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 ,

H&H EVERGREEN FOUNDATION
27800 VIA FELIZ
LOS ALTOS HILLS, CA 94022

A Employer identification number
46-5066162

B Telephone number (see instructions)
(650)804-1399

C If exemption application is pending, check here ► ☐

D 1 Foreign organizations, check here ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, column (c), line 16)* ► $ 379,097,516.

J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis.)*

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)	306,080,328.			
	2	Check ► ☐ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	387.	387.	387.	
	4	Dividends and interest from securities	7,242,590.	7,242,590.	7,242,590.	
	5 a	Gross rents				
	b	Net rental income or (loss)				
	6 a	Net gain or (loss) from sale of assets not on line 10	686,923.			
	b	Gross sales price for all assets on line 6a 33,126,420.				
	7	Capital gain net income (from Part IV, line 2)		686,923.		
	8	Net short-term capital gain			783,002.	
	9	Income modifications				
	10 a	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	314,010,228.	7,929,900.	8,025,979.	
OPERATING AND ADMINISTRATIVE EXPENSES	13	Compensation of officers, directors, trustees, etc.	29,000.			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16 a	Legal fees (attach schedule) SEE ST 1	4,547.	1,516.		3,031.
	b	Accounting fees (attach sch) SEE ST 2	5,000.	1,667.		3,333.
	c	Other professional fees (attach sch)				
	17	Interest				
	18	Taxes (attach schedule)(see instrs)				
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule) SEE STATEMENT 3	2,627.	2,012.		615.
	24	**Total operating and administrative expenses** Add lines 13 through 23	41,174.	5,195.		6,979.
	25	Contributions, gifts, grants paid PART XV	15,970,000.			15,970,000.
	26	**Total expenses and disbursements** Add lines 24 and 25	16,011,174.	5,195.	0.	15,976,979.
	27	Subtract line 26 from line 12.				
	a	**Excess of revenue over expenses and disbursements**	297,999,054.			
	b	**Net investment income** (if negative, enter -0-)		7,924,705.		
	c	**Adjusted net income** (if negative, enter -0-)			8,025,979.	

649

3

		Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	**(b)** Book Value	**(c)** Fair Market Value
ASSETS	1	Cash – non-interest-bearing			
	2	Savings and temporary cash investments	4,025,668.	4,246.	4,246.
	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)		21,000.	21,000.
	7	Other notes and loans receivable (attach sch) ►			
		Less allowance for doubtful accounts ►			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments – U S. and state government obligations (attach schedule)			
	b	Investments – corporate stock (attach schedule)			
	c	Investments – corporate bonds (attach schedule)			
	11	Investments – land, buildings, and equipment basis ►			
		Less: accumulated depreciation (attach schedule) ►			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule)	16,020,440.	317,640,523.	378,692,877.
	14	Land, buildings, and equipment basis ►			
		Less accumulated depreciation (attach schedule) ►			
	15	Other assets (describe ► SEE STATEMENT 4)		379,393.	379,393.
	16	**Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I)	20,046,108.	318,045,162.	379,097,516.
LIABILITIES	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ►)			
	23	**Total liabilities** (add lines 17 through 22)	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 and complete lines 27 through 31. ► ☒			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	20,046,108.	318,045,162.	
	30	**Total net assets or fund balances** (see instructions)	20,046,108.	318,045,162.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	20,046,108.	318,045,162.	

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	20,046,108.
2	Enter amount from Part I, line 27a	2	297,999,054.
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	318,045,162.
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	318,045,162.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	CHARLES SCHWAB - #6982	P	VARIOUS	VARIOUS
b	CHARLES SCHWAB - #6982	P	VARIOUS	VARIOUS
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	28,941,025.		28,158,023.	783,002.
b	4,185,395.		4,281,474.	-96,079.
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				783,002.
b				-96,079.
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 — 686,923.

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 — 783,002.

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) N/A

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			
2014			
2013			
2012			
2011			

2	Total of line 1, column (d)	2	
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	
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	
5	Multiply line 4 by line 3	5	
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	
7	Add lines 5 and 6	7	
8	Enter qualifying distributions from Part XII, line 4	8	

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here ► ☐ 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	158,494.
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	158,494.
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	158,494.
6 Credits/Payments				
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a			
b Exempt foreign organizations – tax withheld at source	6 b			
c Tax paid with application for extension of time to file (Form 8868)	6 c			
d Backup withholding erroneously withheld	6 d			
7 Total credits and payments Add lines 6a through 6d			7	0.
8 Enter any **penalty** for underpayment of estimated tax Check here ☒ if Form 2220 is attached			8	60.
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ►			9	158,554.
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** ►		**Refunded** ►	11	

Part VII-A Statements Regarding Activities

		Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1 a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1 b		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?	1 c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ► $ 0. **(2)** On foundation managers ► $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If 'Yes,' attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If 'Yes,' attach a conformed copy of the changes*	3		X
4 a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4 a		X
b If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4 b	N/A	
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	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) ► CA			
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*	8 b	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* SEE STATEMENT 5	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 ► YONG PING DUAN Telephone no ► (650) 804-1399

Located at ► 27800 VIA FELIZ LOS ALTOS HILLS CA ZIP + 4 ► 94022

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** – Check here N/A ► ☐

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.				
1 a	During the year did the foundation (either directly or indirectly):				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ **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)?		1 b	N/A	
	Organizations relying on a current notice regarding disaster assistance check here	► ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?		1 c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?	☐ **Yes** ☒ **No**			
	If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement – see instructions)		2 b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ► 20__ , 20__ , 20__ , 20__				
3 a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ **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.)*		3 b	N/A	
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4 a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		4 b		X

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

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

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

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

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

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

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

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

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)

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

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

If 'Yes' to 6b, file Form 8870

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

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

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
YONG PING DUAN 27800 VIA FELIZ LOS ALTOS HILLS, CA 94022	DIRECTOR 5.00	14,500.	0.	0.
XIAO YUN ZHU 27800 VIA FELIZ LOS ALTOS HILLS, CA 94022	DIRECTOR 5.00	14,500.	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				

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

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		
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 (see instructions)

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.

BAA Form **990-PF** (2016)

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	158,995,680.
b	Average of monthly cash balances		1b	1,740,381.
c	Fair market value of all other assets (see instructions)		1c	
d	**Total** (add lines 1a, b, and c)		1d	160,736,061.
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	160,736,061.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)		4	2,411,041.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	158,325,020.
6	**Minimum investment return.** Enter 5% of line 5		6	7,916,251.

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	7,916,251.
2a	Tax on investment income for 2016 from Part VI, line 5	2a 158,494.		
b	Income tax for 2016 (This does not include the tax from Part VI)	2b		
c	Add lines 2a and 2b		2c	158,494.
3	Distributable amount before adjustments Subtract line 2c from line 1		3	7,757,757.
4	Recoveries of amounts treated as qualifying distributions		4	
5	Add lines 3 and 4		5	7,757,757.
6	Deduction from distributable amount (see instructions)		6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1		7	7,757,757.

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	15,976,979.
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	
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	15,976,979.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	15,976,979.

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					7,757,757.
2 Undistributed income, if any, as of the end of 2016					
a Enter amount for 2015 only				0.	
b Total for prior years 20 ___, 20 ___, 20 ___			0.		
3 Excess distributions carryover, if any, to 2016					
a From 2011					
b From 2012					
c From 2013					
d From 2014	877,911.				
e From 2015	2,518,459.				
f **Total** of lines 3a through e		3,396,370.			
4 Qualifying distributions for 2016 from Part XII, line 4 ► $ 15,976,979.					
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					7,757,757.
e Remaining amount distributed out of corpus		8,219,222.			
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		11,615,592.			
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 instructions				0.	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017					0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required — see instructions)		0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)		0.			
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a		11,615,592.			
10 Analysis of line 9					
a Excess from 2012					
b Excess from 2013					
c Excess from 2014	877,911.				
d Excess from 2015	2,518,459.				
e Excess from 2016	8,219,222.				

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))

YONG PING DUAN

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

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

Check here ► ☒ 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*				
SEE STATEMENT 6				
Total			► 3 a	15,970,000.
b *Approved for future payment*				
Total			► 3 b	

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			14	387.	
4 Dividends and interest from securities			14	7,242,590.	
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	686,923.	
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)				7,929,900.	

13 **Total.** Add line 12, columns (b), (d), and (e) 13 7,929,900.

(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)
N/A	

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

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

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

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

2 a 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 of officer or trustee

Date: 5/14/2017

Title: DIRECTOR

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

Paid Preparer Use Only

Print/Type preparer's name CHEN C. LEE	Preparer's signature	Date MAY 1 1 2017	Check ☐ if self-employed	PTIN P01336977

Firm's name ► SY, LEE & CHEN, LLP

Firm's EIN ► 95-3510881

Firm's address ► 362 W GARVEY AVE
MONTEREY PARK, CA 91754

Phone no (626) 288-7202

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

► **Attach to Form 990, Form 990-EZ, or Form 990-PF.**
► Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at *www.irs.gov/form990.*

OMB No 1545-0047

2016

Name of the organization
H&H EVERGREEN FOUNDATION

Employer identification number
46-5066162

Organization type (check one)

Filers of:	**Section:**
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**

Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or property) from any one contributor Complete Parts I and II See instructions for determining a contributor's total contributions

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33-1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (**1**) $5,000 or (**2**) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc , purposes, but no such contributions totaled more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year ► $ ____________

Caution. An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer 'No' on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization	Employer identification number
H&H EVERGREEN FOUNDATION	46-5066162

Part I **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed.

(a) Number	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	LIPING DUAN & XIAOMEI WANG #59, BEIJIN E RD. QINGSHANGHU NANCHANG CITY, JIANGXI PROVINCE CHINA	$ 2,403,714.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
2	APEX STRATEGY INVESTMENT LIMI. FLAT B, 9/F,BLK 13 CITY GARDEN NORTH POINT, HONG KONG	$ 288,930,000.	Person ☐ Payroll ☐ Noncash ☒ (Complete Part II for noncash contributions)
3	THRIVE CHARITY WICKHAMS CAY II, ROAD TOWN, TORTOLA, VG, 1110 BRITISH VIRGIN ISLANDS	$ 5,857,534.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
4	SIEMPRE CHARITY WICKHAMS CAY II, ROAD TOWN, TORTOLA, VG, 1110 BRITISH VIRGIN ISLANDS	$ 8,889,080.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Schedule B (Form 990, 990-EZ, or 990-PF) (2016) Page 1 to 1 of **Part II**

Name of organization: H&H EVERGREEN FOUNDATION

Employer identification number: 46-5066162

Part II **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
2	3,000,000SH AAPL	$ 288,930,000.	2/04/16

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
H&H EVERGREEN FOUNDATION

Employer identification number
46-5066162

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor.** Complete columns **(a)** through **(e)** and the following line entry For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **$1,000 or less** for the year. (Enter this information once See instructions) ► $ N/A
Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
----	N/A		

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
----			

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
----			

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
----			

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

STATEMENT 1
FORM 990-PF, PART I, LINE 16A
LEGAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	$ 4,547.	$ 1,516.		$ 3,031.
TOTAL	$ 4,547.	$ 1,516.	$ 0.	$ 3,031.

STATEMENT 2
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEE	$ 5,000.	$ 1,667.		$ 3,333.
TOTAL	$ 5,000.	$ 1,667.	$ 0.	$ 3,333.

STATEMENT 3
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADR FEE	$ 16.	$ 16.		
ATTORNEY GENERAL'S REGISTRY OF CHARITBLE	225.			$ 225.
FEDERAL TAX	1,996.	1,996.		
FILING FEE	380.			380.
STATE ANNUAL FEE	10.			10.
TOTAL	$ 2,627.	$ 2,012.	$ 0.	$ 615.

STATEMENT 4
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
TRANSPORT JET PURCHASE DEPOSIT	$ 379,393.	$ 379,393.
TOTAL	$ 379,393.	$ 379,393.

STATEMENT 5
FORM 990-PF, PART VII-A, LINE 10
SUBSTANTIAL CONTRIBUTORS DURING THE TAX YEAR

NAME OF SUBSTANTIAL CONTRIBUTOR	ADDRESS OF SUBSTANTIAL CONTRIBUTOR
LIPING DUAN & XIAOMEI WANG	#59, BEIJIN E RD. QINGSHANGHU NANCHANG CITY, JIANGXI PROVINCE CHINA
APEX STRATEGY INVESTMENT LIMI.	FLAT B, 9/F,BLK 13 CITY GARDEN NORTH POINT, HONG KONG
THRIVE CHARITY	WICKHAMS CAY II, ROAD TOWN, TORTOLA, VG, 1110 BRITISH VIRGIN ISLANDS
SIEMPRE CHARITY	WICKHAMS CAY II, ROAD TOWN, TORTOLA, VG, 1110 BRITISH VIRGIN ISLANDS

STATEMENT 6
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
STANFORD UNIVERSITY 450 SERRA MALL STANFORD CA 94305		501(C)(3)	EDUCATION AND MEDICAL	$ 2,425,000.
ROBERT F. KENNEDY HUMAN RIGHTS 515 MADISON AVENUE #718 NEW YORK NY 10022		501(C)(3)	CHARITY	515,000.
SEQUOIA HOSPITAL FOUNDATION 170 ALAMEDA DE LAS PULGAS REDWOOD CITY CA 94062		501(C)(3)	MEDICAL	5,000.
CHINESE AMERICAN COALITION PO BOX 276 CUPERTINO CA 95015		501(C)(3)	MEDICAL & CHARITY	5,000.
CARE MISSION USA 362 W. GARVEY AVE. MONTEREY PARK CA 91754		501(C)(3)	CHARITY	20,000.
LELAND STANFORD JUNIOR UNIVERSITY 326 GALVEZ STREET STANFORD CA 94305		501(C)(3)	EDUCATION AND MEDICAL	10,000,000.

STATEMENT 6 (CONTINUED)
FORM 990-PF, PART XV, LINE 3A
RECIPIENT PAID DURING THE YEAR

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUNDATION STATUS	PURPOSE OF GRANT	AMOUNT
AVENIDAS BRYANT ST CAPITAL CAMPAIGN 450 BRYANT STREET PALO ALTO CA 94301		501(C)(3)	CHARITY	$ 250,000.
MAYO CLINIC 13400 E. SHEA BLVD. SCOTTSDALE AZ 85259		501(C)(3)	MEDICAL	250,000.
NICKLAUS CHILDREN'S HEALTH CARE FD 11770 US HIGHWAY ONE, SUITE 308 NORTH PALM BEACH FL 33408		501(C)(3)	CHARITY	1,000,000.
UCSF 220 MONTGOMERY STREET, 5TH FLOOR SAN FRANCISCO CA 94143		501(C)(3)	EDUCATION AND MEDICAL	1,500,000.
			TOTAL	$ 15,970,000.

BALANCE SHEET - INVESTMENTS
FAIR MARKET VALUE AT END OF YEAR (FORM 990-PF)

3,263,000SH AAPL	$ 377,920,660.
100CALL AAPL $115 01/16/17	-15,800.
400CALL AAPL $120 01/27/17	-45,200.
100CALL AAPL $135 01/19/18	-43,000.
8,000SH AAPL	926,560.
80CALL AAPL $110 01/20/17	-50,343.
TOTAL	$ 378,692,877.

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Realized Gain or (Loss)

Short-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
APPLE INC: AAPL	17,000.0000	12/02/15	07/01/16	$1,623,328.62	$1,995,630.00	($372,301.38)
APPLE INC: AAPL	1,100.0000	12/02/15	07/28/16	$109,287.16	$129,129.00	($19,841.84)
APPLE INC: AAPL	28,900.0000	12/02/15	07/29/16	$2,871,498.11	$3,392,571.00	($521,072.89)
APPLE INC: AAPL	53,000.0000	12/02/15	07/29/16	$5,347,220.87	$6,221,670.00	($874,449.13)
APPLE INC: AAPL	600.0000	01/27/16	07/29/16	$60,534.58	$56,694.38	$3,840.20
APPLE INC: AAPL	13,400.0000	01/27/16	07/29/16	$1,351,938.86	$1,266,308.57	$85,630.29
APPLE INC: AAPL	25,500.0000	02/04/16	07/29/16	$2,572,719.48	$2,455,905.00	$116,814.48
APPLE INC: AAPL	10,000.0000	02/04/16	09/16/16	$1,093,280.99	$963,100.00	$130,180.99
APPLE INC: AAPL	633.0000	02/04/16	10/18/16	$74,722.94	$60,964.23	$13,758.71
APPLE INC: AAPL	700.0000	02/04/16	10/18/16	$82,629.20	$67,417.00	$15,212.20
APPLE INC: AAPL	600.0000	02/04/16	12/16/16	$69,505.48	$57,786.00	$11,719.48
APPLE INC: AAPL	8,400.0000	02/04/16	12/16/16	$972,992.84	$809,004.00	$163,988.84

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
APPLE INC: AAPL	60,000.0000	02/04/16	12/16/16	$6,951,625.50	$5,778,600.00	$1,173,025.50
Security Subtotal				**$23,181,284.63**	**$23,254,779.18**	**($73,494.55)**
CALL APPLE INC $108 EXP 09/09/16: AAPL 160909C00108000	100.0000^{S}	09/06/16	09/09/16	$8,613.58	$0.00	$8,613.58
Security Subtotal				**$8,613.58**	**$0.00**	**$8,613.58**
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	98.0000^{S}	08/12/16	08/12/16	$609.38	$0.00	$609.38
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	37.0000^{S}	08/12/16	08/12/16	$230.06	$0.00	$230.06
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	53.0000^{S}	08/12/16	08/12/16	$329.56	$0.00	$329.56
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	24.0000^{S}	08/12/16	08/12/16	$149.25	$0.00	$149.25
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	10.0000^{S}	08/12/16	08/12/16	$62.17	$0.00	$62.17
CALL APPLE INC $109 EXP 08/12/16: AAPL 160812C00109000	40.0000^{S}	08/12/16	08/12/16	$248.72	$0.00	$248.72

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	62.0000^{S}	08/12/16	08/12/16	$385.52	$0.00	$385.52
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	32.0000^{S}	08/12/16	08/12/16	$198.99	$0.00	$198.99
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	219.0000^{S}	08/12/16	08/12/16	$1,361.77	$0.00	$1,361.77
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	40.0000^{S}	08/12/16	08/12/16	$248.72	$0.00	$248.72
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16.	300.0000^{S}	08/12/16	08/12/16	$1,865.42	$0.00	$1,865.42
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	2.0000^{S}	08/12/16	08/12/16	$12.43	$0.00	$12.43
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	15.0000^{S}	08/12/16	08/12/16	$93.27	$0.00	$93.27
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	20.0000^{S}	08/12/16	08/12/16	$124.36	$0.00	$124.36
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	5.0000^{S}	08/12/16	08/12/16	$31.09	$0.00	$31.09

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	5.0000^{S}	08/12/16	08/12/16	$31.09	$0.00	$31.09
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	18.0000^{S}	08/12/16	08/12/16	$111.92	$0.00	$111.92
CALL APPLE INC $109 AAPL 160812C00109000	EXP 08/12/16:	19.0000^{S}	08/12/16	08/12/16	$118.14	$0.00	$118.14
Security Subtotal					**$6,211.86**	**$0.00**	**$6,211.86**
CALL APPLE INC $110 AAPL 160408C00110000	EXP 04/08/16:	100.0000^{S}	03/30/16	04/08/16	$10,622.49	$0.00	$10,622.49
Security Subtotal					**$10,622.49**	**$0.00**	**$10,622.49**
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	14.0000^{S}	03/29/16	04/29/16	$3,137.88	$0.00	$3,137.88
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	61.0000^{S}	03/29/16	04/29/16	$13,672.11	$0.00	$13,672.11
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	25.0000^{S}	03/29/16	04/29/16	$5,603.31	$0.00	$5,603.31
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	100.0000^{S}	03/30/16	04/29/16	$31,213.09	$0.00	$31,213.09

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	100.0000^{S}	04/05/16	04/29/16	$34,421.97	$0.00	$34,421.97
CALL APPLE INC $110 AAPL 160429C00110000	EXP 04/29/16:	300.0000^{S}	04/11/16	04/29/16	$97,266.03	$0.00	$97,266.03
Security Subtotal					**$185,314.39**	**$0.00**	**$185,314.39**
CALL APPLE INC $110 AAPL 160812C00110000	EXP 08/12/16:	221.0000^{S}	08/12/16	08/12/16	$48.24	$0.00	$48.24
CALL APPLE INC $110 AAPL 160812C00110000	EXP 08/12/16:	286.0000^{S}	08/12/16	08/12/16	$62.39	$0.00	$62.39
CALL APPLE INC $110 AAPL 160812C00110000	EXP 08/12/16:	159.0000^{S}	08/12/16	08/12/16	$34.70	$0.00	$34.70
CALL APPLE INC $110 AAPL 160812C00110000	EXP 08/12/16:	2.0000^{S}	08/12/16	08/12/16	$0.43	$0.00	$0.43
CALL APPLE INC $110 AAPL 160812C00110000	EXP 08/12/16:	331.0000^{S}	08/12/16	08/12/16	$72.22	$0.00	$72.22
Security Subtotal					**$217.98**	**$0.00**	**$217.98**

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $111 AAPL 160429C00111000	EXP 04/29/16:	100.0000[S]	04/11/16	04/29/16	$27,413.17	$0.00	$27,413.17
Security Subtotal					**$27,413.17**	**$0.00**	**$27,413.17**
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	45.0000[S]	05/02/16	06/17/16	$324.64	$0.00	$324.64
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	37.0000[S]	05/02/16	06/17/16	$266.92	$0.00	$266.92
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	56.0000[S]	05/02/16	06/17/16	$404.00	$0.00	$404.00
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	37.0000[S]	05/02/16	06/17/16	$266.92	$0.00	$266.92
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	22.0000[S]	05/02/16	06/17/16	$158.72	$0.00	$158.72
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	25.0000[S]	05/02/16	06/17/16	$180.35	$0.00	$180.35
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	300.0000[S]	05/02/16	06/17/16	$2,164.27	$0.00	$2,164.27
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	18.0000[S]	05/02/16	06/17/16	$129.85	$0.00	$129.85

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	11.0000^{S}	05/02/16	06/17/16	$79.36	$0.00	$79.36
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	32.0000^{S}	05/02/16	06/17/16	$230.86	$0.00	$230.86
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	93.0000^{S}	05/02/16	06/17/16	$670.93	$0.00	$670.93
CALL APPLE INC $115 AAPL 160617C00115000	EXP 06/17/16:	24.0000^{S}	05/02/16	06/17/16	$173.15	$0.00	$173.15
Security Subtotal					**$5,049.97**	**$0.00**	**$5,049.97**
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	240.0000^{S}	10/07/16	10/07/16	$292.37	$0.00	$292.37
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	100.0000^{S}	10/07/16	10/07/16	$121.82	$0.00	$121.82
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	93.0000^{S}	10/07/16	10/07/16	$20.31	$0.00	$20.31
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	92.0000^{S}	10/07/16	10/07/16	$20.08	$0.00	$20.08
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	65.0000^{S}	10/07/16	10/07/16	$14.18	$0.00	$14.18

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	72.0000^{S}	10/07/16	10/07/16	$15.73	$0.00	$15.73
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	90.0000^{S}	10/07/16	10/07/16	$19.62	$0.00	$19.62
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	150.0000^{S}	10/07/16	10/07/16	$32.72	$0.00	$32.72
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	10.0000^{S}	10/07/16	10/07/16	$2.17	$0.00	$2.17
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	246.0000^{S}	10/07/16	10/07/16	$53 68	$0.00	$53.68
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	100.0000^{S}	10/07/16	10/07/16	$21.82	$0.00	$21.82
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	81 0000^{S}	10/07/16	10/07/16	$17.67	$0.00	$17.67
CALL APPLE INC $115 AAPL 161007C00115000	EXP 10/07/16:	659.0000^{S}	10/07/16	10/07/16	$802.79	$0.00	$802.79
Security Subtotal					**$1,434.96**	**$0.00**	**$1,434.96**

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $115 AAPL 161028C00115000	EXP 10/28/16:	100.0000 S	09/28/16	10/28/16	$29,813.12	$0.00	$29,813.12
Security Subtotal					**$29,813.12**	**$0.00**	**$29,813.12**
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	6.0000 S	12/19/16	12/19/16	$324.81	$562.64	($237.83)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	8.0000 S	12/19/16	12/19/16	$433.09	$750.18	($317.09)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	15.0000 S	12/19/16	12/19/16	$962.04	$1,406.59	($444.55)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	20.0000 S	12/19/16	12/19/16	$1,082.73	$1,875.46	($792.73)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	25.0000 S	12/19/16	12/19/16	$1,603.39	$2,344.32	($740.93)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	32.0000 S	12/19/16	12/19/16	$1,764.38	$3,000.73	($1,236.35)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	34.0000 S	12/19/16	12/19/16	$1,874.65	$3,188.28	($1,313.63)
CALL APPLE INC $115 AAPL 161216C00115000	EXP 12/16/16:	37.0000 S	12/19/16	12/19/16	$2,632.03	$3,469.59	*($837.56)*

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments· First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $115 EXP 12/16/16: AAPL 161216C00115000	60.0000^{S}	12/19/16	12/19/16	$3,848.17	$5,626.37	($1,778.20)
CALL APPLE INC $115 EXP 12/16/16: AAPL 161216C00115000	63.0000^{S}	12/19/16	12/19/16	$4,481.58	$5,907.69	($1,426.11)
CALL APPLE INC $115 EXP 12/16/16: AAPL 161216C00115000	100.0000^{S}	12/19/16	12/19/16	$5,613.65	$9,377.27	($3,763.62)
CALL APPLE INC $115 EXP 12/16/16: AAPL 161216C00115000	100.0000^{S}	12/19/16	12/19/16	$6,413.63	$9,377.28	($2,963.65)
CALL APPLE INC $115 EXP 12/16/16: AAPL 161216C00115000	100.0000^{S}	12/19/16	12/19/16	$21,113.31	$9,377.28	$11,736.03
Security Subtotal				**$52,147.46**	**$56,263.68**	**($4,116.22)**
CALL APPLE INC $116 EXP 10/07/16: AAPL 161007C00116000	110.0000^{S}	10/06/16	10/07/16	$353.98	$0.00	$353.98
CALL APPLE INC $116 EXP 10/07/16: AAPL 161007C00116000	140.0000^{S}	10/06/16	10/07/16	$450.55	$0.00	$450.55
CALL APPLE INC $116 EXP 10/07/16: AAPL 161007C00116000	164.0000^{S}	10/06/16	10/07/16	$527.78	$0.00	$527.78
CALL APPLE INC $116 EXP 10/07/16: AAPL 161007C00116000	98.0000^{S}	10/06/16	10/07/16	$315.38	$0.00	$315.38

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Realized Gain or (Loss) (continued)

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $116 AAPL 161007C00116000	EXP 10/07/16:	21.0000^{S}	10/06/16	10/07/16	$67.59	$0.00	$67.59
CALL APPLE INC $116 AAPL 161007C00116000	EXP 10/07/16:	102.0000^{S}	10/06/16	10/07/16	$328.25	$0.00	$328.25
CALL APPLE INC $116 AAPL 161007C00116000	EXP 10/07/16:	364.0000^{S}	10/06/16	10/07/16	$1,171.41	$0.00	$1,171.41
Security Subtotal					**$3,214.94**	**$0.00**	**$3,214.94**
CALL APPLE INC $116 AAPL 161202C00116000	EXP 12/02/16:	1.0000^{S}	11/22/16	12/02/16	$9.15	$0.00	$9.15
CALL APPLE INC $116 AAPL 161202C00116000	EXP 12/02/16:	99.0000^{S}	11/22/16	12/02/16	$904.60	$0.00	$904.60
Security Subtotal					**$913.75**	**$0.00**	**$913.75**
CALL APPLE INC $120 AAPL 161104C00120000	EXP 11/04/16:	100.0000^{S}	10/06/16	11/04/16	$11,313.52	$0.00	$11,313.52
Security Subtotal					**$11,313.52**	**$0.00**	**$11,313.52**
CALL APPLE INC $120 AAPL 161111C00120000	EXP 11/11/16:	70.0000^{S}	10/06/16	11/11/16	$9,179.42	$0.00	$9,179.42

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments· First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $120 EXP 11/11/16: AAPL 161111C00120000	30.0000[S]	10/06/16	11/11/16	$3,904.04	$0.00	$3,904.04
Security Subtotal				**$13,083.46**	**$0.00**	**$13,083.46**
CALL APPLE INC $120 EXP 12/16/16: AAPL 161216C00120000	98.0000[S]	10/06/16	12/16/16	$19,613.07	$0.00	$19,613.07
CALL APPLE INC $120 EXP 12/16/16: AAPL 161216C00120000	2.0000[S]	10/06/16	12/16/16	$400.26	$0.00	$400.26
Security Subtotal				**$20,013.33**	**$0.00**	**$20,013.33**
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	23.0000[S]	10/12/16	11/18/16	$327.04	$0.00	$327.04
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	165.0000[S]	10/12/16	11/18/16	$2,345.95	$0.00	$2,345.95
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	81.0000[S]	10/12/16	11/18/16	$1,151.64	$0.00	$1,151.64
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	109.0000[S]	10/12/16	11/18/16	$1,549.75	$0.00	$1,549.75
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	195.0000[S]	10/12/16	11/18/16	$2,772.49	$0.00	$2,772.49

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	23.0000^{S}	10/12/16	11/18/16	$327.01	$0.00	$327.01
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	67.0000^{S}	10/12/16	11/18/16	$952.61	$0.00	$952.61
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	33.0000^{S}	10/12/16	11/18/16	$469.18	$0.00	$469.18
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	187.0000^{S}	10/12/16	11/18/16	$2,658.75	$0.00	$2,658.75
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	21.0000^{S}	10/12/16	11/18/16	$298.58	$0.00	$298.58
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	83.0000^{S}	10/12/16	11/18/16	$1,180.10	$0.00	$1,180.10
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	2.0000^{S}	10/12/16	11/18/16	$28.43	$0.00	$28.43
CALL APPLE INC $135 EXP 11/18/16: AAPL 161118C00135000	10.0000^{S}	10/12/16	11/18/16	$142.17	$0.00	$142.17
Security Subtotal				**$14,203.70**	**$0.00**	**$14,203.70**
CALL APPLE INC $95 EXP 06/17/16: AAPL 160617C00095000	3.0000^{S}	06/20/16	06/20/16	$711.66	$215.40	$496.26

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	8.0000[S]	06/20/16	06/20/16	$1,897.78	$574.44	$1,323.34
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	9.0000[S]	06/20/16	06/20/16	$2,135.00	$646.24	$1,488.76
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	10.0000[S]	06/20/16	06/20/16	$2,372.22	$718.06	$1,654.16
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	10.0000[S]	06/20/16	06/20/16	$2,372.22	$718.07	$1,654.15
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	20.0000[S]	06/20/16	06/20/16	$4,744.44	$1,436.11	$3,308.33
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	29.0000[S]	06/20/16	06/20/16	$6,908.44	$2,082.36	$4,826.08
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	47.0000[S]	06/20/16	06/20/16	$11,196.43	$3,421.85	$7,774.58
CALL APPLE INC $95 AAPL 160617C00095000	EXP 06/17/16:	139.0000[S]	06/20/16	06/20/16	$33,112.85	$9,980.95	$23,131.90
Security Subtotal					**$65,451.04**	**$19,793.48**	**$45,657.56**
CALL APPLE INC $96 AAPL 160624C00096000	EXP 06/24/16:	21.0000[S]	06/17/16	06/24/16	$2,377.05	*$0.00*	*$2,377.05*

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Realized Gain or (Loss) (continued)

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	6.0000^{S}	06/17/16	06/24/16	$679.15	$0.00	$679.15
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	49.0000^{S}	06/17/16	06/24/16	$5,546.42	$0.00	$5,546.42
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	19.0000^{S}	06/17/16	06/24/16	$2,150.65	$0.00	$2,150.65
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	4.0000^{S}	06/17/16	06/24/16	$452.76	$0.00	$452.76
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	22.0000^{S}	06/17/16	06/24/16	$2,490.23	$0.00	$2,490.23
CALL APPLE INC $96 EXP 06/24/16: AAPL 160624C00096000	146.0000^{S}	06/17/16	06/24/16	$16,526.06	$0.00	$16,526.06
CALL APPLE INC $96 EXP 06/24/16· AAPL 160624C00096000	8.0000^{S}	06/17/16	06/24/16	$905.54	$0.00	$905.54
Security Subtotal				**$31,127.86**	**$0.00**	**$31,127.86**
CALL APPLE INC $98 EXP 07/01/16: AAPL 160701C00098000	325.0000^{S}	05/23/16	07/01/16	$64,097.43	$0.00	$64,097.43
Security Subtotal				**$64,097.43**	**$0.00**	**$64,097.43**

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Realized Gain or (Loss) (continued)

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	1.0000^{S}	07/18/16	07/18/16	$37.20	$76.79	($39.59)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	1.0000^{S}	07/18/16	07/18/16	$37.20	$76.80	($39.60)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	2.0000^{S}	07/18/16	07/18/16	$74.40	$153.60	($79.20)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	5.0000^{S}	07/18/16	07/18/16	$185.99	$384.00	($198.01)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	5.0000^{S}	07/18/16	07/18/16	$185.99	$384.01	($198.02)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	6.0000^{S}	07/18/16	07/18/16	$223.19	$460.80	($237.61)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	6.0000^{S}	07/18/16	07/18/16	$223.19	$460.80	($237.61)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	8.0000^{S}	07/18/16	07/18/16	$297.59	$614.40	($316.81)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	8.0000^{S}	07/18/16	07/18/16	$297.59	$614.40	($316.81)

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	9.0000^{S}	07/18/16	07/18/16	$334.78	$691.22	($356.44)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	10.0000^{S}	07/18/16	07/18/16	$371.99	$768.00	($396.01)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	10.0000^{S}	07/18/16	07/18/16	$371.99	$768.02	($396.03)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	11.0000^{S}	07/18/16	07/18/16	$409.18	$844.80	($435.62)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	11.0000^{S}	07/18/16	07/18/16	$409.19	$844.80	($435.61)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	14.0000^{S}	07/18/16	07/18/16	$520.78	$1,075.21	($554.43)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	22.0000^{S}	07/18/16	07/18/16	$818.37	$1,689.61	($871.24)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	24.0000^{S}	07/18/16	07/18/16	$892.77	$1,843.22	($950.45)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	36.0000^{S}	07/18/16	07/18/16	$1,339.17	$2,764.81	($1,425.64)

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments. First In First Out [FIFO]

Short-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL APPLE INC $98 AAPL 160715C00098000	EXP 07/15/16:	136.0000^{S}	07/18/16	07/18/16	$5,059.05	$10,444.84	($5,385.79)
Security Subtotal					**$12,089.61**	**$24,960.13**	**($12,870.52)**
CALL APPLE INC $98 AAPL 160722C00098000	EXP 07/22/16:	600.0000^{S}	07/25/16	07/25/16	$30,726.69	$45,472.63	($14,745.94)
Security Subtotal					**$30,726.69**	**$45,472.63**	**($14,745.94)**
CALL NETEASE INC $140 NTES 160415C00140000	EXP 04/15/16:	100.0000^{S}	03/29/16	04/15/16	$40,412.89	$0.00	$40,412.89
Security Subtotal					**$40,412.89**	**$0.00**	**$40,412.89**
CALL NETEASE INC $143 NTES 160415C00143000	EXP 04/15/16:	100.0000^{S}	03/30/16	04/15/16	$42,621.79	$0.00	$42,621.79
CALL NETEASE INC $143 NTES 160415C00143000	EXP 04/15/16:	95.0000^{S}	04/13/16	04/15/16	$12,267.81	$0.00	$12,267.81
CALL NETEASE INC $143 NTES 160415C00143000	EXP 04/15/16:	5.0000^{S}	04/13/16	04/15/16	$680.67	$0.00	$680.67
Security Subtotal					**$55,570.27**	**$0.00**	**$55,570.27**
CALL NETEASE INC $144 NTES 160429C00144000	EXP 04/29/16:	51.0000^{S}	04/18/16	04/29/16	$6,843.16	$0.00	$6,843.16

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments· First In First Out [FIFO]

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
CALL NETEASE INC $144 EXP 04/29/16: NTES 160429C00144000	26.0000^{S}	04/18/16	04/29/16	$3,514.65	$0.00	$3,514.65
CALL NETEASE INC $144 EXP 04/29/16: NTES 160429C00144000	7.0000^{S}	04/18/16	04/29/16	$939.25	$0.00	$939.25
CALL NETEASE INC $144 EXP 04/29/16: NTES 160429C00144000	116.0000^{S}	04/18/16	04/29/16	$15,564.83	$0.00	$15,564.83
Security Subtotal				**$26,861.89**	**$0.00**	**$26,861.89**
NETEASE INC FADR 1 ADR REPS: NTES	3.0000	03/10/16	05/20/16	$442.45	$417.57	$24.88
NETEASE INC FADR 1 ADR REPS: NTES	100.0000	03/10/16	05/20/16	$14,748.42	$13,904.09	$844.33
NETEASE INC FADR 1 ADR REPS: NTES	100.0000	03/10/16	05/20/16	$14,748.42	$13,904.09	$844.33
NETEASE INC FADR 1 ADR REPS: NTES	100.0000	03/10/16	05/20/16	$14,748.42	$13,906.09	$842.33
NETEASE INC FADR 1 ADR REPS: NTES	100.0000	03/10/16	05/20/16	$14,748.42	$13,914.09	$834.33
NETEASE INC FADR 1 ADR REPS: NTES	100.0000	03/10/16	05/20/16	$14,748.42	$13,916.09	$832.33

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments· First In First Out [FIFO]

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NETEASE INC REPS: NTES	FADR	1 ADR	197.0000	03/10/16	05/20/16	$29,054.38	$27,422.58	$1,631.80
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/10/16	05/20/16	$29,496.83	$27,806.18	$1,690.65
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/10/16	05/20/16	$29,496.83	$27,806.18	$1,690.65
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/10/16	05/20/16	$29,496.83	$27,807.18	$1,689.65
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/10/16	05/20/16	$29,496.83	$27,808.18	$1,688.65
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/10/16	05/20/16	$29,496.83	$27,810.18	$1,686.65
NETEASE INC REPS: NTES	FADR	1 ADR	300.0000	03/10/16	05/20/16	$44,245.25	$41,712.27	$2,532.98
NETEASE INC REPS: NTES	FADR	1 ADR	8,000.0000	03/10/16	05/20/16	$1,179,873.33	$1,113,607.15	$66,266.18
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/16/16	$15,028.68	$13,886.18	$1,142.50

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/16/16	$15,028.68	$13,886.78	$1,141.90
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/29/16	06/16/16	$30,057.36	$27,770.36	$2,287.00
NETEASE INC REPS: NTES	FADR	1 ADR	800.0000	03/29/16	06/16/16	$120,229.44	$111,057.43	$9,172.01
NETEASE INC REPS: NTES	FADR	1 ADR	1,000.0000	03/29/16	06/16/16	$150,286.79	$138,861.29	$11,425.50
NETEASE INC REPS: NTES	FADR	1 ADR	2,900.0000	03/29/16	06/16/16	$435,831.70	$402,699.19	$33,132.51
NETEASE INC REPS: NTES	FADR	1 ADR	40.0000	03/29/16	06/17/16	$6,011.52	$5,561.27	$450.25
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,890.18	$1,138.61
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,890.18	$1,138.61
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,892.18	$1,136.61

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,894.18	$1,134.61
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,896.18	$1,132.61
NETEASE INC REPS: NTES	FADR	1 ADR	100.0000	03/29/16	06/17/16	$15,028.79	$13,902.18	$1,126.61
NETEASE INC REPS: NTES	FADR	1 ADR	200.0000	03/29/16	06/17/16	$30,057.59	$27,800.36	$2,257.23
NETEASE INC REPS: NTES	FADR	1 ADR	300.0000	03/29/16	06/17/16	$45,086.38	$41,655.54	$3,430.84
NETEASE INC REPS: NTES	FADR	1 ADR	300.0000	03/29/16	06/17/16	$45,086.38	$41,658.54	$3,427.84
NETEASE INC REPS: NTES	FADR	1 ADR	300.0000	03/29/16	06/17/16	$45,086.38	$41,685.54	$3,400.84
NETEASE INC REPS: NTES	FADR	1 ADR	400.0000	03/29/16	06/17/16	$60,115.18	$55,552.72	$4,562.46
NETEASE INC REPS: NTES	FADR	1 ADR	460.0000	03/29/16	06/17/16	$69,132.46	$63,890.20	$5,242.26

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NETEASE INC REPS: NTES	FADR	1 ADR	500.0000	03/29/16	06/17/16	$75,143.97	$69,435.90	$5,708.07
NETEASE INC REPS: NTES	FADR	1 ADR	600.0000	03/29/16	06/17/16	$90,172.77	$83,347.07	$6,825.70
NETEASE INC REPS: NTES	FADR	1 ADR	1,200.0000	03/29/16	06/17/16	$180,345.54	$166,809.95	$13,535.59
NETEASE INC REPS: NTES	FADR	1 ADR	10,000.0000	03/30/16	06/17/16	$1,502,879.50	$1,429,708.95	$73,170.55
Security Subtotal						**$4,480,594.72**	**$4,210,374.27**	**$270,220.45**
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	100.0000	07/12/16	09/06/16	$2,818.89	$2,797.09	$21.80
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	100.0000	07/12/16	09/06/16	$2,818.89	$2,797.09	$21.80
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	200.0000	07/12/16	09/06/16	$5,633.79	$5,594.18	$39.61
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	300.0000	07/12/16	09/06/16	$8,456.69	$8,391.27	$65.42
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	500.0000	07/12/16	09/06/16	$14,094.47	$13,985.45	$109.02

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Realized Gain or (Loss) (continued)

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	800.0000	07/12/16	09/06/16	$22,527.15	$22,376.72	$150.43
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	2,300.0000	07/12/16	09/06/16	$64,765.56	$64,333.06	$432.50
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	5,700.0000	07/12/16	09/06/16	$160,511.65	$159,434.09	$1,077.56
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	398.0000	07/13/16	09/06/16	$11,207.66	$10,607.15	$600.51
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	602.0000	07/13/16	09/06/16	$16,952.28	$16,031.93	$920.35
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	7,000.0000	07/13/16	09/06/16	$197,119.57	$186,557.83	$10,561.74
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	5.0000	07/25/16	09/06/16	$140.80	$133.62	$7.18
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	495.0000	07/25/16	09/06/16	$13,939.17	$13,238.52	$700.65

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Short-Term (continued)			Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
NINTENDO CO LTD ADR RE 0.: NTDOY	FADR	1	1,500.0000	07/25/16	09/06/16	$42,239.91	$40,101.71	$2,138.20
Security Subtotal						**$563,226.48**	**$546,379.71**	**$16,846.77**
Total Short-Term						**$28,941,025.19**	**$28,158,023.08**	**$783,002.11**

Long-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
APPLE INC: AAPL	10,000.0000	08/28/14	04/15/16	$1,094,780.95	$1,022,634.00	$72,146.95
APPLE INC: AAPL	100.0000	10/15/14	04/15/16	$10,852.81	$9,824.58	$1,028.23
APPLE INC: AAPL	300.0000	10/15/14	04/15/16	$32,558.43	$29,486.94	$3,071.49
APPLE INC: AAPL	500.0000	10/15/14	04/15/16	$54,264.06	$49,145.40	$5,118.66
APPLE INC: AAPL	4,200.0000	10/15/14	04/15/16	$455,818.08	$412,863.31	$42,954.77
APPLE INC: AAPL	4,900.0000	10/15/14	04/15/16	$531,787.77	$481,472.97	$50,314.80
APPLE INC. AAPL	100.0000	10/15/14	07/01/16	$9,549.00	$9,825.15	($276.15)
APPLE INC: AAPL	200.0000	10/15/14	07/01/16	$19,097.98	$19,649.10	($551.12)

2016 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Long-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
APPLE INC: AAPL		5,700.0000	10/15/14	07/01/16	$544,292.54	$560,056.30	($15,763.76)
APPLE INC: AAPL		100.0000	04/10/15	07/01/16	$9,549.00	$12,712.79	($3,163.79)
APPLE INC: AAPL		1,800.0000	04/10/15	07/01/16	$171,881.85	$228,833.81	($56,951.96)
APPLE INC: AAPL		2,251.0000	04/10/15	07/01/16	$214,947.80	$286,171.64	($71,223.84)
APPLE INC: AAPL		5,849.0000	04/10/15	07/01/16	$558,520.53	$743,647.10	($185,126.57)
Security Subtotal					**$3,707,900.80**	**$3,866,323.09**	**($158,422.29)**
IMAX CORP	F: IMAX	93.0000	06/23/14	05/06/16	$3,061.41	$2,575.34	$486.07
IMAX CORP	F: IMAX	200.0000	06/23/14	05/06/16	$6,583.67	$5,538.36	$1,045.31
IMAX CORP	F: IMAX	400.0000	06/23/14	05/06/16	$13,180.93	$11,056.32	$2,124.61
IMAX CORP	F: IMAX	500.0000	06/23/14	05/06/16	$16,474.67	$13,820.39	$2,654.28
IMAX CORP	F: IMAX	500.0000	06/23/14	05/06/16	$16,474.67	$13,820.90	$2,653.77
IMAX CORP	F: IMAX	693.0000	06/23/14	05/06/16	$22,834.24	$19,189.72	$3,644.52
IMAX CORP	F: IMAX	700.0000	06/23/14	05/06/16	$23,065.24	$19,383.55	$3,681.69

2016 Year-End Schwab Gain/Loss Report

Accounting Method
Mutual Funds: Average
All Other Investments: First In First Out [FIFO]

Realized Gain or (Loss) (continued)

Long-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
IMAX CORP	F: IMAX	800.0000	06/23/14	05/06/16	$26,358.68	$22,112.63	$4,246.05
IMAX CORP	F: IMAX	807.0000	06/23/14	05/06/16	$26,565.91	$22,347.27	$4,218.64
IMAX CORP	F: IMAX	1,007.0000	06/23/14	05/06/16	$33,148.76	$27,884.63	$5,264.13
IMAX CORP	F: IMAX	1,100.0000	06/23/14	05/06/16	$36,244.27	$30,460.97	$5,783.30
IMAX CORP	F: IMAX	1,200.0000	06/23/14	05/06/16	$39,478.02	$33,230.15	$6,247.87
IMAX CORP	F: IMAX	1,500.0000	06/23/14	05/06/16	$49,424.75	$41,537.68	$7,887.07
IMAX CORP	F: IMAX	1,000.0000	06/23/14	05/11/16	$32,918.33	$27,691.79	$5,226.54
IMAX CORP	F: IMAX	1,700.0000	06/23/14	07/13/16	$49,746.03	$47,076.04	$2,669.99
IMAX CORP	F: IMAX	2,800.0000	06/23/14	07/13/16	$81,934.65	$77,425.01	$4,509.64
Security Subtotal					**$477,494.23**	**$415,150.75**	**$62,343.48**
Total Long-Term					**$4,185,395.03**	**$4,281,473.84**	**($96,078.81)**
Total Realized Gain or (Loss)					**$33,126,420.22**	**$32,439,496.92**	**$686,923.30**

Schwab has provided realized gain/loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.

Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options.