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## Return of Private Foundation

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

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Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

A Employer identification number

61-0449629

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

300 WEST VINE STREET

Room/suite

B Telephone number

859-253-8106

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

LEXINGTON, KY 40507

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 changeD 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization.

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at end of year

J Accounting method:

☒ Cash☐ Accrual

(from Part II, col (c), line 16)

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

\$ 3,073,107. (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).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

|                                                          |                                                                                                |            |          |             |             |
|----------------------------------------------------------|------------------------------------------------------------------------------------------------|------------|----------|-------------|-------------|
| Revenue                                                  | 1 Contributions, gifts, grants, etc., received                                                 | 34,400.    |          | N/A         |             |
|                                                          | 2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B |            |          |             |             |
|                                                          | 3 Interest on savings and temporary cash investments                                           |            |          |             |             |
|                                                          | 4 Dividends and interest from securities                                                       | 62,323.    | 62,323.  |             | STATEMENT 1 |
|                                                          | 5a Gross rents                                                                                 |            |          |             |             |
|                                                          | b Net rental income or (loss)                                                                  |            |          |             |             |
|                                                          | 6a Net gain or (loss) from sale of assets not on line 10                                       | 192,663.   |          |             |             |
|                                                          | b Gross sales price for all assets on line 6a                                                  | 1,404,193. |          |             |             |
|                                                          | 7 Capital gain net income (from Part IV, line 2)                                               |            | 192,663. |             |             |
|                                                          | 8 Net short-term capital gain                                                                  |            |          |             |             |
|                                                          | 9 Income modifications                                                                         |            |          |             |             |
|                                                          | 10a Gross sales less returns and allowances                                                    |            |          |             |             |
| b Less Cost of goods sold                                |                                                                                                |            |          |             |             |
| c Gross profit or (loss)                                 |                                                                                                |            |          |             |             |
| 11 Other income                                          | 3,640.                                                                                         | 3,640.     |          | STATEMENT 2 |             |
| 12 Total. Add lines 1 through 11                         | 293,026.                                                                                       | 258,626.   |          |             |             |
| Operating and Administrative Expenses                    | 13 Compensation of officers, directors, trustees, etc.                                         | 0.         | 0.       |             | 0.          |
|                                                          | 14 Other employee salaries and wages                                                           |            |          |             |             |
|                                                          | 15 Pension plans, employee benefits                                                            |            |          |             |             |
|                                                          | 16a Legal fees                                                                                 |            |          |             |             |
|                                                          | b Accounting fees                                                                              | STMT 3     | 2,550.   | 1,275.      | 1,275.      |
|                                                          | c Other professional fees                                                                      |            |          |             |             |
|                                                          | 17 Interest                                                                                    |            |          |             |             |
|                                                          | 18 Taxes                                                                                       | STMT 4     | 670.     | 335.        | 335.        |
|                                                          | 19 Depreciation and depletion                                                                  |            |          |             |             |
|                                                          | 20 Occupancy                                                                                   |            |          |             |             |
|                                                          | 21 Travel, conferences, and meetings                                                           |            |          |             |             |
|                                                          | 22 Printing and publications                                                                   |            |          |             |             |
|                                                          | 23 Other expenses                                                                              | STMT 5     | 18,452.  | 9,226.      | 9,226.      |
|                                                          | 24 Total operating and administrative expenses. Add lines 13 through 23                        |            | 21,672.  | 10,836.     | 10,836.     |
|                                                          | 25 Contributions, gifts, grants paid                                                           |            | 157,150. |             | 157,150.    |
| 26 Total expenses and disbursements. Add lines 24 and 25 |                                                                                                | 178,822.   | 10,836.  | 167,986.    |             |
| 27 Subtract line 26 from line 12:                        |                                                                                                |            |          |             |             |
| a Excess of revenue over expenses and disbursements      |                                                                                                | 114,204.   |          |             |             |
| b Net investment income (if negative, enter -0-)         |                                                                                                |            | 247,790. |             |             |
| c Adjusted net income (if negative, enter -0-)           |                                                                                                |            | N/A      |             |             |

## ORPHAN SOCIETY OF LEXINGTON

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C/O CENTRAL BANK &amp; TRUST CO

61-0449629

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**Part II Balance Sheets**

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

|                                                                                                         |                                                                                                                             | Beginning of year | End of year    |                       |
|---------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
|                                                                                                         |                                                                                                                             | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                                                                                           | 1 Cash - non-interest-bearing                                                                                               | 1,500.            | 235.           | 235.                  |
|                                                                                                         | 2 Savings and temporary cash investments                                                                                    | 129,237.          | 62,598.        | 62,598.               |
|                                                                                                         | 3 Accounts receivable ▶                                                                                                     |                   |                |                       |
|                                                                                                         | Less: allowance for doubtful accounts ▶                                                                                     |                   |                |                       |
|                                                                                                         | 4 Pledges receivable ▶                                                                                                      |                   |                |                       |
|                                                                                                         | Less: allowance for doubtful accounts ▶                                                                                     |                   |                |                       |
|                                                                                                         | 5 Grants receivable                                                                                                         |                   |                |                       |
|                                                                                                         | 6 Receivables due from officers, directors, trustees, and other disqualified persons                                        |                   |                |                       |
|                                                                                                         | 7 Other notes and loans receivable ▶                                                                                        |                   |                |                       |
|                                                                                                         | Less: allowance for doubtful accounts ▶                                                                                     |                   |                |                       |
|                                                                                                         | 8 Inventories for sale or use                                                                                               |                   |                |                       |
|                                                                                                         | 9 Prepaid expenses and deferred charges                                                                                     |                   |                |                       |
|                                                                                                         | 10a Investments - U.S. and state government obligations                                                                     |                   |                |                       |
|                                                                                                         | b Investments - corporate stock STMT 6                                                                                      | 2,144,993.        | 2,453,351.     | 2,858,477.            |
|                                                                                                         | c Investments - corporate bonds STMT 7                                                                                      | 277,753.          | 151,921.       | 151,797.              |
|                                                                                                         | 11 Investments - land, buildings, and equipment basis ▶                                                                     |                   |                |                       |
| Less: accumulated depreciation ▶                                                                        |                                                                                                                             |                   |                |                       |
| 12 Investments - mortgage loans                                                                         |                                                                                                                             |                   |                |                       |
| 13 Investments - other                                                                                  |                                                                                                                             |                   |                |                       |
| 14 Land, buildings, and equipment: basis ▶                                                              |                                                                                                                             |                   |                |                       |
| Less: accumulated depreciation ▶                                                                        |                                                                                                                             |                   |                |                       |
| 15 Other assets (describe ▶)                                                                            |                                                                                                                             |                   |                |                       |
| 16 <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I) | 2,553,483.                                                                                                                  | 2,668,105.        | 3,073,107.     |                       |
| <b>Liabilities</b>                                                                                      | 17 Accounts payable and accrued expenses                                                                                    |                   | 418.           |                       |
|                                                                                                         | 18 Grants payable                                                                                                           |                   |                |                       |
|                                                                                                         | 19 Deferred revenue                                                                                                         |                   |                |                       |
|                                                                                                         | 20 Loans from officers, directors, trustees, and other disqualified persons                                                 |                   |                |                       |
|                                                                                                         | 21 Mortgages and other notes payable                                                                                        |                   |                |                       |
|                                                                                                         | 22 Other liabilities (describe ▶)                                                                                           |                   |                |                       |
|                                                                                                         | 23 <b>Total liabilities</b> (add lines 17 through 22)                                                                       | 0.                | 418.           |                       |
| <b>Net Assets or Fund Balances</b>                                                                      | Foundations that follow SFAS 117, check here <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and complete lines 27 through 31    |                   |                |                       |
|                                                                                                         | 27 Capital stock, trust principal, or current funds                                                                         | 2,553,483.        | 2,667,687.     |                       |
|                                                                                                         | 28 Paid-in or capital surplus, or land, bldg, and equipment fund                                                            | 0.                | 0.             |                       |
|                                                                                                         | 29 Retained earnings, accumulated income, endowment, or other funds                                                         | 0.                | 0.             |                       |
| 30 <b>Total net assets or fund balances</b>                                                             | 2,553,483.                                                                                                                  | 2,667,687.        |                |                       |
| 31 <b>Total liabilities and net assets/fund balances</b>                                                | 2,553,483.                                                                                                                  | 2,668,105.        |                |                       |

**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<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 2,553,483. |
| 2 Enter amount from Part I, line 27a                                                                                                                            | 2 | 114,204.   |
| 3 Other increases not included in line 2 (itemize) ▶                                                                                                            | 3 | 0.         |
| 4 Add lines 1, 2, and 3                                                                                                                                         | 4 | 2,667,687. |
| 5 Decreases not included in line 2 (itemize) ▶                                                                                                                  | 5 | 0.         |
| 6 <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30                                                  | 6 | 2,667,687. |

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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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a SEE ATTACHED STATEMENT                                                                                                          | P                                                | VARIOUS                              | VARIOUS                          |
| b SEE ATTACHED STATEMENT                                                                                                           | P                                                | VARIOUS                              | VARIOUS                          |
| c SEE ATTACHED STATEMENT                                                                                                           | P                                                | VARIOUS                              | VARIOUS                          |
| d SEE ATTACHED STATEMENT                                                                                                           | P                                                | VARIOUS                              | VARIOUS                          |
| e CAPITAL GAINS DIVIDENDS                                                                                                          |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 221,629.            |                                            | 244,624.                                        | -22,995.                                     |
| b 35,000.             |                                            | 35,014.                                         | -14.                                         |
| c 1,029,986.          |                                            | 821,955.                                        | 208,031.                                     |
| d 106,035.            |                                            | 109,937.                                        | -3,902.                                      |
| e 11,543.             |                                            |                                                 | 11,543.                                      |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                                 | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------------------|-------------------------------------------------------------------------------------------------|
| (i) F.M.V. as of 12/31/69                                                                   | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any |                                                                                                 |
| a                                                                                           |                                      |                                                 | -22,995.                                                                                        |
| b                                                                                           |                                      |                                                 | -14.                                                                                            |
| c                                                                                           |                                      |                                                 | 208,031.                                                                                        |
| d                                                                                           |                                      |                                                 | -3,902.                                                                                         |
| e                                                                                           |                                      |                                                 | 11,543.                                                                                         |

|                                                                                                                                                                                 |                                                                                     |   |          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---|----------|
| 2 Capital gain net income or (net capital loss)                                                                                                                                 | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 } | 2 | 192,663. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | }                                                                                   | 3 | N/A      |

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

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

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

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

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

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

| (a) Base period years<br>Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio<br>(col. (b) divided by col. (c)) |
|-------------------------------------------------------------------|---------------------------------------|-------------------------------------------|----------------------------------------------------------|
| 2015                                                              | 166,203.                              | 3,153,512.                                | .052704                                                  |
| 2014                                                              | 158,342.                              | 3,159,677.                                | .050113                                                  |
| 2013                                                              | 129,021.                              | 2,903,248.                                | .044440                                                  |
| 2012                                                              | 65,943.                               | 2,642,022.                                | .024959                                                  |
| 2011                                                              | 162,933.                              | 2,695,569.                                | .060445                                                  |

|                                                                                                                                                                                |   |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------|
| 2 Total of line 1, column (d)                                                                                                                                                  | 2 | .232661    |
| 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 | .046532    |
| 4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5                                                                                                 | 4 | 2,959,192. |
| 5 Multiply line 4 by line 3                                                                                                                                                    | 5 | 137,697.   |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                   | 6 | 2,478.     |
| 7 Add lines 5 and 6                                                                                                                                                            | 7 | 140,175.   |
| 8 Enter qualifying distributions from Part XII, line 4                                                                                                                         | 8 | 167,986.   |

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.

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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 <input type="checkbox"/> and enter "N/A" on line 1.<br>Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions) |    |        |        |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b                                                                           |    | 1      | 2,478. |
| 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      | 2,478. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                          |    | 4      | 0.     |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                                              |    | 5      | 2,478. |
| 6 Credits/Payments:                                                                                                                                                                                                                    |    |        |        |
| a 2016 estimated tax payments and 2015 overpayment credited to 2016                                                                                                                                                                    | 6a | 1,276. |        |
| b Exempt foreign organizations - tax withheld at source                                                                                                                                                                                | 6b |        |        |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                  | 6c |        |        |
| d Backup withholding erroneously withheld                                                                                                                                                                                              | 6d |        |        |
| 7 Total credits and payments. Add lines 6a through 6d                                                                                                                                                                                  | 7  | 1,276. |        |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                                    | 8  |        |        |
| 9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                         | 9  | 1,202. |        |
| 10 Overpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                            | 10 |        |        |
| 11 Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> Refunded <input checked="" type="checkbox"/>                                                                                             | 11 |        |        |

**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  |
| 1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?<br>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 |     | X  |
| 1c 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:<br>(1) On the foundation. <input type="checkbox"/> \$ 0. (2) On foundation managers. <input type="checkbox"/> \$ 0.                                                                                                                      |     |    |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ 0.                                                                                                                                                                        |     |    |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                                |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes                                                                                                                  |     | X  |
| 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?                                                                                                                                                                                                                                                                            |     |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T.                                                                                                                                                                         |     | X  |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?          | X   |    |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV                                                                                                                                                                                                           | X   |    |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> KY                                                                                                                                                                                                             |     |    |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation                                                                                                                                 | X   |    |
| 9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV                                                                                        |     | X  |
| 10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses                                                                                                                                                                                                         |     | X  |

N/A

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

|                                                                                                                                                                                                                                                                                                                                    | Yes | No |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)                                                                                                                                         |     | X  |
| 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)                                                                                                                                        |     | X  |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ► N/A                                                                                                                                                                                    | X   |    |
| 14 The books are in care of ► CENTRAL BANK & TRUST COMPANY Telephone no. ► 859-253-8106<br>Located at ► 300 WEST VINE STREET, LEXINGTON, KY ZIP+4 ► 40507                                                                                                                                                                          |     |    |
| 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<br>► 15 N/A                                                                                                                                 |     |    |
| 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?<br>See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ► |     | 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.

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

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

N/A

7b

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| SEE STATEMENT 8      |                                                           | 0.                                        | 0.                                                                    | 0.                                    |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |
|                      |                                                           |                                           |                                                                       |                                       |

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

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

Total number of other employees paid over \$50,000

0

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

**(c) Compensation**

[illegible]

0

## Expenses

2

**3**

4

Amount

2

3

0.



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

|                                                                                                                      |           |            |
|----------------------------------------------------------------------------------------------------------------------|-----------|------------|
| <b>1</b> Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: |           |            |
| <b>a</b> Average monthly fair market value of securities                                                             | <b>1a</b> | 2,956,640. |
| <b>b</b> Average of monthly cash balances                                                                            | <b>1b</b> | 47,616.    |
| <b>c</b> Fair market value of all other assets                                                                       | <b>1c</b> |            |
| <b>d</b> Total (add lines 1a, b, and c)                                                                              | <b>1d</b> | 3,004,256. |
| <b>e</b> Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> | 0.         |
| <b>2</b> Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  | 0.         |
| <b>3</b> Subtract line 2 from line 1d                                                                                | <b>3</b>  | 3,004,256. |
| <b>4</b> Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | <b>4</b>  | 45,064.    |
| <b>5</b> Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | <b>5</b>  | 2,959,192. |
| <b>6</b> Minimum investment return. Enter 5% of line 5                                                               | <b>6</b>  | 147,960.   |

**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.)

|                                                                                                             |           |          |
|-------------------------------------------------------------------------------------------------------------|-----------|----------|
| <b>1</b> Minimum investment return from Part X, line 6                                                      | <b>1</b>  | 147,960. |
| <b>2a</b> Tax on investment income for 2016 from Part VI, line 5                                            | <b>2a</b> | 2,478.   |
| <b>b</b> Income tax for 2016. (This does not include the tax from Part VI.)                                 | <b>2b</b> |          |
| <b>c</b> Add lines 2a and 2b                                                                                | <b>2c</b> | 2,478.   |
| <b>3</b> Distributable amount before adjustments. Subtract line 2c from line 1                              | <b>3</b>  | 145,482. |
| <b>4</b> Recoveries of amounts treated as qualifying distributions                                          | <b>4</b>  | 0.       |
| <b>5</b> Add lines 3 and 4                                                                                  | <b>5</b>  | 145,482. |
| <b>6</b> Deduction from distributable amount (see instructions)                                             | <b>6</b>  | 0.       |
| <b>7</b> Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 145,482. |

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

|                                                                                                                                            |           |          |
|--------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|
| <b>1</b> Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:                                        |           |          |
| <b>a</b> Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26                                                     | <b>1a</b> | 167,986. |
| <b>b</b> Program-related investments - total from Part IX-B                                                                                | <b>1b</b> | 0.       |
| <b>2</b> Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                         | <b>2</b>  |          |
| <b>3</b> Amounts set aside for specific charitable projects that satisfy the:                                                              |           |          |
| <b>a</b> Suitability test (prior IRS approval required)                                                                                    | <b>3a</b> |          |
| <b>b</b> Cash distribution test (attach the required schedule)                                                                             | <b>3b</b> |          |
| <b>4</b> Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                        | <b>4</b>  | 167,986. |
| <b>5</b> Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | <b>5</b>  | 2,478.   |
| <b>6</b> Adjusted qualifying distributions. Subtract line 5 from line 4                                                                    | <b>6</b>  | 165,508. |

**Note:** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

**Part XIII** Undistributed Income (see instructions)

|                                                                                                                                                                            | (a)<br>Corpus | (b)<br>Years prior to 2015 | (c)<br>2015 | (d)<br>2016 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2016 from Part XI, line 7                                                                                                                       |               |                            |             | 145,482.    |
| 2 Undistributed income, if any, as of the end of 2016                                                                                                                      |               |                            |             |             |
| a Enter amount for 2015 only                                                                                                                                               |               |                            | 112,085.    |             |
| b Total for prior years:                                                                                                                                                   |               | 0.                         |             |             |
| 3 Excess distributions carryover, if any, to 2016:                                                                                                                         |               |                            |             |             |
| a From 2011                                                                                                                                                                |               |                            |             |             |
| b From 2012                                                                                                                                                                |               |                            |             |             |
| c From 2013                                                                                                                                                                |               |                            |             |             |
| d From 2014                                                                                                                                                                |               |                            |             |             |
| e From 2015                                                                                                                                                                |               |                            |             |             |
| f Total of lines 3a through e                                                                                                                                              | 0.            |                            |             |             |
| 4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$ 167,986.                                                                                                   |               |                            |             |             |
| a Applied to 2015, but not more than line 2a                                                                                                                               |               |                            | 112,085.    |             |
| b Applied to undistributed income of prior years (Election required - see instructions)                                                                                    |               | 0.                         |             |             |
| c Treated as distributions out of corpus (Election required - see instructions)                                                                                            | 0.            |                            |             |             |
| d Applied to 2016 distributable amount                                                                                                                                     |               |                            |             | 55,901.     |
| e Remaining amount distributed out of corpus                                                                                                                               | 0.            |                            |             |             |
| 5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)                                        | 0.            |                            |             | 0.          |
| 6 Enter the net total of each column as indicated below:                                                                                                                   |               |                            |             |             |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                          | 0.            |                            |             |             |
| b Prior years' undistributed income. Subtract line 4b from line 2b                                                                                                         |               | 0.                         |             |             |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed |               | 0.                         |             |             |
| d Subtract line 6c from line 6b. Taxable amount - see instructions                                                                                                         |               | 0.                         |             |             |
| e Undistributed income for 2015. Subtract line 4a from line 2a Taxable amount - see instr.                                                                                 |               |                            | 0.          |             |
| f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017                                                              |               |                            |             | 89,581.     |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)       | 0.            |                            |             |             |
| 8 Excess distributions carryover from 2011 not applied on line 5 or line 7                                                                                                 | 0.            |                            |             |             |
| 9 Excess distributions carryover to 2017 Subtract lines 7 and 8 from line 6a                                                                                               | 0.            |                            |             |             |
| 10 Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| a Excess from 2012                                                                                                                                                         |               |                            |             |             |
| b Excess from 2013                                                                                                                                                         |               |                            |             |             |
| c Excess from 2014                                                                                                                                                         |               |                            |             |             |
| d Excess from 2015                                                                                                                                                         |               |                            |             |             |
| e Excess from 2016                                                                                                                                                         |               |                            |             |             |

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

**1 a** If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling ▶  
**b** Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

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

**NONE**

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

**NONE**

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**  
 Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

**SEE STATEMENT 9**

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

**c** Any submission deadlines:

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

## ORPHAN SOCIETY OF LEXINGTON

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C/O CENTRAL BANK &amp; TRUST CO

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**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 Paid during the year                                                               |                                                                                                           |                                |                                  |          |
| CHILD DEVELOPMENT CENTER OF THE BLUEGRASS<br>290 ALUMNI DRIVE<br>LEXINGTON, KY 40503 | NONE                                                                                                      | PUBLIC                         | SUBSIDY                          | 10,500.  |
| VISUALLY IMPAIRED PRESCHOOL SERVICES<br>350 HENRY CLAY AVE<br>LEXINGTON, KY 40502    | NONE                                                                                                      | PUBLIC                         | SUBSIDY                          | 5,000.   |
| THE NEST<br>530 NORTH LIMESTONE<br>LEXINGTON, KY 40508                               | NONE                                                                                                      | PUBLIC                         | SUBSIDY                          | 15,000.  |
| SHRINERS HOSPITAL<br>110 CONN TERRACE<br>LEXINGTON, KY 40508                         | NONE                                                                                                      | PUBLIC                         |                                  | 150.     |
| ASHLAND ELEMENTARY SCHOOL<br>195 N. ASHLAND AVE<br>LEXINGTON, KY 40502               | NONE                                                                                                      | PUBLIC                         |                                  | 1,000.   |
| Total SEE CONTINUATION SHEET(S) ▶ 3a                                                 |                                                                                                           |                                |                                  | 157,150. |
| b Approved for future payment                                                        |                                                                                                           |                                |                                  |          |
| NONE                                                                                 |                                                                                                           |                                |                                  |          |
|                                                                                      |                                                                                                           |                                |                                  |          |
|                                                                                      |                                                                                                           |                                |                                  |          |
|                                                                                      |                                                                                                           |                                |                                  |          |
| Total ▶ 3b                                                                           |                                                                                                           |                                |                                  | 0        |

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ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

61-0449629

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>Name and address (home or business)                                            | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount   |
|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|----------|
| CARNEGIE CENTER FOR LITERACY &<br>LEARNING<br>251 WEST SECOND STREET<br>LEXINGTON, KY 40507 | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 4,000.   |
| CENTRAL MUSIC ACADEMY<br>219 EAST SHORT ST<br>LEXINGTON, KY 40507                           | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 2,000.   |
| CHILDREN'S ADVOCACY CENTER<br>162 N ASHLAND AVE<br>LEXINGTON, KY 40502                      | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 6,000.   |
| COMMON GOOD<br>1015 N LIMESTONE<br>LEXINGTON, KY 40505                                      | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,350.   |
| CROSS MINISTRIES<br>166 MARKET STREET<br>LEXINGTON, KY 40507                                | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 10,000.  |
| EXPLORIUM<br>440 WEST SHORT STREET<br>LEXINGTON, KY 40507                                   | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 1,000.   |
| GOD'S PANTRY<br>1685 JAGGIE FOX WAY<br>LEXINGTON, KY 40511                                  | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 8,640.   |
| HARRISON ELEMENTARY SCHOOL<br>161 BRUCE STREET<br>LEXINGTON, KY 40507                       | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 6,500.   |
| HIGH STREET NEIGHBORHOOD ASSOCIATION<br>228 SOUTH LIMESTONE<br>LEXINGTON, KY 40508          | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 10,000.  |
| LEXINGTON HEARING AND SPEECH CENTER<br>350 HENRY CLAY AVE<br>LEXINGTON, KY 40502            | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 7,500.   |
| Total from continuation sheets                                                              |                                                                                                                    |                                      |                                     | 125,500. |

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

61-0449629

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>Name and address (home or business)                                     | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount  |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|---------|
| LEXINGTON WOMEN'S CLUB<br>1341 CORONA DRIVE<br>LEXINGTON, KY 40514                   | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 8,000.  |
| LIVING ARTS & SCIENCE CENTER<br>362 N MARTIN LUTHER KING BLVD<br>LEXINGTON, KY 40508 | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 2,045.  |
| MCDOWELL-BRECKINRIDGE FOUNDATION<br>120 PRESTON AVE<br>LEXINGTON, KY 40502           | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 6,000.  |
| OPEN DOOR CHURCH<br>749 ADDISON AVENUE<br>LEXINGTON, KY 40504                        | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,000.  |
| READING CAMP/DIOCESE OF LEXINGTON<br>PO BOX 610<br>LEXINGTON, KY 40588               | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,200.  |
| SALVATION ARMY<br>736 WEST MAIN ST<br>LEXINGTON, KY 40508                            | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 15,000. |
| REPAIRERS LEXINGTON<br>P.O. BOX 34152<br>LEXINGTON, KY 40588                         | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,765.  |
| YMCA OF CENTRAL KY<br>PO BOX 4654<br>LEXINGTON, KY 40544                             | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,000.  |
| BABY HEALTH SERVICE INC<br>1590 HARRODSBURG ROAD<br>LEXINGTON, KY 40504              | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 7,500.  |
| LEXINGTON LEADERSHIP/READ TO SUCCEED<br>1750 ALEXANDRIA<br>LEXINGTON, KY 40504       | NONE                                                                                                               | PUBLIC                               | SUBSIDY                             | 5,000.  |
| Total from continuation sheets                                                       |                                                                                                                    |                                      |                                     |         |



**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](http://www.irs.gov/form990).

OMB No 1545-0047

**2016**

Name of the organization

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

Employer identification number

61-0449629

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

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

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

**General Rule**

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

**Special Rules**

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ \_\_\_\_\_

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

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

Employer identification number

61-0449629

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

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                                     | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                        |
|------------|-------------------------------------------------------------------------------------------------------|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | ANNA LATHAM TRUST<br>C/O CENTRAL BANK & TRUST CO; 300 WEST VINE STREET<br><br>LEXINGTON, KY 40507     | \$ 22,500.                 | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions) |
| 2          | ETHEL O HILL T/U/W<br>C/O JP MORGAN CHASE BANK, NA; PO BOX 3038<br><br>MILWAUKEE, WI 53201            | \$ 6,132.                  | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions) |
| 3          | JAMES KENNING CHARITABLE T/W<br>C/O JP MORGAN CHASE BANK, NA; PO BOX 8708<br><br>WILMINGTON, DE 19899 | \$ 3,312.                  | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions) |
| 4          | FRANCES K ROSS TRUST<br>C/O JP MORGAN CHASE BANK, NA; PO BOX 8708<br><br>WILMINGTON, DE 19899         | \$ 2,456.                  | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions) |
|            |                                                                                                       | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)           |
|            |                                                                                                       | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)           |

Name of organization

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

Employer identification number

61-0449629

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

| (a)<br>No.<br>from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(See instructions) | (d)<br>Date received |
|------------------------------|----------------------------------------------|------------------------------------------------|----------------------|
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |

Name of organization

Employer identification number

ORPHAN SOCIETY OF LEXINGTON  
C/O CENTRAL BANK & TRUST CO

61-0449629

**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 info once) ▶ \$

Use duplicate copies of Part III if additional space is needed.

| (a) No.<br>from<br>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 |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |

| FORM 990-PF       |                 | DIVIDENDS AND INTEREST FROM SECURITIES |                             |                                   | STATEMENT                     | 1 |
|-------------------|-----------------|----------------------------------------|-----------------------------|-----------------------------------|-------------------------------|---|
| SOURCE            | GROSS<br>AMOUNT | CAPITAL<br>GAINS<br>DIVIDENDS          | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |   |
| CENTRAL BANK      | 73,866.         | 11,543.                                | 62,323.                     | 62,323.                           |                               |   |
| TO PART I, LINE 4 | 73,866.         | 11,543.                                | 62,323.                     | 62,323.                           |                               |   |

| FORM 990-PF                           |  | OTHER INCOME                |                                   |                               | STATEMENT | 2 |
|---------------------------------------|--|-----------------------------|-----------------------------------|-------------------------------|-----------|---|
| DESCRIPTION                           |  | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |           |   |
| CENTRAL BANK                          |  | 3,640.                      | 3,640.                            |                               |           |   |
| TOTAL TO FORM 990-PF, PART I, LINE 11 |  | 3,640.                      | 3,640.                            |                               |           |   |

| FORM 990-PF                  |  | ACCOUNTING FEES              |                                   |                               | STATEMENT                     | 3 |
|------------------------------|--|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                  |  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| ACCOUNTING FEES              |  | 2,550.                       | 1,275.                            |                               | 1,275.                        |   |
| TO FORM 990-PF, PG 1, LN 16B |  | 2,550.                       | 1,275.                            |                               | 1,275.                        |   |

| FORM 990-PF                 |  | TAXES                        |                                   |                               | STATEMENT                     | 4 |
|-----------------------------|--|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                 |  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| FOREIGN TAXES               |  | 670.                         | 335.                              |                               | 335.                          |   |
| TO FORM 990-PF, PG 1, LN 18 |  | 670.                         | 335.                              |                               | 335.                          |   |

| FORM 990-PF                  | OTHER EXPENSES               |                                   |                               | STATEMENT                     | 5 |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| MISC ADMINISTRATIVE EXPENSES | 1,114.                       | 557.                              |                               | 557.                          |   |
| FIDUCIARY FEES               | 3,468.                       | 1,734.                            |                               | 1,734.                        |   |
| INVESTMENT MANAGEMENT FEES   | 13,870.                      | 6,935.                            |                               | 6,935.                        |   |
| TO FORM 990-PF, PG 1, LN 23  | 18,452.                      | 9,226.                            |                               | 9,226.                        |   |

| FORM 990-PF                             | CORPORATE STOCK |  | STATEMENT            | 6 |
|-----------------------------------------|-----------------|--|----------------------|---|
| DESCRIPTION                             | BOOK VALUE      |  | FAIR MARKET<br>VALUE |   |
| CORPORATE STOCKS                        | 2,453,351.      |  | 2,858,477.           |   |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 2,453,351.      |  | 2,858,477.           |   |

| FORM 990-PF                             | CORPORATE BONDS |  | STATEMENT            | 7 |
|-----------------------------------------|-----------------|--|----------------------|---|
| DESCRIPTION                             | BOOK VALUE      |  | FAIR MARKET<br>VALUE |   |
| CORPORATE BONDS                         | 151,921.        |  | 151,797.             |   |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 151,921.        |  | 151,797.             |   |

FORM 990-PF      PART VIII - LIST OF OFFICERS, DIRECTORS      STATEMENT  
 TRUSTEES AND FOUNDATION MANAGERS

| NAME AND ADDRESS                                                            | TITLE AND<br>AVRG HRS/WK        | COMPEN-<br>SATION | EMPLOYEE<br>BEN PLAN<br>CONTRIB | EXPENSE<br>ACCOUNT |
|-----------------------------------------------------------------------------|---------------------------------|-------------------|---------------------------------|--------------------|
| CENTRAL BANK & TRUST COMPANY<br>300 WEST VINE STREET<br>LEXINGTON, KY 40507 | TRUSTEE<br>2.00                 | 0.                | 0.                              | 17,338             |
| MARTINA OCKERMAN<br>PO BOX 21825<br>LEXINGTON, KY 40522                     | PRESIDENT/DIRECTOR<br>1.00      | 0.                | 0.                              | 0                  |
| GENEVA DONALDSON<br>PO BOX 21825<br>LEXINGTON, KY 40522                     | SECRETARY/DIRECTOR<br>1.00      | 0.                | 0.                              | 0                  |
| JEAN BREWER<br>PO BOX 21825<br>LEXINGTON, KY 40522                          | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| FRANCES COX<br>PO BOX 21825<br>LEXINGTON, KY 40522                          | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| LUCY CRAMER COX<br>PO BOX 21825<br>LEXINGTON, KY 40522                      | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| SARA HOWELL<br>PO BOX 21825<br>LEXINGTON, KY 40522                          | VICE PRESIDENT/DIRECTOR<br>1.00 | 0.                | 0.                              | 0                  |
| AMY KESSINGER<br>PO BOX 21825<br>LEXINGTON, KY 40522                        | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| MADELYN MILLARD<br>PO BOX 21825<br>LEXINGTON, KY 40522                      | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| JOYCE OCKERMAN<br>PO BOX 21825<br>LEXINGTON, KY 40522                       | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |
| CATHY RUPP<br>PO BOX 21825<br>LEXINGTON, KY 40522                           | DIRECTOR<br>1.00                | 0.                | 0.                              | 0                  |

ORPHAN SOCIETY OF LEXINGTON C/O CENTRAL

61-0449629

|                                              |                    |    |    |         |
|----------------------------------------------|--------------------|----|----|---------|
| KASSIE KESSINGER                             | TREASURER/DIRECTOR |    |    |         |
| PO BOX 21825                                 | 1.00               | 0. | 0. | 0.      |
| LEXINGTON, KY 40522                          |                    |    |    |         |
| ANNE L. SWINFORD                             | DIRECTOR           |    |    |         |
| PO BOX 21825                                 | 1.00               | 0. | 0. | 0.      |
| LEXINGTON, KY 40522                          |                    |    |    |         |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII |                    | 0. | 0. | 17,338. |



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|             |                                          |           |   |
|-------------|------------------------------------------|-----------|---|
| FORM 990-PF | GRANT APPLICATION SUBMISSION INFORMATION | STATEMENT | 9 |
|             | PART XV, LINES 2A THROUGH 2D             |           |   |

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NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

---

JEAN BREWER  
PO BOX 21825  
LEXINGTON, KY 40522

---

TELEPHONE NUMBER

---

859-269-2209

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FORM AND CONTENT OF APPLICATIONS

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A REQUEST FOR A SPECIFIC AMOUNT AND THE INTENDED USE OF THE FUNDS.  
APPLICATIONS WILL BE PROVIDED TO THE REQUESTOR.

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ANY SUBMISSION DEADLINES

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MARCH 15 & SEPTEMBER 15

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RESTRICTIONS AND LIMITATIONS ON AWARDS

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APPLICANT MUST BE AN IRC SECTION 501(C)(3) ORGANIZATION ONLY.

## 2016

## Realized Capital Gains/Losses

## SHORT-TERM TRANSACTIONS

## COVERED tax lots

| Description of property/CUSIP/Symbol                     |                          |                     |           |               |                     |                               |                                          |
|----------------------------------------------------------|--------------------------|---------------------|-----------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                                    | Quantity                 | Shown (G)ross (N)et | Proceeds  | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7. Loss not allowed(X) |
| AGL RES INC COM / CUSIP 001204106 / Symbol GAS           |                          |                     |           |               |                     |                               |                                          |
| 07/05/16                                                 | 334.000                  |                     | 22,044.00 | 05/18/16      | 21,961.57           | ...                           | 82.43                                    |
| ANALOG DEVICES INC / CUSIP. 032654105 / Symbol. ADI      |                          |                     |           |               |                     |                               |                                          |
| 04/26/16                                                 | 359.000                  |                     | 21,321.87 | 05/15/15      | 22,636.78           | ...                           | -1,314.91                                |
| CELGENE CORP / CUSIP. 151020104 / Symbol. CELG           |                          |                     |           |               |                     |                               |                                          |
| 10/25/16                                                 | 85.000                   |                     | 8,322.31  | 04/27/16      | 9,053.65            | ...                           | -731.34                                  |
| ECOLAB INC COM / CUSIP. 278865100 / Symbol ECL           |                          |                     |           |               |                     |                               |                                          |
| 05/16/16                                                 | 137.000                  |                     | 16,108.15 | 09/23/15      | 15,097.15           | .                             | 1,011.00                                 |
| FORTIVE CORP / CUSIP. 34959J108 / Symbol: FTV            |                          |                     |           |               |                     |                               |                                          |
| 08/05/16                                                 | 152.000                  |                     | 7,685.07  | 06/06/16      | 7,126.98            | ...                           | 558.09                                   |
| GILEAD SCIENCES INC / CUSIP. 375558103 / Symbol: GILD    |                          |                     |           |               |                     |                               |                                          |
| 06/06/16                                                 | 90.000                   |                     | 7,754.24  | 04/27/16      | 9,028.93            | .                             | -1,274.69                                |
| MS SMALL CAP FUND / CUSIP. 61744J309 / Symbol: MSSGX     |                          |                     |           |               |                     |                               |                                          |
|                                                          | 2 tax lots for 12/08/16  |                     |           |               |                     |                               |                                          |
|                                                          | 1,400.247                |                     | 19,449.43 | 06/24/16      | 18,679.29           | ...                           | 770.14                                   |
|                                                          | 571.631                  |                     | 7,939.96  | 07/15/16      | 7,802.76            | ...                           | 137.20                                   |
| 12/08/16                                                 | 1,971.878                |                     | 27,389.39 | VARIOUS       | 26,482.05           | 0.00                          | 907.34                                   |
| PRUDENTIAL FINL INC COM / CUSIP: 744320102 / Symbol: PRU |                          |                     |           |               |                     |                               |                                          |
| 04/27/16                                                 | 347.000                  |                     | 27,631.18 | 11/19/15      | 30,236.16           | ...                           | -2,604.98                                |
| TRACTOR SUPPLY CO COM / CUSIP. 892356106 / Symbol. TSCO  |                          |                     |           |               |                     |                               |                                          |
|                                                          | 2 tax lots for 10/25/16. |                     |           |               |                     |                               |                                          |
|                                                          | 229.000                  |                     | 14,534.56 | 04/27/16      | 21,961.10           | ...                           | -7,426.54                                |
|                                                          | 85.000                   |                     | 5,394.93  | 06/06/16      | 8,019.74            | ..                            | -2,624.81                                |
| 10/25/16                                                 | 314.000                  |                     | 19,929.49 | VARIOUS       | 29,980.84           | 0.00                          | -10,051.35                               |

2016 Realized Capital Gains/Losses (continued)

SHORT-TERM TRANSACTIONS COVERED tax lots

| Description of property/CUSIP/Symbol                     |                |                    |            |               |                     |                               |                                          |
|----------------------------------------------------------|----------------|--------------------|------------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                                    | Quantity       | Shown (Gross (N)et | Proceeds   | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
| VANGUARD RUSSELL / CUSIP: 92206C664 / Symbol: VTWO       |                |                    |            |               |                     |                               |                                          |
| 06/22/16                                                 | 246 000        |                    | 22,582.68  | 11/18/15      | 22,770.52           | ...                           | -187.84                                  |
| 07/14/16                                                 | 245.000        |                    | 23,516.40  | 11/18/15      | 22,677.96           | ...                           | 838.44                                   |
|                                                          | Security total |                    | 46,099.08  |               | 45,448.48           | 0 00                          | 650.60                                   |
| WILLIAMS SONOMA INC COM / CUSIP: 969904101 / Symbol: WSM |                |                    |            |               |                     |                               |                                          |
| 01/29/16                                                 | 344.000        |                    | 17,344.43  | 03/03/15      | 27,570.91           | ...                           | -10,226.48                               |
|                                                          | Totals:        |                    | 221,629.21 |               | 244,623.50          | 0.00                          | -22,994.29                               |

SHORT-TERM TRANSACTIONS NONCOVERED tax lots

| Description of property/CUSIP/Symbol                  |            |                     |           |               |                     |                               |                                          |
|-------------------------------------------------------|------------|---------------------|-----------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                                 | Quantity   | Shown (G)ross (N)et | Proceeds  | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
| FREDDIE MAC 1 0 01/19/2018 / CUSIP 3134GF63 / Symbol. |            |                     |           |               |                     |                               |                                          |
| 07/19/16                                              | 35,000 000 |                     | 35,000 00 | 10/06/15      | 35,014.52           | ..                            | -14.52                                   |

LONG-TERM TRANSACTIONS COVERED tax lots

| Description of property/CUSIP/Symbol           |          |                    |          |               |                     |                               |                                          |
|------------------------------------------------|----------|--------------------|----------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                          | Quantity | Shown (Gross (N)et | Proceeds | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
| ADVANSIX INC / CUSIP. 00773T101 / Symbol. ASIX |          |                    |          |               |                     |                               |                                          |
| 2 tax lots for 10/26/16.                       |          |                    |          |               |                     |                               |                                          |
|                                                | 7.920    |                    | 129.89   | 01/11/13      | 70.03               | ...                           | 59.86                                    |
|                                                | 6.360    |                    | 104.31   | 06/10/13      | 66.89               | .                             | 37.42                                    |
| 10/26/16                                       | 14 280   |                    | 234.20   | VARIOUS       | 136.92              | 0.00                          | 97.28                                    |
| APPLE INC / CUSIP 037833100 / Symbol AAPL      |          |                    |          |               |                     |                               |                                          |
| 3 tax lots for 05/18/16                        |          |                    |          |               |                     |                               |                                          |
|                                                | 21.000   |                    | 1,986 80 | 05/04/11      | 1,049.68            | ..                            | 937.12                                   |

## 2016

## Realized Capital Gains/Losses (continued)

## LONG-TERM TRANSACTIONS

## COVERED tax lots

| Description of property/CUSIP/Symbol                            | Quantity  | Shown (G)ross (N)et | Proceeds | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
|-----------------------------------------------------------------|-----------|---------------------|----------|---------------|---------------------|-------------------------------|------------------------------------------|
| APPLE INC / CUSIP: 037833100 / Symbol: AAPL (cont'd)            |           |                     |          |               |                     |                               |                                          |
|                                                                 | 35 000    | 3,311.34            |          | 08/10/11      | 1,835.49            |                               | 1,475.85                                 |
|                                                                 | 119.000   | 11,258.55           |          | 06/20/14      | 10,939.43           |                               | 319.12                                   |
| 05/18/16                                                        | 175.000   | 16,556.69           |          | VARIOUS       | 13,824.60           | 0.00                          | 2,732.09                                 |
| 5 tax lots for 07/14/16.                                        |           |                     |          |               |                     |                               |                                          |
|                                                                 | 35 000    | 3,415.96            |          | 11/04/09      | 954.05              | . .                           | 2,461.91                                 |
|                                                                 | 35 000    | 3,415.95            |          | 05/07/10      | 1,206.08            | . .                           | 2,209.87                                 |
|                                                                 | 70 000    | 6,831.91            |          | 06/17/10      | 2,706.30            | . .                           | 4,125.61                                 |
|                                                                 | 35 000    | 3,415.96            |          | 01/06/11      | 1,671.35            | . . .                         | 1,744.61                                 |
|                                                                 | 28.000    | 2,732.77            |          | 05/04/11      | 1,399.57            | .                             | 1,333.20                                 |
| 07/14/16                                                        | 203.000   | 19,812.55           |          | VARIOUS       | 7,937.35            | 0 00                          | 11,875.20                                |
| Security total:                                                 |           | 36,369.24           |          |               | 21,761.95           | 0 00                          | 14,607.29                                |
| BLACKROCK HIGH YIELD BOND FD / CUSIP: 091929638 / Symbol: BHYIX |           |                     |          |               |                     |                               |                                          |
| 2 tax lots for 09/22/16.                                        |           |                     |          |               |                     |                               |                                          |
|                                                                 | 459.726   | 3,489.32            |          | 01/16/14      | 3,806.53            | . . .                         | -317.21                                  |
|                                                                 | 845.632   | 6,418.35            |          | 01/16/14      | 7,001.83            | . . .                         | -583.48                                  |
| 09/22/16                                                        | 1,305.358 | 9,907.67            |          | VARIOUS       | 10,808.36           | 0.00                          | -900.69                                  |
| 3 tax lots for 09/28/16.                                        |           |                     |          |               |                     |                               |                                          |
|                                                                 | 1,370.068 | 10,385.12           |          | 01/08/13      | 11,179.75           | . .                           | -794.63                                  |
|                                                                 | 1,820.388 | 13,798.54           |          | 05/31/13      | 15,000.00           | . . .                         | -1,201.46                                |
|                                                                 | 3,403.426 | 25,797.97           |          | 01/16/14      | 28,180.37           |                               | -2,382.40                                |
| 09/28/16                                                        | 6,593.882 | 49,981.63           |          | VARIOUS       | 54,360.12           | 0.00                          | -4,378.49                                |
| Security total:                                                 |           | 59,889.30           |          |               | 65,168.48           | 0 00                          | -5,279.18                                |
| CVS CAREMARK CORP / CUSIP: 126650100 / Symbol: CVS              |           |                     |          |               |                     |                               |                                          |
| 2 tax lots for 05/18/16.                                        |           |                     |          |               |                     |                               |                                          |
|                                                                 | 147.000   | 14,970.17           |          | 03/21/12      | 6,635.36            | . .                           | 8,334.81                                 |

2016 Realized Capital Gains/Losses (continued)

LONG-TERM TRANSACTIONS

COVERED tax lots

| Description of property/CUSIP/Symbol                                              |                 |                     |          |               |                     |                               |                                          |
|-----------------------------------------------------------------------------------|-----------------|---------------------|----------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                                                             | Quantity        | Shown (G)ross (N)et | Proceeds | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
| CVS CAREMARK CORP / CUSIP: 126650100 / Symbol: CVS (cont'd)                       |                 |                     |          |               |                     |                               |                                          |
|                                                                                   | 147.000         | 14,970.17           |          | 09/09/14      | 11,963.70           | ..                            | 3,006.47                                 |
| 05/18/16                                                                          | 294.000         | 29,940.34           |          | VARIOUS       | 18,599.06           | 0.00                          | 11,341.28                                |
| 5 tax lots for 11/10/16.                                                          |                 |                     |          |               |                     |                               |                                          |
|                                                                                   | 25.000          | 1,918.86            |          | 11/04/09      | 896.75              | ...                           | 1,022.11                                 |
|                                                                                   | 25.000          | 1,918.86            |          | 11/05/09      | 740.07              | ..                            | 1,178.79                                 |
|                                                                                   | 25.000          | 1,918.86            |          | 07/28/10      | 796.44              | .                             | 1,122.42                                 |
|                                                                                   | 10 000          | 767.54              |          | 01/06/11      | 350.20              | ..                            | 417.34                                   |
|                                                                                   | 203.000         | 15,581.12           |          | 03/21/12      | 9,163.12            | ..                            | 6,418.00                                 |
| 11/10/16                                                                          | 288 000         | 22,105.24           |          | VARIOUS       | 11,946.58           | 0.00                          | 10,158.66                                |
|                                                                                   | Security total: | 52,045.58           |          |               | 30,545.64           | 0 00                          | 21,499.94                                |
| CAUSEWAY INTERNATIONAL VALUE FUND INSTITUTIONAL / CUSIP 14949P208 / Symbol: CIVIX |                 |                     |          |               |                     |                               |                                          |
| 08/23/16                                                                          | 1,769.535       | 24,985.84           |          | 02/27/14      | 28,861.12           | ..                            | -3,875.28                                |
| CELGENE CORP / CUSIP 151020104 / Symbol: CELG                                     |                 |                     |          |               |                     |                               |                                          |
| 10/25/16                                                                          | 150.000         | 14,686.44           |          | 08/28/12      | 5,397.41            |                               | 9,289.03                                 |
| COGNIZANT TECHNOLOGY SOLUTIONS CL A / CUSIP: 192446102 / Symbol CTSH              |                 |                     |          |               |                     |                               |                                          |
| 10/25/16                                                                          | 569.000         | 28,661.21           |          | 04/02/15      | 35,452.91           | ..                            | -6,791.70                                |
| COLUMBIA FLOATING RATE R5 / CUSIP: 19766F639 / Symbol: RFRFX                      |                 |                     |          |               |                     |                               |                                          |
| 3 tax lots for 01/29/16.                                                          |                 |                     |          |               |                     |                               |                                          |
|                                                                                   | 8,378.403       | 71,467.77           |          | 10/26/12      | 76,071.51           | .                             | -4,603.74                                |
|                                                                                   | 1,751.585       | 14,941.02           |          | 05/31/13      | 16,184.64           | .                             | -1,243.62                                |
|                                                                                   | 948 176         | 8,087.94            |          | 09/11/13      | 8,732.70            | .                             | -644.76                                  |
| 01/29/16                                                                          | 11,078.164      | 94,496.73           |          | VARIOUS       | 100,988.85          | 0.00                          | -6,492.12                                |
| CONSTELLATION BRANDS INC CL A / CUSIP: 21036P108 / Symbol: STZ                    |                 |                     |          |               |                     |                               |                                          |
| 10/25/16                                                                          | 144.000         | 24,232.17           |          | 10/05/15      | 18,990.27           | ..                            | 5,241.90                                 |

## 2016

## Realized Capital Gains/Losses (continued)

## LONG-TERM TRANSACTIONS

## COVERED tax lots

| Description of property/CUSIP/Symbol                              |                          |                     |                      |               |                     |                               |                                          |
|-------------------------------------------------------------------|--------------------------|---------------------|----------------------|---------------|---------------------|-------------------------------|------------------------------------------|
| Date sold or disposed                                             | Quantity                 | Shown (G)/gross (N) | Proceeds (N)/net (G) | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
| DISNEY (WALT) COMPANY HOLDING CO / CUSIP: 254687106 / Symbol: DIS | 82 000                   | 7,822 63            |                      | 03/07/13      | 4,623.16            | ..                            | 3,199 47                                 |
| DOMINO'S PIZZA INC / CUSIP: 25754A201 / Symbol: DPZ               | 55 000                   | 9,105 62            |                      | 03/07/13      | 2,747.24            | ..                            | 6,358.38                                 |
| FEDEX CORPORATION / CUSIP: 31428X106 / Symbol: FDX                | 158.000                  | 20,653 23           |                      | 01/16/15      | 27,414 38           | .                             | -6,761.15                                |
| FISERV INC USD 0.01 / CUSIP: 337738108 / Symbol: FISV             | 2 tax lots for 05/18/16  |                     |                      |               |                     |                               |                                          |
|                                                                   | 28.000                   | 2,866.54            |                      | 10/01/13      | 1,428.80            | .                             | 1,437.74                                 |
|                                                                   | 131 000                  | 13,411 30           |                      | 11/21/14      | 9,187 21            | ..                            | 4,224.09                                 |
| 05/18/16                                                          | 159 000                  | 16,277.84           |                      | VARIOUS       | 10,616 01           | 0 00                          | 5,661 83                                 |
| GILEAD SCIENCES INC / CUSIP: 375558103 / Symbol: GILD             | 2 tax lots for 06/06/16  |                     |                      |               |                     |                               |                                          |
|                                                                   | 90.000                   | 7,754.24            |                      | 11/14/14      | 9,222.26            | ..                            | -1,468.02                                |
|                                                                   | 110 000                  | 9,477.40            |                      | 12/23/14      | 9,505.21            | ...                           | -27.81                                   |
| 06/06/16                                                          | 200.000                  | 17,231.64           |                      | VARIOUS       | 18,727 47           | 0.00                          | -1,495.83                                |
| HANESBRANDS INC / CUSIP: 410345102 / Symbol: HBI                  | 628 000                  | 16,999.65           |                      | 03/27/13      | 6,875.76            | ...                           | 10,123 89                                |
| 07/13/16                                                          | 820.000                  | 22,028.98           |                      | 03/27/13      | 8,977.91            | ..                            | 13,051.07                                |
|                                                                   | Security total.          | 39,028.63           |                      |               | 15,853.67           | 0 00                          | 23,174.96                                |
| 361 MANAGED FUTURES - I / CUSIP: 461418337 / Symbol: AMFZX        | 3 tax lots for 06/06/16. |                     |                      |               |                     |                               |                                          |
|                                                                   | 2,169.823                | 23,542.58           |                      | 07/24/12      | 23,412.39           | ...                           | 130.19                                   |
|                                                                   | 132.699                  | 1,439.78            |                      | 07/30/12      | 1,418.55            | ...                           | 21.23                                    |
|                                                                   | 2,474 219                | 26,845.28           |                      | 08/07/12      | 26,449.40           | ..                            | 395.88                                   |
| 06/06/16                                                          | 4,776.741                | 51,827.64           |                      | VARIOUS       | 51,280 34           | 0.00                          | 547.30                                   |

## 2016

## Realized Capital Gains/Losses (continued)

## LONG-TERM TRANSACTIONS

## COVERED tax lots

Description of property/CUSIP/Symbol

| Date sold or disposed                                                         | Quantity        | Shown (G)ross (N)et | Proceeds  | Date acquired | Cost or other basis | Adjustments & Code(s), if any | Gain or loss(-) & 7- Loss not allowed(X) |
|-------------------------------------------------------------------------------|-----------------|---------------------|-----------|---------------|---------------------|-------------------------------|------------------------------------------|
| 361 MANAGED FUTURES - I / CUSIP: 461418337 / Symbol: AMFZX (cont'd)           |                 |                     |           |               |                     |                               |                                          |
| 07/14/16                                                                      | 2,757.030       | 31,182.01           | 83,009.65 | 07/30/12      | 29,472.65           | ...                           | 1,709.36                                 |
|                                                                               | Security total: |                     |           |               | 80,752.99           | 0.00                          | 2,256.66                                 |
| ISHARES RUSSELL MID CAP INDEX / CUSIP: 464287499 / Symbol: IWR                |                 |                     |           |               |                     |                               |                                          |
| 01/29/16                                                                      | 224.000         | 33,054.40           |           | 12/12/08      | 12,624.64           | ..                            | 20,429.76                                |
| 06/06/16                                                                      | 295.000         | 49,729.04           |           | 12/12/08      | 16,626.20           | ..                            | 33,102.84                                |
|                                                                               | Security total: | 82,783.44           |           |               | 29,250.84           | 0.00                          | 53,532.60                                |
| MATTHEWS PACIFIC TIGER INSTITUTIONAL CLASS / CUSIP: 577130834 / Symbol: MIPTX |                 |                     |           |               |                     |                               |                                          |
| 2 tax lots for 08/23/16.                                                      |                 |                     |           |               |                     |                               |                                          |
|                                                                               | 267.803         | 6,914.68            |           | 03/21/12      | 6,004.14            | .                             | 910.54                                   |
|                                                                               | 502.134         | 12,965.10           |           | 05/30/12      | 10,348.98           | ...                           | 2,616.12                                 |
| 08/23/16                                                                      | 769.937         | 19,879.78           |           | VARIOUS       | 16,353.12           | 0.00                          | 3,526.66                                 |
| MS SMALL CAP FUND / CUSIP: 61744J303 / Symbol: MSSGX                          |                 |                     |           |               |                     |                               |                                          |
| 06/06/16                                                                      | 493.188         | 6,707.36            |           | 08/26/13      | 9,242.34            | ...                           | -2,534.98                                |
| 2 tax lots for 12/08/16.                                                      |                 |                     |           |               |                     |                               |                                          |
|                                                                               | 111.440         | 1,547.90            |           | 08/26/13      | 2,088.39            | ..                            | -540.49                                  |
|                                                                               | 2,379.914       | 33,057.00           |           | 08/29/13      | 44,290.20           | ...                           | -11,233.20                               |
| 12/08/16                                                                      | 2,491.354       | 34,604.90           |           | VARIOUS       | 46,378.59           | 0.00                          | -11,773.69                               |
|                                                                               | Security total: | 41,312.26           |           |               | 55,620.93           | 0.00                          | -14,308.67                               |
| ORACLE CORPORATION / CUSIP: 68389X105 / Symbol: ORCL                          |                 |                     |           |               |                     |                               |                                          |
| 01/29/16                                                                      | 981.000         | 35,111.01           |           | 12/17/12      | 31,701.90           | .                             | 3,409.11                                 |
| T ROWE PRICE GROUP INC / CUSIP: 74144T108 / Symbol: TROW                      |                 |                     |           |               |                     |                               |                                          |
| 2 tax lots for 10/13/16                                                       |                 |                     |           |               |                     |                               |                                          |
|                                                                               | 320.000         | 20,932.18           |           | 02/12/13      | 23,627.26           | ..                            | -2,695.08                                |
|                                                                               | 150.000         | 9,811.96            |           | 07/25/13      | 11,335.49           | ..                            | -1,523.53                                |
| 10/13/16                                                                      | 470.000         | 30,744.14           |           | VARIOUS       | 34,962.75           | 0.00                          | -4,218.61                                |

2016 Realized Capital Gains/Losses (continued)

| COVERED tax lots                                                        |           |                       |          |                                 |                 |                        |
|-------------------------------------------------------------------------|-----------|-----------------------|----------|---------------------------------|-----------------|------------------------|
| LONG-TERM TRANSACTIONS                                                  |           |                       |          |                                 |                 |                        |
| Description of property/CUSIP/Symbol                                    |           | Proceeds              | Date     | Adjustments & Gain or loss(-) & |                 |                        |
| Date sold or disposed                                                   | Quantity  | Shown (G)Gross (N)Net | acquired | Cost or other basis             | Code(s), if any | 7- Loss not allowed(X) |
| T ROWE PRICE MID CAP GROWTH / CUSIP: 779556406 / Symbol: RPTIX          |           |                       |          |                                 |                 |                        |
| 06/06/16                                                                | 224 521   | 17,027.67             | 03/21/12 | 13,409 35                       | ...             | 3,618 32               |
| SCHRODER EMERGING MARKET EQUITY FUND / CUSIP: 808090757 / Symbol: ZZZZX |           |                       |          |                                 |                 |                        |
| 2 tax lots for 08/23/16                                                 |           |                       |          |                                 |                 |                        |
|                                                                         | 665.020   | 8,239.60              | 03/21/12 | 8,638.61                        | .               | -399 01                |
|                                                                         | 1,054 645 | 13,067 05             | 05/30/12 | 12,202.24                       | .               | 864.81                 |
| 08/23/16                                                                | 1,719.665 | 21,306.65             | VARIOUS  | 20,840 85                       | 0.00            | 465 80                 |
| UNION PACIFIC CORP / CUSIP: 907818108 / Symbol: UNP                     |           |                       |          |                                 |                 |                        |
| 01/29/16                                                                | 170.000   | 12,146.29             | 10/01/14 | 18,118.33                       | ...             | -5,972 04              |
| UNITED TECHNOLOGIES CORP / CUSIP: 913017109 / Symbol: UTX               |           |                       |          |                                 |                 |                        |
| 2 tax lots for 01/29/16                                                 |           |                       |          |                                 |                 |                        |
|                                                                         | 155.000   | 13,553.21             | 05/15/12 | 11,824 42                       | .               | 1,728.79               |
|                                                                         | 100.000   | 8,744.00              | 07/25/13 | 10,412.99                       | ..              | -1,668.99              |
| 01/29/16                                                                | 255.000   | 22,297 21             | VARIOUS  | 22,237.41                       | 0 00            | 59 80                  |
| VANGUARD INDEX FDS REIT #986 / CUSIP: 922908553 / Symbol: VNQ           |           |                       |          |                                 |                 |                        |
| 2 tax lots for 07/14/16                                                 |           |                       |          |                                 |                 |                        |
|                                                                         | 399.000   | 36,084.80             | 03/21/12 | 25,225.34                       | ...             | 10,859 46              |
|                                                                         | 23 000    | 2,080.08              | 03/07/13 | 1,607.39                        | ...             | 472 69                 |
| 07/14/16                                                                | 422.000   | 38,164.88             | VARIOUS  | 26,832.73                       | 0.00            | 11,332.15              |
| VISA INC CLASS A / CUSIP: 92826C839 / Symbol: V                         |           |                       |          |                                 |                 |                        |
| 2 tax lots for 01/29/16.                                                |           |                       |          |                                 |                 |                        |
|                                                                         | 476.000   | 34,305.40             | 03/23/12 | 13,988.13                       | ...             | 20,317 27              |
|                                                                         | 148.000   | 10,666.39             | 11/21/14 | 9,384.67                        |                 | 1,281.72               |
| 01/29/16                                                                | 624 000   | 44,971.79             | VARIOUS  | 23,372 80                       | 0 00            | 21,598 99              |
| 05/18/16                                                                | 342 000   | 26,396.93             | 03/23/12 | 10,050 29                       | ..              | 16,346 64              |



2016 Realized Capital Gains/Losses (continued)

| LONG-TERM TRANSACTIONS                                   |          | COVERED tax lots    |          |                     |                 |                        |
|----------------------------------------------------------|----------|---------------------|----------|---------------------|-----------------|------------------------|
| Description of property/CUSIP/Symbol                     |          | Proceeds            | Date     |                     | Adjustments &   | Gain or loss(-) &      |
| Date sold or disposed                                    | Quantity | Shown (G)ross (N)et | acquired | Cost or other basis | Code(s), if any | 7- Loss not allowed(X) |
| Security total:                                          |          | 71,368.72           |          | 33,423.09           | 0.00            | 37,945.63              |
| WILLIAMS SONOMA INC COM / CUSIP: 969304101 / Symbol: WSM |          |                     |          |                     |                 |                        |
| 01/29/16                                                 | 69.000   | 3,478.97            | 01/16/15 | 5,202.32            | .               | -1,723.35              |
| ALLERGAN PLC SHS / CUSIP: G0177J108 / Symbol: AGN        |          |                     |          |                     |                 |                        |
| 2 tax lots for 04/26/16.                                 |          |                     |          |                     |                 |                        |
|                                                          | 82.000   | 18,103.14           | 03/23/12 | 7,687.50            | ...             | 10,415.64              |
|                                                          | 188.000  | 41,504.76           | 08/21/12 | 14,877.55           | .               | 26,627.21              |
| 04/26/16                                                 | 270.000  | 59,607.90           | VARIOUS  | 22,565.05           | 0.00            | 37,042.85              |
| 04/27/16                                                 | 83.000   | 18,069.59           | 08/21/12 | 6,568.28            | ...             | 11,501.31              |
| 10/25/16                                                 | 93.000   | 20,940.16           | 08/21/12 | 7,359.64            | .               | 13,580.52              |
| Security total:                                          |          | 98,617.65           |          | 36,492.97           | 0.00            | 62,124.68              |
| INVESCO LTD / CUSIP: G491BT108 / Symbol: IVZ             |          |                     |          |                     |                 |                        |
| 10/13/16                                                 | 234.000  | 7,017.65            | 11/14/14 | 9,470.40            | ...             | -2,452.75              |
| Totals:                                                  |          | 1,029,986.27        |          | 821,955.46          | 0.00            | 208,030.81             |

| LONG-TERM TRANSACTIONS                                                      |            | NONCOVERED tax lots |          |                     |                 |                        |
|-----------------------------------------------------------------------------|------------|---------------------|----------|---------------------|-----------------|------------------------|
| Description of property/CUSIP/Symbol                                        |            | Proceeds            | Date     |                     | Adjustments &   | Gain or loss(-) &      |
| Date sold or disposed                                                       | Quantity   | Shown (G)ross (N)et | acquired | Cost or other basis | Code(s), if any | 7- Loss not allowed(X) |
| FEDERAL FARM CREDIT BANK 2.00% 05-20-2021 / CUSIP: 3133ECPS7 / Symbol:      |            |                     |          |                     |                 |                        |
| 04/12/16                                                                    | 30,000.000 | 30,000.00           | 05/13/13 | 29,955.00           | .               | 45.00                  |
| GENERAL ELECTRIC FRN 1 4897% 05-09-2016 / CUSIP: 36962G5D2 / Symbol: GENY16 |            |                     |          |                     |                 |                        |
| 05/09/16                                                                    | 30,000.000 | 30,000.00           | 04/27/12 | 29,519.70           | ...             | 480.30                 |
| THERMO FISHER SCIE 2 25% 08-15-2016 / CUSIP: 883556BA9 / Symbol: TMO 16     |            |                     |          |                     |                 |                        |
| 04/19/16                                                                    | 30,000.000 | 30,166.80           | 05/15/12 | 30,824.53           | ..              | -657.73                |

2016

Realized Capital Gains/Losses (continued)

| LONG-TERM TRANSACTIONS                     |          | NONCOVERED tax lots |          |                 |                        |           |
|--------------------------------------------|----------|---------------------|----------|-----------------|------------------------|-----------|
| Description of property/CUSIP/Symbol       |          | Proceeds            | Date     | Adjustments &   | Gain or loss(-) &      |           |
| Date sold or disposed                      | Quantity | Shown (G)ross (N)et | acquired | Code(s), if any | 7- Loss not allowed(X) |           |
| LAZARD LTD / CUSIP: G54050102 / Symbol LAZ |          |                     |          |                 |                        |           |
| 04/27/16                                   | 430.000  | 15,867.73           | 04/21/14 | ..              |                        | -3,770.15 |
| Totals:                                    |          | 106,034.53          |          | 0.00            |                        | -3,902.58 |

2016 Distributions

| Date                                   | Transaction Description                                                                                  | Cusip | Trust System Code | Reg | Income Cash | Principal Cash |
|----------------------------------------|----------------------------------------------------------------------------------------------------------|-------|-------------------|-----|-------------|----------------|
| <b>INCOME CASH PAID TO BENEFICIARY</b> |                                                                                                          |       |                   |     |             |                |
| 04/21/16                               | DISTRIBUTION PER REQUEST FOR DEPOSIT TO DDA #105-66-358                                                  |       | 032               |     | -1,000.00   | 0.00           |
| 04/27/16                               | BABY HEALTH SERVICE INC PURCHASE OF MEDICINE AND MEDICAL SUPPLIES CHECK NUMBER 172893                    |       | 032               |     | -7,500.00   | 0.00           |
| 04/27/16                               | CHILD DEVELOPMENT CENTER OF THE BLUEGRASS SUPPORT OF DIRECT CONTACT HOURS OF THERAPY CHECK NUMBER 172894 |       | 032               |     | -10,500.00  | 0.00           |
| 04/27/16                               | HARRISON SCHOOL SNACK PACK PROGRAM & SCHOOL SUPPLIES CHECK NUMBER 172895                                 |       | 032               |     | -6,500.00   | 0.00           |
| 04/27/16                               | HIGH STREET NEIGHBORHOOD CHILD CARE SCHOLARSHIPS CHECK NUMBER 172896                                     |       | 032               |     | -10,000.00  | 0.00           |
| 04/27/16                               | LEXINGTON LEADERSHIP MATERIALS VOLUNTEER COORDINATION FOOD FOR READ TO SUCCEED ETC. CHECK NUMBER 172897  |       | 032               |     | -5,000.00   | 0.00           |
| 04/27/16                               | MCDOWELL BRECKINRIDGE CAMP FDN CAMP SCHOLARSHIPS CHECK NUMBER 172898                                     |       | 032               |     | -6,000.00   | 0.00           |
| 04/27/16                               | OPEN DOOR CHURCH AFTER-SCHOOL & CAMPS CHECK NUMBER 172899                                                |       | 032               |     | -5,000.00   | 0.00           |
| 04/27/16                               | READING CAMP SCHOLARSHIPS MATERIALS DIRECTOR STIPEND CHECK NUMBER 172900                                 |       | 032               |     | -5,200.00   | 0.00           |

*transfer to checking*