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Form **990-PF****Return of Private Foundation**

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

OMB No 1545-0052

2016Department 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.

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation

SUGAR FAMILY FOUNDATION

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

P O BOX 1501, NJ2-130-03-31

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

PENNINGTON

NJ

08534-1501

Foreign country name

Foreign province/state/county

Foreign postal code

A Employer identification number

47-3980241

B Telephone number (see instructions)

609-274-6834

C If exemption application is pending, check here ☐

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

D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐H Check type of organization ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationI Fair market value of all assets at end of year (from Part II, col (c), line 16) ☐ \$

1,506,323

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)
1 Contributions, gifts, grants, etc., received (attach schedule)	1,160,074			
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	32,511	30,778		
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	849,354			
b Gross sales price for all assets on line 6a	2,445,739			
7 Capital gain net income (from Part IV, line 2)		849,354		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)				
12 Total. Add lines 1 through 11	2,041,939	880,132	0	
13 Compensation of officers, directors, trustees, etc				
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)				
c Other professional fees (attach schedule)	12,348	7,409		4,939
17 Interest				
18 Taxes (attach schedule) (see instructions)	13,670	498		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses (attach schedule)	188	28		160
24 Total operating and administrative expenses. Add lines 13 through 23	26,206	7,935	0	5,099
25 Contributions, gifts, grants paid	952,500			952,500
26 Total expenses and disbursements. Add lines 24 and 25	978,706	7,935	0	957,599
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	1,063,233			
b Net investment income (if negative, enter -0-)		872,197		
c Adjusted net income (if negative, enter -0-)			0	

For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value		
Assets	1	Cash—non-interest-bearing	341	19,002	19,002
	2	Savings and temporary cash investments	579,994	25,147	25,147
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)		44,988	44,999
	b	Investments—corporate stock (attach schedule)	858,408		
	c	Investments—corporate bonds (attach schedule)			
	Liabilities	11	Investments—land, buildings, and equipment basis ▶		
		Less: accumulated depreciation (attach schedule) ▶			
12		Investments—mortgage loans			
13		Investments—other (attach schedule)		1,355,133	1,436,177
14		Land, buildings, and equipment basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
15		Other assets (describe ▶)			
16		Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	1,438,743	1,444,270	1,525,325
17		Accounts payable and accrued expenses			
18		Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	Total liabilities (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ☐				
	24	Unrestricted			
	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	1,438,743	1,444,270	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
30	Total net assets or fund balances (see instructions)	1,438,743	1,444,270		
31	Total liabilities and net assets/fund balances (see instructions)	1,438,743	1,444,270		

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	1,438,743
2	Enter amount from Part I, line 27a	2	1,063,233
3	Other increases not included in line 2 (itemize) ▶ CHECKS PAID IN 2016, CLEARED IN 2017	3	10,000
4	Add lines 1, 2, and 3	4	2,511,976
5	Decreases not included in line 2 (itemize) ▶ See Attached Statement	5	1,067,706
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	1,444,270

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Attached Statement				
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
(i) FMV 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				
b				
c				
d				
e				
2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }			2	849,354
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	0

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	286,412	326,884	0.876188
2014			0.000000
2013			0.000000
2012			0.000000
2011			0.000000
2 Total of line 1, column (d)			2 0.876188
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0.876188
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 1,482,314
5 Multiply line 4 by line 3			5 1,298,786
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 8,722
7 Add lines 5 and 6			7 1,307,508
8 Enter qualifying distributions from Part XII, line 4 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			8 957,599

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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	17,444	
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	17,444	
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	17,444	
6	Credits/Payments			
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	6,586	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c	11,058	
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	17,644	
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	0	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	200	
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ☐ Refunded ☐	11	200	

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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>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.</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ _____ (2) On foundation managers. \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>		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? <i>If "Yes," attach a conformed copy of the changes</i>		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	X	
8a 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 <i>General Instruction G</i> ? <i>If "No," attach explanation</i>	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)? <i>If "Yes," complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		X

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Part VII-A Statements Regarding Activities (continued)

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	Yes	No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	X	
14	The books are in care of ▶ UST-MLT, A DIVISION OF BANK OF AMERICA, N Telephone no ▶ 609-274-6834 Located at ▶ 1300 MERRILL LYNCH DRIVE PENNINGTON NJ ZIP+4 ▶ 08534-1501			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶	16	Yes	No
				X

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

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

1a	During the year did the foundation (either directly or indirectly)		Yes	No
(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)? Organizations relying on a current notice regarding disaster assistance check here ▶ ☐	1b	N/A	
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 ▶ 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)	2b	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			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)	3b	N/A	
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)? ☐ Yes ☒ No
- Organizations relying on a current notice regarding disaster assistance check here ☐
- c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No N/A
- 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? ☐ Yes ☒ 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? ☐ Yes ☒ No

5b	N/A	
6b		X
7b	N/A	

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
MERRILL LYNCH, PIERCE, FENNER & SMITH INC 2049 CENTURY EAST, 12TH FL LOS ANGELES, CA	TRUSTEE 1.00	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

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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 (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		▶

Part IX-A Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions	
3 NONE	
Total. Add lines 1 through 3	▶ 0

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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	1,432,234
b	Average of monthly cash balances	1b	72,653
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	1,504,887
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	1,504,887
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see instructions)	4	22,573
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,482,314
6	Minimum investment return. Enter 5% of line 5	6	74,116

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	74,116
2a	Tax on investment income for 2016 from Part VI, line 5	2a	17,444
b	Income tax for 2016 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	17,444
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	56,672
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	56,672
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	56,672

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	957,599
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	957,599
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	957,599

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

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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				56,672
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0	
b Total for prior years: 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015	276,654			
f Total of lines 3a through e	276,654			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 957,599				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2016 distributable amount				56,672
e Remaining amount distributed out of corpus	900,927			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e. Subtract line 5	1,177,581			
b Prior years' undistributed income. Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	1,177,581			
10 Analysis of line 9.				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015	276,654			
e Excess from 2016	900,927			

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income**

[illegible]

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

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

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.

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

Form 990-PF (2016)

SUGAR FAMILY FOUNDATION

47-3980241

Page **11****Part XV** **Supplementary Information (continued)****3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i> See Attached Statement				
Total				3a 952,500
b <i>Approved for future payment</i> NONE				
Total				3b 0

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, or 990-PF) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2016**Name of the organization**

SUGAR FAMILY FOUNDATION

Employer identification number

47-3980241

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 foundationCheck 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).

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page 2

Name of organization

SUGAR FAMILY FOUNDATION

Employer identification number

47-3980241

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	THE SUGAR FAMILY TRUST 228 COPA DE ORO RD LOS ANGELES CA 90077-3804 Foreign State or Province: Foreign Country	\$ 1,160,074	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)
			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)
			Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page **3**

Name of organization

SUGAR FAMILY FOUNDATION

Employer identification number

47-3980241

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
1	4,880 UNITS OF NORTHROP GRUMMAN CORP ----- ----- -----	\$ 1,160,074	12/8/2016
	----- ----- -----	\$ -----	-----
	----- ----- -----	\$ -----	-----
	----- ----- -----	\$ -----	-----
	----- ----- -----	\$ -----	-----
	----- ----- -----	\$ -----	-----
	----- ----- -----	\$ -----	-----

Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Page 4

Name of organization SUGAR FAMILY FOUNDATION	Employer identification number 47-3980241
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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) ► \$ 0

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
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- For. Prov Country		----- ----- -----
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- For. Prov Country		----- ----- -----
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- For. Prov Country		----- ----- -----
-----	----- ----- -----	----- ----- -----	----- ----- -----
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	----- ----- For. Prov Country		----- ----- -----

SUGAR FAMILY FOUNDATION

47-3980241 Page 1 of 2

Continuation of Part XV, Line 3a (990-PF) - Grants and Contributions Paid During the Year

Recipient(s) paid during the year

Name

Achievement Rewards for College Scientists Foundation

Street

24520 Hawthorne Blvd, Suite 113

City

Los Angeles

State
CA**Zip Code**
90505**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

11,000

Name

Alliance College Ready Public Schools

Street

601 South Figueroa St, 4th Floor

City

Los Angeles

State
CA**Zip Code**
90017**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

35,000

Name

Friends of Westwood Library A Branch of LA Public Library

Street

1246 Glendon Ave

City

Los Angeles

State
CA**Zip Code**
90024-4914**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

500

Name

The UCLA Foundation

Street

10920 Wilshire Blvd, Ste 900

City

Los Angeles

State
CA**Zip Code**
90024-6506**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

670,000

Name

University of Southern California

Street

University Park

City

Los Angeles

State
CA**Zip Code**
90089-0001**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

50,000

Name

Los Angeles Philharmonic Association

Street

151 S Grand Ave

City

Los Angeles

State
CA**Zip Code**
90012-3034**Foreign Country****Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

170,000

SUGAR FAMILY FOUNDATION

47-3980241 Page 2 of 2

Continuation of Part XV, Line 3a (990-PF) - Grants and Contributions Paid During the Year

Recipient(s) paid during the year

Name

Grameen America, Inc

Street

150 West 30th St, 8th Floor

City

New York

State

NY

Zip Code

10001-4151

Foreign Country**Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

5,000

Name

National Academy of Engineering Fund

Street

2101 Constitution Ave NW

City

Washington

State

DC

Zip Code

20418-0007

Foreign Country**Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

1,000

Name

Boys and Girls Clubs of America

Street

1275 Peachtree St NE

City

Atlanta

State

GA

Zip Code

30309-3580

Foreign Country**Relationship**

NONE

Foundation Status

PC

Purpose of grant/contribution

GENERAL OPERATING

Amount

10,000

Name**Street****City****State****Zip Code****Foreign Country****Relationship****Foundation Status****Purpose of grant/contribution****Amount****Name****Street****City****State****Zip Code****Foreign Country****Relationship****Foundation Status****Purpose of grant/contribution****Amount****Name****Street****City****State****Zip Code****Foreign Country****Relationship****Foundation Status****Purpose of grant/contribution****Amount**

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount		Totals		Gross Sales		Cost or Other Basis, Expenses Depreciation and Adjustments		Net Gain or Loss						
Long Term CG Distributions	4,679	Capital Gains/Losses	2,445,739						849,354					
Short Term CG Distributions	0	Other sales	0						0					
Description	CUSIP #	Check "X" to include in Part IV	Purchaser	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss
1 PUTNAM TAX FREE HIGH	746872878	X				6/30/2016	8/23/2016	13	13					0
2 PUTNAM TAX FREE HIGH	746872878	X				6/30/2016	8/23/2016	13	13					0
3 PUTNAM TAX FREE HIGH	746872878	X				6/30/2016	8/23/2016	39	39					0
4 PUTNAM TAX FREE HIGH	746872878	X				12/11/2015	8/23/2016	1,191	1,148					45
5 PUTNAM TAX FREE HIGH	746872878	X				8/31/2016	9/28/2016	1	1					0
6 PUTNAM TAX FREE HIGH	746872878	X				8/31/2016	9/28/2016	13	13					0
7 PUTNAM TAX FREE HIGH	746872878	X				8/31/2016	9/28/2016	51	52					0
8 PUTNAM TAX FREE HIGH	746872878	X				12/11/2015	9/28/2016	1,029	995					34
9 PUTNAM TAX FREE HIGH	746872878	X				11/30/2016	12/8/2016	12	12					0
10 PUTNAM TAX FREE HIGH	746872878	X				11/30/2016	12/8/2016	2	2					0
11 PUTNAM TAX FREE HIGH	746872878	X				11/30/2016	12/8/2016	61	61					0
12 PUTNAM TAX FREE HIGH	746872878	X				11/8/2016	12/8/2016	12	13					-1
13 PUTNAM TAX FREE HIGH	746872878	X				11/8/2016	12/8/2016	12	13					-1
14 PUTNAM TAX FREE HIGH	746872878	X				10/31/2016	12/8/2016	61	64					-3
15 PUTNAM TAX FREE HIGH	746872878	X				9/30/2016	12/8/2016	12	13					-1
16 PUTNAM TAX FREE HIGH	746872878	X				9/2/2016	12/8/2016	12	13					-1
17 PUTNAM TAX FREE HIGH	746872878	X				9/2/2016	12/8/2016	49	53					-4
18 PUTNAM TAX FREE HIGH	746872878	X				8/4/2016	12/8/2016	1,483	1,591					-8
19 PUTNAM TAX FREE HIGH	746872878	X				7/29/2016	12/8/2016	61	66					-5
20 PUTNAM TAX FREE HIGH	746872878	X				6/30/2016	12/8/2016	12	13					-1
21 PUTNAM TAX FREE HIGH	746872878	X				6/30/2016	12/8/2016	12	13					-1
22 PUTNAM TAX FREE HIGH	746872878	X				9/30/2016	12/8/2016	37	40					-3
23 PUTNAM TAX FREE HIGH	746872878	X				3/31/2016	12/8/2016	61	64					-3
24 PUTNAM TAX FREE HIGH	746872878	X				3/31/2016	12/8/2016	12	13					-1
25 PUTNAM TAX FREE HIGH	746872878	X				12/29/2016	12/8/2016	73	76					-3
26 PUTNAM TAX FREE HIGH	746872878	X				1/29/2016	12/8/2016	12	13					-1
27 PUTNAM TAX FREE HIGH	746872878	X				1/29/2016	12/8/2016	61	63					-2
28 PUTNAM TAX FREE HIGH	746872878	X				1/12/2016	12/8/2016	12	13					-1
29 PUTNAM TAX FREE HIGH	746872878	X				1/12/2016	12/8/2016	3,782	3,909					-127
30 PUTNAM TAX FREE HIGH	746872878	X				1/4/2016	12/8/2016	24	25					-1
31 PUTNAM TAX FREE HIGH	746872878	X				12/31/2015	12/8/2016	24	25					-1
32 PUTNAM TAX FREE HIGH	746872878	X				12/31/2015	12/8/2016	12	13					-1
33 PUTNAM TAX FREE HIGH	746872878	X				12/11/2015	12/8/2016	14,787	15,209					-422
34 PUTNAM TAX FREE HIGH	746872878	X				12/11/2015	12/8/2016	12	13					-1
35 RIVERNORTH DOUBLE LINE	76881N202	X				8/4/2016	8/23/2016	4	4					0
36 RIVERNORTH DOUBLE LINE	76881N202	X				7/29/2016	8/23/2016	288	286					2
37 RIVERNORTH DOUBLE LINE	76881N202	X				6/30/2016	8/23/2016	256	251					5
38 RIVERNORTH DOUBLE LINE	76881N202	X				11/2/2016	8/23/2016	2,685	2,761					-76
39 METROPOLITAN WEST TOTA	592905509	X				12/14/2015	10/7/2016	263	255					8
40 METROPOLITAN WEST TOTA	592905509	X				12/11/2015	10/7/2016	35,740	35,154					586
41 METROPOLITAN WEST TOTA	592905509	X				3/31/2016	10/7/2016	88	87					1
42 METROPOLITAN WEST TOTA	592905509	X				3/31/2016	10/7/2016	11	11					0
43 METROPOLITAN WEST TOTA	592905509	X				2/28/2016	10/7/2016	96	85					11
44 METROPOLITAN WEST TOTA	592905509	X				1/29/2016	10/7/2016	66	64					2
45 METROPOLITAN WEST TOTA	592905509	X				10/31/2016	11/9/2016	8	8					0
46 METROPOLITAN WEST TOTA	592905509	X				7/24/2016	11/9/2016	22	23					-1
47 METROPOLITAN WEST TOTA	592905509	X				11/30/2016	12/21/2016	0	0					0
48 NEUBERGER BERMAN STRA	64128K751	X				3/31/2016	6/15/2016	6	6					0
49 NEUBERGER BERMAN STRA	64128K751	X				12/28/2015	6/15/2016	22	21					1
50 PIMCO SHORT TERM FD	72201M594	X				10/31/2016	11/9/2016	4	4					0
51 PIMCO SHORT TERM FD	72201M594	X				10/31/2016	11/9/2016	9	10					-1
52 PIMCO SHORT TERM FD	72201M594	X				10/31/2016	11/9/2016	35	39					-4
53 PIMCO SHORT TERM FD	72201M594	X				10/7/2016	11/9/2016	280	274					6
54 PIMCO SHORT TERM FD	72201M594	X				10/7/2016	11/9/2016	3	3					0
55 PIMCO SHORT TERM FD	72201M594	X				12/20/2016	12/22/2016	0	0					0
56 PIMCO SHORT TERM FD	72201M594	X				11/21/2016	12/22/2016	27	32					-5
57 PIMCO SHORT TERM FD	72201M594	X				11/21/2016	12/22/2016	9	11					-2
58 PIMCO SHORT TERM FD	72201M594	X				10/7/2016	12/22/2016	4,328	4,309					19
59 PIMCO SHORT TERM FD	72201M594	X				10/7/2016	12/22/2016	6	6					0
60 PIMCO SHORT TERM FD	72201M594	X				11/30/2016	12/22/2016	36	39					-3
61 PIMCO INVESTMENT GRADE	72201M685	X				6/30/2016	8/23/2016	60	63					-3
62 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	8/23/2016	1,580	1,527					53
63 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	8/23/2016	9	9					0
64 PIMCO INVESTMENT GRADE	72201M685	X				8/4/2016	8/23/2016	1	1					0
65 PIMCO INVESTMENT GRADE	72201M685	X				7/29/2016	8/23/2016	70	74					-4
66 PIMCO INVESTMENT GRADE	72201M685	X				6/30/2016	8/23/2016	10	10					0
67 PIMCO INVESTMENT GRADE	72201M685	X				8/31/2016	9/28/2016	2	2					0
68 PIMCO INVESTMENT GRADE	72201M685	X				8/31/2016	9/28/2016	72	74					-2
69 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	9/28/2016	11	10					1
70 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	9/28/2016	159	154					5
71 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	9/28/2016	42	41					1
72 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	9/28/2016	266	258					8

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount		Totals		Gross Sales		Cost or Other Basis Expenses		Net Gain or Loss				
Long Term CG Distributions		Capital Gains/Losses		Sales		Depreciation and Adjustments						
Short Term CG Distributions		Other sales										
4,679		2,445,739		1,596,385		849,354		0				
0		0		0		0		0				
Description	CUSIP #	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss
73 PIMCO INVESTMENT GRADE	72201M685	X		12/11/2015	9/28/2016	595	574				0	21
74 PIMCO INVESTMENT GRADE	72201M685	X		10/31/2016	11/9/2016	4	4				0	0
75 PIMCO INVESTMENT GRADE	72201M685	X		10/31/2016	11/9/2016	21	21				0	0
76 TEMPLETON GLOBAL TOTAL	880208855	X		7/19/2016	8/4/2016	54	54				0	-4
77 TEMPLETON GLOBAL TOTAL	880208855	X		6/17/2016	8/4/2016	11	11				0	0
78 TEMPLETON GLOBAL TOTAL	880208855	X		6/17/2016	8/4/2016	54	55				0	-1
79 TEMPLETON GLOBAL TOTAL	880208855	X		3/17/2016	8/4/2016	11	11				0	0
80 TEMPLETON GLOBAL TOTAL	880208855	X		3/17/2016	8/4/2016	56	55				0	1
81 TEMPLETON GLOBAL TOTAL	880208855	X		2/18/2016	8/4/2016	11	11				0	0
82 TEMPLETON GLOBAL TOTAL	880208855	X		2/18/2016	8/4/2016	45	43				0	2
83 TEMPLETON GLOBAL TOTAL	880208855	X		1/20/2016	8/4/2016	56	54				0	2
84 TEMPLETON GLOBAL TOTAL	880208855	X		1/12/2016	8/4/2016	5,138	5,040				0	98
85 TEMPLETON GLOBAL TOTAL	880208855	X		12/17/2015	8/4/2016	11	11				0	0
86 TEMPLETON GLOBAL TOTAL	880208855	X		12/17/2015	8/4/2016	34	34				0	0
87 TEMPLETON GLOBAL TOTAL	880208855	X		12/11/2015	8/4/2016	17,018	17,065				0	-37
88 LYRICAL US VALUE EQUITY	90386H404	X		3/3/2016	8/4/2016	10	9				0	1
89 LYRICAL US VALUE EQUITY	90386H404	X		3/3/2016	8/4/2016	21,081	19,398				0	1,683
90 JP MORGAN UNDISCVRD MN	904504495	X		3/3/2016	8/4/2016	37	34				0	3
91 JP MORGAN UNDISCVRD MN	904504495	X		3/3/2016	8/4/2016	11,065	10,324				0	741
92 RIVERNORTH DOUBLE LINE	76881N202	X		8/31/2016	9/28/2016	154	159				0	-5
93 RIVERNORTH DOUBLE LINE	76881N202	X		8/31/2016	9/28/2016	41	42				0	-1
94 RIVERNORTH DOUBLE LINE	76881N202	X		1/12/2016	9/28/2016	2,458	2,344				0	114
95 RIVERNORTH DOUBLE LINE	76881N202	X		1/12/2016	9/28/2016	1	1				0	0
96 RIVERNORTH DOUBLE LINE	76881N202	X		10/31/2016	11/9/2016	4	4				0	0
97 RIVERNORTH DOUBLE LINE	76881N202	X		10/31/2016	11/9/2016	136	137				0	-1
98 RIVERNORTH DOUBLE LINE	76881N202	X		10/31/2016	11/9/2016	10	11				0	-1
99 RIVERNORTH DOUBLE LINE	76881N202	X		9/22/2016	11/9/2016	10	11				0	-1
100 RIVERNORTH DOUBLE LINE	76881N202	X		9/22/2016	11/9/2016	94	99				0	5
101 RIVERNORTH DOUBLE LINE	76881N202	X		9/22/2016	11/9/2016	52	55				0	-3
102 RIVERNORTH DOUBLE LINE	76881N202	X		11/21/2016	12/22/2016	135	136				2	-1
103 RIVERNORTH DOUBLE LINE	76881N202	X		9/23/2016	12/22/2016	52	55				3	-3
104 RIVERNORTH DOUBLE LINE	76881N202	X		9/22/2016	12/22/2016	93	99				8	-6
105 RIVERNORTH DOUBLE LINE	76881N202	X		1/12/2016	12/22/2016	5,254	5,115				0	139
106 RIVERNORTH DOUBLE LINE	76881N202	X		12/20/2016	12/22/2016	3	3				0	0
107 JIT	78463V107	X		10/6/2016	11/3/2016	6	6				0	0
108 VANGUARD TOTAL STK MKT	922908769	X		5/14/2012	8/4/2016	12,530	7,800				0	4,730
109 VANGUARD TOTAL STK MKT	922908769	X		5/6/2012	8/4/2016	3,770	2,377				0	1,393
110 VANGUARD TOTAL STK MKT	922908769	X		9/20/2016	11/9/2016	777	772				0	5
111 VANGUARD TOTAL STK MKT	922908769	X		9/20/2016	12/22/2016	116	110				0	6
112 VANGUARD TOTAL STK MKT	922908769	X		5/14/2012	12/22/2016	14,285	8,491				0	5,794
113 VICTORY TRIVALENT INTL	92647K507	X		12/20/2016	12/22/2016	8	8				0	0
114 VICTORY TRIVALENT INTL	92647K507	X		3/3/2016	12/22/2016	980	940				0	40
115 AMER FUNDS WASHINGTON	939330825	X		6/20/2016	8/4/2016	3	3				0	0
116 AMER FUNDS WASHINGTON	939330825	X		6/20/2016	8/4/2016	39	39				0	0
117 AMER FUNDS WASHINGTON	939330825	X		3/3/2016	8/4/2016	84	76				0	8
118 AMER FUNDS WASHINGTON	939330825	X		12/20/2016	12/22/2016	6	6				0	-2
119 AMER FUNDS WASHINGTON	939330825	X		12/20/2016	12/22/2016	30	41				12	-1
120 AMER FUNDS WASHINGTON	939330825	X		9/19/2016	12/22/2016	30	40				10	0
121 AMER FUNDS WASHINGTON	939330825	X		3/3/2016	12/22/2016	1,067	946				0	121
122 AMER FUNDS WASHINGTON	939330825	X		3/3/2016	12/22/2016	20	26				0	-6
123 WISDOMTREE U.S. QUALITY	97717X669	X		11/29/2016	12/22/2016	34	33				0	1
124 WISDOMTREE U.S. QUALITY	97717X669	X		11/29/2016	12/22/2016	34	0				0	34
125 WISDOMTREE U.S. QUALITY	97717X669	X		10/31/2016	12/22/2016	34	32				0	2
126 WISDOMTREE U.S. QUALITY	97717X669	X		10/31/2016	12/22/2016	101	97				0	4
127 WISDOMTREE U.S. QUALITY	97717X669	X		8/29/2016	12/22/2016	34	33				0	1
128 WISDOMTREE U.S. QUALITY	97717X669	X		8/1/2016	12/22/2016	34	33				0	1
129 WISDOMTREE U.S. QUALITY	97717X669	X		8/1/2016	12/22/2016	67	65				0	2
130 WISDOMTREE U.S. QUALITY	97717X669	X		6/27/2016	12/22/2016	34	30				0	4
131 WISDOMTREE U.S. QUALITY	97717X669	X		12/11/2015	12/22/2016	2,316	2,074				0	242
132 VANGUARD MSCI EUROPEAN	922642074	X		11/9/2016	12/22/2016	1,518	1,513				0	5
133 VANECK VECTORS GOLD	92189F106	X		12/8/2016	12/22/2016	2,202	2,469				267	-267
134 VANGUARD DIVIDEND	921908844	X		6/28/2016	8/4/2016	85	80				0	5
135 VANGUARD DIVIDEND	921908844	X		12/11/2015	8/4/2016	255	231				0	24
136 VANGUARD DIVIDEND	921908844	X		8/20/2016	12/22/2016	86	83				0	3
137 VANGUARD DIVIDEND	921908844	X		12/11/2015	12/22/2016	1,545	1,367				0	178
138 VANGUARD TOTAL INTL STK	921909768	X		6/21/2016	8/4/2016	1,478	1,445				0	33
139 VANGUARD TOTAL INTL STK	921909768	X		1/12/2016	8/4/2016	7,115	8,522				0	-1,407
140 VANGUARD TOTAL INTL STK	921909768	X		8/20/2016	12/22/2016	682	699				16	-17
141 VANGUARD TOTAL INTL STK	921909768	X		9/20/2016	12/22/2016	46	47				0	-1
142 VANGUARD TOTAL INTL STK	921909768	X		1/12/2016	12/22/2016	8,871	8,258				0	613
143 VANGUARD TOTAL STK MKT	922908769	X		6/21/2016	8/4/2016	778	748				0	30
144 PIMCO INCOME FUND CL P	72201M719	X		8/4/2016	8/23/2016	8	8				0	0

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

										Totals		Gross Sales		Cost or Other Basis Expenses Depreciation and Adjustments		Net Gain or Loss	
Long Term CG Distributions		Amount						Capital Gains/Losses				2,445,739		1,596,385		849,354	
Short Term CG Distributions		0						Other sales		0		0		0		0	
Description	CUSIP #	Check "X" to include in Part IV	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss				
145	PIMCO INCOME FUND CL P	72201M719	X		7/29/2016	8/23/2016	153	158				3	0				
146	PIMCO INCOME FUND CL P	72201M719	X		6/30/2016	8/23/2016	12	12				0	0				
147	PIMCO INCOME FUND CL P	72201M719	X		9/30/2016	8/23/2016	141	143				2	0				
148	PIMCO INCOME FUND CL P	72201M719	X		12/11/2015	8/23/2016	1,939	1,936				0	4				
149	PIMCO INCOME FUND CL P	72201M719	X		10/31/2016	11/9/2016	4	4				0	0				
150	PIMCO INCOME FUND CL P	72201M719	X		10/31/2016	11/9/2016	252	253				0	-1				
151	PIMCO INCOME FUND CL P	72201M719	X		9/30/2016	11/9/2016	84	84				0	0				
152	PIMCO INCOME FUND CL P	72201M719	X		9/30/2016	11/9/2016	84	84				0	0				
153	PIMCO INCOME FUND CL P	72201M719	X		8/21/2016	11/9/2016	168	168				0	0				
154	PIMCO INCOME FUND CL P	72201M719	X		12/11/2015	11/9/2016	641	637				0	4				
155	PIMCO INCOME FUND CL P	72201M719	X		12/20/2016	12/22/2016	6	6				0	0				
156	PIMCO INCOME FUND CL P	72201M719	X		10/21/2016	12/22/2016	12	12				0	0				
157	PIMCO INCOME FUND CL P	72201M719	X		10/21/2016	12/22/2016	70	72				2	0				
158	PIMCO INCOME FUND CL P	72201M719	X		9/21/2016	12/22/2016	164	168				4	0				
159	PIMCO INCOME FUND CL P	72201M719	X		12/11/2015	12/22/2016	4,578	4,568				0	10				
160	PIMCO INCOME FUND CL P	72201M719	X		12/11/2015	12/22/2016	1	1				0	0				
161	POWERSHARES FTSE RAFI	73936T763	X		8/4/2016	8/4/2016	772	679				0	93				
162	POWERSHARES FTSE RAFI	73936T763	X		10/3/2016	12/22/2016	86	90				0	0				
163	POWERSHARES FTSE RAFI	73936T763	X		6/24/2016	12/22/2016	2,140	1,884				0	256				
164	PRUDENTIAL JENNISON	74441P866	X		12/20/2016	12/22/2016	14	14				0	0				
165	PRUDENTIAL JENNISON	74441P866	X		11/9/2016	12/22/2016	39	42				3	0				
166	PRUDENTIAL JENNISON	74441P866	X		11/9/2016	12/22/2016	38	42				3	0				
167	PRUDENTIAL JENNISON	74441P866	X		11/9/2016	12/22/2016	742	794				53	0				
168	PRUDENTIAL JENNISON	74441P866	X		11/9/2016	12/22/2016	1,171	1,256				85	0				
169	PRUDENTIAL SHORT DUR	74442J307	X		10/31/2016	11/9/2016	3	3				0	0				
170	PRUDENTIAL SHORT DUR	74442J307	X		10/31/2016	11/9/2016	90	91				1	0				
171	PRUDENTIAL SHORT DUR	74442J307	X		9/30/2016	11/9/2016	9	9				0	0				
172	PRUDENTIAL SHORT DUR	74442J307	X		9/28/2016	11/9/2016	37	37				0	0				
173	PRUDENTIAL SHORT DUR	74442J307	X		12/1/2016	12/8/2016	9	9				0	0				
174	PRUDENTIAL SHORT DUR	74442J307	X		12/1/2016	12/8/2016	7	7				0	0				
175	PRUDENTIAL SHORT DUR	74442J307	X		12/1/2016	12/8/2016	34	36				0	2				
176	PRUDENTIAL SHORT DUR	74442J307	X		11/21/2016	12/8/2016	86	91				0	-5				
177	PRUDENTIAL SHORT DUR	74442J307	X		10/21/2016	12/8/2016	9	9				0	0				
178	PRUDENTIAL SHORT DUR	74442J307	X		9/28/2016	12/8/2016	38	37				0	-1				
179	PRUDENTIAL SHORT DUR	74442J307	X		9/28/2016	12/8/2016	21,458	21,713				0	-254				
180	PUTNAM TAX FREE HIGH	74687Z878	X		8/4/2016	8/23/2016	1	1				0	0				
181	PUTNAM TAX FREE HIGH	74687Z878	X		7/29/2016	8/23/2016	65	65				0	0				
182	UIT	78463V107	X		11/8/2016	12/5/2016	9	9				0	0				
183	SPDR GOLD TRUST	78463V107	X		11/9/2016	12/8/2016	1,004	1,092				0	-88				
184	SPDR GOLD TRUST	78463V107	X		10/5/2016	12/8/2016	22,428	23,991				0	-1,563				
185	SPDR BLMBRG BARCLAYS	78464A649	X		8/10/2016	8/23/2016	59	59				0	0				
186	SPDR BLMBRG BARCLAYS	78464A649	X		8/10/2016	8/23/2016	59	59				0	0				
187	SPDR BLMBRG BARCLAYS	78464A649	X		7/13/2016	8/23/2016	59	60				0	-1				
188	SPDR BLMBRG BARCLAYS	78464A649	X		12/11/2015	8/23/2016	2,356	2,356				0	83				
189	SPDR BLMBRG BARCLAYS	78464A649	X		9/13/2016	9/28/2016	59	59				0	0				
190	SPDR BLMBRG BARCLAYS	78464A649	X		12/11/2015	9/28/2016	2,017	1,953				0	64				
191	SPDR BLMBRG BARCLAYS	78464A649	X		12/12/2016	12/8/2016	57	57				0	0				
192	SPDR BLMBRG BARCLAYS	78464A649	X		12/12/2016	12/8/2016	57	0				0	57				
193	SPDR BLMBRG BARCLAYS	78464A649	X		11/10/2016	12/8/2016	57	58				0	1				
194	SPDR BLMBRG BARCLAYS	78464A649	X		11/9/2016	12/8/2016	342	348				0	6				
195	SPDR BLMBRG BARCLAYS	78464A649	X		10/12/2016	12/8/2016	59	59				0	-2				
196	SPDR BLMBRG BARCLAYS	78464A649	X		10/12/2016	12/8/2016	0	0				0	57				
197	SPDR BLMBRG BARCLAYS	78464A649	X		10/12/2016	12/8/2016	57	59				0	-2				
198	SPDR BLMBRG BARCLAYS	78464A649	X		9/10/2016	12/8/2016	57	60				0	-3				
199	SPDR BLMBRG BARCLAYS	78464A649	X		8/4/2016	12/8/2016	3,647	3,805				0	-158				
200	SPDR BLMBRG BARCLAYS	78464A649	X		7/13/2016	12/8/2016	57	60				0	3				
201	VANGUARD TOTAL BOND MK	921937835	X		8/8/2016	8/23/2016	84	84				0	0				
202	VANGUARD TOTAL BOND MK	921937835	X		7/11/2016	8/23/2016	84	85				0	-1				
203	VANGUARD TOTAL BOND MK	921937835	X		11/2/2016	8/23/2016	2,447	2,354				0	93				
204	VANGUARD TOTAL BOND MK	921937835	X		9/9/2016	8/28/2016	84	84				0	0				
205	VANGUARD TOTAL BOND MK	921937835	X		11/2/2016	9/28/2016	2,021	1,948				0	73				
206	VANGUARD TOTAL BOND MK	921937835	X		12/8/2016	12/22/2016	80	81				0	1				
207	VANGUARD TOTAL BOND MK	921937835	X		11/8/2016	12/22/2016	80	83				0	3				
208	VANGUARD TOTAL BOND MK	921937835	X		10/12/2016	12/22/2016	80	83				0	-3				
209	VANGUARD TOTAL BOND MK	921937835	X		11/2/2016	12/22/2016	3,210	3,247				37	0				
210	VANGUARD MSCI EUROPEAN	922042874	X		8/4/2016	8/17/2016	1,323	1,287				0	36				
211	VANGUARD MSCI EUROPEAN	922042874	X		7/15/2016	8/17/2016	22,985	22,127				0	858				
212	PIMCO INVESTMENT GRADE	72201M685	X		9/2/2016	11/9/2016	10	11				0	1				
213	PIMCO INVESTMENT GRADE	72201M685	X		9/2/2016	11/9/2016	21	22				0	0				
214	PIMCO INVESTMENT GRADE	72201M685	X		9/2/2016	11/9/2016	41	44				0	0				
215	PIMCO INVESTMENT GRADE	72201M685	X		6/30/2016	12/8/2016	61	66				0	5				
216	PIMCO INVESTMENT GRADE	72201M685	X		1/29/2016	12/8/2016	61	60				0	1				

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount		Totals		Gross Sales		Cost or Other Basis Expenses		Net Gain or Loss						
Long Term CG Distributions		Capital Gains/Losses		Sales		Depreciation and Adjustments		or Loss						
Short Term CG Distributions		Other sales		2,445,739		1,598,385		849,354						
0		0		0		0		0						
Description	CUSIP #	Check "X" to include in Part IV	Purchaser	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss
217 PIMCO INVESTMENT GRADE	72201M685	X				11/30/2016	12/8/2016	3	3				0	0
218 PIMCO INVESTMENT GRADE	72201M685	X				11/30/2016	12/8/2016	30	30				0	0
219 PIMCO INVESTMENT GRADE	72201M685	X				11/21/2016	12/8/2016	20	21				0	-1
220 PIMCO INVESTMENT GRADE	72201M685	X				9/23/2016	12/8/2016	20	21				0	-1
221 PIMCO INVESTMENT GRADE	72201M685	X				9/22/2016	12/8/2016	10	11				0	-1
222 PIMCO INVESTMENT GRADE	72201M685	X				8/4/2016	12/8/2016	856	867				0	-31
223 PIMCO INVESTMENT GRADE	72201M685	X				7/29/2016	12/8/2016	71	76				0	-7
224 PIMCO INVESTMENT GRADE	72201M685	X				6/30/2016	12/8/2016	10	11				0	-1
225 PIMCO INVESTMENT GRADE	72201M685	X				3/31/2016	12/8/2016	10	10				0	0
226 PIMCO INVESTMENT GRADE	72201M685	X				3/31/2016	12/8/2016	71	71				0	0
227 PIMCO INVESTMENT GRADE	72201M685	X				2/29/2016	12/8/2016	82	80				0	2
228 PIMCO INVESTMENT GRADE	72201M685	X				1/29/2016	12/8/2016	10	10				0	0
229 PIMCO INVESTMENT GRADE	72201M685	X				1/12/2016	12/8/2016	5,259	5,134				0	125
230 PIMCO INVESTMENT GRADE	72201M685	X				12/16/2015	12/8/2016	183	160				0	23
231 PIMCO INVESTMENT GRADE	72201M685	X				12/16/2015	12/8/2016	143	140				0	3
232 PIMCO INVESTMENT GRADE	72201M685	X				12/16/2015	12/8/2016	10	10				0	0
233 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	12/8/2016	15,255	16,349				0	-94
234 PIMCO INVESTMENT GRADE	72201M685	X				12/11/2015	12/8/2016	10	10				0	0
235 PIMCO INVESTMENT GRADE	72201M685	X				9/22/2016	12/8/2016	40	44				0	-4
236 RIVERNORTH DOUBLE LINE	76881N202	X				1/12/2016	8/23/2016	5	4				0	1
237 RIVERNORTH DOUBLE LINE	76881N202	X				8/31/2016	9/28/2016	8	8				0	0
238 RIVERNORTH DOUBLE LINE	76881N202	X				8/31/2016	9/28/2016	10	11				0	-1
239 SPDR BLMBRG BARCLAYS	78464A649	X				11/2/2016	12/8/2016	9,517	9,594				0	-77
240 SPDR BLMBRG BARCLAYS	78464A649	X				12/11/2015	12/8/2016	57	57				0	0
241 SPDR BLMBRG BARCLAYS	78464A649	X				12/11/2015	12/8/2016	28,323	28,548				0	-225
242 SPDR BLMBRG BARCLAYS	78464A649	X				12/11/2015	12/8/2016	57	57				0	0
243 SPDR BLMBRG BARCLAYS	78464A649	X				12/15/2015	12/20/2016	57	59				0	-2
244 SPDR BLMBRG BARCLAYS	78464A649	X				12/11/2015	12/20/2016	57	56				0	1
245 SPDR BLMBRG BARCLAYS	78464A649	X				12/12/2016	12/27/2016	34	34				0	0
246 SIEAD VALUE FUND	83178C873	X				1/21/2016	8/4/2016	382	355				0	27
247 SIEAD VALUE FUND	83178C873	X				1/21/2016	8/4/2016	34	33				0	1
248 SIEAD VALUE FUND	83178C873	X				1/12/2016	8/4/2016	19,077	18,463				0	564
249 TEMPLETON GBLB BOND FD	880208400	X				8/17/2016	8/23/2016	6	6				0	-1
250 TEMPLETON GBLB BOND FD	880208400	X				8/17/2016	8/23/2016	38	46				7	-1
251 TEMPLETON GBLB BOND FD	880208400	X				8/4/2016	8/23/2016	1,152	1,151				0	1
252 TEMPLETON GBLB BOND FD	880208400	X				8/4/2016	8/23/2016	45	45				0	0
253 TEMPLETON GBLB BOND FD	880208400	X				8/4/2016	8/23/2016	11	2				0	-1
254 TEMPLETON GBLB BOND FD	880208400	X				9/19/2016	9/28/2016	11	11				0	0
255 TEMPLETON GBLB BOND FD	880208400	X				9/13/2016	9/28/2016	44	52				0	-8
256 TEMPLETON GBLB BOND FD	880208400	X				8/4/2016	9/28/2016	22,722	22,820				0	-98
257 TEMPLETON GLOBAL TOTAL	880208855	X				7/19/2016	8/4/2016	5	5				0	0
258 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	8/4/2016	301	284				0	37
259 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	8/4/2016	11	10				0	1
260 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	8/4/2016	5	5				0	0
261 AMG YACKT MAN FOCUSED	00170K562	X				8/23/2016	11/9/2016	1	1				0	0
262 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	11/9/2016	415	358				0	57
263 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	11/9/2016	5	4				0	1
264 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	12/22/2016	9	8				0	1
265 AMG YACKT MAN FOCUSED	00170K562	X				1/12/2016	12/22/2016	2,013	1,715				0	298
266 AMG YACKT MAN FOCUSED	00170K562	X				12/24/2016	12/22/2016	7	7				0	0
267 KOPERNIK GLOBAL ALL CAP	00766Y299	X				12/11/2015	8/4/2016	11,845	8,000				0	3,839
268 KOPERNIK GLOBAL ALL CAP	00766Y299	X				12/11/2015	8/4/2016	3	2				0	1
269 KOPERNIK GLOBAL ALL CAP	00766Y299	X				1/21/2016	8/4/2016	2	1				0	1
270 KOPERNIK GLOBAL ALL CAP	00766Y299	X				12/20/2016	12/22/2016	0	0				0	0
271 KOPERNIK GLOBAL ALL CAP	00766Y299	X				12/11/2015	12/22/2016	2,143	1,454				0	689
272 POPLAR FOREST PARTNERS	00768D798	X				12/11/2015	8/4/2016	18,579	18,358				0	2,221
273 POPLAR FOREST PARTNERS	00768D798	X				1/21/2016	8/4/2016	549	432				0	117
274 POPLAR FOREST PARTNERS	00768D798	X				1/12/2016	8/4/2016	7,093	5,794				0	1,299
275 POPLAR FOREST PARTNERS	00768D798	X				1/21/2016	8/4/2016	46	36				0	10
276 POPLAR FOREST PARTNERS	00768D798	X				1/12/2016	8/4/2016	46	40				0	6
277 POPLAR FOREST PARTNERS	00768D798	X				1/21/2016	8/4/2016	5	4				0	1
278 AMER FUNDS AMCAP	023375827	X				6/20/2016	8/4/2016	15	14				0	1
279 AMER FUNDS AMCAP	023375827	X				3/3/2016	8/4/2016	54	51				0	3
280 AMER FUNDS AMCAP	023375827	X				12/20/2016	12/22/2016	11	13				0	-2
281 AMER FUNDS AMCAP	023375827	X				3/3/2016	12/22/2016	840	781				0	79
282 AMER FUNDS AMCAP	023375827	X				12/20/2016	12/22/2016	45	56				10	-0
283 BLACKROCK TOTAL RETURN	09252M883	X				7/29/2016	8/23/2016	119	120				1	0
284 BLACKROCK TOTAL RETURN	09252M883	X				8/4/2016	8/23/2016	2	2				0	0
285 BLACKROCK TOTAL RETURN	09252M883	X				6/30/2016	8/23/2016	107	107				0	0
286 BLACKROCK TOTAL RETURN	09252M883	X				6/30/2016	8/23/2016	12	12				0	0
287 BLACKROCK TOTAL RETURN	09252M883	X				1/12/2016	8/23/2016	3,239	3,127				0	112
288 BLACKROCK TOTAL RETURN	09252M883	X				8/31/2016	9/28/2016	116	120				4	0

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount						Totals		Gross Sales		Cost or Other Basis, Expenses, Depreciation and Adjustments		Net Gain or Loss	
Long Term CG Distributions		4,879				Capital Gains/Losses		2,445,739		1,596,385		849,354	
Short Term CG Distributions		0				Other Sales		0		0		0	
Description	CUSIP #	Check "X" to include in Part IV	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss
289 BLACKROCK TOTAL RETURN	09252M883	X			8/31/2016	9/28/2016	4	4				0	0
290 BLACKROCK TOTAL RETURN	09252M883	X			1/1/2016	9/28/2016	4,690	4,505				0	155
291 BLACKROCK TOTAL RETURN	09252M883	X			8/31/2016	9/28/2016	12	12				0	0
292 BLACKROCK TOTAL RETURN	09252M883	X			9/22/2016	11/9/2016	117	123				6	0
293 BLACKROCK TOTAL RETURN	09252M883	X			10/31/2016	11/9/2016	4	4				0	0
294 BLACKROCK TOTAL RETURN	09252M883	X			12/20/2016	12/22/2016	10	10				0	0
295 BLACKROCK TOTAL RETURN	09252M883	X			9/22/2016	12/22/2016	111	124				14	1
296 BLACKROCK TOTAL RETURN	09252M883	X			11/30/2016	12/22/2016	122	127				6	1
297 BLACKROCK TOTAL RETURN	09252M883	X			1/1/2016	12/22/2016	4,234	4,250				16	0
298 BLACKROCK FLOATING RAT	09256H187	X			3/31/2016	6/15/2016	10	10				0	0
299 BLACKROCK FLOATING RAT	09256H187	X			1/20/2016	6/15/2016	50	58				8	1
300 BLACKROCK FLOATING RAT	09256H187	X			1/20/2016	6/15/2016	10	10				0	0
301 BLACKROCK FLOATING RAT	09256H187	X			1/1/2016	6/15/2016	30,632	30,205				0	427
302 BLACKROCK FLOATING RAT	09256H187	X			2/29/2016	6/15/2016	100	97				0	3
303 BLACKROCK FLOATING RAT	09256H187	X			3/31/2016	6/15/2016	3	3				0	0
304 BLACKROCK FLOATING RAT	09256H187	X			3/31/2016	6/15/2016	100	99				0	1
305 BLACKROCK STRATEGIC	09256H286	X			3/31/2016	8/4/2016	49	48				0	1
306 BLACKROCK STRATEGIC	09256H286	X			2/29/2016	8/4/2016	59	58				0	1
307 BLACKROCK STRATEGIC	09256H286	X			1/20/2016	8/4/2016	38	38				0	0
308 BLACKROCK STRATEGIC	09256H286	X			3/31/2016	8/4/2016	2	2				0	0
309 BLACKROCK STRATEGIC	09256H286	X			3/31/2016	8/4/2016	10	10				0	0
310 BLACKROCK STRATEGIC	09256H286	X			1/20/2016	8/4/2016	10	10				0	0
311 BLACKROCK STRATEGIC	09256H286	X			1/1/2016	8/4/2016	32,478	32,288				0	193
312 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	8/23/2016	1,690	1,686				4	24
313 CREDIT SUISSE FLOATING	22540S836	X			12/28/2015	8/23/2016	46	39				0	1
314 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	8/23/2016	3	3				0	0
315 CREDIT SUISSE FLOATING	22540S836	X			8/4/2016	8/23/2016	3	3				0	0
316 CREDIT SUISSE FLOATING	22540S836	X			8/30/2016	8/23/2016	7	7				0	0
317 CREDIT SUISSE FLOATING	22540S836	X			8/30/2016	8/23/2016	52	53				1	0
318 CREDIT SUISSE FLOATING	22540S836	X			7/29/2016	8/23/2016	130	134				4	0
319 CREDIT SUISSE FLOATING	22540S836	X			8/31/2016	9/28/2016	121	121				0	0
320 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	8/28/2016	0	0				0	0
321 CREDIT SUISSE FLOATING	22540S836	X			6/31/2016	9/28/2016	2	2				0	0
322 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	9/28/2016	1,496	1,474				0	24
323 CREDIT SUISSE FLOATING	22540S836	X			8/31/2016	9/28/2016	7	7				0	0
324 CREDIT SUISSE FLOATING	22540S836	X			8/31/2016	9/28/2016	7	7				0	0
325 CREDIT SUISSE FLOATING	22540S836	X			9/22/2016	11/9/2016	7	7				0	0
326 CREDIT SUISSE FLOATING	22540S836	X			10/31/2016	11/9/2016	7	7				0	0
327 CREDIT SUISSE FLOATING	22540S836	X			9/22/2016	11/9/2016	7	7				0	0
328 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	11/9/2016	2	2				0	0
329 CREDIT SUISSE FLOATING	22540S836	X			9/22/2016	11/9/2016	107	108				2	1
330 CREDIT SUISSE FLOATING	22540S836	X			10/31/2016	11/9/2016	1	1				0	0
331 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	11/9/2016	454	445				0	9
332 CREDIT SUISSE FLOATING	22540S836	X			10/31/2016	11/9/2016	107	108				0	0
333 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	12/22/2016	5	5				0	0
334 CREDIT SUISSE FLOATING	22540S836	X			12/20/2016	12/22/2016	1	1				0	0
335 CREDIT SUISSE FLOATING	22540S836	X			9/23/2016	12/22/2016	103	108				7	2
336 CREDIT SUISSE FLOATING	22540S836	X			6/15/2016	12/22/2016	6,247	6,074				0	173
337 DEUTSCHE X-TRACKERS MS	233051200	X			12/20/2015	8/24/2016	263	280				0	-17
338 DEUTSCHE X-TRACKERS MS	233051200	X			1/21/2015	8/24/2016	19,503	21,665				0	-2,162
339 DELAWARE VALUE FUND	24610C857	X			9/23/2016	11/9/2016	115	110				0	10
340 DELAWARE VALUE FUND	24610C857	X			8/4/2016	11/9/2016	4,886	4,830				0	-44
341 DELAWARE VALUE FUND	24610C857	X			9/23/2016	11/9/2016	11	12				-1	-1
342 DELAWARE VALUE FUND	24610C857	X			12/20/2016	12/22/2016	8	8				0	0
343 DELAWARE VALUE FUND	24610C857	X			8/4/2016	12/22/2016	2,000	1,960				0	40
344 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	8/4/2016	2,022	1,884				0	158
345 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	8/4/2016	5	5				0	0
346 EATON VANCE RCHRD BRST	277902573	X			1/21/2016	8/4/2016	5	8				0	-1
347 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	9/20/2016	3	3				0	0
348 EATON VANCE RCHRD BRST	277902573	X			8/23/2016	9/20/2016	9	10				0	-1
349 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	9/20/2016	8,285	7,820				0	665
350 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	11/9/2016	8	8				0	0
351 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	11/9/2016	110	108				0	11
352 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	12/22/2016	1,750	1,581				0	169
353 EATON VANCE RCHRD BRST	277902573	X			12/22/2016	12/22/2016	10	10				0	0
354 EATON VANCE RCHRD BRST	277902573	X			1/1/2016	12/22/2016	2	2				0	0
355 AMERICAN EURO PACIFIC	29875E100	X			12/20/2016	12/22/2016	7	7				0	0
356 AMERICAN EURO PACIFIC	29875E100	X			3/3/2016	12/22/2016	718	684				0	34
357 HOTCHKIS AND WILEY	44134R800	X			12/20/2016	12/22/2016	8	9				0	-1
358 HOTCHKIS AND WILEY VALUE	44134R834	X			11/2/2016	11/9/2016	5,690	5,158				0	722
359 HOTCHKIS AND WILEY VALUE	44134R834	X			1/1/2016	11/9/2016	1	15				0	2
360 HOTCHKIS AND WILEY VALUE	44134R834	X			8/23/2016	11/9/2016	2	2				0	0

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount		Totals										Gross Sales		Cost or Other Basis, Expenses Depreciation and Adjustments		Net Gain or Loss	
Long Term CG Distributions	4,679	Capital Gains/Losses										2,445,739		1,596,385		849,354	
Short Term CG Distributions	0	Other sales										0		0		0	
Description	CUSIP #	Check "X" to include in Part IV	Purchaser	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss			
361 HOTCHKIS & WILEY VALUE	44134R834	X				12/9/2016	12/22/2016	587	594					7	0		
362 HOTCHKIS & WILEY VALUE	44134R834	X				1/1/2018	12/22/2016	1,841	1,311					0	330		
363 HOTCHKIS & WILEY VALUE	44134R834	X				12/20/2016	12/22/2016	5	5					0	-1		
364 ARISTOTLE/SAUL GLOBAL	461418287	X				8/29/2016	8/4/2016	2	11					0	-1		
365 ARISTOTLE/SAUL GLOBAL	461418287	X				6/29/2016	8/4/2016	10	11					0	1		
366 ARISTOTLE/SAUL GLOBAL	461418287	X				12/11/2015	8/4/2016	424	388					0	58		
367 ARISTOTLE/SAUL GLOBAL	461418287	X				12/20/2016	12/22/2016	1	1					0	0		
368 ARISTOTLE/SAUL GLOBAL	461418287	X				12/14/2016	12/22/2016	73	81					7	-1		
369 ARISTOTLE/SAUL GLOBAL	461418287	X				12/11/2015	12/22/2016	8	8					0	0		
370 ARISTOTLE/SAUL GLOBAL	461418287	X				9/28/2016	12/22/2016	10	12					1	-1		
371 ARISTOTLE/SAUL GLOBAL	461418287	X				12/11/2015	12/22/2016	1,732	1,514					0	218		
372 UIT	464285105	X				8/23/2016	8/31/2016	5	5					0	0		
373 UIT	464285105	X				8/23/2016	9/30/2016	5	5					0	0		
374 ISHARES GOLD TR	464285105	X				8/23/2016	10/8/2016	627	672					0	-45		
375 ISHARES GOLD TR	464285105	X				8/4/2016	10/6/2016	23,461	25,534					0	-2,073		
376 ISHARES EDGE MSCI	464285525	X				1/1/2016	5/23/2016	10,562	9,720					0	842		
377 ISHARES EDGE MSCI	464285525	X				1/1/2016	8/4/2016	387	335					0	52		
378 ISHARES EDGE MSCI	464285525	X				6/29/2016	8/4/2016	155	150					0	5		
379 ISHARES EDGE MSCI	464285525	X				11/2/2016	12/22/2016	1,226	1,140					0	86		
380 ISHARES MSCI MEXICO	464286822	X				11/9/2016	12/22/2016	344	368				42	0	0		
381 ISHARES CORE US	464287226	X				12/8/2016	12/22/2016	3,544	3,571				27	0	0		
382 ISHARES INTL SELECT	464288448	X				6/24/2016	8/4/2016	292	275					0	17		
383 ISHARES INTL SELECT	464288448	X				6/24/2016	12/22/2016	617	577					0	40		
384 ISHARES INTL SELECT	464288448	X				10/3/2016	12/22/2016	88	90				2	0	0		
385 ISHARES MSCU L K E.TE SHS	46434V546	X				6/24/2016	8/4/2016	7,822	7,291					0	391		
386 ISH TR CORE DIVID GROWTH	46434V821	X				12/11/2015	8/4/2016	252	228					0	24		
387 ISH TR CORE DIVID GROWTH	46434V821	X				6/28/2016	8/4/2016	196	184					0	12		
388 ISH TR CORE DIVID GROWTH	46434V821	X				10/3/2016	11/9/2016	195	193					0	2		
389 ISH TR CORE DIVID GROWTH	46434V821	X				10/3/2016	11/9/2016	28	0					0	-28		
390 ISH TR CORE DIVID GROWTH	46434V821	X				12/11/2015	12/22/2016	87	78					0	9		
391 ISH TR CORE DIVID GROWTH	46434V821	X				12/11/2015	12/22/2016	2,417	2,107					0	310		
392 JANUS FLEXIBLE BOND	47103C746	X				12/28/2015	6/15/2016	21	21					0	0		
393 JANUS FLEXIBLE BOND	47103C746	X				3/31/2016	8/15/2016	8	8					0	0		
394 LORD ABBETT SHORT	543916484	X				8/4/2016	8/23/2016	1	1					0	0		
395 SEAFARER OVERSEAS GRO	317609295	X				11/9/2016	12/8/2016	204	210					0	-6		
396 SEAFARER OVERSEAS GRO	317609295	X				9/20/2016	12/8/2016	19,033	19,116					0	-1,083		
397 SEAFARER OVERSEAS GRO	317609295	X				11/9/2016	12/8/2016	11	12					0	-1		
398 SEAFARER OVERSEAS GRO	317609295	X				11/9/2016	12/8/2016	9	10					0	1		
399 LATEEF FUND CLI	360873301	X				8/4/2016	11/9/2016	11	11					0	0		
400 LATEEF FUND CLI	360873301	X				11/2/2016	11/9/2016	22,737	20,951					0	1,786		
401 LATEEF FUND CLI	360873301	X				8/23/2016	11/9/2016	1,249	1,259					0	-10		
402 LATEEF FUND CLI	360873301	X				8/4/2016	11/9/2016	5,696	5,691					0	5		
403 LATEEF FUND CLI	360873301	X				8/23/2016	11/9/2016	1	1					0	0		
404 LATEEF FUND CLI	360873301	X				8/23/2016	11/9/2016	11	12					0	-1		
405 LATEEF FUND CLI	360873301	X				1/21/2016	11/9/2016	11	10					0	1		
406 LATEEF FUND CLI	360873301	X				1/21/2016	11/9/2016	516	452					0	64		
407 HENDERSON INTERNATIONAL	425067592	X				8/23/2016	11/9/2016	9	9					0	0		
408 HENDERSON INTERNATIONAL	425067592	X				8/23/2016	11/9/2016	509	532					0	-23		
409 HENDERSON INTERNATIONAL	425067592	X				8/17/2016	11/9/2016	23,298	24,257					0	-961		
410 HENDERSON INTERNATIONAL	425067592	X				8/23/2016	11/9/2016	25	27					0	-2		
411 HENDERSON EUROPEAN FC	425067642	X				11/2/2016	7/15/2016	21,029	20,896					0	53		
412 HENDERSON EUROPEAN FC	425067642	X				1/21/2016	7/15/2016	32	31					0	1		
413 HENDERSON EUROPEAN FC	425067642	X				1/21/2016	7/15/2016	1	0					0	1		
414 HENDERSON EUROPEAN FC	425067642	X				1/21/2016	7/15/2016	855	808					0	47		
415 HOTCHKIS & WILEY HIGH	44134R735	X				8/4/2016	8/23/2016	60	59					0	1		
416 HOTCHKIS & WILEY HIGH	44134R735	X				8/4/2016	8/23/2016	4	4					0	0		
417 HOTCHKIS & WILEY HIGH	44134R735	X				8/4/2016	8/23/2016	5	4					0	1		
418 HOTCHKIS & WILEY HIGH	44134R735	X				8/4/2016	11/9/2016	320	316					0	4		
419 HOTCHKIS & WILEY HIGH	44134R735	X				9/30/2016	11/9/2016	107	107					0	0		
420 HOTCHKIS & WILEY HIGH	44134R735	X				10/31/2016	11/9/2016	0	0					0	0		
421 HOTCHKIS & WILEY HIGH	44134R735	X				8/31/2016	11/9/2016	95	95				1	1	1		
422 HOTCHKIS & WILEY HIGH	44134R735	X				10/31/2016	11/9/2016	130	131					0	-1		
423 HOTCHKIS & WILEY HIGH	44134R735	X				9/31/2016	11/9/2016	12	12					0	0		
424 HOTCHKIS & WILEY HIGH	44134R735	X				9/30/2016	11/9/2016	24	24					0	0		
425 HOTCHKIS & WILEY HIGH	44134R735	X				9/21/2016	12/22/2016	12	12					0	0		
426 HOTCHKIS & WILEY HIGH	44134R735	X				9/21/2016	12/22/2016	82	84				2	0	0		
427 HOTCHKIS & WILEY HIGH	44134R735	X				12/20/2016	12/22/2016	3	4					0	-1		
428 HOTCHKIS & WILEY HIGH	44134R735	X				8/4/2016	12/22/2016	2,078	2,026					0	52		
429 HOTCHKIS & WILEY HIGH	44134R735	X				10/21/2016	12/22/2016	23	24					0	1		
430 HOTCHKIS AND WILEY	44134R900	X				12/9/2016	12/22/2016	19	38				19	0	0		
431 HOTCHKIS AND WILEY	44134R900	X				11/9/2016	12/22/2016	10	17					0	-7		
432 HOTCHKIS AND WILEY	44134R900	X				11/9/2016	12/22/2016	1,913	1,672					0	241		

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount						Totals		Gross Sales		Cost or Other Basis, Expenses Depreciation and Adjustments		Net Gain or Loss	
Long Term CG Distributions	4,679					Capital Gains/Losses		2,445,739		1,596,385		849,354	
Short Term CG Distributions	0					Other sales		0		0		0	
Description	CUSIP #	Check "X" to include in Part IV	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss
433 LORD ABBETT SHORT	543916464	X			6/30/2016	8/23/2016	58	70				2	0
434 LORD ABBETT SHORT	543916464	X			6/30/2016	8/23/2016	4	4				0	0
435 LORD ABBETT SHORT	543916464	X			12/11/2015	8/23/2016	3	3				0	0
436 LORD ABBETT SHORT	543916464	X			12/11/2015	8/23/2016	1,138	1,138				0	0
437 LORD ABBETT SHORT	543916464	X			7/29/2016	8/23/2016	88	70				0	0
438 LORD ABBETT SHORT	543916464	X			9/31/2016	9/28/2016	72	74				0	2
439 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	30	31				0	-1
440 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	44	44				0	0
441 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	305	305				0	0
442 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	2	2				0	0
443 LORD ABBETT SHORT	543916464	X			9/31/2016	9/28/2016	4	4				0	0
444 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	4	4				0	0
445 LORD ABBETT SHORT	543916464	X			12/11/2015	9/28/2016	728	723				0	5
446 LORD ABBETT SHORT	543916464	X			10/31/2016	11/9/2016	4	4				0	0
447 LORD ABBETT SHORT	543916464	X			10/31/2016	11/9/2016	39	39				0	0
448 LORD ABBETT SHORT	543916464	X			10/31/2016	11/9/2016	2	2				0	0
449 LORD ABBETT SHORT	543916464	X			10/31/2016	11/9/2016	26	26				0	0
450 LORD ABBETT SHORT	543916464	X			12/11/2015	11/9/2016	30	30				0	0
451 LORD ABBETT SHORT	543916464	X			12/11/2015	11/9/2016	43	44				0	-1
452 LORD ABBETT SHORT	543916464	X			12/11/2015	11/9/2016	127	126				0	1
453 LORD ABBETT SHORT	543916464	X			12/11/2015	12/22/2016	1	1				0	0
454 LORD ABBETT SHORT	543916464	X			11/21/2016	12/22/2016	37	39				2	0
455 LORD ABBETT SHORT	543916464	X			1/30/2016	12/22/2016	28	31				2	0
456 LORD ABBETT SHORT	543916464	X			12/20/2016	12/22/2016	2	2				0	0
457 LORD ABBETT SHORT	543916464	X			12/11/2015	12/22/2016	1,766	1,775				10	1
458 MFS BLENDED RESEARCH	55273W103	X			8/23/2016	11/9/2016	5	5				0	0
459 MFS BLENDED RESEARCH	55273W103	X			8/4/2016	11/9/2016	5,233	5,186				0	47
460 MFS BLENDED RESEARCH	55273W103	X			8/4/2016	11/9/2016	3	3				0	0
461 MFS BLENDED RESEARCH	55273W103	X			12/11/2015	12/22/2016	24	24				1	-1
462 MFS BLENDED RESEARCH	55273W103	X			12/20/2016	12/22/2016	5	5				0	0
463 MFS BLENDED RESEARCH	55273W103	X			12/13/2016	12/22/2016	237	243				6	0
464 MFS BLENDED RESEARCH	55273W103	X			8/4/2016	12/22/2016	1,595	1,542				0	53
465 TORTOISE MLP &	56166Y404	X			1/21/2016	8/4/2016	1	1				0	0
466 TORTOISE MLP &	56166Y404	X			1/12/2016	8/4/2016	8,205	4,347				0	1,858
467 TORTOISE MLP &	56166Y404	X			8/23/2016	11/9/2016	1	1				0	0
468 TORTOISE MLP &	56166Y404	X			11/12/2016	11/9/2016	120	81				0	39
469 TORTOISE MLP &	56166Y404	X			12/20/2016	12/22/2016	2	2				0	0
470 TORTOISE MLP &	56166Y404	X			11/2/2016	12/22/2016	10	6				0	4
471 TORTOISE MLP &	56166Y404	X			1/12/2016	12/22/2016	1,716	1,087				0	629
472 MATTHEWS ASIA SMALL	577125206	X			8/23/2016	9/20/2016	21	20				0	1
473 MATTHEWS ASIA SMALL	577125206	X			8/23/2016	9/20/2016	288	284				0	4
474 MATTHEWS ASIA SMALL	577125206	X			9/23/2016	9/20/2016	2	2				0	0
475 MATTHEWS ASIA SMALL	577125206	X			8/4/2016	9/20/2016	288	278				0	10
476 MATTHEWS ASIA SMALL	577125206	X			1/21/2016	9/20/2016	123	105				0	18
477 MATTHEWS ASIA SMALL	577125206	X			1/21/2016	9/20/2016	21	18				0	3
478 MATTHEWS ASIA SMALL	577125206	X			1/12/2016	9/20/2016	2,406	2,139				0	267
479 MATTHEWS ASIA SMALL	577125206	X			1/12/2016	9/20/2016	21	19				0	2
480 MATTHEWS ASIA SMALL	577125206	X			12/11/2015	9/20/2016	8,001	7,287				0	734
481 MATTHEWS ASIAN GROWTH	577130206	X			8/23/2016	9/20/2016	17	17				0	0
482 MATTHEWS ASIAN GROWTH	577130206	X			8/23/2016	9/20/2016	501	508				0	-7
483 MATTHEWS ASIAN GROWTH	577130206	X			8/23/2016	9/20/2016	1	4				0	0
484 MATTHEWS ASIAN GROWTH	577130206	X			8/4/2016	9/20/2016	10,368	10,470				0	-102
485 MATTHEWS ASIAN GROWTH	577130867	X			1/21/2016	8/4/2016	22	19				0	3
486 MATTHEWS ASIA GROWTH	577130867	X			1/21/2016	8/4/2016	201	168				0	33
487 MATTHEWS ASIA GROWTH	577130867	X			1/21/2016	8/4/2016	3	3				0	0
488 MATTHEWS ASIA GROWTH	577130867	X			11/2/2016	8/4/2016	2,542	2,249				0	293
489 MATTHEWS ASIA GROWTH	577130867	X			11/2/2016	8/4/2016	22	22				0	0
490 MATTHEWS ASIA GROWTH	577130867	X			12/11/2015	8/4/2016	7,939	7,273				0	666
491 MATTHEWS ASIA GROWTH	577130867	X			12/20/2016	12/22/2016	5	5				0	0
492 MATTHEWS ASIA GROWTH	577130867	X			9/20/2016	12/22/2016	5	6				0	-1
493 MATTHEWS ASIA GROWTH	577130867	X			12/7/2016	12/22/2016	94	105				11	0
494 MATTHEWS ASIA GROWTH	577130867	X			9/20/2016	12/22/2016	21	23				2	0
495 MATTHEWS ASIA GROWTH	577130867	X			9/20/2016	12/22/2016	725	798				70	-1
496 METROPOLITAN WEST TOTAL	592905509	X			12/11/2015	8/23/2016	3	4				0	-1
497 METROPOLITAN WEST TOTAL	592905509	X			12/11/2015	8/23/2016	3,251	3,172				0	79
498 METROPOLITAN WEST TOTAL	592905509	X			8/4/2016	8/23/2016	5	5				0	0
499 METROPOLITAN WEST TOTAL	592905509	X			6/30/2016	8/23/2016	85	88				3	0
500 METROPOLITAN WEST TOTAL	592905509	X			7/29/2016	8/23/2016	95	99				4	0
501 METROPOLITAN WEST TOTAL	592905509	X			12/11/2015	8/23/2016	1,515	1,477				0	38
502 METROPOLITAN WEST TOTAL	592905509	X			12/11/2015	9/28/2016	35	32				0	3
503 METROPOLITAN WEST TOTAL	592905509	X			8/31/2016	9/28/2016	60	66				6	0
504 METROPOLITAN WEST TOTAL	592905509	X			12/11/2015	9/28/2016	3,197	3,118				0	79

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Part I, Line 6 (990-PF) - Gain/Loss from Sale of Assets Other Than Inventory

Amount		Totals										Gross Sales		Cost or Other Basis Expenses Depreciation and Adjustments		Net Gain or Loss	
Long Term CG Distributions	4,679	Capital Gains/Losses										2,445,739		1,596,385		849,354	
Short Term CG Distributions	0	Other sales										0		0		0	
Description	CUSIP #	Check "X" to include in Part IV	Purchaser	Check "X" if Purchaser is a Business	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Valuation Method	Expense of Sale and Cost of Improvements	Depreciation	Adjustments	Net Gain or Loss			
505 METROPOLITAN WEST TOTAL	592905509	X				12/11/2015	9/28/2016	11	11				0	0			
506 METROPOLITAN WEST TOTAL	592905509	X				8/31/2016	9/28/2016	20	22				0	-2			
507 METROPOLITAN WEST TOTAL	592905509	X				8/31/2016	9/28/2016	8	9				0	-1			
508 METROPOLITAN WEST TOTAL	592905509	X				9/30/2016	10/7/2016	10	10				0	0			
509 METROPOLITAN WEST TOTAL	592905509	X				9/2/2016	10/7/2016	66	72				0	-6			
510 METROPOLITAN WEST TOTAL	592905509	X				8/4/2016	10/7/2016	4,553	4,577				0	-24			
511 METROPOLITAN WEST TOTAL	592905509	X				7/29/2016	10/7/2016	99	104				0	-5			
512 METROPOLITAN WEST TOTAL	592905509	X				6/30/2016	10/7/2016	22	23				1	0			
513 METROPOLITAN WEST TOTAL	592905509	X				6/30/2016	10/7/2016	66	69				0	-3			
514 METROPOLITAN WEST TOTAL	592905509	X				2/29/2016	10/7/2016	11	11				0	0			
515 METROPOLITAN WEST TOTAL	592905509	X				1/12/2016	10/7/2016	10,905	10,520				0	285			
516 METROPOLITAN WEST TOTAL	592905509	X				12/14/2015	10/7/2016	209	202				0	6			
517 METROPOLITAN WEST TOTAL	592905509	X				12/14/2015	10/7/2016	11	11				0	0			
518 NORTHROP GRUMMAN COR	668807102	X				1/10/2014	12/8/2016	1,174,610	360,632				0	813,978			
519 CMA 88002585 ST LOSS	SEEATTCHD	X				1/1/2016	12/31/2016	425,374	435,939				0	-10,565			
520 VANGUARD TOTAL STK MKT	922906769	X				5/9/2012	3/3/2016	31,218	21,460				0	9,758			

Part I, Line 16c (990-PF) - Other Professional Fees

		12,348	7,409	0	4,939
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes (Cash Basis Only)
1	CMA FEES	3,386	2,032		1,354
2	UST-MLT FEES AS AGENT	8,962	5,377		3,585

Part I, Line 18 (990-PF) - Taxes

		13,670	498	0	0
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	FOREIGN TAX WITHHELD	498	498		
2	PY EXCISE TAX DUE	6,586			
3	ESTIMATED EXCISE PAYMENTS	6,586			

Part I, Line 23 (990-PF) - Other Expenses

		188	28	0	160
Description		Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
1	STATE AG FEES	160	0		160
2	INVESTMENT EXPENSE	28	28		

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Part II, Line 10a (990-PF) - Investments - U.S. and State Government Obligations

		Federal		State/Local			
		0		44,988		0	
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Part II, Line 13 (990-PF) - Investments - Other

			0	1,355,133	1,436,177
	Asset Description	Basis of Valuation	Book Value Beg. of Year	Book Value End of Year	FMV End of Year
1				0	
2	AMG YACHTMAN FOCUSED		0	28,478	28,497
3	KOPERNIK GLOBAL ALL CAP		0	21,002	28,598
4	AMER FUNDS AMCAP		0	9,255	9,754
5	BLACKROCK BOND FUND		0	61,079	61,005
6	CREDIT SUISSE FLOATING		0	85,125	85,865
7	DELAWARE VALUE FUND		0	28,307	28,517
8	EATON VANCE RCHRD BRSTN		0	22,693	24,307
9	AMERICAN EURO PACIFIC		0	9,557	9,856
10	HOTCHKIS & WILEY HIGH		0	29,314	29,920
11	HOTCHKIS & WILEY FDS		0	22,639	24,860
12	HOTCHKIS & WILEY VALUE		0	23,894	28,388
13	ARISTOTLE/SAUL GLOBAL		0	22,522	24,365
14	ISHARES TRUST SHS ISHARE		0	23,627	24,908
15	ISHARES INC MSCI MEXICO FREE INDEX		0	8,187	7,607
16	ISHARES TR		0	50,885	50,896
17	SHARES DJ EPAC SEL DV		0	10,290	10,868
18	ISH TR CORE DIVID GROWTH		0	35,965	40,240
19	LORD ABBETT SHORT		0	25,380	25,240
20	MFS BLENDED RESEARCH		0	24,872	25,211
21	TORTOISE MLP &		0	14,859	21,061
22	MATTHEWS ASIA PACIFIC		0	13,715	12,941
23	PIMCO SHORT-TERM FUND		0	60,501	60,636
24	PIMCO INCOME FUND CL P		0	65,370	65,823
25	POWERSHARES FTSE RAFI		0	39,698	40,148
26	PRUDENTIAL JENNISON		0	30,264	28,639
27	RIVERNORTH DOUBLE LINE		0	74,811	76,160
28	VANECK VECTORS GOLD		0	32,455	32,635
29	VANGUARD DIVIDEND		0	26,645	28,732
30	VANGUARD TOTAL INTL STK		0	138,745	147,274
31	VANGUARD TOTAL BOND MKT		0	51,355	51,052
32	VANGUARD EUROPEAN ETF		0	21,334	21,621
33	VANGUARD INDEX TR VANGUARD TOTAL		0	182,760	217,184
34	VICTORY MUNDER INTL		0	13,221	13,610
35	AMER FUNDS WASHINGTON		0	9,281	9,752
36	WISDOMTREE TR		0	37,048	40,007

Part III (990-PF) - Changes in Net Assets or Fund Balances

Line 3 - Other increases not included in Part III, Line 2

1	CHECKS PAID IN 2016, CLEARED IN 2017	1	10,000
2	Total	2	10,000

Line 5 - Decreases not included in Part III, Line 2

1	PY GRANTS SETTLED IN CY	1	266,000
2	COST BASIS ADJUSTMENT	2	2,264
3	EXCESS FMV OVER COST OF ASSETS CONTRIBUTED	3	799,442
4	Total	4	1,067,706

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Long Term CG Distributions		Amount														
Short Term CG Distributions		4,679														
		0														

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income[illegible]

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Long Term CG Distributions		Amount		Short Term CG Distributions		2,441,000		0		873		1,597,258		844,675		0		0		844,675	
		4,679		0																	
Description of Property Sold		CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	FMV as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adjusted Basis	Gain Minus Excess FMV Over Adj Basis or Loss							
139	VANGUARD TOTAL INTL STK	921809768		1/1/2016	8/4/2016	7,115		0	5,522	593	0	0	0	593							
140	VANGUARD TOTAL INTL STK	921809768		9/2/2016	12/22/2016	682		16	699	-1	0	0	0	-1							
141	VANGUARD TOTAL INTL STK	921809768		9/2/2016	12/22/2016	47		1	47	0	0	0	0	0							
142	VANGUARD TOTAL INTL STK	921809768		1/1/2016	12/22/2016	8,871		1	8,258	613	0	0	0	613							
143	VANGUARD TOTAL STK MKT	922908769		6/21/2016	8/4/2016	776		0	746	30	0	0	0	30							
144	PIMCO INCOME FUND CL P	72201M719		8/4/2016	8/23/2016	8		3	8	0	0	0	0	0							
145	PIMCO INCOME FUND CL P	72201M719		7/29/2016	8/23/2016	153		3	158	0	0	0	0	0							
146	PIMCO INCOME FUND CL P	72201M719		6/30/2016	8/23/2016	12		0	12	0	0	0	0	0							
147	PIMCO INCOME FUND CL P	72201M719		6/30/2016	8/23/2016	141		2	143	0	0	0	0	0							
148	PIMCO INCOME FUND CL P	72201M719		12/11/2015	8/23/2016	1,939		0	1,935	4	0	0	0	4							
149	PIMCO INCOME FUND CL P	72201M719		10/31/2015	11/9/2016	4		0	4	0	0	0	0	0							
150	PIMCO INCOME FUND CL P	72201M719		10/31/2015	11/9/2016	252		0	253	-1	0	0	0	-1							
151	PIMCO INCOME FUND CL P	72201M719		9/30/2016	11/9/2016	84		0	84	0	0	0	0	0							
152	PIMCO INCOME FUND CL P	72201M719		8/30/2016	11/9/2016	84		0	84	0	0	0	0	0							
153	PIMCO INCOME FUND CL P	72201M719		8/31/2016	11/9/2016	168		0	168	0	0	0	0	0							
154	PIMCO INCOME FUND CL P	72201M719		12/11/2015	11/9/2016	641		0	637	4	0	0	0	4							
155	PIMCO INCOME FUND CL P	72201M719		12/20/2016	12/22/2016	6		0	6	0	0	0	0	0							
156	PIMCO INCOME FUND CL P	72201M719		10/21/2016	12/22/2016	12		0	12	0	0	0	0	0							
157	PIMCO INCOME FUND CL P	72201M719		10/21/2016	12/22/2016	70		2	72	0	0	0	0	0							
158	PIMCO INCOME FUND CL P	72201M719		8/21/2016	12/22/2016	164		0	168	0	0	0	0	0							
159	PIMCO INCOME FUND CL P	72201M719		12/11/2015	12/22/2016	4,578		0	4,568	10	0	0	0	10							
160	PIMCO INCOME FUND CL P	72201M719		12/11/2015	12/22/2016	1		0	1	0	0	0	0	0							
161	POWERSHARES FTSE RAFI	73936T763		6/24/2016	8/4/2016	772		0	678	93	0	0	0	93							
162	POWERSHARES FTSE RAFI	73936T763		10/3/2016	12/2/2016	86		2	88	0	0	0	0	0							
163	POWERSHARES FTSE RAFI	73936T763		6/24/2016	12/2/2016	2,140		0	1,884	256	0	0	0	256							
164	PRUDENTIAL JENNISON	74441P866		12/20/2016	12/22/2016	14		0	14	0	0	0	0	0							
165	PRUDENTIAL JENNISON	74441P866		11/9/2016	12/22/2016	39		3	42	0	0	0	0	0							
166	PRUDENTIAL JENNISON	74441P866		11/9/2016	12/22/2016	39		3	42	0	0	0	0	0							
167	PRUDENTIAL JENNISON	74441P866		11/9/2016	12/22/2016	742		53	794	1	0	0	0	1							
168	PRUDENTIAL JENNISON	74441P866		11/9/2016	12/22/2016	1,171		83	1,254	0	0	0	0	0							
169	PRUDENTIAL SHORT DUR	74442J307		10/31/2016	11/9/2016	3		0	3	0	0	0	0	0							
170	PRUDENTIAL SHORT DUR	74442J307		10/31/2016	11/9/2016	90		1	91	0	0	0	0	0							
171	PRUDENTIAL SHORT DUR	74442J307		9/30/2016	11/9/2016	9		0	9	0	0	0	0	0							
172	PRUDENTIAL SHORT DUR	74442J307		8/29/2016	11/9/2016	57		0	57	0	0	0	0	0							
173	PRUDENTIAL SHORT DUR	74442J307		12/1/2016	12/8/2016	9		0	9	0	0	0	0	0							
174	PRUDENTIAL SHORT DUR	74442J307		12/1/2016	12/8/2016	7		0	7	0	0	0	0	0							
175	PRUDENTIAL SHORT DUR	74442J307		12/1/2016	12/8/2016	34		0	36	-2	0	0	0	-2							
176	PRUDENTIAL SHORT DUR	74442J307		11/21/2016	12/8/2016	86		0	91	5	0	0	0	5							
177	PRUDENTIAL SHORT DUR	74442J307		10/21/2016	12/8/2016	9		0	9	0	0	0	0	0							
178	PRUDENTIAL SHORT DUR	74442J307		9/28/2016	12/8/2016	36		0	37	-1	0	0	0	-1							
179	PRUDENTIAL SHORT DUR	74442J307		9/28/2016	12/8/2016	21,459		0	21,713	-254	0	0	0	-254							
180	PUTNAM TAX FEE HIGH	7458T2878		8/4/2016	8/23/2016	1		0	1	0	0	0	0	0							
181	PUTNAM TAX FEE HIGH	7458T2878		7/29/2016	8/23/2016	65		1	65	1	0	0	0	1							
182	SPDR	78463V107		11/9/2016	12/8/2016	9		0	9	0	0	0	0	0							
183	SPDR GOLD TRUST	78463V107		11/9/2016	12/8/2016	1,004		0	1,092	-88	0	0	0	-88							
184	SPDR GOLD TRUST	78463V107		10/6/2016	12/8/2016	22,428		0	23,991	-1,563	0	0	0	-1,563							
185	SPDR BLMBRG BARCLAYS	7846A6A49		8/10/2016	8/23/2016	59		0	59	0	0	0	0	0							
186	SPDR BLMBRG BARCLAYS	7846A6A49		8/10/2016	8/23/2016	59		0	59	0	0	0	0	0							
187	SPDR BLMBRG BARCLAYS	7846A6A49		7/13/2016	8/23/2016	59		0	60	-1	0	0	0	-1							
188	SPDR BLMBRG BARCLAYS	7846A6A49		12/11/2015	8/23/2016	2,438		0	2,355	83	0	0	0	83							
189	SPDR BLMBRG BARCLAYS	7846A6A49		9/13/2016	9/28/2016	59		0	59	0	0	0	0	0							
190	SPDR BLMBRG BARCLAYS	7846A6A49		12/11/2015	9/28/2016	2,017		0	1,953	64	0	0	0	64							
191	SPDR BLMBRG BARCLAYS	7846A6A49		12/12/2016	12/8/2016	57		0	57	0	0	0	0	0							
192	SPDR BLMBRG BARCLAYS	7846A6A49		12/12/2016	12/8/2016	57		0	57	0	0	0	0	0							
193	SPDR BLMBRG BARCLAYS	7846A6A49		11/10/2016	12/8/2016	57		0	56	1	0	0	0	1							
194	SPDR BLMBRG BARCLAYS	7846A6A49		11/9/2016	12/8/2016	342		0	348	-6	0	0	0	-6							
195	SPDR BLMBRG BARCLAYS	7846A6A49		10/12/2016	12/8/2016	57		0	59	-2	0	0	0	-2							
196	SPDR BLMBRG BARCLAYS	7846A6A49		10/12/2016	12/8/2016	57		0	0	57	0	0	0	57							
197	SPDR BLMBRG BARCLAYS	7846A6A49		10/12/2016	12/8/2016	57		0	59	-2	0	0	0	-2							
198	SPDR BLMBRG BARCLAYS	7846A6A49		8/10/2016	12/8/2016	57		0	60	-3	0	0	0	-3							
199	SPDR BLMBRG BARCLAYS	7846A6A49		8/4/2016	12/8/2016	3,647		0	3,805	-158	0	0	0	-158							
200	SPDR BLMBRG BARCLAYS	7846A6A49		7/13/2016	12/8/2016	57		0	60	-3	0	0	0	-3							
201	VANGUARD TOTAL BOND MH	921937835		8/8/2016	8/23/2016	84		0	84	0	0	0	0	0							
202	VANGUARD TOTAL BOND MH	921937835		7/11/2016	8/23/2016	84		0	85	-1	0	0	0	-1							
203	VANGUARD TOTAL BOND MH	921937835		11/2/2016	8/23/2016	2,447		0	2,438	9	0	0	0	9							
204	VANGUARD TOTAL BOND MH	921937835		9/9/2016	9/28/2016	84		0	84	0	0	0	0	0							
205	VANGUARD TOTAL BOND MH	921937835		1/12/2016	9/28/2016	2,021		0	1,948	73	0	0	0	73							
206	VANGUARD TOTAL BOND MH	921937835		12/8/2016	12/22/2016	80		1	81	0	0	0	0	0							
207	VANGUARD TOTAL BOND MH	921937835		11/8/2016	12/22/2016	80		3	83	0	0	0	0	0							

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Long Term CG Distributions		Amount		Short Term CG Distributions		Total		Total		Total		Total		Total		Total	
		4,679		0		2,441,060		0		873		1,597,258		844,675		0	
		0															
Description of Property Sold	CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	FMV as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adjusted Basis	Game Minus Excess FMV Over Adj. Basis or Losses				
208 VANGUARD TOTAL BOND MH	921937835		12/22/2016	12/22/2016	80		0	83	-3	0	0	0	-3				
209 VANGUARD TOTAL BOND MH	921937835		11/12/2016	12/22/2016	3,210		37	3,247	37	0	0	0	37				
210 VANGUARD MSCI EUROPEAN	922042874		8/4/2016	8/17/2016	1,323		0	1,287	36	0	0	0	36				
211 VANGUARD MSCI EUROPEAN	922042874		7/15/2016	8/17/2016	22,985		0	22,127	858	0	0	0	858				
212 PIMCO INVESTMENT GRADE	72201M685		9/2/2016	11/9/2016	10		1	11	0	0	0	0	0				
213 PIMCO INVESTMENT GRADE	72201M685		9/2/2016	11/9/2016	21		1	22	0	0	0	0	0				
214 PIMCO INVESTMENT GRADE	72201M685		9/2/2016	11/9/2016	41		2	44	1	0	0	0	1				
215 PIMCO INVESTMENT GRADE	72201M685		6/30/2016	12/8/2016	61		0	66	-5	0	0	0	-5				
216 PIMCO INVESTMENT GRADE	72201M685		12/8/2016	12/8/2016	61		0	60	1	0	0	0	1				
217 PIMCO INVESTMENT GRADE	72201M685		11/30/2016	12/8/2016	3		0	3	0	0	0	0	0				
218 PIMCO INVESTMENT GRADE	72201M685		11/30/2016	12/8/2016	30		0	30	0	0	0	0	0				
219 PIMCO INVESTMENT GRADE	72201M685		11/21/2016	12/8/2016	20		0	21	-1	0	0	0	-1				
220 PIMCO INVESTMENT GRADE	72201M685		9/23/2016	12/8/2016	20		0	21	-1	0	0	0	-1				
221 PIMCO INVESTMENT GRADE	72201M685		9/2/2016	12/8/2016	10		0	11	-1	0	0	0	-1				
222 PIMCO INVESTMENT GRADE	72201M685		8/4/2016	12/8/2016	856		0	887	-31	0	0	0	-31				
223 PIMCO INVESTMENT GRADE	72201M685		7/29/2016	12/8/2016	71		0	78	-7	0	0	0	-7				
224 PIMCO INVESTMENT GRADE	72201M685		6/30/2016	12/8/2016	10		0	11	-1	0	0	0	-1				
225 PIMCO INVESTMENT GRADE	72201M685		3/31/2016	12/8/2016	10		0	10	0	0	0	0	0				
226 PIMCO INVESTMENT GRADE	72201M685		3/31/2016	12/8/2016	71		0	71	0	0	0	0	0				
227 PIMCO INVESTMENT GRADE	72201M685		2/29/2016	12/8/2016	82		0	80	2	0	0	0	2				
228 PIMCO INVESTMENT GRADE	72201M685		1/29/2016	12/8/2016	10		0	10	0	0	0	0	0				
229 PIMCO INVESTMENT GRADE	72201M685		1/12/2016	12/8/2016	5,259		0	5,134	125	0	0	0	125				
230 PIMCO INVESTMENT GRADE	72201M685		12/16/2015	12/8/2016	163		0	160	3	0	0	0	3				
231 PIMCO INVESTMENT GRADE	72201M685		12/16/2015	12/8/2016	143		0	140	3	0	0	0	3				
232 PIMCO INVESTMENT GRADE	72201M685		12/16/2015	12/8/2016	10		0	10	0	0	0	0	0				
233 PIMCO INVESTMENT GRADE	72201M685		12/11/2015	12/8/2016	16,255		0	16,349	-94	0	0	0	-94				
234 PIMCO INVESTMENT GRADE	72201M685		12/11/2015	12/8/2016	10		0	10	0	0	0	0	0				
235 PIMCO INVESTMENT GRADE	72201M685		8/2/2016	12/8/2016	40		0	44	-4	0	0	0	-4				
236 RIVERNORTH DOUBLE LINE	78881N202		1/12/2016	8/23/2016	5		0	4	1	0	0	0	1				
237 RIVERNORTH DOUBLE LINE	78881N202		8/31/2016	9/28/2016	8		0	8	0	0	0	0	0				
238 RIVERNORTH DOUBLE LINE	78881N202		8/31/2016	9/28/2016	10		0	11	-1	0	0	0	-1				
239 SPDR BLMRG BARCLAYS	78464A649		1/12/2016	12/8/2016	9,517		0	9,594	-77	0	0	0	-77				
240 SPDR BLMRG BARCLAYS	78464A649		12/11/2015	12/8/2016	57		0	57	0	0	0	0	0				
241 SPDR BLMRG BARCLAYS	78464A649		12/11/2015	12/8/2016	28,323		0	28,548	-225	0	0	0	-225				
242 SPDR BLMRG BARCLAYS	78464A649		12/11/2015	12/8/2016	57		0	57	0	0	0	0	0				
243 SPDR BLMRG BARCLAYS	78464A649		12/15/2015	12/20/2016	57		0	58	-2	0	0	0	-2				
244 SPDR BLMRG BARCLAYS	78464A649		12/11/2015	12/20/2016	57		0	58	-1	0	0	0	-1				
245 SPDR BLMRG BARCLAYS	78464A649		12/12/2016	12/27/2016	34		0	34	0	0	0	0	0				
246 SMEAD VALUE FUND	83178C873		1/21/2016	8/4/2016	382		0	355	27	0	0	0	27				
247 SMEAD VALUE FUND	83178C873		1/21/2016	8/4/2016	34		0	33	1	0	0	0	1				
248 SMEAD VALUE FUND	83178C873		1/12/2016	8/4/2016	19,077		0	18,483	594	0	0	0	594				
249 TEMPLETON GLBL BOND FD	880208400		8/17/2016	8/23/2016	5		0	6	-1	0	0	0	-1				
250 TEMPLETON GLBL BOND FD	880208400		8/17/2016	8/23/2016	39		0	48	-9	0	0	0	-9				
251 TEMPLETON GLBL BOND FD	880208400		8/4/2016	8/23/2016	1,152		0	1,151	1	0	0	0	1				
252 TEMPLETON GLBL BOND FD	880208400		8/4/2016	8/23/2016	45		0	45	0	0	0	0	0				
253 TEMPLETON GLBL BOND FD	880208400		8/4/2016	8/23/2016	1		0	2	-1	0	0	0	-1				
254 TEMPLETON GLBL BOND FD	880208400		9/19/2016	9/28/2016	11		0	11	0	0	0	0	0				
255 TEMPLETON GLBL BOND FD	880208400		9/13/2016	9/28/2016	44		0	52	-8	0	0	0	-8				
256 TEMPLETON GLBL BOND FD	880208400		8/4/2016	9/28/2016	22,722		0	22,820	-98	0	0	0	-98				
257 TEMPLETON GLOBAL TOTAL	880208555		7/19/2016	8/4/2016	5		0	5	0	0	0	0	0				
258 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	8/4/2016	301		0	294	7	0	0	0	7				
259 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	8/4/2016	11		0	10	1	0	0	0	1				
260 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	8/4/2016	5		0	5	0	0	0	0	0				
261 AMG YACKTMAN FOCUSED	00170K562		6/23/2016	11/9/2016	1		0	1	0	0	0	0	0				
262 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	11/9/2016	415		0	358	57	0	0	0	57				
263 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	11/9/2016	5		0	4	1	0	0	0	1				
264 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	12/22/2016	9		0	8	1	0	0	0	1				
265 AMG YACKTMAN FOCUSED	00170K562		1/12/2016	12/22/2016	2,013		0	1,715	298	0	0	0	298				
266 AMG YACKTMAN FOCUSED	00170K562		12/20/2016	12/22/2016	7		0	7	0	0	0	0	0				
267 KOPERNIK GLOBAL ALL CAP	00766Y299		12/11/2015	8/4/2016	11,845		0	8,006	3,839	0	0	0	3,839				
268 KOPERNIK GLOBAL ALL CAP	00766Y299		12/11/2015	8/4/2016	3		0	2	1	0	0	0	1				
269 KOPERNIK GLOBAL ALL CAP	00766Y299		1/12/2016	8/4/2016	2		0	1	1	0	0	0	1				
270 KOPERNIK GLOBAL ALL CAP	00766Y299		12/20/2016	12/22/2016	0		0	0	0	0	0	0	0				
271 KOPERNIK GLOBAL ALL CAP	00766Y299		12/11/2015	12/22/2016	2,143		0	1,454	689	0	0	0	689				
272 POPLAR FOREST PARTNERS	00768D798		12/11/2015	8/4/2016	18,578		0	16,358	2,221	0	0	0	2,221				
273 POPLAR FOREST PARTNERS	00768D798		1/21/2016	8/4/2016	548		0	432	117	0	0	0	117				
274 POPLAR FOREST PARTNERS	00768D798		1/12/2016	8/4/2016	7,093		0	5,794	1,299	0	0	0	1,299				
275 POPLAR FOREST PARTNERS	00768D798		1/21/2016	8/4/2016	46		0	36	10	0	0	0	10				
276 POPLAR FOREST PARTNERS	00768D798		1/12/2016	8/4/2016	46		0	40	6	0	0	0	6				

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Long Term CG Distributions		Amount	2,441,060		0	873	1,597,258	844,675	0	0	0	844,675	
Short Term CG Distributions		0											
Description of Property Sold	CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	F M V as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adjusted Basis	Gain Minus Excess FMV Over Adj Basis or Losses
277 POPLAR FOREST PARTNERS	00768D788		1/21/2016	8/4/2016	5		0	4	1	0	0	0	1
278 AMER FUNDS AMCAP	023375827		5/20/2016	8/4/2016	15		0	14	1	0	0	0	1
279 AMER FUNDS AMCAP	023375827		3/3/2016	8/4/2016	54		0	51	3	0	0	0	3
280 AMER FUNDS AMCAP	023375827		12/20/2016	12/22/2016	11		0	13	-2	0	0	0	-2
281 AMER FUNDS AMCAP	023375827		3/3/2016	12/22/2016	840		0	761	79	0	0	0	79
282 AMER FUNDS AMCAP	023375827		12/20/2016	12/22/2016	45		10	55	0	0	0	0	0
283 BLACKROCK TOTAL RETURN	09252M883		7/29/2016	8/23/2016	119		0	120	0	0	0	0	0
284 BLACKROCK TOTAL RETURN	09252M883		8/4/2016	8/23/2016	2		0	2	0	0	0	0	0
285 BLACKROCK TOTAL RETURN	09252M883		6/30/2016	8/23/2016	107		0	107	0	0	0	0	0
286 BLACKROCK TOTAL RETURN	09252M883		6/30/2016	8/23/2016	12		0	12	0	0	0	0	0
287 BLACKROCK TOTAL RETURN	09252M883		1/12/2016	8/23/2016	3,238		0	3,127	112	0	0	0	112
288 BLACKROCK TOTAL RETURN	09252M883		8/31/2016	9/28/2016	116		4	120	0	0	0	0	0
289 BLACKROCK TOTAL RETURN	09252M883		8/31/2016	9/28/2016	4		0	4	0	0	0	0	0
290 BLACKROCK TOTAL RETURN	09252M883		1/12/2016	9/28/2016	4,660		0	4,505	155	0	0	0	155
291 BLACKROCK TOTAL RETURN	09252M883		8/31/2016	9/28/2016	12		0	12	0	0	0	0	0
292 BLACKROCK TOTAL RETURN	09252M883		9/2/2016	11/9/2016	117		6	123	0	0	0	0	0
293 BLACKROCK TOTAL RETURN	09252M883		10/31/2016	11/9/2016	4		0	4	0	0	0	0	0
294 BLACKROCK TOTAL RETURN	09252M883		12/20/2016	12/22/2016	10		0	10	0	0	0	0	0
295 BLACKROCK TOTAL RETURN	09252M883		9/2/2016	12/22/2016	111		14	124	1	0	0	0	1
296 BLACKROCK TOTAL RETURN	09252M883		11/30/2016	12/22/2016	122		6	127	1	0	0	0	1
297 BLACKROCK TOTAL RETURN	09252M883		1/12/2016	12/22/2016	4,234		16	4,250	0	0	0	0	0
298 BLACKROCK FLOATING RAT	09256H187		3/31/2016	6/15/2016	10		0	10	0	0	0	0	0
299 BLACKROCK FLOATING RAT	09256H187		1/20/2016	6/15/2016	60		0	59	1	0	0	0	1
300 BLACKROCK FLOATING RAT	09256H187		1/20/2016	6/15/2016	10		0	10	0	0	0	0	0
301 BLACKROCK FLOATING RAT	09256H187		1/12/2016	6/15/2016	30,632		0	30,205	427	0	0	0	427
302 BLACKROCK FLOATING RAT	09256H187		2/29/2016	6/15/2016	100		0	97	3	0	0	0	3
303 BLACKROCK FLOATING RAT	09256H187		3/31/2016	6/15/2016	3		0	3	0	0	0	0	0
304 BLACKROCK FLOATING RAT	09256H187		3/31/2016	6/15/2016	100		0	99	1	0	0	0	1
305 BLACKROCK STRATEGIC	09256H286		3/31/2016	8/4/2016	49		0	48	1	0	0	0	1
306 BLACKROCK STRATEGIC	09256H286		2/29/2016	8/4/2016	59		0	58	1	0	0	0	1
307 BLACKROCK STRATEGIC	09256H286		1/20/2016	8/4/2016	39		0	39	0	0	0	0	0
308 BLACKROCK STRATEGIC	09256H286		3/31/2016	8/4/2016	2		0	2	0	0	0	0	0
309 BLACKROCK STRATEGIC	09256H286		3/31/2016	8/4/2016	10		0	10	0	0	0	0	0
310 BLACKROCK STRATEGIC	09256H286		1/20/2016	8/4/2016	10		0	10	0	0	0	0	0
311 BLACKROCK STRATEGIC	09256H286		1/12/2016	8/4/2016	32,479		0	32,286	193	0	0	0	193
312 CREDIT SUISSE FLOATING	22540S836		6/15/2016	8/23/2016	1,690		0	1,666	24	0	0	0	24
313 CREDIT SUISSE FLOATING	22540S836		12/28/2015	8/23/2016	40		0	39	1	0	0	0	1
314 CREDIT SUISSE FLOATING	22540S836		6/15/2016	8/23/2016	3		0	3	0	0	0	0	0
315 CREDIT SUISSE FLOATING	22540S836		8/4/2016	8/23/2016	3		0	3	0	0	0	0	0
316 CREDIT SUISSE FLOATING	22540S836		6/30/2016	8/23/2016	7		0	7	0	0	0	0	0
317 CREDIT SUISSE FLOATING	22540S836		6/30/2016	8/23/2016	52		1	53	0	0	0	0	0
318 CREDIT SUISSE FLOATING	22540S836		7/29/2016	8/23/2016	130		4	134	0	0	0	0	0
319 CREDIT SUISSE FLOATING	22540S836		8/31/2016	9/28/2016	120		1	121	0	0	0	0	0
320 CREDIT SUISSE FLOATING	22540S836		6/15/2016	9/28/2016	0		0	0	0	0	0	0	0
321 CREDIT SUISSE FLOATING	22540S836		8/31/2016	9/28/2016	2		0	2	0	0	0	0	0
322 CREDIT SUISSE FLOATING	22540S836		6/15/2016	9/28/2016	1,498		0	1,474	24	0	0	0	24
323 CREDIT SUISSE FLOATING	22540S836		8/31/2016	9/28/2016	7		0	7	0	0	0	0	0
324 CREDIT SUISSE FLOATING	22540S836		8/31/2016	9/28/2016	7		0	7	0	0	0	0	0
325 CREDIT SUISSE FLOATING	22540S836		9/2/2016	11/9/2016	7		0	7	0	0	0	0	0
326 CREDIT SUISSE FLOATING	22540S836		10/31/2016	11/9/2016	7		0	7	0	0	0	0	0
327 CREDIT SUISSE FLOATING	22540S836		9/2/2016	11/9/2016	7		0	7	0	0	0	0	0
328 CREDIT SUISSE FLOATING	22540S836		6/15/2016	11/9/2016	2		0	2	0	0	0	0	0
329 CREDIT SUISSE FLOATING	22540S836		9/2/2016	11/9/2016	107		2	108	1	0	0	0	1
330 CREDIT SUISSE FLOATING	22540S836		10/31/2016	11/9/2016	1		0	1	0	0	0	0	0
331 CREDIT SUISSE FLOATING	22540S836		6/15/2016	11/9/2016	454		0	445	9	0	0	0	9
332 CREDIT SUISSE FLOATING	22540S836		10/31/2016	11/9/2016	107		1	108	0	0	0	0	0
333 CREDIT SUISSE FLOATING	22540S836		6/15/2016	12/22/2016	5		0	5	0	0	0	0	0
334 CREDIT SUISSE FLOATING	22540S836		12/20/2016	12/22/2016	1		0	1	0	0	0	0	0
335 CREDIT SUISSE FLOATING	22540S836		9/23/2016	12/22/2016	103		7	108	2	0	0	0	2
336 CREDIT SUISSE FLOATING	22540S836		6/15/2016	12/22/2016	6,247		0	6,074	173	0	0	0	173
337 DEUTSCHE X-TRACKERS MS	233051200		12/20/2015	6/24/2016	263		0	280	-17	0	0	0	-17
338 DEUTSCHE X-TRACKERS MS	233051200		12/11/2015	6/24/2016	19,503		0	21,653	-2,150	0	0	0	-2,150
339 DELAWARE VALUE FUND	24610C857		9/23/2016	11/9/2016	105		0	115	-10	0	0	0	-10
340 DELAWARE VALUE FUND	24610C857		8/4/2016	11/9/2016	4,886		0	4,930	-44	0	0	0	-44
341 DELAWARE VALUE FUND	24610C857		9/23/2016	11/9/2016	11		0	12	-1	0	0	0	-1
342 DELAWARE VALUE FUND	24610C857		12/20/2016	12/22/2016	8		0	8	0	0	0	0	0
343 DELAWARE VALUE FUND	24610C857		8/4/2016	12/22/2016	2,000		0	1,960	40	0	0	0	40
344 EATON VANCE RCHRD BRST	277902573		1/12/2016	8/4/2016	2,022		0	1,864	158	0	0	0	158
345 EATON VANCE RCHRD BRST	277902573		1/12/2016	8/4/2016	5		0	5	0	0	0	0	0

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Long Term CG Distributions		Amount		2,441,060		0		873		1,597,258		844,675		0		0		0		844,675	
Short Term CG Distributions		0																			
Description of Property Sold	CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	F M V as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adjusted Basis	Gain Minus Excess FMV Over Adj Basis or Losses								
348 EATON VANCE RCHRD BRST	277902573		1/12/2016	8/4/2016	9	0	0	8	1	0	0	0	1								
347 EATON VANCE RCHRD BRST	277902573		1/12/2016	9/20/2016	3	0	0	3	0	0	0	0	0								
349 EATON VANCE RCHRD BRST	277902573		8/23/2016	9/20/2016	9	0	0	10	-1	0	0	0	-1								
349 EATON VANCE RCHRD BRST	277902573		1/12/2016	9/20/2016	8,285	0	0	7,620	665	0	0	0	665								
350 EATON VANCE RCHRD BRST	277902573		1/12/2016	11/9/2016	8	0	0	8	0	0	0	0	0								
351 EATON VANCE RCHRD BRST	277902573		1/12/2016	11/9/2016	119	0	0	108	11	0	0	0	11								
352 EATON VANCE RCHRD BRST	277902573		1/12/2016	12/22/2016	1,750	0	0	1,581	169	0	0	0	169								
353 EATON VANCE RCHRD BRST	277902573		12/22/2016	12/22/2016	10	0	0	10	0	0	0	0	0								
354 EATON VANCE RCHRD BRST	277902573		1/12/2016	12/22/2016	2	0	0	2	0	0	0	0	0								
355 AMERICAN EURO PACIFIC	29875E100		12/20/2016	12/22/2016	7	0	0	7	0	0	0	0	0								
356 AMERICAN EURO PACIFIC	29875E100		3/3/2016	12/22/2016	718	0	0	684	34	0	0	0	34								
357 HOTCHKIS AND WILEY	44134R834		12/20/2016	12/22/2016	9	0	0	18	-9	0	0	0	-9								
358 HOTCHKIS & WILEY VALUE	44134R834		1/12/2016	11/9/2016	5,880	0	0	5,168	722	0	0	0	722								
359 HOTCHKIS & WILEY VALUE	44134R834		1/12/2016	11/9/2016	17	0	0	15	2	0	0	0	2								
360 HOTCHKIS & WILEY VALUE	44134R834		8/23/2016	11/9/2016	2	0	0	2	0	0	0	0	0								
361 HOTCHKIS & WILEY VALUE	44134R834		12/9/2016	12/22/2016	587	7	0	594	0	0	0	0	0								
362 HOTCHKIS & WILEY VALUE	44134R834		1/12/2016	12/22/2016	1,641	0	0	1,311	330	0	0	0	330								
363 HOTCHKIS & WILEY VALUE	44134R834		12/20/2016	12/22/2016	5	0	0	5	0	0	0	0	0								
364 ARISTOTLE/SAUL GLOBAL	461418287		6/28/2016	8/4/2016	2	0	0	3	1	0	0	0	-1								
365 ARISTOTLE/SAUL GLOBAL	461418287		6/28/2016	8/4/2016	10	2	0	11	1	0	0	0	1								
366 ARISTOTLE/SAUL GLOBAL	461418287		12/11/2015	8/4/2016	424	0	0	366	58	0	0	0	58								
367 ARISTOTLE/SAUL GLOBAL	461418287		12/20/2016	12/22/2016	1	0	0	1	0	0	0	0	0								
368 ARISTOTLE/SAUL GLOBAL	461418287		12/14/2016	12/22/2016	7	0	0	8	-1	0	0	0	-1								
369 ARISTOTLE/SAUL GLOBAL	461418287		12/11/2015	12/22/2016	8	0	0	0	0	0	0	0	0								
370 ARISTOTLE/SAUL GLOBAL	461418287		9/29/2016	12/22/2016	10	0	0	12	-1	0	0	0	-1								
371 ARISTOTLE/SAUL GLOBAL	461418287		12/11/2015	12/22/2016	1,732	0	0	1,514	218	0	0	0	218								
372 IUIT	464285105		8/23/2016	8/31/2016	5	0	0	6	-1	0	0	0	-1								
373 IUIT	464285105		8/23/2016	9/30/2016	5	0	0	5	0	0	0	0	0								
374 ISHARES GOLD TR	464285105		8/23/2016	10/6/2016	627	0	0	672	-45	0	0	0	-45								
375 ISHARES GOLD TR	464285105		8/4/2016	10/6/2016	23,461	0	0	25,534	-2,073	0	0	0	-2,073								
376 ISHARES EDGE MSCI	464286525		1/12/2016	5/23/2016	10,562	0	0	9,720	842	0	0	0	842								
377 ISHARES EDGE MSCI	464286525		1/12/2016	8/4/2016	387	0	0	335	52	0	0	0	52								
378 ISHARES EDGE MSCI	464286525		6/28/2016	8/4/2016	155	0	0	150	5	0	0	0	5								
379 ISHARES EDGE MSCI	464286525		1/12/2016	12/22/2016	1,228	0	0	1,140	88	0	0	0	88								
380 ISHARES MSCI MEXICO	464286822		11/9/2016	12/22/2016	344	42	0	386	0	0	0	0	0								
381 ISHARES CORE U S	464287226		12/8/2016	12/22/2016	3,544	27	0	3,571	0	0	0	0	0								
382 ISHARES INTL SELECT	464288448		6/24/2016	8/4/2016	292	0	0	275	17	0	0	0	17								
383 ISHARES INTL SELECT	464288448		6/24/2016	12/22/2016	617	0	0	577	40	0	0	0	40								
384 ISHARES INTL SELECT	464288448		10/30/2016	12/22/2016	88	2	0	90	0	0	0	0	0								
385 ISHARES MSCI U K ETF SHS	46434V548		6/24/2016	8/4/2016	7,622	0	0	7,231	391	0	0	0	391								
386 ISH TR CORE DIVID GROWTH	46434V621		12/11/2015	8/4/2016	252	0	0	228	24	0	0	0	24								
387 ISH TR CORE DIVID GROWTH	46434V621		6/28/2016	8/4/2016	196	0	0	184	12	0	0	0	12								
388 ISH TR CORE DIVID GROWTH	46434V621		10/30/2016	11/9/2016	2	0	0	193	2	0	0	0	2								
389 ISH TR CORE DIVID GROWTH	46434V621		10/30/2016	11/9/2016	28	0	0	0	28	0	0	0	28								
390 ISH TR CORE DIVID GROWTH	46434V621		12/11/2015	12/22/2016	87	0	0	78	9	0	0	0	9								
391 ISH TR CORE DIVID GROWTH	46434V621		12/11/2015	12/22/2016	2,417	0	0	2,107	310	0	0	0	310								
392 JANUS FLEXIBLE BOND	47103C746		12/28/2015	6/15/2016	21	0	0	21	0	0	0	0	0								
393 JANUS FLEXIBLE BOND	47103C746		3/31/2016	6/15/2016	8	0	0	8	0	0	0	0	0								
394 LORD ABBETT SHORT	543916464		8/4/2016	8/23/2016	1	0	0	1	0	0	0	0	0								
395 SEAFARER OVERSEAS GRO	317609295		11/9/2016	12/8/2016	204	0	0	210	-6	0	0	0	-6								
396 SEAFARER OVERSEAS GRO	317609295		9/20/2016	12/8/2016	18,033	0	0	19,116	-1,083	0	0	0	-1,083								
397 SEAFARER OVERSEAS GRO	317609295		11/9/2016	12/9/2016	11	0	0	12	-1	0	0	0	1								
398 SEAFARER OVERSEAS GRO	317609295		11/9/2016	12/8/2016	9	0	0	10	-1	0	0	0	1								
399 LATEEF FUND CL I	360873301		8/4/2016	11/9/2016	11	0	0	11	0	0	0	0	0								
400 LATEEF FUND CL I	360873301		11/22/2016	11/9/2016	22,737	0	0	20,961	1,786	0	0	0	1,786								
401 LATEEF FUND CL I	360873301		8/23/2016	11/9/2016	1,249	0	0	1,259	-10	0	0	0	-10								
402 LATEEF FUND CL I	360873301		8/4/2016	11/9/2016	5,696	0	0	5,691	5	0	0	0	5								
403 LATEEF FUND CL I	360873301		8/23/2016	11/9/2016	1	0	0	1	0	0	0	0	0								
404 LATEEF FUND CL I	360873301		8/23/2016	11/9/2016	11	0	0	12	-1	0	0	0	-1								
405 LATEEF FUND CL I	360873301		12/1/2016	11/9/2016	11	0	0	10	1	0	0	0	1								
406 LATEEF FUND CL I	360873301		1/21/2016	11/9/2016	516	0	0	452	64	0	0	0	64								
407 HENDERSON INTERNATIONAL	425067592		8/23/2016	11/9/2016	9	0	0	9	0	0	0	0	0								
408 HENDERSON INTERNATIONAL	425067592		8/23/2016	11/9/2016	509	0	0	532	-23	0	0	0	-23								
409 HENDERSON INTERNATIONAL	425067592		8/17/2016	11/9/2016	23,296	0	0	24,257	-961	0	0	0	-961								
410 HENDERSON INTERNATIONAL	425067592		8/23/2016	11/9/2016	26	0	0	27	-2	0	0	0	-2								
411 HENDERSON EUROPEAN FC	425067642		11/23/2016	7/15/2016	21,029	0	0	20,836	93	0	0	0	93								
412 HENDERSON EUROPEAN FC	425067642		12/12/2016	7/15/2016	32	0	0	31	1	0	0	0	1								
413 HENDERSON EUROPEAN FC	425067642		1/21/2016	7/15/2016	1	0	0	0	1	0	0	0	1								
414 HENDERSON EUROPEAN FC	425067642		1/21/2016	7/15/2016	855	0	0	808	47	0	0	0	47								

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Amount													0		0		0		0		0		844,675	
Long Term CG Distributions		4,679		0		2,441,060		0		873		1,597,258		844,675		0		0		844,675				
Short Term CG Distributions		0		0		0		0		0		0		0		0		0		0				
Description of Property Sold	CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	FMV as of 12/31/89	Adjusted Basis as of 12/31/89	Excess of FMV Over Adjusted Basis	Gain Minus Excess FMV Over Adj. Basis or Losses											
415 HOTCHKIS & WILEY HIGH	44134R735		8/4/2016	8/23/2016	60		0	59	1	0	0	0	1											
416 HOTCHKIS & WILEY HIGH	44134R735		8/4/2016	8/23/2016	4		0	4	0	0	0	0	4											
417 HOTCHKIS & WILEY HIGH	44134R735		8/4/2016	8/23/2016	5		0	4	1	0	0	0	1											
418 HOTCHKIS & WILEY HIGH	44134R735		8/4/2016	11/9/2016	320		0	316	4	0	0	0	4											
419 HOTCHKIS & WILEY HIGH	44134R735		9/30/2016	11/9/2016	107		0	107	0	0	0	0	0											
420 HOTCHKIS & WILEY HIGH	44134R735		10/31/2016	11/9/2016	0		0	0	0	0	0	0	0											
421 HOTCHKIS & WILEY HIGH	44134R735		8/31/2016	11/9/2016	95		1	95	1	0	0	0	1											
422 HOTCHKIS & WILEY HIGH	44134R735		10/31/2016	11/9/2016	130		0	131	-1	0	0	0	-1											
423 HOTCHKIS & WILEY HIGH	44134R735		8/31/2016	11/9/2016	12		0	12	0	0	0	0	0											
424 HOTCHKIS & WILEY HIGH	44134R735		9/30/2016	11/9/2016	24		0	24	0	0	0	0	0											
425 HOTCHKIS & WILEY HIGH	44134R735		9/21/2016	12/22/2016	12		0	12	0	0	0	0	0											
426 HOTCHKIS & WILEY HIGH	44134R735		9/21/2016	12/22/2016	82		2	84	0	0	0	0	0											
427 HOTCHKIS & WILEY HIGH	44134R735		1/20/2016	12/22/2016	3		0	4	-1	0	0	0	-1											
428 HOTCHKIS & WILEY HIGH	44134R735		8/4/2016	12/22/2016	2,078		0	2,078	52	0	0	0	52											
429 HOTCHKIS & WILEY HIGH	44134R735		10/21/2016	12/22/2016	23		1	24	0	0	0	0	0											
430 HOTCHKIS AND WILEY	44134R800		12/9/2016	12/22/2016	19		18	38	0	0	0	0	0											
431 HOTCHKIS AND WILEY	44134R800		11/9/2016	12/22/2016	10		0	17	-7	0	0	0	-7											
432 HOTCHKIS AND WILEY	44134R800		11/9/2016	12/22/2016	1,913		0	1,672	241	0	0	0	241											
433 LORD ABBETT SHORT	543916464		6/30/2016	8/23/2016	68		2	70	0	0	0	0	0											
434 LORD ABBETT SHORT	543916464		6/30/2016	8/23/2016	4		0	4	0	0	0	0	0											
435 LORD ABBETT SHORT	543916464		12/11/2015	8/23/2016	3		0	3	0	0	0	0	0											
436 LORD ABBETT SHORT	543916464		12/11/2015	8/23/2016	1,139		0	1,139	9	0	0	0	9											
437 LORD ABBETT SHORT	543916464		7/29/2016	8/23/2016	68		2	70	0	0	0	0	0											
438 LORD ABBETT SHORT	543916464		8/31/2016	9/28/2016	72		0	74	-2	0	0	0	-2											
439 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	30		0	30	-1	0	0	0	-1											
440 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	44		0	44	0	0	0	0	0											
441 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	305		0	305	0	0	0	0	0											
442 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	2		0	2	0	0	0	0	0											
443 LORD ABBETT SHORT	543916464		8/31/2016	9/28/2016	4		0	4	0	0	0	0	0											
444 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	4		0	4	0	0	0	0	0											
445 LORD ABBETT SHORT	543916464		12/11/2015	9/28/2016	728		0	723	5	0	0	0	5											
446 LORD ABBETT SHORT	543916464		10/31/2016	11/9/2016	4		0	4	0	0	0	0	0											
447 LORD ABBETT SHORT	543916464		10/31/2016	11/9/2016	39		0	39	0	0	0	0	0											
448 LORD ABBETT SHORT	543916464		10/31/2016	11/9/2016	2		0	2	0	0	0	0	0											
449 LORD ABBETT SHORT	543916464		10/31/2016	11/9/2016	26		0	26	0	0	0	0	0											
450 LORD ABBETT SHORT	543916464		12/13/2015	11/9/2016	30		0	30	0	0	0	0	0											
451 LORD ABBETT SHORT	543916464		12/13/2015	11/9/2016	43		0	44	-1	0	0	0	-1											
452 LORD ABBETT SHORT	543916464		12/11/2015	11/9/2016	127		0	126	1	0	0	0	1											
453 LORD ABBETT SHORT	543916464		12/11/2015	12/22/2016	1		0	1	0	0	0	0	0											
454 LORD ABBETT SHORT	543916464		11/21/2016	12/22/2016	37		2	39	0	0	0	0	0											
455 LORD ABBETT SHORT	543916464		1/3/2016	12/22/2016	28		2	31	0	0	0	0	0											
456 LORD ABBETT SHORT	543916464		12/20/2016	12/22/2016	2		0	2	0	0	0	0	0											
457 LORD ABBETT SHORT	543916464		12/11/2015	12/22/2016	1,766		10	1,775	1	0	0	0	1											
458 MFS BLENDED RESEARCH	55273W103		8/23/2016	11/9/2016	5		0	5	0	0	0	0	0											
459 MFS BLENDED RESEARCH	55273W103		8/4/2016	11/9/2016	5,233		0	5,186	47	0	0	0	47											
460 MFS BLENDED RESEARCH	55273W103		8/4/2016	11/9/2016	3		0	3	0	0	0	0	0											
461 MFS BLENDED RESEARCH	55273W103		12/13/2016	12/22/2016	24		1	24	1	0	0	0	1											
462 MFS BLENDED RESEARCH	55273W103		12/20/2016	12/22/2016	5		0	5	0	0	0	0	0											
463 MFS BLENDED RESEARCH	55273W103		12/13/2016	12/22/2016	237		6	243	0	0	0	0	0											
464 MFS BLENDED RESEARCH	55273W103		8/4/2016	12/22/2016	1,595		0	1,542	53	0	0	0	53											
465 TORTOISE MLP &	56166Y404		1/21/2016	8/4/2016	1		0	1	0	0	0	0	0											
466 TORTOISE MLP &	56166Y404		11/2/2016	8/4/2016	6,205		0	4,347	1,858	0	0	0	1,858											
467 TORTOISE MLP &	56166Y404		8/23/2016	11/9/2016	1		0	1	0	0	0	0	0											
468 TORTOISE MLP &	56166Y404		11/2/2016	11/9/2016	120		0	81	39	0	0	0	39											
469 TORTOISE MLP &	56166Y404		12/20/2016	12/22/2016	2		0	2	0	0	0	0	0											
470 TORTOISE MLP &	56166Y404		11/2/2016	12/22/2016	10		0	4	6	0	0	0	6											
471 TORTOISE MLP &	56166Y404		11/2/2016	12/22/2016	1,716		0	1,087	629	0	0	0	629											
472 MATTHEWS ASIA SMALL	577125206		8/23/2016	9/20/2016	21		0	20	1	0	0	0	1											
473 MATTHEWS ASIA SMALL	577125206		8/23/2016	9/20/2016	288		0	284	4	0	0	0	4											
474 MATTHEWS ASIA SMALL	577125206		8/23/2016	9/20/2016	2		0	2	0	0	0	0	0											
475 MATTHEWS ASIA SMALL	577125206		8/4/2016	9/20/2016	288		0	279	9	0	0	0	9											
476 MATTHEWS ASIA SMALL	577125206		12/1/2016	9/20/2016	123		0	105	18	0	0	0	18											
477 MATTHEWS ASIA SMALL	577125206		12/1/2016	9/20/2016	21		0	18	3	0	0	0	3											
478 MATTHEWS ASIA SMALL	577125206		11/2/2016	9/20/2016	2,406		0	2,139	267	0	0	0	267											
479 MATTHEWS ASIA SMALL	577125206		11/1/2016	9/20/2016	21		0	21	0	0	0	0	0											
480 MATTHEWS ASIA SMALL	577125206		12/11/2015	9/20/2016	8,001		0	7,267	734	0	0	0	734											
481 MATTHEWS ASIAN GROWTH	577130206		8/23/2016	9/20/2016	17		0	17	0	0	0	0	0											
482 MATTHEWS ASIAN GROWTH	577130206		8/23/2016	9/20/2016	501		0	506	-7	0	0	0	-7											
483 MATTHEWS ASIAN GROWTH	577130206		8/23/2016	9/20/2016	4		0	4	0	0	0	0	0											

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Part IV (990-PF) - Capital Gains and Losses for Tax on Investment Income

Amount													
Long Term CG Distributions		4,679											
Short Term CG Distributions		0											
			2,441,060	0	873	1,597,258	844,675	0	0	0	844,675		
Description of Property Sold	CUSIP #	Acquisition Method	Date Acquired	Date Sold	Gross Sales Price	Depreciation Allowed	Adjustments	Cost or Other Basis Plus Expense of Sale	Gain or Loss	F M V as of 12/31/69	Adjusted Basis as of 12/31/69	Excess of FMV Over Adjusted Basis	Gains Minus Excess FMV Over Adj. Basis or Losses
484 MATTHEWS ASIA GROWTH	577130206		8/4/2016	9/20/2016	10,368		0	10,470	-102	0	0	0	-102
485 MATTHEWS ASIA GROWTH	577130867		1/21/2016	8/4/2016	22		0	19	3	0	0	0	3
486 MATTHEWS ASIA GROWTH	577130867		1/21/2016	8/4/2016	201		0	168	33	0	0	0	33
487 MATTHEWS ASIA GROWTH	577130867		1/21/2016	8/4/2016	3		0	3	0	0	0	0	0
488 MATTHEWS ASIA GROWTH	577130867		1/12/2016	8/4/2016	2,542		0	2,249	293	0	0	0	293
489 MATTHEWS ASIA GROWTH	577130867		1/12/2016	8/4/2016	22		0	20	2	0	0	0	2
490 MATTHEWS ASIA GROWTH	577130867		12/11/2015	8/4/2016	7,939		0	7,273	666	0	0	0	666
491 MATTHEWS ASIA GROWTH	577130867		12/20/2016	12/22/2016	5		0	5	0	0	0	0	0
492 MATTHEWS ASIA GROWTH	577130867		9/20/2016	12/22/2016	5		0	6	-1	0	0	0	-1
493 MATTHEWS ASIA GROWTH	577130867		12/7/2016	12/22/2016	94		11	105	0	0	0	0	0
494 MATTHEWS ASIA GROWTH	577130867		9/20/2016	12/22/2016	21		2	23	0	0	0	0	0
495 MATTHEWS ASIA GROWTH	577130867		9/20/2016	12/22/2016	725		70	796	-1	0	0	0	-1
496 METROPOLITAN WEST TOTAL	592905509		12/11/2015	8/23/2016	3		0	4	-1	0	0	0	-1
497 METROPOLITAN WEST TOTAL	592905509		12/11/2015	8/23/2016	3,251		0	3,172	79	0	0	0	79
498 METROPOLITAN WEST TOTAL	592905509		8/4/2016	8/23/2016	5		0	5	0	0	0	0	0
499 METROPOLITAN WEST TOTAL	592905509		6/30/2016	8/23/2016	85		3	88	0	0	0	0	0
500 METROPOLITAN WEST TOTAL	592905509		7/29/2016	8/23/2016	99		4	99	0	0	0	0	0
501 METROPOLITAN WEST TOTAL	592905509		12/11/2015	9/28/2016	1,515		0	1,477	38	0	0	0	38
502 METROPOLITAN WEST TOTAL	592905509		12/11/2015	9/28/2016	33		0	32	1	0	0	0	1
503 METROPOLITAN WEST TOTAL	592905509		8/31/2016	9/28/2016	60		6	66	0	0	0	0	0
504 METROPOLITAN WEST TOTAL	592905509		12/11/2015	9/28/2016	3,197		0	3,118	79	0	0	0	79
505 METROPOLITAN WEST TOTAL	592905509		12/11/2015	9/28/2016	11		0	11	0	0	0	0	0
506 METROPOLITAN WEST TOTAL	592905509		8/31/2016	9/28/2016	20		0	22	-2	0	0	0	-2
507 METROPOLITAN WEST TOTAL	592905509		8/31/2016	9/28/2016	8		0	9	-1	0	0	0	-1
508 METROPOLITAN WEST TOTAL	592905509		9/30/2016	10/7/2016	10		0	10	0	0	0	0	0
509 METROPOLITAN WEST TOTAL	592905509		8/2/2016	10/7/2016	66		0	72	-6	0	0	0	-6
510 METROPOLITAN WEST TOTAL	592905509		8/4/2016	10/7/2016	4,553		0	4,577	-24	0	0	0	-24
511 METROPOLITAN WEST TOTAL	592905509		7/29/2016	10/7/2016	99		0	104	-5	0	0	0	-5
512 METROPOLITAN WEST TOTAL	592905509		6/30/2016	10/7/2016	22		1	23	0	0	0	0	0
513 METROPOLITAN WEST TOTAL	592905509		6/30/2016	10/7/2016	66		0	69	-3	0	0	0	-3
514 METROPOLITAN WEST TOTAL	592905509		2/28/2016	10/7/2016	11		0	11	0	0	0	0	0
515 METROPOLITAN WEST TOTAL	592905509		1/12/2016	10/7/2016	10,805		0	10,520	285	0	0	0	285
516 METROPOLITAN WEST TOTAL	592905509		12/14/2015	10/7/2016	208		0	202	6	0	0	0	6
517 METROPOLITAN WEST TOTAL	592905509		12/14/2015	10/7/2016	11		0	11	0	0	0	0	0
518 NORTHROP GRUMMAN COR	866807102		1/10/2014	12/8/2016	1,174,610		0	360,632	813,978	0	0	0	813,978
519 CNA 88002585 ST LOSS	SEAATCHD		1/1/2016	12/31/2016	425,374		0	435,939	-10,565	0	0	0	-10,565
520 VANGUARD TOTAL STK MKT	922906769		5/8/2012	3/3/2016	31,216		0	21,460	9,756	0	0	0	9,756

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Part VIII, Line 1 (990-PF) - Compensation of Officers, Directors, Trustees and Foundation Managers

Name		Check "X" if Business	Street	City	State	Zip Code	Foreign Country	Title	Avg Hrs Per Week	0 Compensation	0 Benefits	0 Expense Account
1	MERRILL LYNCH PIERCE FENN		2049 CENTURY EAST 12TH FL	LOS ANGELES	CA	90067		TRUSTEE	1.00	0		

Part VI, Line 6a (990-PF) - Estimated Tax Payments

	Date	Amount
1 Credit from prior year return		0
2 First quarter estimated tax payment		
3 Second quarter estimated tax payment		
4 Third quarter estimated tax payment	9/14/2016	114
5 Fourth quarter estimated tax payment	12/14/2016	6,472
6 Other payments		
7 Total		6,586