 78	7 47%	a
		02/03/2016	07/28/2009	56.30500	$704 38	$680 16		$24.22	$24.22	3.56%	a
		02/03/2016	08/25/2009	58.51000	$731.96	$729.03		$2 93	$2.93	0.40%	a
		02/03/2016	09/22/2009	50 92000	$637 01	$655 85		($18 84)	($18.84)	(2 87%)	a
		02/03/2016	10/27/2009	54 43300	$680.96	$710 90		($29 94)	($29 94)	(4.21%)	a
		02/03/2016	11/24/2009	53.15200	$664 93	$702 14		($37 21)	($37.21)	(5 30%)	a

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		02/03/2016	12/11/2009	51.20600	$640.59	$677.45		($36 86)	($36.86)	(5 44%)	a
		02/03/2016	01/26/2010	55 27100	$691 44	$742 84		($51 40)	($51 40)	(6 92%)	a
		02/03/2016	02/23/2010	51 26800	$641 36	$687 51		($46 15)	($46 15)	(6 71%)	a
		02/03/2016	03/23/2010	50.68100	$634.02	$700 41		($66 39)	($66.39)	(9 48%)	a
		02/03/2016	04/27/2010	55.11800	$689.53	$768 89		($79 36)	($79 36)	(10 32%)	a
		02/03/2016	05/26/2010	52 58800	$657 88	$704 16		($46 28)	($46.28)	(6 57%)	a
		02/03/2016	06/22/2010	51 15700	$639 97	$695 74		($55 77)	($55.77)	(8.02%)	a
		02/03/2016	07/27/2010	54.49900	$681.78	$753.72		($71.94)	($71.94)	(9.54%)	a
		02/03/2016	08/24/2010	49.12100	$614 50	$680 33		($65 83)	($65 83)	(9.68%)	a
		02/03/2016	09/21/2010	49.07300	$613 90	$691 93		($78 03)	($78.03)	(11 28%)	a
		02/03/2016	10/26/2010	47.12800	$589 57	$677 23		($87 66)	($87.66)	(12.94%)	a
		02/03/2016	11/23/2010	48 83500	$610 93	$692 97		($82 04)	($82.04)	(11 84%)	a
		02/03/2016	12/09/2010	71.49400	$894.39	$1,008.06		($113.67)	($113.67)	(11.28%)	
		02/03/2016	01/25/2011	48.44700	$606.07	$697 63		($91 56)	($91 56)	(13 12%)	
		02/03/2016	02/14/2011	127.74600	$1,598 10	$1,849 02		($250 92)	($250.92)	(13 57%)	
		02/03/2016	02/22/2011	47.09100	$589.11	$681.40		($92.29)	($92.29)	(13.54%)	
		02/03/2016	02/22/2011	15.41400	$192.83	$223.04		($30.21)	($30.21)	(13.54%)	
		02/03/2016	10/25/2011	59.76100	$747.61	$853 39		($105 78)	($105 78)	(12 40%)	
		02/03/2016	11/22/2011	67.45800	$843.90	$937.67		($93 77)	($93 77)	(10 00%)	
		02/03/2016	12/14/2011	174.25200	$2,179.89	$2,390.74		($210.85)	($210.85)	(8.82%)	
		02/03/2016	01/23/2012	48 50500	$606 80	$693 13		($86 33)	($86.33)	(12.46%)	
		02/03/2016	08/09/2014	17.14300	$214 46	$266 25		($51 79)	($51 79)	(19.45%)	
		02/03/2016	03/25/2015	9.63000	$120 47	$140 70	($20.23)		($20 23)	(14 38%)	
		02/03/2016	04/23/2015	11.36000	$142 11	$167 34	($25.23)		($25 23)	(15.08%)	
		02/03/2016	05/14/2015	311 44200	$3,896 14	$4,600 00	($703 86)		($703.86)	(15.30%)	
		02/03/2016	05/22/2015	12 32800	$154.22	$180 61	($26 39)		($26.39)	(14 61%)	
		02/03/2016	05/22/2015	0 68300	$8 54	$10 00	($1.46)		($1 46)	(14 60%)	
		02/03/2016	06/23/2015	12.10000	$151 37	$174 96	($23.59)		($23 59)	(13 48%)	
		02/03/2016	07/24/2015	12 97800	$162.35	$182 47	($20 12)		($20 12)	(11.03%)	
		02/03/2016	08/12/2015	379 26100	$4,744 56	$5,340 00	($595 44)		($595.44)	(11 15%)	
		02/03/2016	08/24/2015	14 21500	$177 83	$196 02	($18 19)		($18.19)	(9.28%)	
		02/03/2016	08/24/2015	0.90200	$11 28	$12 44	($1 16)		($1.16)	(9 32%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		02/03/2016	09/24/2015	9.06100	$113.35	$124 23	($10 88)		($10 88)	(8.76%)	
		02/03/2016	10/26/2015	9.91300	$124 01	$139 08	($15.07)		($15 07)	(10 84%)	
		02/03/2016	11/24/2015	9 24100	$115 60	$127 15	($11 55)		($11 55)	(9 08%)	
		02/03/2016	12/17/2015	243 01300	$3,040.09	$3,125.15	($85.06)		($85.06)	(2 72%)	
		02/03/2016	12/17/2015	3 43300	$42.95	$44.15	($1 20)		($1 20)	(2.72%)	
MANLX	BLACKROCK NATIONAL MUNI INSTL CL	05/27/2016	02/11/2015	297.03000	$3,300 00	$3,280 12		$19 88	$19.88	0 61%	
⊟ MANLX	BLACKROCK NATIONAL MUNI INSTL CL	02/03/2016	Hide Lots	1,533.03200	$16,940 00	$17,127 56	($0 12)	($187 44)	($187.56)	(1 10%)	
		02/03/2016	02/03/2012	19.14000	$211 52	$207 29		$4 23	$4 23	2.04%	
		02/03/2016	04/30/2012	3.25800	$36 00	$35 35		$0 65	$0 65	1 84%	
		02/03/2016	05/31/2012	3.23000	$35.69	$35.40		$0.29	$0 29	0.82%	
		02/03/2016	06/29/2012	3.27300	$36 17	$35 71		$0 46	$0 46	1 29%	
		02/03/2016	07/31/2012	3.29800	$36 44	$36 58		($0.14)	($0.14)	(0.38%)	
		02/03/2016	08/29/2012	341.15500	$3,769 76	$3,800.00		($30.24)	($30.24)	(0 80%)	
		02/03/2016	08/31/2012	0.03500	$0 39	$0 39		$0 00	$0.00	0.00%	
		02/03/2016	08/31/2012	3.28000	$36.24	$36.38		($0 14)	($0.14)	(0.38%)	
		02/03/2016	09/28/2012	3.16900	$35.02	$35.27		($0.25)	($0.25)	(0.71%)	
		02/03/2016	09/28/2012	1 08000	$11 93	$12 02		($0 09)	($0.09)	(0.75%)	
		02/03/2016	10/31/2012	4.02500	$44 48	$44 84		($0 36)	($0 36)	(0.80%)	
		02/03/2016	10/31/2012	0 07000	$0 77	$0 78		($0 01)	($0.01)	(1.28%)	
		02/03/2016	11/30/2012	3 93100	$43 44	$44 54		($1 10)	($1.10)	(2.47%)	
		02/03/2016	12/19/2012	0.01800	$0.20	$0.20		$0 00	$0 00	0.00%	
		02/03/2016	12/31/2012	4 02300	$44 45	$44 58		($0 13)	($0 13)	(0 29%)	
		02/03/2016	01/22/2013	1,034 85300	$11,435 12	$11,600 00		($164 88)	($164 88)	(1 42%)	
		02/03/2016	01/31/2013	0.75400	$8.33	$8.40		($0 07)	($0 07)	(0 83%)	
		02/03/2016	01/31/2013	3.94300	$43.57	$43.92		($0.35)	($0.35)	(0 80%)	
		02/03/2016	02/28/2013	4 17600	$46 14	$46 56		($0 42)	($0 42)	(0 90%)	
		02/03/2016	02/28/2013	2.77000	$30 61	$30 89		($0 28)	($0 28)	(0.91%)	
		02/03/2016	03/28/2013	7.16500	$79.17	$79.17		$0.00	$0.00	0 00%	
		02/03/2016	04/30/2013	6.93800	$76 66	$77 29		($0 63)	($0.63)	(0 82%)	
		02/03/2016	05/31/2013	7.03900	$77 78	$77.29		$0 49	$0 49	0.63%	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		02/03/2016	05/30/2014	7.46900	$82.53	$81 41		$1.12	$1.12	1.38%	
		02/03/2016	06/30/2014	7.81100	$86.31	$84 98		$1.33	$1.33	1 57%	
		02/03/2016	07/31/2014	7 66700	$84 72	$83 34		$1 38	$1 38	1 66%	
		02/03/2016	08/29/2014	7.30200	$80 69	$80.03		$0.66	$0.66	0.82%	
		02/03/2016	09/30/2014	7.30200	$80 69	$80.18		$0.51	$0.51	0.64%	
		02/03/2016	10/31/2014	7.27700	$80 41	$80 05		$0 36	$0 36	0.45%	
		02/03/2016	11/28/2014	7 36500	$81 38	$80 79		$0 59	$0 59	0 73%	
		02/03/2016	12/05/2014	0.02100	$0.23	$0.23		$0.00	$0.00	0.00%	
		02/03/2016	12/31/2014	7 48200	$82 68	$82 30		$0 38	$0 38	0 46%	
		02/03/2016	01/30/2015	6.49400	$71 76	$72.48		($0 72)	($0 72)	(0 99%)	
		02/03/2016	01/30/2015	0.76100	$8 41	$8 49		($0 08)	($0.08)	(0 94%)	
		02/03/2016	02/11/2015	5 45800	$60 31	$60 43	($0.12)		($0 12)	(0 20%)	
MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	09/21/2016	06/30/2016	593.87000	$15,500 00	$14,543 87	$956.13		$956.13	6.57%	
MIPTX	MATTHEWS PACIFIC TIGER FD INSTL	06/09/2016	01/05/2016	78.09300	$1,900 00	$1,797.70	$102.30		$102 30	5 69%	
⊟ NCRLX	NEUBERGER BERMAN CORE BD FD INSTL CL	06/09/2016	Hide Lots	47.43800	$500.00	$502 24		($2 24)	($2.24)	(0.45%)	
		06/09/2016	01/14/2013	6.23400	$65.71	$66.92		($1 21)	($1.21)	(1.81%)	
		06/09/2016	05/30/2014	8.69000	$91.59	$91.59		$0.00	$0.00	0.00%	
		06/09/2016	06/30/2014	8 78500	$92 59	$92 59		$0 00	$0 00	0 00%	
		06/09/2016	07/31/2014	3.33300	$35.14	$34 96		$0 18	$0.18	0.51%	
		06/09/2016	09/12/2014	0.48700	$5.13	$5.13		$0.00	$0.00	0.00%	
		06/09/2016	11/28/2014	5 27800	$55 63	$55 79		($0 16)	($0 16)	(0 29%)	
		06/09/2016	12/17/2014	4.57600	$48.23	$48 14		$0 09	$0 09	0.19%	
		06/09/2016	12/31/2014	5 10800	$53 84	$53 79		$0 05	$0 05	0 09%	
		06/09/2016	01/30/2015	2.76800	$29 17	$29 84		($0 67)	($0 67)	(2 25%)	
		06/09/2016	01/30/2015	2.17900	$22.97	$23 49		($0 52)	($0.52)	(2 21%)	
⊟ NCRLX	NEUBERGER BERMAN CORE BD FD INSTL CL	02/03/2016	Hide Lots	2,749.75800	$28,350.00	$29,130.09	($780.09)		($780.09)	(2.68%)	
		02/03/2016	02/11/2015	1,452 31400	$14,973.35	$15,400 00	($426 65)		($426 65)	(2 77%)	
		02/03/2016	02/27/2015	4.87600	$50 27	$51.73	($1 46)		($1.46)	(2.82%)	
		02/03/2016	02/27/2015	1.79800	$18 54	$19 08	($0 54)		($0.54)	(2.83%)	
		02/03/2016	03/31/2015	6.55200	$67 55	$69 52	($1 97)		($1.97)	(2.83%)	

Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
		02/03/2016	03/31/2015	1.69400	$17.47	$17.97	($0 50)		($0 50)	(2 78%)	
		02/03/2016	04/06/2015	755 41100	$7,788.29	$8,042 20	($253.91)		($253 91)	(3.16%)	
		02/03/2016	04/06/2015	9 11100	$93 93	$97 81	($3 88)		($3 88)	(3 97%)	
		02/03/2016	04/20/2015	13.36500	$137.79	$142 02	($4 23)		($4.23)	(2 98%)	
		02/03/2016	04/20/2015	1 62800	$16.78	$17.30	($0 52)		($0.52)	(3 01%)	
		02/03/2016	04/30/2015	9 24100	$95 27	$97 58	($2 31)		($2 31)	(2 37%)	
		02/03/2016	04/30/2015	2.38100	$24 55	$25 14	($0 59)		($0 59)	(2.35%)	
		02/03/2016	05/14/2015	491.38700	$5,066.21	$5,149 74	($83 53)		($83.53)	(1.62%)	
⊟ OAKLX	OAKMARK SELECT FUND	09/21/2016	Hide Lots	88 14900	$3,600 00	$2,606 87		$993 13	$993 13	38.10%	
		09/21/2016	02/22/2008	56.87700	$2,322 85	$1,383 82		$939 03	$939 03	67.86%	a
		09/21/2016	12/19/2013	2.29800	$93 85	$89 87		$3 98	$3 98	4 43%	
		09/21/2016	12/19/2013	28.97400	$1,183.30	$1,133 18		$50 12	$50.12	4.42%	
⊟ OAKLX	OAKMARK SELECT FUND	04/28/2016	Hide Lots	276.47400	$10,600.00	$11,176.53		($576.53)	($576 53)	(5 16%)	
		04/28/2016	12/19/2013	14.88400	$570 65	$582 12		($11 47)	($11 47)	(1 97%)	
		04/28/2016	12/18/2014	261.59000	$10,029 35	$10,594 41		($565 06)	($565.06)	(5.33%)	
OAKLX	OAKMARK SELECT FUND	05/27/2016	12/19/2013	54.19400	$2,100 00	$2,119 53		($19 53)	($19.53)	(0.92%)	
OAKLX	OAKMARK SELECT FUND	06/09/2016	12/19/2013	23 25000	$900 00	$909 31		($9 31)	($9.31)	(1.02%)	
⊟ PRESX	T ROWE PRICE EUROPEAN STOCK FUND	02/03/2016	Hide Lots	429 13200	$7,660 00	$8,892 23	($98 73)	($1,133 50)	($1,232 23)	(13 86%)	
		02/03/2016	09/11/2014	365 43900	$6,523 08	$7,656 58		($1 133 50)	($1,133 50)	(14.80%)	
		02/03/2016	12/16/2015	63 69300	$1,136 92	$1,235 65	($98.73)		($98.73)	(7.99%)	
⊟ PRESX	T ROWE PRICE EUROPEAN STOCK FUND	05/27/2016	Hide Lots	47.29400	$900.00	$976 21		($76.21)	($76.21)	(7.81%)	
		05/27/2016	12/17/2013	26.13000	$497 25	$532 79		($35 54)	($35.54)	(6 67%)	
		05/27/2016	09/11/2014	21.16400	$402.75	$443 42		($40 67)	($40.67)	(9.17%)	
⊟ PRESX	T ROWE PRICE EUROPEAN STOCK FUND	09/08/2016	Hide Lots	1,706.41200	$32,200 00	$32,542 97		($342 97)	($342.97)	(1.05%)	
		09/08/2016	08/26/2013	1,618.34400	$30,538.16	$30,798.31		($260 15)	($260.15)	(0.84%)	
		09/08/2016	12/17/2013	20.00500	$377 49	$407 90		($30 41)	($30.41)	(7.46%)	

	Symbol	Name	Sold/ Closed	Acquired/ Opened	Quantity Sold	Total Proceeds	Cost Basis[3]	Short Term	Long Term	Total	Total %	Notes[1]
			09/08/2016	12/16/2014	68.06300	$1,284.35	$1,336.76		($52 41)	($52 41)	(3 92%)	
	SCHB	SCHWAB US BROAD MARKET ETF	10/05/2016	05/14/2015	160.00000	$8,353.58	$8,251.20		$102.38	$102.38	1 24%	
	SFSNX	SCHWAB FUNDAMENTAL US SMALL CO INDEX	06/09/2016	12/22/2014	55 51200	$700.00	$723 32		($23 32)	($23.32)	(3.22%)	
−	SFSNX	SCHWAB FUNDAMENTAL US SMALL CO INDEX	09/21/2016	Hide Lots	293.89000	$3,800.00	$3,829.39		($29.39)	($29.39)	(0.77%)	
			09/21/2016	12/22/2014	47 03600	$608 18	$612 88		($4 70)	($4 70)	(0.77%)	
			09/21/2016	12/22/2014	246.85400	$3,191 82	$3,216 51		($24 69)	($24.69)	(0.77%)	
	SGOIX	FIRST EAGLE OVERSEAS FUND CL I	06/09/2016	09/11/2014	87.97700	$2,100.00	$2,152.58		($52 58)	($52.58)	(2 44%)	
	SGOIX	FIRST EAGLE OVERSEAS FUND CL I	05/27/2016	09/11/2014	242.96700	$5,700 00	$5,944 80		($244 80)	($244 80)	(4 12%)	
−	SGOIX	FIRST EAGLE OVERSEAS FUND CL I	02/03/2016	Hide Lots	393 60200	$8,490 00	$8,707 18	($211 49)	($5 69)	($217 18)	(2 49%)	
			02/03/2016	09/11/2014	1 96600	$42 41	$48 10		($5 69)	($5 69)	(11 83%)	
			02/03/2016	12/17/2015	12.29400	$265 18	$271 83	($6 65)		($6 65)	(2 45%)	
			02/03/2016	12/17/2015	344.18800	$7,424 14	$7,610 00	($185 86)		($185.86)	(2.44%)	
			02/03/2016	12/17/2015	35 15400	$758 27	$777 25	($18 98)		($18.98)	(2 44%)	
	VWO	VANGUARD FTSE EMERGING MARKETS ETF	04/28/2016	10/04/2011	1,180 00000	$41,622 41	$41,010 11		$612 30	$612 30	1 49%	

Disclosures
The Realized Gain/Loss page provides summary information of closed transactions. Not all closed transactions appear on this page.
We calculate cost basis using data that you or your client have provided to us or that we have obtained from market data supplied by third party sources We may also display cost basis data that we have not calculated but that has been supplied by you or your client, a prior custodian or another third party source Because the accuracy of cost basis data depends upon these third party inputs, we are not able to guarantee the availability, accuracy or completeness of *such cost basis data*
Only covered transactions will be reported to the IRS Schwab does not provide tax or legal advice. Please have your clients consult with a tax advisor regarding their specific tax situation

Footnotes apply where indicated on the data view.
Missing: Indicates cost basis has not been provided for this security
Not Tracked: Indicates original cost basis is not available

1. a Data for this holding has been edited or provided by the Advisor
   e Data for this holding has been edited or provided by the end client
   t Data for this holding has been edited or provided by a third party.
   w Cost Basis adjusted due to a wash sale.

3 Cost Basis for fixed income securities is now adjusted to reflect amortized/accreted values Click the acquired/opened date to view original cost in the Details page Note Some securities, including

variable rate/term instruments and mortgage backed securities, may only reflect original cost even when the amortization/accretion preference is on
8 Total excludes missing cost basis information, or values not tracked by Schwab

(0307-0369)

Income Summary

	This Period		Year to Date	
	Federally Tax-Exempt[1]	Federally Taxable	Federally Tax-Exempt[1]	Federally Taxable
Deposit Accounts Interest	0 00	1.01	0.00	11.27
Cash Dividends	164.34	9,811 21	1,663.50	20,768 56
Total Capital Gains	0 00	10,074 36	0.00	15,004 34
Total Income	**164.34**	**19,886.58**	**1,663.50**	**35,784.17**

[1]Certain income in this category may qualify for state tax exemption, consult your tax advisor

Margin Loan Information

	Margin Loan Balance	Funds Available to Withdraw*	Securities Buying Power*	Margin Loan Rates Vary by Balance
This Period	0 00	866,401.63	1,732,804 12	6.00% - 8 50%

The opening margin loan balance for the statement period was $0 00
For more information about the margin feature, please visit schwab com/margin
*Values include any cash plus the amount available using margin borrowing

Investment Detail - Cash and Deposit Accounts

Cash	Market Value	% of Account Assets
Cash	1,157 57	<1%
Total Cash	**1,157.57**	**<1%**

Deposit Accounts	Market Value	% of Account Assets
Deposit Accounts X,Z	118,518 06	8%
Total Deposit Accounts	**118,518.06**	**8%**

Total Cash and Deposit Accounts	**119,675.63**	**8%**

Schwab has provided accurate gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement

Investment Detail - Mutual Funds

Bond Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
ABERDEEN TOTAL RETURN BD (M) FD CL I SYMBOL: JBGIX	5,250 5370	12 8500	67,469 40	5%	13 74	71,940.60	(4,471.20)
BLACKROCK NATIONAL MUNI (M) INSTL CL SYMBOL: MANLX	5,444 7240	10.7100	58,312 99	4%	11.03	59,747.97	(1,434 98)
LOOMIS SAYLES BOND FUND (M) CL I SYMBOL. LSBDX	3,388 5710	13 5600	45,949 02	3%	13 88	35,842.80 [a]	10,106 22
NEUBERGER BERMAN CORE BD (M) FD INSTL CL SYMBOL. NCRLX	3,883.2320	10 2200	39,686.63	3%	10.51	40,144.50	(457.87)
VANGUARD SHORT TERM (M) INVESTMENT GRADE FUND ADMIRAL SYMBOL: VFSUX	7,702.6440	10 6300	81,879.11	5%	10.75	82,833.57	(954 46)
VOYA HIGH YIELD BD CL I (M) SYMBOL: IHYIX	4,765 2980	8.0400	38,313 00	3%	7 36	35,059.83	3,253.17
Total Bond Funds	30,435.0060		331,610.15	22%		325,569.27	6,040.88

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Investment Detail - Mutual Funds (continued)

Equity Funds	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
ABERDEEN US SM CAP EQTY [(M)] FD INST CL SYMBOL· GSCIX	2,153 3260	34.6800	74,677 35	5%	26.73	56,850.61	17,826.74
AQR LG CAP MULTI STYLE I [(M)] SYMBOL· QCELX	259 2180	14 5300	3,766.44	<1%	13 04	3,380 00	386 44
ARTISAN INTL SM CAP FD [(M)] INV SHR SYMBOL: ARTJX	779 2910	19 8000	15,429 96	1%	20 48	13,658 41 [a]	1,771.55
BAIRD MID CAP FUND INST [(M)] SYMBOL: BMDIX	2,541 4920	15 8000	40,155 57	3%	11.38	28,614.67	11,540.90
FIRST EAGLE OVERSEAS [(M)] FUND CL I SYMBOL: SGOIX	4,008.0920	22.8500	91,584 90	6%	21.71	84,210.16 [a]	7,374.74
GOODHAVEN FD [(M)] SYMBOL: GOODX	2,311 5630	23 2700	53,790.07	4%	21 76	49,967.94	3,822.13
IVA INTL FD CL I [(M)] SYMBOL: IVIQX	9,385 3320	15 7800	148,100 54	10%	15 17	138,806 99 [a]	9,293.55
JENSEN QUALITY GROWTH FD [(M)] CL I SYMBOL: JENIX	1,833 4050	39 1100	71,704 47	5%	25.57	42,188 22 [a]	29,516 25
MATTHEWS PACIFIC TIGER [(M)] FD INSTL SYMBOL: MIPTX	4,567 4140	22 9000	104,593.78	7%	23.14	104,826.36	(232.58)

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Investment Detail - Mutual Funds (continued)

Equity Funds (continued)	Quantity	Market Price	Market Value	% of Account Assets	Average Cost Basis	Cost Basis	Unrealized Gain or (Loss)
OAKMARK SELECT FUND INV (M) SYMBOL: OAKLX	1,855.3710	43 0400	79,855 17	5%	27.82	45,888 30 [a]	33,966 87
SCHWAB FUNDAMENTAL US (M) SMALL CO INDEX SYMBOL: SFSNX	9,821.7450	14.1500	138,977.69	9%	11 33	104,405.86	34,571 83
T ROWE PRICE EUROPEAN (M) STOCK FUND SYMBOL: PRESX	1,999 6930	16 8100	33,614.84	2%	17.87	32,199 72	1,415.12
Total Equity Funds	41,515.9420		856,250.78	57%		704,997.24	151,253.54
Total Mutual Funds	71,950.9480		1,187,860.93	80%		1,030,566.51	157,294.42

Investment Detail - Other Assets

Other Assets	Quantity Units Purchased	Market Price Cost Per Share	Market Value Cost Basis	% of Account Assets Acquired	Unrealized Gain or (Loss)	Estimated Yield Holding Days	Estimated Annual Income Holding Period
ISHARES CORE S&P 500 (M)	50.0000	224.9900	11,249.50	<1%	5,567.96	2.31%	260.82
ETF	13.0000	106.8469	1,389 01 [a]	07/08/10	1,535 86	2368	Long-Term
SYMBOL: IVV	37.0000	116 0143	4,292 53	08/08/11	4,032.10	1972	Long-Term
Cost Basis			*5,681.54*				
ISHARES RUSSELL 1000 (M)	378.0000	104.9000	39,652.20	3%	27,162.04	1.61%	639.25
GROWTH ETF	378 0000	33.0427	12,490.16 [a]	03/12/09	27,162 04	2851	Long-Term
SYMBOL: IWF							

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Investment Detail - Other Assets (continued)

Other Assets (continued)	Quantity / Units Purchased	Market Price / Cost Per Share	Market Value / Cost Basis	% of Account Assets / Acquired	Unrealized Gain or (Loss)	Estimated Yield / Holding Days	Estimated Annual Income / Holding Period
POWERSHARES KBW BANK (M)	**1,013.0000**	**47.2700**	**47,884.51**	**3%**	**14,867.67**	**2.24%**	**1,074.35**
ETF	252 0000	31.1600	7,852 32	02/23/16	4,059.72	312	Short-Term
SYMBOL: KBWB	761 0000	33 0677	25,164 52	03/08/16	10,807 95	298	Short-Term
Cost Basis			*33,016 84*				
SCHWAB US BROAD MARKET (M)	**352.0000**	**54.1800**	**19,071.36**	**1%**	**1,977.31**	**2.59%**	**494.63**
ETF	163 0000	51.5700	8,405 91	05/14/15	425 43	597	Long-Term
SYMBOL: SCHB	189 0000	45 9689	8,688.14	02/23/16	1,551.88	312	Short-Term
Cost Basis			*17,094 05*				
SPDR S&P INTERNATIONAL (M)	**605.0000**	**29.0000**	**17,545.00**	**1%**	**18.15**	**5.42%**	**951.93**
SMALL CAP ETF	605.0000	28.9700	17,526.85	12/19/16	18 15	12	Short-Term
SYMBOL: GWX							
WISDOMTREE EMRG MRKT HG (M)	**1,251.0000**	**37.3400**	**46,712.34**	**3%**	**10,079.68**	**2.90%**	**1,357.89**
DIV ETF	1,251 0000	29.2827	36,632 66	01/14/16	10,079.68	352	Short-Term
SYMBOL: DEM							
Total Other Assets	**3,649.0000**		**182,114.91**	**12%**	**59,672.81**		**4,778.87**
		Total Cost Basis:	***122,442.10***				

Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only The actual income and yield might be lower or higher than the estimated amounts EY is based upon EAI and the current price of the security and will fluctuate For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.

Total Investment Detail	**1,489,651.47**
Total Account Value	**1,489,651.47**
Total Cost Basis	***1,153,008.61***

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