Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning , and ending

Name of foundation

IRVIN LANSKY FOUNDATION

A Employer identification number

62-1859941

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

5400 POPLAR AVENUE | 100

B Telephone number

(901) 683-3526

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

MEMPHIS, TN 38119

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 11120199.

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

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	145889.	145889.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	249537.			
	b Gross sales price for all assets on line 6a 2586147.				
	7 Capital gain net income (from Part IV, line 2)		249537.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income				
	12 **Total** Add lines 1 through 11	395426.	395426.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	113424.	27730.		84944.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees				
	c Other professional fees Stmt 1	104320.	104320.		0.
	17 Interest				
	18 Taxes Stmt 2	4770.	4770.		0.
	19 Depreciation and depletion				
	20 Occupancy	21138.	10569.		10569.
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses Stmt 3	2484.	2484.		0.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	246136.	149873.		95513.
	25 Contributions, gifts, grants paid	430000.			430000.
	26 **Total expenses and disbursements.** Add lines 24 and 25	676136.	149873.		525513.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-280710.			
	b **Net investment income** (if negative, enter -0-)		245553.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	145995.	87931.	87931.
	2 Savings and temporary cash investments			
	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 4	11463691.	10704846.	11006317.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶ 25951.			
	Less accumulated depreciation ▶	21742.	25951.	25951.
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	11631428.	10818728.	11120199.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ Income Tax Payable)	4193.	0.	
	23 **Total liabilities** (add lines 17 through 22)	4193.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted	11627235.	10818728.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 **Total net assets or fund balances**	11627235.	10818728.	
	31 **Total liabilities and net assets/fund balances**	11631428.	10818728.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	11627235.
2	Enter amount from Part I, line 27a	2	-280710.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	11346525.
5	Decreases not included in line 2 (itemize) ▶ Unrealized capital gain	5	527797.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	10818728.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	2586147.		2336610.	249537.

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				249537.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 } — **2** — 249537.

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	577493.	11573394.	.049898
2014	573302.	11714125.	.048941
2013	566253.	11115117.	.050944
2012	538018.	10244160.	.052519
2011	619046.	10779803.	.057426

		Line	Amount
2	**Total** of line 1, column (d)	2	.259728
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	.051946
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	10848464.
5	Multiply line 4 by line 3	5	563534.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	2456.
7	Add lines 5 and 6	7	565990.
8	Enter qualifying distributions from Part XII, line 4	8	525513.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b	1	4911.
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	4911.
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	4911.
6	Credits/Payments:		
a	2016 estimated tax payments and 2015 overpayment credited to 2016 — 6a		
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	0.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	148.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	5059.
10	**Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be: **Credited to 2017 estimated tax** ▶ **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ TN			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
	Website address ▶ N/A			
14	The books are in care of ▶ ROBERT K. ALVAREZ Telephone no. ▶901-683-3526			
	Located at ▶5400 POPLAR, SUITE 100, MEMPHIS, TN ZIP+4 ▶38119			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A			
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶			

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

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

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

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

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

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

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

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

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

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

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

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

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

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

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

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

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

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 5		113424.	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

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
LPL FINANCIAL 4707 EXECUTIVE DRIVE, SAN DIEGO, CA 92121	INVESTMENT ASSETS MANAGER	55985.
GERBER TAYLOR - ONE COMMERCE SQUARE, SUITE 1900, MEMPHIS, TN 38103	INVESTMENT ASSETS MANAGER	48336.
Total number of others receiving over $50,000 for professional services ▶		0

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

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

Part IX-B **Summary of Program-Related Investments**

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

Form **990-PF** (2016)

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes:		
a	Average monthly fair market value of securities	1a	10910976.
b	Average of monthly cash balances	1b	102693.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	11013669.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	11013669.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	165205.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10848464.
6	**Minimum investment return.** Enter 5% of line 5	6	542423.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	542423.
2a	Tax on investment income for 2016 from Part VI, line 5 — 2a: 4911.		
b	Income tax for 2016. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	4911.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	537512.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	537512.
6	Deduction from distributable amount (see instructions)	6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	537512.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	525513.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	525513.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	525513.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				537512.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011 — 90746.				
b From 2012 — 29769.				
c From 2013 — 16725.				
d From 2014 — 1475.				
e From 2015 — 5650.				
f **Total** of lines 3a through e	144365.			
4 *Qualifying distributions for 2016 from* Part XII, line 4 ▶ $ 525513.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				525513.
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).)	11999.			11999.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	132366.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2015 Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election *may be required - see instructions*)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	78747.			
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	53619.			
10 Analysis of line 9:				
a Excess from 2012 — 29769.				
b Excess from 2013 — 16725.				
c Excess from 2014 — 1475.				
d Excess from 2015 — 5650.				
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			
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon: a "Assets" alternative test - enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 **Information Regarding Foundation Managers:**

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

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 6

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ADVANCE MEMPHIS P.O. BOX 2201 MEMPHIS, TN 38101	NONE	PUBLIC CHARITY	JOBS FOR LIFE PROGRAM	50000.
AGAPE P.O. BOX 11411 MEMPHIS, TN 38111	NONE	PUBLIC CHARITY	PCN PROGRAM - EDUCATION	100000.
BOYS AND GIRLS CLUB 44 S. Rembert MEMPHIS, TN 38104	NONE	PUBLIC CHARITY	FUND TECHNICAL TRAINING CENTER PROGRAM	30000.
CHRIST COMMUNITY HEALTH CENTER 2595 CENTRAL AVENUE MEMPHIS, TN 38104	NONE	PUBLIC CHARITY	FAMILIES MATTER PROGRAM	50000.
HOPE WORKS, INC. 1930 UNION AVENUE MEMPHIS, TN 38104-4029	NONE	PUBLIC CHARITY	PERSONAL AND CAREER DEVELOPMENT PROGRAM	70000.
Total See continuation sheet(s)			▶ 3a	430000.
b Approved for future payment None				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	(b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	(d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	145889.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	249537.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		395426.	0.

13 Total Add line 12, columns (b), (d), and (e) 13 395426.

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Monte J. Weaver
Robert Alvarez

Signature of officer or trustee | Date: 5-15-17 | Title: Co-Trustee

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self- employed	PTIN
Firm's name ▶ Self. Prepared			Firm's EIN ▶	
Firm's address ▶			Phone no.	

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	LPL FINANCIAL ACCT NO 25864294		Various	Various
b	LPL FINANCIAL ACCT NO 25864294		Various	Various
c	LPL FINANCIAL ACCT NO 34358819		Various	Various
d	LPL FINANCIAL ACCT NO 38693632		Various	Various
e	LPL FINANCIAL ACCT NO 38693632		Various	Various
f	LPL FINANCIAL ACCT NO 57678999		Various	Various
g	LPL FINANCIAL ACCT NO 57678999		Various	Various
h	LPL FINANCIAL ACCT NO 70293460		Various	Various
i	LPL FINANCIAL ACCT NO 70293460		Various	Various
j	LPL FINANCIAL ACCT NO 25003572		Various	Various
k	LPL FINANCIAL ACCT NO 25003572		Various	Various
l	GT OFFSHORE FUND I, LTD - CLASS C	P	09/01/20	01/14/16
m	Capital Gains Dividends			
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	114604.		109373.	5231.
b	9494.		5216.	4278.
c	525000.		538512.	-13512.
d	293585.		305393.	-11808.
e	342100.		335719.	6381.
f	166499.		186320.	-19821.
g	383112.		292871.	90241.
h	43762.		50814.	-7052.
i	191262.		161900.	29362.
j	56204.		56497.	-293.
k	255837.		200949.	54888.
l	200000.		93046.	106954.
m	4688.			4688.
n				
o				

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a				5231.
b				4278.
c				-13512.
d				-11808.
e				6381.
f				-19821.
g				90241.
h				-7052.
i				29362.
j				-293.
k				54888.
l				106954.
m				4688.
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	249537.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

623591
04-01-16

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
JEWISH FOUNDATION OF MEMPHIS 5118 PARK AVENUE, SUITE 308 MEMPHIS, TN 38117	NONE	PUBLIC CHARITY	JEWISH FAMILY SERVICES	15000.
MEMPHIS ATHLETIC MINISTRIES 2107 BALL ROAD MEMPHIS, TN 38114	NONE	PUBLIC CHARITY	EDUCATION	15000.
MID-SOUTH MINORITY TADP, INC. 158 MADISON AVENUE MEMPHIS, TN 38103	NONE	PUBLIC CHARITY	TECHNICAL ASSISTANCE AND DEVELOPMENT	25000.
NEIGHBORHOOD CHRISTIAN CENTER 785 JACKSON AVENUE MEMPHIS, TN 38017	NONE	PUBLIC CHARITY	SUMMER INSTITUTE AND EDUCATION	50000.
YOUTH LEADERSHIP MEMPHIS, INC. 1244 LYNNFIELD ROAD, SUITE 141 MEMPHIS, TN 38119	NONE	PUBLIC CHARITY	EDUCATE AND TEACH JOB SKILLS TO INNER-CITY YOUTH.	5000.
ARISE2READ 2000 APPLING ROAD MEMPHIS, TN 38016	NONE	PUBLIC CHARITY	TEACH READING SKILLS TO ELEMENTARY SCHOOL CHILDREN	20000.
Total from continuation sheets				130000.

623631
04-01-16

Form 990-PF	Other Professional Fees	Statement 1

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
INVESTMENT FEES - GT	48335.	48335.		0.
INVESTMENT FEES - LPL	5903.	5903.		0.
INVESTMENT FEES - LPL	50082.	50082.		0.
To Form 990-PF, Pg 1, ln 16c	104320.	104320.		0.

Form 990-PF	Taxes	Statement 2

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
FOREIGN TAX PAID	4770.	4770.		0.
To Form 990-PF, Pg 1, ln 18	4770.	4770.		0.

Form 990-PF	Other Expenses	Statement 3

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
OFFICE SUPPLIES	60.	60.		0.
COMPUTER LINE	1018.	1018.		0.
BANK CHARGES	180.	180.		0.
SUBSCRIPTIONS	1226.	1226.		0.
To Form 990-PF, Pg 1, ln 23	2484.	2484.		0.

Form 990-PF | Corporate Stock | Statement 4

Description	Book Value	Fair Market Value
LPL STRATEGIC INVESTMENTS	781164.	789643.
LPL MONEY MANAGER INVESTMENTS	5130938.	5277434.
GT PARTNERS	4792744.	4939240.
Total to Form 990-PF, Part II, line 10b	10704846.	11006317.

Form 990-PF | Part VIII - List of Officers, Directors Trustees and Foundation Managers | Statement 5

Name and Address	Title and Avrg Hrs/Wk	Compen-sation	Employee Ben Plan Contrib	Expense Account
ROBERT K. ALVAREZ 5400 POPLAR AVENUE, SUITE 100 MEMPHIS, TN 38119	TRUSTEE/DIRECTOR 8.00	55462.	0.	0.
MONTE WEAVER 1935 OAK SHADOWS CIRCLE WEST MEMPHIS, TN 38119	TRUSTEE/DIRECTOR 8.00	55462.	0.	0.
MARK PUCKETT 8919 KILBIRNIE COVE GERMANTOWN, TN 38139	DIRECTOR 0.50	0.	0.	0.
TOM LAMB 2929 MEADOW WOOD COVE GERMANTOWN, TN 38138	DIRECTOR 0.50	750.	0.	0.
GEORGE W. ALBRIGHT 5430 PECAN GROVE LANE MEMPHIS, TN 38120	DIRECTOR 0.50	250.	0.	0.
WILSON BARTON, JR. 319 WELDON PLACE MEMPHIS, TN 38117	DIRECTOR 0.50	750.	0.	0.
ROBERT C. GREEN 6663 PRINCE EDWARD PLACE MEMPHIS, TN 38120	DIRECTOR 0.50	250.	0.	0.

MIKE TAYLOR 9169 GREENBRIER COVE GERMANTOWN, TN 38139	DIRECTOR 0.50	500.	0.	0.
Totals included on 990-PF, Page 6, Part VIII		113424.	0.	0.

Form 990-PF Grant Application Submission Information Statement 6
Part XV, Lines 2a through 2d

Name and Address of Person to Whom Applications Should be Submitted

ROBERT K. ALVAREZ
5400 POPLAR AVENUE, SUITE 100
MEMPHIS, TN 38119

Telephone Number

901-683-3526

Form and Content of Applications

GRANT REQUESTS ARE SUBMITTED ON GRANT APPLICATION FORM PROVIDED BY ORGANIZATION ALONG WITH COPY OF THE REQUESTING GRANTEE'S IRS DETERMINATION LETTER AND MOST RECENT FORM 990.

Any Submission Deadlines

NONE

Restrictions and Limitations on Awards

THE APPLICANT'S PROGRAM MUST BE WITHIN THE MISSION OF THE ORGANIZATION AND THE APPLICANT MUST COMPLY WITH THE PROGRAM DESCRIBED IN THE GRANT APPLICATION. ALL AWARDS MUST BE APPROVED BY THE DIRECTORS OF THE ORGANIZATION WITHIN THEIR DISCRETION.

Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

Description	Interest Paid in December[1]	Blended Interest Rate[1]	Current Balance
Cash			$299 42
Insured Cash Account[2]			
Goldman Sachs Bank USA			30,383 44
Bremer Bank NA			32 43
Total Insured Cash Account	0 25	0 009%	30,415.87
TOTAL CASH AND CASH EQUIVALENTS			**$30,715.29**

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/02/11	ABBOTT LABORATORIES ABT	4	$38 41	$153 64	$21 9175	$87 67 87 67	$65 97	$4	2 76%
01/30/12		78		$2,995 98	26.1081	2,036 43 2,036 43	959.55	82	
06/18/13		119		4,570.79	37.0182	4,405 17 4,405 17	165 62	126	
09/11/13		134		5,146.94	34.8699	4,672.57 4,672 57	474.37	142	
09/25/13		130		4,993.30	33.6897	4,379 66 4,379 66	613 64	137	
Total		465		17,860.65	33.5086	15,581.50 15,581.50	2,279.15	491	

EQUITIES AND OPTIONS continue on page 4

1 Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month.
2 Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See message section for further information
3 Purchase cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/02/11	ACCENTURE PLC IRELAND [C] CLASS A NEW ACN	40	117.13	4,685 20	52.5498	2,101 99 2,101 99	2,583 21	96	2.07%
01/30/12		75		8,784.75	57 0000	4,275 00 4,275 00	4,509 75	181	
05/09/12		71		8,316.23	58 6283	4,162 61 4,162 61	4,153.62	171	
01/08/14		67		7,847 71	81 8460	5,483 68 5,483 68	2,364 03	162	
05/07/14		64		7,496 32	78 2491	5,007 94 5,007 94	2,488 38	154	
07/16/14		44		5,153.72	79 6932	3,506.50 3,506 50	1,647.22	106	
Total		361		42,283.93	67.9715	24,537.72 24,537.72	17,746.21	870	
06/17/15	AMERICAN EXPRESS COMPANY [C] AXP	111	74.08	8,222.88	79.6841	8,844.94 8,844.94	-622.06	142	1 73%
06/24/15		47		3,481.76	81 0691	3,810.25 3,810.25	-328.49	60	

EQUITIES AND OPTIONS continue on page 5

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/30/15	AMERICAN EXPRESS COMPANY (continued)	56		4,148.48	77.8763	4,361 07 4,361 07	-212 59	71	
Total		214		15,853.12	79.5152	17,016.26 17,016.26	-1,163.14	273	
06/01/16	AON PLC CL A C AON	68	111 53	7,584.04	108.7571	7,395.48 7,395 48	188.56	89	1 18%
06/08/16		56		6,245.68	109.7361	6,145 22 6,145 22	100 46	73	
08/17/16		57		6,357 21	109 2079	6,224 85 6,224 85	132 36	75	
Total		181		20,186.93	109.2019	19,765 55 19,765.55	421.38	237	
05/27/15	ARCHER DANIELS MIDLAND C COMPANY ADM	112	45 65	5,112 80	52 3699	5,865 43 5,865 43	-752.63	134	2 63%
06/30/15		90		4,108 50	48.4299	4,358 69 4,358 69	-250 19	108	
11/04/15		107		4,884.55	42.9199	4,592 43 4,592 43	292.12	128	
01/20/16		131		5,980.15	30.2799	3,966 67 3,966 67	2,013 48	157	
Total		440		20,086.00	42.6891	18,783.22 18,783.22	1,302.78	527	

EQUITIES AND OPTIONS continue on page 6

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/21/12	CHUBB LTD CB	53	132.12	7,002.36	73.5989	3,900.74 3,900.74	3,101.62	146	2.09%
02/02/11		38		5,020.56	62.5100	2,375.38 2,375.38	2,645.18	104	
05/17/11		26		3,435.12	67.6127	1,757.93 1,757.93	1,677.19	71	
01/30/12		36		4,756.32	68.9700	2,482.92 2,482.92	2,273.40	99	
04/06/16		50		6,606.00	118.2524	5,912.62 5,912.62	693.38	138	
Total		203		26,820.36	80.9339	16,429.59 16,429.59	10,390.77	558	
04/13/16	CIGNA CORP CI	45	133.39	6,002.55	137.5740	6,190.83 6,190.83	-188.28	1	0.03%
04/20/16		57		7,603.23	139.2395	7,936.65 7,936.65	-333.42	2	
Total		102		13,605.78	138.5047	14,127.48 14,127.48	-521.70	3	
01/13/16	CITIGROUP INC NEW C	180	59.43	10,697.40	46.6499	8,396.99 8,396.99	2,300.41	115	1.08%
02/03/16		124		7,369.32	38.8399	4,816.15 4,816.15	2,553.17	79	

EQUITIES AND OPTIONS continue on page 7

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the Statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/10/16	CITIGROUP INC NEW (continued)	149		8,855.07	45.4898	6,777.98 6,777.98	2,077.09	95	
Total		453		26,921.79	44.1305	19,991.12 19,991.12	6,930.67	289	
07/14/11	COMCAST CORP CL A NEW C CMCSA	8	69.05	552.40	24.0538	192.43 192.43	359.97	8	1.59%
07/27/11		113		7,802.65	24.0799	2,721.03 2,721.03	5,081.62	124	
08/10/11		113		7,802.65	19.5775	2,212.26 2,212.26	5,590.39	124	
01/30/12		106		7,319.30	25.3599	2,688.15 2,688.15	4,631.15	116	
02/26/14		113		7,802.65	49.0575	5,543.50 5,543.50	2,259.15	124	
Total		453		31,279.65	29.4865	13,357.37 13,357.37	17,922.28	496	
10/12/16	COTY INC C CL A COTY	261	18.31	4,778.91	23.1930	6,053.38 6,053.38	-1,274.47	130	2.73%
10/19/16		194		3,552.14	23.3199	4,524.06 4,524.06	-971.92	97	

EQUITIES AND OPTIONS continue on page 8

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/02/16	COTY INC (continued)	272		4,980.32	22.2464	6,051.01 6,051.01	-1,070 69	136	
Total		727		13,311.37	22.8727	16,628.45 16,628.45	-3,317.08	363	
02/02/12	CVS HEALTH CORP C CVS	12	78.91	946 92	42.7292	512 75 512 75	434 17	24	2.53%
03/21/12		83		6,549.53	45 0394	3,738 27 3,738 27	2,811 26	166	
11/14/12		87		6,865 17	45 7066	3,976 47 3,976.47	2,888 70	174	
02/13/13		61		4,813 51	50 9192	3,106 07 3,106 07	1,707.44	122	
11/16/16		75		5,918 25	74 9699	5,622 74 5,622 74	295 51	150	
Total		318		25,093 38	53.3217	16,956.30 16,956.30	8,137 08	636	
08/24/11	DANAHER CORP C DHR	14	77 84	1,089 76	32 6279	456 79 456 79	632 97	7	0 64%
01/30/12		56		4,359.04	39.9200	2,235 52 2,235 52	2,123.52	28	
07/31/14		75		5,838.00	56.0731	4,205 48 4,205 48	1,632 52	37	

EQUITIES AND OPTIONS continue on page 9

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/14/15	DANAHER CORP (continued)	48		3,736.32	67.6723	3,248.27 3,248.27	488.05	24	
10/21/15		56		4,359.04	68.0563	3,811.15 3,811.15	547.89	28	
Total		249		19,382.16	56.0531	13,957.21 13,957.21	5,424.95	124	
09/18/12	DELPHI AUTOMOTIVE PLC C DLPH	78	67.35	5,253.30	31.5000	2,457.00 2,457.00	2,796.30	90	1.72%
09/24/14	[illegible]	91	[illegible]	6,128.85	64.2899	5,850.38 5,850.38	278.47	105	
12/07/16	[illegible]	92	[illegible]	6,196.20	69.5260	6,396.39 6,396.39	-200.19	106	
Total		261		17,578.35	56.3363	14,703.77 14,703.77	2,874.58	301	
06/22/16	DU PONT E.I. DE NEMOURS C & COMPANY DD	136	73.40	9,982.40	68.1777	9,272.17 9,272.17	710.23	206	2.07%
02/12/14	EATON CORP PLC C ETN	51	67.09	3,421.59	70.9712	3,407.37 3,407.37	14.22	116	3.40%
08/06/14		88		5,903.92	66.7072	5,633.51 5,633.51	270.41	200	

EQUITIES AND OPTIONS continue on page 10

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/10/16	EATON CORP PLC (continued)	86	[illegible]	5,769.74	58.7770	5,054.82 5,054.82	714.92	196	
Total		225		15,095.25	62.6476	14,095.70 14,095.70	999.55	512	
10/01/14	EOG RESOURCES INC C EOG	85	101.10	8,593.50	98.4736	8,370.26 8,370.26	223.24	56	0.66%
10/07/14		50	[illegible]	5,055.00	95.5370	4,776.85 4,776.85	278.15	33	
10/22/14		43	[illegible]	4,347.30	96.8788	4,165.79 4,165.79	181.51	28	
02/24/16		70	[illegible]	7,077.00	68.3337	4,783.36 4,783.36	2,293.64	46	
Total		248		25,072.80	89.0978	22,096.26 22,096.26	2,976.54	163	
12/21/16	EQUIFAX INC C EFX	45	118.23	5,320.35	116.8120	5,256.54 5,256.54	63.81	59	1.12%
05/28/14	FIDELITY NATIONAL C INFORMATION SERVICES INC FIS	76	75.64	5,748.64	53.8720	4,094.27 4,094.27	1,654.37	79	1.37%
12/02/15		75		5,673.00	64.3400	4,825.50 4,825.50	847.50	78	

EQUITIES AND OPTIONS continue on page 11

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/09/15	FIDELITY NATIONAL (continued)			5,673.00	63.4121	4,755.91 4,755.91	917.09	78	
12/14/16		81		6,126.84	76.5173	6,197.90 6,197.90	-71.06	84	
Total		307		23,221.48	64.7348	19,873.58 19,873.58	3,347.90	319	
05/11/16	FISERV INC C FISV	57	106.28	6,057.96	105.3296	6,003.79 6,003.79	54.17	—	—
06/08/16		33		3,507.24	107.1900	3,537.27 3,537.27	-30.03	—	
08/23/16		46		4,888.88	103.4996	4,760.98 4,760.98	127.90	—	
Total		136		14,454.08	105.1621	14,302.04 14,302.04	152.04	—	
05/17/11	GOLDMAN SACHS GROUP INC C GS	3	239.45	718.35	141.0200	423.06 423.06	295.29	7	1.09%
01/11/12		18		4,310.10	99.7083	1,794.75 1,794.75	2,515.35	46	
01/30/12		46		11,014.70	109.8300	5,052.18 5,052.18	5,962.52	119	
05/02/12		31		7,422.95	112.8600	3,498.66 3,498.66	3,924.29	80	

EQUITIES AND OPTIONS continue on page 12

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/22/14	GOLDMAN SACHS GROUP INC (continued)	25		5,986 25	174 2400	4,356 00 4,356 00	1,630 25	65	
02/04/15		25		5,986.25	180 1200	4,503 00 4,503 00	1,483 25	65	
04/29/15		29		6,944 05	197 8024	5,736 27 5,736 27	1,207.78	75	
Total		**177**		**42,382.65**	**143.2990**	**25,363.92** **25,363.92**	**17,018.73**	**457**	
02/02/11	HONEYWELL INTL INC C HON	74	115.85	8,572 90	57.0443	4,221 28 4,221 28	4,351 62	196	2 30%
01/30/12		53		6,140 05	57 8323	3,065 11 3,065 11	3,074 94	140	
12/C4/13		60		6,951 00	86 5277	5,191 66 5,191 66	1,759 34	159	
Total		**187**		**21,663.95**	**66.7275**	**12,478.05** **12,478.05**	**9,185.90**	**495**	
04/02/14	ILLINOIS TOOL WORKS INC C ITW	86	122 46	10,531 56	82 7505	7,116 54 7,116 54	3,415 02	223	2 12%
04/C9/14		61		7,470 06	82 6480	5,041 53 5,041 53	2,428 53	158	
Total		**147**		**18,001.62**	**82.7080**	**12,158.07** **12,158.07**	**5,843.55**	**381**	

EQUITIES AND OPTIONS continue on page 13

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/02/11	JOHNSON & JOHNSON C JNJ	135	115.21	15,553.35	60 6476	8,187.42 8,187 42	7,365 93	432	2.78%
01/30/12		79		9,101 59	65.6000	5,182 40 5,182.40	3,919 19	252	
12/05/12		54		6,221 34	70.0793	3,784.28 3,784 28	2,437.06	172	
12/19/12		53		6,106 13	70.7698	3,750.80 3,750.80	2,355.33	169	
Total		321		36,982.41	65.1243	20,904.90 20,904.90	16,077.51	1,025	
09/12/16	JOHNSON CONTROLS INTL C PLC JCI	81	41.19	3,336.39	45 0756	3,651.12 3,651 12	-314.73	81	2 43%
09/06/16		331		13,633.89	45 6900	15,123.39 15,123 39	-1,489 50	331	
09/28/16		211		8,691.09	45.4362	9,587.03 9,587 03	-895.94	211	
Total		623		25,661.37	45.5241	28,361.54 28,361.54	-2,700.17	623	
02/02/11	JPMORGAN CHASE & C COMPANY JPM	146	86.29	12,598 34	45 4698	6,638.59 6,638 59	5,959 75	280	2 23%

EQUITIES AND OPTIONS continue on page 14

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/25/11	JPMORGAN CHASE & (continued)	57		4,918.53	46 4598	2,648.21 2,648 21	2,270 32	109	
08/03/11		76		6,558 04	39 7778	3,023 11 3,023 11	3,534 93	145	
01/30/12		161		13,892.69	37.0390	5,963.28 5,963.28	7,929 41	309	
05/16/12		101		8,715.29	36.8736	3,724.23 3,724.23	4,991.06	193	
04/17/13		63		5,436.27	46.6298	2,937 68 2,937 68	2,498.59	120	
10/30/13		76		6,558.04	53.0800	4,034 08 4,034 08	2,523.96	145	
03/23/16		70		6,040.30	60.2190	4,215.33 4,215.33	1,824.97	134	
Total		750		64,717.50	44.2460	33,184.51 33,184.51	31,532.99	1,435	
07/06/16	MCKESSON CORP C MCK	34	140.45	4,775.30	188.3018	6,402.26 6,402.26	-1,626.96	38	0 80%
08/17/16		34		4,775 30	193 6529	6,584.20 6,584.20	-1,808 90	38	

EQUITIES AND OPTIONS continue on page 15

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[8]	Estimated 30-Day Yield[8]
08/31/16	MCKESSON CORP (continued)	23		3,230 35	183 9774	4,231 48 4,231 48	-1,001 13	25	
Total		91		12,780.95	189.2081	17,217 94 17,217.94	-4,436.99	101	
01/27/15	MEDTRONIC PLC C MDT	75	71 23	5,342 25	76 9500	5,715 81 5,715 81	-373 56	129	2 41%
01/28/15		102		7,265.46	74.7238	7,546 43 7,546 43	-280.97	175	
03/11/15		83		5,912.09	76.4873	6,287 10 6,287 10	-375 01	142	
04/08/15		66		4,701 18	76.9098	5,040 29 5,040 29	-339 11	113	
11/23/16		83		5,912.09	74 7599	6,205 07 6,205 07	-292 98	142	
12/21/16		57		4,060 11	72.1393	4,111.94 4,111.94	-51 83	98	
Total		466		33,193.18	74.9070	34,906.64 34,906.64	-1,713.46	799	
08/13/14	MERCK & COMPANY INC NEW C MRK	94	58 87	5,533.78	57 8662	5,439 42 5,439 42	94 36	176	3 19%
08/20/14		89		5,239 43	59 2971	5,277 44 5,277 44	-38 01	167	

EQUITIES AND OPTIONS continue on page 16

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

8 Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
09/03/14	MERCK & COMPANY INC NEW (continued)	88		5,180 56	60.7990	5,350 31 5,350 31	-169 75	165	
09/17/14		81		4,768 47	59 7485	4,839 63 4,839 63	-71 16	152	
12/10/14		90		5,298 30	60 3689	5,433 20 5,433 20	-134 90	169	
Total		442		26,020.54	59.5928	26,340.00 26,340.00	-319.46	829	
02/02/11	METLIFE INC C MET	359	53 89	19,346 51	46 1080	16,552 77 16,552.77	2,793.74	574	2 97%
01/30/12		116		6,251.24	35.6476	4,135 12 4,135 12	2,116 12	185	
Total		475		25,597.75	43.5535	20,687.89 20,687.89	4,909.86	759	
11/14/13	NASDAQ INC C NDAQ	78	67 12	5,235 36	36.3551	2,835 70 2,835.70	2,399 66	99	1 91%
12/11/13		126		8,457.12	38.7699	4,885.01 4,885 01	3,572 11	161	
01/16/14		100		6,712 00	39.7479	3,974 79 3,974 79	2,737.21	128	
Total		304		20,404.48	38.4720	11,695.50 11,695.50	8,708 98	388	

EQUITIES AND OPTIONS continue on page 17

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/02/11	NESTLE S A SPNSD ADR C REPSTING REG SHS NSRGY	54	71 74	3,873 96	55 0000	2,970 00 2,970 00	903 96	125	3 23%
01/30/12		39		2,797 86	58 1200	2,266 68 2,266 68	531 18	90	
02/21/13		57		4,089 18	68 7900	3,921 03 3,921 03	168 15	132	
07/31/13		70		5,021 80	67.8317	4,748.22 4,748 22	273 58	162	
08/14/13		54		3,873 96	67 1700	3,627 18 3,627 18	246 78	125	
11/16/16		90		6,456 60	68 9423	6,204 81 6,204 81	251.79	208	
Total		364		26,113.36	65.2141	23,737.92 23,737.92	2,375.44	842	
01/21/15	NORTHROP GRUMMAN CORP C NOC	32	232 58	7,442.56	154 3175	4,938 16 4,938.16	2,504 40	115	1 55%
01/28/15		28		6,512 24	154.9221	4,337 82 4,337.82	2,174 42	100	
04/01/15		37		8,605.46	159 6089	5,905.53 5,905.53	2,699 93	133	

EQUITIES AND OPTIONS continue on page 18

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
05/06/15	NORTHROP GRUMMAN CORP (continued)	28		6,512.24	153.2568	4,291.19 4,291.19	2,221.05	100	
Total		125		29,072.50	155.7816	19,472.70 19,472.70	9,599.80	448	
06/15/11	OCCIDENTAL PETROLEUM CORP OXY	10	71.23	712.30	99.8710	998.71 998.71	-286.41	30	4.27%
08/31/11		29		2,065.67	83.9666	2,435.03 2,435.03	-369.36	88	
01/30/12		28		1,994.44	95.8732	2,684.45 2,684.45	-690.01	85	
02/14/12		38		2,706.74	101.0066	3,838.25 3,838.25	-1,131.51	115	
05/21/14		46		3,276.58	92.7804	4,267.90 4,267.90	-991.32	139	
04/15/15		60		4,273.80	81.4698	4,888.19 4,888.19	-614.39	182	
10/14/15		60		4,273.80	73.9730	4,438.38 4,438.38	-164.58	182	
Total		271		19,303.33	86.9037	23,550.91 23,550.91	-4,247.58	821	

EQUITIES AND OPTIONS continue on page 19

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/02/11	PFIZER INC[C] PFE	128	32 48	4,157 44	18 9498	2,425 58 2,425 58	1,731 86	163	3 94%
01/30/12		245		7,957 60	21 5076	5,269 36 5,269 36	2,688 24	313	
02/08/12		165		5,359 20	20 9389	3,454 92 3,454 92	1,904 28	211	
01/09/13		165		5,359 20	26 2999	4,339 48 4,339 48	1,019 72	211	
Total		703		22,833 44	22 0332	15,489 34 15,489 34	7,344 10	898	
02/02/11	PHILIP MORRIS INTL INC[C] PM	244	91 49	22,323 56	57 6798	14,073 88 14,073 88	8,249 68	1,015	4 55%
01/25/12		21		1,921 29	74 5590	1,565 74 1,565 74	355 55	87	
01/30/12		104		9,514 96	74 8100	7,780 24 7,780 24	1,734 72	432	
10/23/13		55		5,031 95	87 5469	4,815 08 4,815 08	216 87	228	
09/16/15		89		8,142 61	81 6081	7,263 12 7,263 12	879 49	370	

EQUITIES AND OPTIONS continue on page 20

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/16/16	PHILIP MORRIS INTL INC (continued)	55		5,031.95	88.1233	4,846.78 4,846.78	185.17	228	
Total		568		51,966.32	71.0296	40,344.84 40,344.84	11,621.48	2,360	
09/24/15	PNC FINANCIAL SERVICES GROUP INC PNC	75	116 96	8,772 00	87 2693	6,545 20 6,545 20	2,226 80	165	1 88%
10/07/15		55		6,432 80	90 1002	4,955 51 4,955.51	1,477 29	121	
06/08/16		73		8,538 08	89 4090	6,526 86 6,526 86	2,011.22	160	
07/20/16		58		6,783 68	82 6167	4,791 77 4,791 77	1,991 91	127	
Total		261		30,526.56	87.4304	22,819.34 22,819.34	7,707 22	573	
11/19/14	PPG INDUSTRIES INC PPG	54	94 76	5,117 04	104 9174	5,665 54 5,665 54	-548 50	86	1 69%
01/14/15		58		5,496 08	112 3553	6,516 61 6,516 61	-1,020 53	92	
03/04/15		56		5,306.56	116 7739	6,539 34 6,539 34	-1,232 78	89	

EQUITIES AND OPTIONS continue on page 21

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
07/22/15	PPG INDUSTRIES INC (continued)	37		3,506.12	108.7168	4,022.52 4,022.52	-516.40	59	
07/29/15		84		7,959.84	108.2564	9,093.54 9,093.54	-1,133.70	134	
09/02/15		47		4,453.72	92.2602	4,336.23 4,336.23	117.49	75	
Total		336		31,839.36	107.6601	36,173.78 36,173.78	-4,334.42	535	
12/03/14	SCHLUMBERGER LTD C SLB	66	83.95	5,540.70	86.5055	5,709.36 5,709.36	-168.66	132	2.38%
12/17/14		54		4,533.30	83.9104	4,531.16 4,531.16	2.14	108	
09/09/15		76		6,380.20	76.8795	5,842.84 5,842.84	537.36	152	
10/14/15		56		4,701.20	75.2470	4,213.83 4,213.83	487.37	112	
10/28/15		66		5,540.70	79.1842	5,226.16 5,226.16	314.54	132	
Total		318		26,696.10	80.2621	25,523.35 25,523.35	1,172.75	636	
05/04/16	SMUCKER JM COMPANY NEW C SJM	45	128.06	5,762.70	126.9391	5,712.26 5,712.26	50.44	135	2.34%

EQUITIES AND OPTIONS continue on page 22

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
05/11/16	SMUCKER J M COMPANY NEW (continued)	45		5,762.70	130.4178	5,868.80 5,868.80	-106.10	135	
05/25/16		46		5,890.76	128.4539	5,908.88 5,908.88	-18.12	138	
08/31/16		34		4,354.04	140.9818	4,793.38 4,793.38	-439.34	102	
Total		170		21,770.20	131.0784	22,283.32 22,283.32	-513.12	510	
10/15/14	TEXAS INSTRUMENTS INC TXN	138	72.97	10,069.86	42.6947	5,891.87 5,891.87	4,177.99	276	2.74%
10/22/14		104		7,588.88	47.0496	4,893.16 4,893.16	2,695.72	208	
11/11/15		76		5,545.72	58.4296	4,440.65 4,440.65	1,105.07	152	
01/06/16		98		7,151.06	53.5204	5,245.00 5,245.00	1,906.06	196	
06/01/16		82		5,983.54	60.9299	4,996.25 4,996.25	987.29	164	
Total		498		36,339.06	51.1384	25,466.93 25,466.93	10,872.13	996	

EQUITIES AND OPTIONS continue on page 23

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/17/11	THERMO FISHER SCIENTIFIC INC TMO	[illegible]	141.10	1,552.10	53.9582	593.54 593.54	958.56	6	0.43%
09/07/11		34		4,797.40	54.0038	1,836.13 1,836.13	2,961.27	20	
01/30/12		41		5,785.10	52.4000	2,148.40 2,148.40	3,636.70	24	
05/15/13		44		6,208.40	86.1500	3,790.60 3,790.60	2,417.80	26	
Total		130		18,343.00	64.3744	8,368.67 8,368.67	9,974.33	76	
06/25/14	TIME WARNER INC NEW C TWX	64	96.53	6,177.92	68.8870	4,408.77 4,408.77	1,769.15	103	1.67%
11/19/14		71		6,853.63	81.0377	5,753.68 5,753.68	1,099.95	114	
Total		135		13,031.55	75.2774	10,162.45 10,162.45	2,869.10	217	
02/09/11	TRAVELERS COMPANIES INC C TRV	6	122.42	734.52	58.1817	349.09 349.09	385.43	16	2.19%
01/30/12		56		6,855.52	58.1700	3,257.52 3,257.52	3,598.00	150	
05/29/13		31		3,795.02	82.8419	2,568.10 2,568.10	1,226.92	83	

EQUITIES AND OPTIONS continue on page 24

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/28/13	TRAVELERS COMPANIES INC (continued)	62		7,590.04	80.2698	4,976.73 4,976 73	2,613 31	166	
02/19/14		59		7,222.78	84.7698	5,001 42 5,001.42	2,221 36	158	
Total		214		26,197.88	75.4807	16,152.86 16,152.86	10,045.02	573	
12/10/14	U S BANCORP DE NEW C USB	124	51.37	6,369.88	45 3099	5,618.43 5,618.43	751.45	138	2 18%
02/04/15		117		6,010 29	43.4299	5,081 30 5,081 30	928 99	131	
03/23/16		142		7,294 54	41.4197	5,881 60 5,881 60	1,412.94	159	
03/30/16		225		11,558 25	40.6970	9,156.83 9,156 83	2,401 42	252	
04/27/16		126		6,472.62	43.4261	5,471.69 5,471 69	1,000 93	141	
Total		734		37,705.58	42.5202	31,209.85 31,209.85	6,495.73	821	
09/02/15	UNION PACIFIC CORP C UNP	84	103 68	8,709 12	83 5114	7,014 96 7,014 96	1,694 16	203	2 33%
02/10/16		51		5,287 68	77 5298	3,954 02 3,954 02	1,333.66	123	

EQUITIES AND OPTIONS continue on page 25

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/03/16	UNION PACIFIC CORP (continued)	69		7,153.92	92.0999	6,354.89 6,354.89	799.03	166	
Total		204		21,150.72	84.9209	17,323.87 17,323.87	3,826.85	492	
02/02/11	UNITED TECHNOLOGIES CORP C UTX	23	109.62	2,521.26	82.1096	1,888.52 1,888.52	632.74	60	2.41%
01/30/12		53		5,809.86	77.5700	4,111.21 4,111.21	1,698.65	139	
04/03/13		35		3,836.70	93.9000	3,286.50 3,286.50	550.20	92	
11/05/14		54		5,919.48	107.4198	5,800.67 5,800.67	118.81	142	
07/22/15		39		4,275.18	101.7379	3,967.78 3,967.78	307.40	102	
Total		204		22,362.48	93.4053	19,054.68 19,054.68	3,307.80	535	
02/13/13	WELLS FARGO & CO NEW C WFC	53	55.11	2,920.83	35.1196	1,861.34 1,861.34	1,059.49	80	2.76%
02/21/13		115		6,337.65	35.4491	4,076.65 4,076.65	2,261.00	174	
04/24/13		138		7,605.18	37.2596	5,141.82 5,141.82	2,463.36	209	

EQUITIES AND OPTIONS continue on page 26

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
07/24/13	WELLS FARGO & CO NEW (continued)	104		5,731.44	44.4394	4,621.70 4,621.70	1,109.74	158	
09/18/13		107		5,896.77	43.1199	4,613.83 4,613.83	1,282.94	162	
11/20/13		116		6,392.76	43.8999	5,092.39 5,092.39	1,300.37	176	
09/21/16		103		5,676.33	45.8499	4,722.54 4,722.54	953.79	156	
Total		738		40,660.96	40.9379	30,130.27 30,130.27	10,480.69	1,115	
01/06/16	XCEL ENERGY INC C XEL	157	40.70	6,389.90	36 1096	5,669.21 5,669.21	720.69	213	3 34%
09/07/16		153		6,227.10	42 3397	6,477 97 6,477 97	-250 87	208	
12/07/16		110		4,477 00	39 1991	4,311 90 4,311 90	165.10	149	
12/14/16		102		4,151.40	40 8591	4,167 63 4,167.63	-16 23	138	
Total		522		21,245.40	39.5148	20,626.71 20,626.71	618.69	708	
03/24/11	3M COMPANY C MMM	10	178 57	1,785 70	92 6590	926 59 926 59	859 11	44	2 49%

EQUITIES AND OPTIONS continue on page 27

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/30/12	3M COMPANY (continued)	34		6,071 38	87 3300	2,969 22 2,969 22	3,102 16	150	
01/29/14		37		6,607.09	130 7862	4,839 09 4,839 09	1,768 00	164	
04/06/16		32		5,714.24	165.2734	5,288 75 5,288 75	425 49	142	
Total		113		20,178.41	124.1031	14,023.65 14,023.65	6,154.76	500	
TOTAL EQUITIES AND OPTIONS				$1,228,052.44		$971,946.23 $971,946.23	$256,106.21	$27,375	

C Dividends and/or capital gains distributed by this security will be distributed as cash.

Value of Your LPL Financial Account

	Market Value	Cost Basis/ Purchase Cost[4]	Unrealized Gain or Loss	Estimated Annual Income
	$1,258,767.73	$1,002,661.52 $1,002,661.52	$256,106.21	$27,375

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated
4 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

Account Activity as of December 31, 2016

ACCOUNT ACTIVITY SUMMARY

	Period Ending November 30, 2016	Period Ending December 31, 2016	Year-to-Date
Securities Purchased	-$28,930.41	-$30,442 30	-$314,465 73
Securities Sold	26,760 09	26,179 08	294,527 39
Additions to Your Account	—	—	—
Withdrawals from Your Account	—	—	-94 13
Dividends, Interest and Capital Gains	1,734 65	2,631 65	27,299 39
Reinvestments	—	—	—
Net Change in Bank Deposit Sweep Balance[1]	2 83	-1,930 99	-2,101.25
Net Change in Money Market Fund Balance	—	—	—
Fees and Expenses[2]	—	—	-11,544 58
Other Activity	—	—	2,274 53

SECURITIES PURCHASED

Date	Activity Type	Description/Security ID	Capacity	Quantity	Price	Amount
12/07/16	Purchase	DELPHI AUTOMOTIVE PLC DLPH	AGENT	92	$69 5259	-$6,396 39
12/07/16	Purchase	XCEL ENERGY INC XEL	AGENT	110	39 1991	-4,311 90
12/14/16	Purchase	FIDELITY NATIONAL INFORMATION SERVICES INC FIS	AGENT	81	76 5172	-6,197 90
12/14/16	Purchase	XCEL ENERGY INC XEL	AGENT	102	40 8591	-4,167 63

SECURITIES PURCHASED continue on page 29

1 *Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes See the message section for further information*

2 *Fees and expenses include account, custodial and advisory fees assessed during the statement period*

LPL Financial

Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

Description	Interest Paid in December[1]	Blended Interest Rate[1]	Current Balance
Cash			$146 60
Insured Cash Account[2]			
Goldman Sachs Bank USA			14,856 10
Bremer Bank NA			0 01
Total Insured Cash Account	0 16	0.009%	14,856 11
TOTAL CASH AND CASH EQUIVALENTS			**$15,002.71**

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/21/15	ACCELERON PHARMA INC C XLRN	80	$25.52	$2,041.60	$46.8505	$3,748 04 3,748.04	-$1,706 44	—	—
11/15/16		23		586.96	40.2557	925.88 925 88	-338.92	—	
Total		103		2,628.56	45.3779	4,673.92 4,673.92	-2,045.36	—	
10/08/12	ACORDA THERAPEUTICS INC C ACOR	4	18.80	75.20	25.8275	103 31 103 31	-28.11	—	—
12/13/12		71		1,334.80	25.0261	1,776 85 1,776 85	-442 05	—	

EQUITIES AND OPTIONS continue on page 4

1 Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month
2 Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See message section for further information
3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
09/30/14	ACORDA THERAPEUTICS INC (continued)	62		1,165 60	34 1860	2,119 53 2,119 53	-953.93	—	
Total		137		2,575.60	29.1948	3,999 69 3,999.69	-1,424.09	—	
07/09/13	ACUITY BRANDS INC C AYI	19	230.86	4,386 34	84 1400	1,598 66 1,598.66	2,787 68	9	0 23%
08/27/14		24		5,540 64	123 1800	2,956.32 2,956 32	2,584 32	12	
Total		43		9,926.98	105.9298	4,554.98 4,554.98	5,372.00	21	
11/04/16	ADVANCED MICRO DEVICES C INC AMD	563	11.34	6,384.42	6.5497	3,687.48 3,687 48	2,696.94	—	—
03/12/14	ADVISORY BOARD COMPANY C ABCO	58	33.25	1,928.50	66.1579	3,837.16 3,837 16	-1,908.66	—	—
04/14/14		60		1,995.00	58.8995	3,533.97 3,533 97	-1,538.97	—	
Total		118		3,923.50	62.4672	7,371.13 7,371.13	-3,447.63	—	
01/21/16	AIMMUNE THERAPEUTICS INC C AIMT	254	20.45	5,194 30	13.2707	3,370 76 3,370 76	1,823 54	—	—
09/25/15	AIR LEASE CORP CL A C AL	116	34.33	3,982.28	33.3699	3,870 91 3,870 91	111 37	34	0 87%
10/15/15	AKEBIA THERAPEUTICS INC C AKBA	373	10 41	3,882 93	10 5966	3,952 55 3,952 55	-69 62	—	—

EQUITIES AND OPTIONS continue on page 5

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/14/15	ALDER BIOPHARMACEUTICALS [C] INC ALDR	129	20.80	2,683.20	29.2895	3,778 35 3,778 35	-1,095 15	—	—
10/18/16	AMBARELLA INC [C] AMBA	63	54 13	3,410.19	63 6652	4,010 91 4,010 91	-600 72	—	—
12/05/16		85		4,601 05	56 7104	4,820 38 4,820.38	-219 33	—	
Total		148		8,011.24	59.6709	8,831.29 8,831.29	-820.05	—	
02/02/11	ANSYS INC [C] ANSS	56	92.49	5,179.44	54.4095	3,046 93 3,046 93	2,132 51	—	—
10/26/11		2		184.98	50.8500	101.70 101.70	83.28	—	
Total		58		5,364.42	54.2867	3,148.63 3,148.63	2,215.79	—	
12/18/13	ASPEN TECHNOLOGY INC [C] AZPN	87	54.68	4,757.16	40.6799	3,539.15 3,539.15	1,218.01	—	—
06/30/14		81		4,429.08	46.3574	3,754.95 3,754.95	674 13	—	
Total		168		9,186.24	43.4173	7,294.10 7,294.10	1,892.14	—	
07/10/15	ATARA BIOTHERAPEUTICS [C] INC ATRA	77	14.20	1,093.40	52.2136	4,020 45 4,020 45	-2,927.05	—	—

EQUITIES AND OPTIONS continue on page 6

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/12/15	ATARA BIOTHERAPEUTICS (continued)	64		908.80	32 6706	2,090 92 2,090 92	-1,182 12	—	
11/23/16		135		1,917 00	18 2250	2,460 38 2,460 38	-543 38	—	
Total		276		3,919.20	31.0571	8,571.75 8,571.75	-4,652.55	—	
08/10/16	BANK OF THE OZARKS INC C OZRK	110	52.59	5,784.90	36 9798	4,067 78 4,067 78	1,717 12	72	1 25%
10/04/16		45		2,366.55	39.3031	1,768.64 1,768 64	597 91	29	
11/30/16		62		3,260.58	48 4276	3,002.51 3,002.51	258.07	40	
Total		217		11,412.03	40.7324	8,838.93 8,838.93	2,573.10	141	
06/16/15	BRIGHT HORIZONS FAMILY C SOLUTIONS INC. BFAM	73	70.02	5,111.46	57.0037	4,161.27 4,161.27	950.19	—	—
08/28/12	BUFFALO WILD WINGS INC C BWLD	27	154.40	4,168.80	75.5367	2,039.49 2,039.49	2,129.31	—	—
12/03/15	BUILDERS FIRSTSOURCE INC C BLDR	292	10.97	3,203.24	13.2970	3,882.72 3,882.72	-679.48	—	—

EQUITIES AND OPTIONS continue on page 7

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/04/15	BUILDERS FIRSTSOURCE INC (continued)	[illegible]		10.97	13.1200	13.12 13.12	-2.15	—	
Total		293		3,214.21	13.2964	3,895.84 3,895.84	-681.63	—	
07/14/15	BURLINGTON STORES INC C BURL	77	84.75	6,525.75	54.9801	4,233.47 4,233.47	2,292.28	—	—
08/28/15	[illegible]	68	[illegible]	5,763.00	54.3535	3,696.04 3,696.04	2,066.96	—	
03/30/16	[illegible]	39	[illegible]	3,305.25	55.3759	2,159.66 2,159.66	1,145.59	—	
Total		184		15,594.00	54.8324	10,089.17 10,089.17	5,504.83	—	
11/14/16	CAMPING WORLD HOLDINGS C INC CL A CWH	175	32.59	5,703.25	24.8440	4,347.70 4,347.70	1,355.55	14	0.25%
12/08/15	CASEYS GENL STORES INC C CASY	31	118.88	3,685.28	126.4574	3,920.18 3,920.18	-234.90	29	0.81%
02/17/16		27		3,209.76	109.3237	2,951.74 2,951.74	258.02	25	
Total		58	[illegible]	6,895.04	118.4814	6,871.92 6,871.92	23.12	54	
01/19/12	CAVIUM INC C CAVM	75	62.44	4,683.00	35.0960	2,632.20 2,632.20	2,050.80	—	—

EQUITIES AND OPTIONS continue on page 8

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/09/12	CAVIUM INC (continued)	83		5,182.52	33 2998	2,763 88 2,763 88	2,418.64	—	
09/27/13		99		6,181 56	40 7434	4,033 60 4,033 60	2,147.96	—	
Total		257		16,047.08	36.6914	9,429.68 9,429.68	6,617.40	—	
11/02/12	CHART INDUSTRIES INC C PAR $0 01 GTLS	42	36.02	1,512 84	64 8031	2,721 73 2,721 73	-1,208.89	—	—
11/01/13		24		864 48	105 7200	2,537 28 2,537 28	-1,672.80	—	
08/25/14		44		1,584.88	68 1511	2,998 65 2,998 65	-1,413 77	—	
Total		110		3,962.20	75.0696	8,257.66 8,257.66	-4,295.46	—	
04/09/12	CHEMTURA CORP NEW C CHMT	161	33 20	5,345 20	16 6999	2,688 69 2,688.69	2,656.51	32	0.60%
11/06/14	CHUYS HOLDINGS INC C CHUY	179	32.45	5,808 55	21 2782	3,808.79 3,808 79	1,999 76	—	—
08/23/11	COGNEX CORP C CGNX	142	63.62	9,034.04	15.0875	2,142.43 2,142.43	6,891 61	42	0 47%
08/30/11		126		8,016.12	17 5874	2,216.01 2,216.01	5,800.11	37	

EQUITIES AND OPTIONS continue on page 9

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/26/11	COGNEX CORP (continued)	4		254.48	16.1100	64.44 64.44	190.04	1	
Total		272		17,304.64	16.2606	4,422.88 4,422.88	12,881.76	80	
02/02/11	COHERENT INC C COHR	126	137.385	17,310.51	53.7495	6,772.44 6,772.44	10,538.07	—	—
10/26/11		23		3,159.85	47.7778	1,098.89 1,098.89	2,060.96	—	
Total		149		20,470.36	52.8277	7,871.33 7,871.33	12,599.03	—	
03/08/13	CORNERSTONE ONDEMAND INC C CSOD	85	42.31	3,596.35	35.2499	2,996.24 2,996.24	600.11	—	—
03/12/13		3		126.93	34.6200	103.86 103.86	23.07	—	
03/21/13		3		126.93	33.4900	100.47 100.47	26.46	—	
10/21/13		46		1,946.26	52.0500	2,394.30 2,394.30	-448.04	—	
Total		137		5,796.47	40.8385	5,594.87 5,594.87	201.60	—	
06/02/16	COTIVITI HOLDINGS INC C COTV	205	34.40	7,052.00	18.8990	3,874.30 3,874.30	3,177.70	—	—

EQUITIES AND OPTIONS continue on page 10

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[4]	Estimated 30-Day Yield[4]
11/13/15	CUBESMART C CUBE	203	26.77	5,434.31	27.7626	5,635.80 5,635.80	-201.49	219	4.03%
11/21/16	CYNOSURE INC C CLASS A CYNO	94	45.60	4,286.40	44.5741	4,189.97 4,189.97	96.43	—	—
10/20/15	DERMIRA INC C DERM	156	30.33	4,731.48	24.3160	3,793.30 3,793.30	938.18	—	—
11/07/13	DIAMONDBACK ENERGY INC C FANG	66	101.06	6,669.96	55.0700	3,634.62 3,634.62	3,035.34	—	—
08/15/12	DOMINOS PIZZA INC C DPZ	48	159.24	7,643.52	33.9663	1,630.38 1,630.38	6,013.14	—	—
N/A	DYAX CORP XXX C CONTINGENT VALUE RIGHT 267CVR991	158	N/A	N/A	N/A	N/A	N/A	—	—
10/02/14	ELECTRONICS FOR IMAGING C INC EFII	83	43.86	3,640.38	43.9467	3,647.58 3,647.58	-7.20	—	—
05/04/16	ELLIE MAE INC C ELLI	48	83.68	4,016.64	77.4629	3,718.22 3,718.22	298.42	—	—
08/04/16		22		1,840.96	92.9500	2,044.90 2,044.90	-203.94	—	
Total		70		5,857.60	82.3303	5,763.12 5,763.12	94.48	—	
12/31/12	ENSTAR GROUP LTD C ESGR	26	197.70	5,140.20	107.6000	2,797.60 2,797.60	2,342.60	—	—

EQUITIES AND OPTIONS continue on page 11

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
4 Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
07/09/13	ENSTAR GROUP LTD (continued)	[illegible]		395.40	138.0000	276.00 276.00	119.40	—	
Total		28		5,535.60	109.7714	3,073.60 3,073.60	2,462.00	—	
11/23/15	EQUITY ONE INC C EQY	143	30.69	4,388.67	27.0188	3,857.39 3,857.39	531.28	125	2.87%
04/05/16		4		122.76	28.3400	113.36 113.36	9.40	3	
Total		147		4,511.43	27.0119	3,970.75 3,970.75	540.68	128	
08/22/16	EXACT SCIENCES CORP C EXAS	197	13.36	2,631.92	20.5949	4,057.20 4,057.20	-1,425.28	—	—
02/02/11	GENESCO INC C GCO	202	62.10	12,544.20	37.3189	7,538.41 7,538.41	5,005.79	—	—
03/12/15		64		3,974.40	67.8877	4,344.81 4,344.81	-370.41	—	
Total		266		16,518.60	44.6738	11,883.22 11,883.22	4,635.38	—	
02/02/11	GEO GROUP INC NEW C GEO	223	35.93	8,012.39	24.4673	5,218.01 5,218.01	2,794.38	579	7.24%
10/26/11		25		898.25	18.0160	423.73 423.73	474.52	65	

EQUITIES AND OPTIONS continue on page 12

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/31/12	GEO GROUP INC NEW (continued)	97		1,329.41	1.0000	0.00	1,329.41	96	
Total		285		10,240.05	N/A	5,641.74 5,641.74	4,598.31	740	
02/02/11	GEOSPACE TECHNOLOGIES[C] CORP GEOS	99	20.36	2,015 64	49 1757	4,868.39 4,868.39	-2,852.75	—	—
10/26/11		12		244 32	33 9967	407.96 407.96	-163 64	—	
Total		111		2,259.96	47.5347	5,276.35 5,276.35	-3,016.39	—	
08/01/16	GRACO INC[C] GGG	55	83 09	4,569 95	73 8487	4,061.68 4,061 68	508.27	72	1 59%
07/16/14	GUIDEWIRE SOFTWARE INC[C] GWRE	97	49.33	4,785 01	37 5116	3,638.63 3,638.63	1,146 38	—	—
04/29/15	HEALTHSOUTH CORP NEW[C] HLS	128	41.24	5,278 72	47 3981	6,066 96 6,066.96	-788 24	122	2 33%
10/06/11	HEXCEL CORP NEW[C] HXL	104	51 44	5,349 76	21 5056	2,236.58 2,236 58	3,113 18	45	0 86%
10/10/11		86		4,423.84	23 0479	1,982 12 1,982.12	2,441 72	37	
Total		190		9,773.60	22.2037	4,218.70 4,218.70	5,554.90	82	
03/07/13	HMS HOLDINGS CORP[C] HMSY	99	18.16	1,797.84	30 2241	2,992.19 2,992.19	-1,194 35	—	—

EQUITIES AND OPTIONS continue on page 13

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/25/13	HMS HOLDINGS CORP (continued)	168		3,050.88	22.4900	3,778.32 3,778.32	-727.44	—	
10/28/15		87		1,579.92	10.9282	950.75 950.75	629.17	—	
Total		354		6,428.64	21.8115	7,721.26 7,721.26	-1,292.62	—	
08/06/15	HSN INC DE HSNI	52	34.30	1,783.60	67.8865	3,530.10 3,530.10	-1,746.50	72	4.08%
08/07/15		10		343.00	66.0750	660.75 660.75	-317.75	14	
08/10/15		2		68.60	65.1550	130.31 130.31	-61.71	2	
11/08/16		170		5,831.00	33.2250	5,648.25 5,648.25	182.75	238	
Total		234		8,026.20	42.6043	9,969.41 9,969.41	-1,943.21	326	
02/02/11	HUNTSMAN CORP C HUN	543	19.08	10,360.44	17.6390	9,577.97 9,577.97	782.47	271	2.62%
09/14/15	IMPERVA INC C IMPV	85	38.40	3,264.00	65.3308	5,553.12 5,553.12	-2,289.12	—	—
05/24/16	INFINERA CORP C INFN	286	8.49	2,428.14	12.8090	3,663.37 3,663.37	-1,235.23	—	—

EQUITIES AND OPTIONS continue on page 14

3. Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a. Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/22/16	INTEGRA LIFESCIENCES C HLDGS CORP IART	76	85.79	6,520.04	84.2930	6,406.27 6,406.27	113 77	—	—
02/03/14	INTRAWEST RESORTS C HOLDINGS INC SNOW	305	17.85	5,444.25	11 9777	3,653.21 3,653.21	1,791 04	—	—
11/01/11	IPG PHOTONICS CORP C IPGP	51	98.71	5,034.21	48.2633	2,461.43 2,461.43	2,572 78	—	—
04/03/12		38		3,750 98	54.0100	2,052.38 2,052.38	1,698.60	—	
07/09/13		8		789 68	59 9400	479.52 479.52	310 16	—	
Total		97		9,574.87	51.4776	4,993.33 4,993.33	4,581.54	—	
07/10/15	JACK IN THE BOX INC C JACK	47	111.64	5,247 08	89 1402	4,189.59 4,189.59	1,057 49	75	1 43%
10/02/15		27		3,014 28	74 9133	2,022.66 2,022.66	991 62	43	
Total		74		8,261.36	83.9493	6,212.25 6,212.25	2,049.11	118	
02/02/11	JETBLUE AIRWAYS CORP C JBLU	635	22.42	14,236.70	5 8200	3,695.70 3,695.70	10,541 00	—	—
02/02/11	LANDSTAR SYSTEM INC C LSTR	111	85 30	9,468 30	42 1786	4,681.82 4,681.82	4,786 48	39	0 42%

EQUITIES AND OPTIONS continue on page 15

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/26/11	LANDSTAR SYSTEM INC (continued)				43.9200	43.92 43 92	41 38	—	
Total		112		9,553.60	42.1941	4,725 74 4,725.74	4,827.86	39	
01/26/16	LEXICON PHARMACEUTICALS C INC NEW LXRX	342	13.83	4,729 86	10.2493	3,505.27 3,505 27	1,224 59	—	—
11/10/16	[illegible]	20	[illegible]	276 60	16.9410	338 82 338 82	-62 22	—	
Total		362		5,006.46	10.6190	3,844.09 3,844 09	1,162.37	—	
11/14/16	LIGAND PHARMACEUTICALS C INC NEW LGND	39	101.61	3,962 79	106.9449	4,170.85 4,170 85	-208 06	—	—
10/03/16	LITTELFUSE INC C LFUS	32	151.77	4,856.64	127.1972	4,070 31 4,070 31	786 33	42	0 87%
02/02/11	MADDEN STEVEN LIMITED C SHOO	271	35.75	9,688.25	17.4258	4,722 40 4,722 40	4,965 85	—	—
10/02/14	MANHATTAN C ASSOCIATES INC MANH	109	53 03	5,780 27	32 8667	3,582 47 3,582 47	2,197 80	—	—
06/20/16	MARINEMAX INC C HZO	240	19 35	4,644 00	16 3368	3,920 84 3,920 84	723 16	—	—

EQUITIES AND OPTIONS continue on page 16

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/21/16	MARINEMAX INC (continued)	185		3,579.75	17.6930	3,273.21 3,273 21	306.54	—	
Total		425		8,223.75	16 9272	7,194.05 7,194.05	1,029.70	—	
10/04/12	MARTIN MARIETTA C MATERIALS INC MLM	46	221.53	10,190 38	58 7093	2,700 63 2,700.63	7,489 75	77	0 76%
03/28/13	[illegible]	21	[illegible]	4,652 13	91 1090	1,913 29 1,913 29	2,738 84	35	
Total	[illegible]	67	[illegible]	14,842.51	68 8645	4,613.92 4,613.92	10,228.59	112	
09/15/15	MEDICINES COMPANY C MDCO	92	33 94	3,122.48	42.5945	3,918 69 3,918 69	-796.21	—	—
09/24/14	NATUS MED INC DEL C BABY	129	34 80	4,489 20	28.8638	3,723 43 3,723 43	765.77	—	—
01/30/15		115		4,002 00	37 4351	4,305 04 4,305 04	-303 04	—	
Total		244		8,491.20	32.9036	8,028 47 8,028.47	462.73	—	
11/04/14	NUTRISYSTEM INC C NTRI	221	34 65	7,657 65	17 3504	3,834 44 3,834 44	3,823 21	154	2.02%

EQUITIES AND OPTIONS continue on page 17

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/22/16	NUTRISYSTEM INC (continued)			4,019.40	19.4785	2,259.51 2,259.51	1,759.89	81	
Total		337		11,677.05	18.0829	6,093.95 6,093.95	5,583.10	235	
07/31/15	NUVASIVE INC C NUVA	77	67.36	5,186.72	55.0071	4,235.55 4,235.55	951.17	—	—
12/30/15		36		2,424.96	54.8506	1,974.62 1,974.62	450.34	—	
09/01/16		36		2,424.96	64.7631	2,331.47 2,331.47	93.49	—	
Total		149		10,036.64	57.3264	8,541.64 8,541.64	1,495.00	—	
06/10/16	OLLIES BARGAIN OUTLET C HOLDINGS INC OLLI	160	28.45	4,552.00	24.7701	3,963.22 3,963.22	588.78	—	—
06/15/16		5		142.25	23.6180	118.09 118.09	24.16	—	
Total		165		4,694.25	24.7352	4,081.31 4,081.31	612.94	—	
07/19/11	PAREXEL INTL CORP C PRXL	22	65.72	1,445.84	23.9173	526.18 526.18	919.66	—	—
10/26/11		6		394.32	20.7883	124.73 124.73	269.59	—	

EQUITIES AND OPTIONS continue on page 18

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/30/14	PAREXEL INTL CORP (continued)	38		2,497 36	52 9766	2,013 11 2,013 11	484 25	—	
Total		66		4,337 52	40 3639	2,664.02 2,664.02	1,673.50	—	
09/30/16	PATHEON N V C PTHN	139	28.71	3,990 69	29 6076	4,115 46 4,115 46	-124.77	—	—
07/22/16	PENN NATIONAL GAMING INC C PENN	295	13.79	4,068 05	13 7699	4,062 12 4,062 12	5.93	—	—
10/21/16		147		2,027.13	13.4869	1,982 58 1,982 58	44 55	—	
12/06/16		178		2,454.62	13.6844	2,435 83 2,435 83	18 79	—	
Total		620		8,549.80	13.6783	8,480 53 8,480 53	69.27	—	
04/01/13	PINNACLE FOODS INC DE C PF	13	53.45	694.85	22.5546	293 21 293 21	401 64	14	2 13%
08/26/14		94		5,024 30	32.2740	3,033 76 3,033 76	1,990 54	107	
Total		107		5,719.15	31.0932	3,326 97 3,326 97	2,392.18	121	
06/23/16	PLANET FITNESS INC C CL A PLNT	225	20.10	4,522 50	17.8894	4,025 12 4,025 12	497 38	2,502	55 32%

EQUITIES AND OPTIONS continue on page 19

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/27/16	PLANET FITNESS INC (continued)	142	[illegible]	2,854 20	21 8236	3,098 95 3,098 95	-244 75	1,579	
Total		367		7,376.70	19.4116	7,124 07 7,124.07	252.63	4,081	
12/03/15	POOL CORP C POOL	48	104 34	5,008 32	82 0123	3,936 59 3,936 59	1,071 73	59	1 19%
05/11/16		34		3,547 56	90.9526	3,092 39 3,092 39	455 17	42	
12/16/16		30		3,130 20	106 7013	3,201 04 3,201 04	-70 84	37	
Total		112		11,686.08	91.3395	10,230.02 10,230.02	1,456.06	138	
07/30/15	PRA HEALTH SCIENCES INC C PRAH	97	55.12	5,346.64	41.9985	4,073 85 4,073 85	1,272 79	—	—
08/31/15		2		110 24	37 5800	75.16 75.16	35 08	—	
08/31/15		5		275.60	37.5800	193.65 193.65	81.95	—	
Total		104		5,732.48	41.7563	4,342.66 4,342.66	1,389.82	—	
03/31/15	PRESTIGE BRANDS HOLDINGS C INC PBH	146	52 10	7,606.60	43.0664	6,287 70 6,287.70	1,318 90	—	—

EQUITIES AND OPTIONS continue on page 20

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/08/12	PROASSURANCE CORP C PRA	56	56.20	3,147 20	44 3073	2,481 21 2,481.21	665 99	69	2 21%
07/25/12		26		1,461 20	44 8431	1,165 92 1,165.92	295.28	32	
Total		82		4,608.40	44.4772	3,647 13 3,647.13	961 27	101	
11/14/16	PROGENICS C PHARMACEUTICALS INC PGNX	578	8.64	4,993 92	7 3387	4,241 77 4,241 77	752 15	—	—
11/07/13	PROOFPOINT INC C PFPT	41	70.65	2,896.65	29 9380	1,227 46 1,227.46	1,669 19	—	—
12/09/13		144		10,173 60	27 3235	3,934 58 3,934 58	6,239 02	—	
Total		185		13,070.25	27.9029	5,162.04 5,162.04	7,908.21	—	
12/28/12	PTC INC C PTC	122	46 27	5,644.94	22 4486	2,738 73 2,738 73	2,906.21	—	—
01/03/13		125		5,783 75	22 9934	2,874 17 2,874 17	2,909.58	—	
Total		247		11,428.69	22.7243	5,612.90 5,612 90	5,815.79	—	
05/05/11	QUAKER CHEMICAL CORP C KWR	62	127.94	7,932.28	41 6085	2,579 73 2,579 73	5,352 55	85	1.08%

EQUITIES AND OPTIONS continue on page 21

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/26/14	QUAKER CHEMICAL CORP (continued)	34		4,349.96	77.4441	2,633 10 2,633 10	1,716 86	46	
Total		96		12,282.24	54.3003	5,212 83 5,212.83	7,069 41	131	
09/30/13	REALPAGE INC C RP	148	30.00	4,440 00	22 2491	3,292 86 3,292 86	1,147 14	—	—
12/15/16		69		2,070 00	29 3341	2,024 05 2,024 05	45.95	—	
Total		217		6,510.00	24.5019	5,316 91 5,316.91	1,193.09	—	
08/31/16	RITCHIE BROTHERS C AUCTIONEERS INC RBA	114	34.00	3,876 00	34 7971	3,966 87 3,966 87	-90.87	77	2 00%
11/10/14	RSP PERMIAN INC C RSPP	149	44 62	6,648.38	25.7074	3,830 41 3,830 41	2,817 97	—	—
05/20/15		136		6,068.32	27 7251	3,770 62 3,770 62	2,297 70	—	
Total		285		12,716.70	26.6703	7,601.03 7,601.03	5,115.67	—	
06/11/15	SAGE THERAPEUTICS INC C SAGE	20	51.06	1,021.20	83.7135	1,674.27 1,674.27	-653 07	—	—

EQUITIES AND OPTIONS continue on page 22

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/12/15	SAGE THERAPEUTICS INC (continued)	52	[illegible]	2,655.12	45.9208	2,387.88 2,387.88	267.24	—	
Total		72		3,676.32	56.4188	4,062.15 4,062.15	-385.83	—	
09/21/16	SAREPTA THERAPEUTICS INC C SRPT	72	27.43	1,974.96	58.2460	4,193.71 4,193.71	-2,218.75	—	—
10/25/16	SENSIENT TECHNOLOGIES C CORP SXT	54	78.58	4,243.32	73.7404	3,981.98 3,981.98	261.34	64	1.53%
02/04/16	SERITAGE GROWTH C PROPERTIES CL A SRG	85	42.71	3,630.35	39.5340	3,360.39 3,360.39	269.96	85	2.34%
10/04/16		58		2,477.18	50.1940	2,911.25 2,911.25	-434.07	58	
Total		143		6,107.53	43.8576	6,271.64 6,271.64	-164.11	143	
07/08/16	SNYDERS-LANCE INC C LNCE	111	38.34	4,255.74	34.9867	3,883.52 3,883.52	372.22	71	1.67%
10/18/16		110		4,217.40	35.6568	3,922.25 3,922.25	295.15	70	
11/01/16		5		191.70	35.0460	175.23 175.23	16.47	3	
Total		226		8,664.84	35.3142	7,981.00 7,981.00	683.84	144	

EQUITIES AND OPTIONS continue on page 23

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[3]	Estimated 30-Day Yield[3]
07/12/16	SPROUTS FARMERS MARKET C INC SFM				23.7834	3,948.04 3,948 04	-807 32	—	—
08/26/11	STIFEL FINANCIAL CORP C SF	79	49 95	3,946.05	27 5532	2,176 70 2,176.70	1,769.35	—	—
02/06/13		39		1,948 05	37 5900	1,466 01 1,466 01	482 04	—	
11/21/13		57		2,847 15	45 2472	2,579 09 2,579 09	268 06	—	
11/24/14		67		3,346.65	46 8454	3,138 64 3,138 64	208 01	—	
12/08/16		84		4,195.80	52 2042	4,385 15 4,385.15	-189.35	—	
12/13/16		8		399 60	50.5675	404.54 404.54	-4 94	—	
Total		334		16,683.30	42 3657	14,150.13 14,150.13	2,533.17	—	
12/08/14	SYNOVUS FINANCIAL CORP C NEW SNV	143	41 08	5,874.44	26.6090	3,805.09 3,805 09	2,069 35	68	1 17%
06/16/15		63		2,588 04	30 3967	1,914.99 1,914 99	673 05	30	

EQUITIES AND OPTIONS continue on page 24

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/04/16	SYNOVUS FINANCIAL CORP (continued)	91		3,738.28	32.6468	2,970 86 2,970 86	767.42	43	
Total		297		12,200.76	29.2624	8,690 94 8,690.94	3,509.82	141	
08/30/16	TAKE-TWO INTERACTIVE INC C TTWO	93	49.29	4,583 97	44 0422	4,095.92 4,095 92	488 05	—	—
02/02/11	TERADYNE INC C TER	72	25.40	1,828 80	17.1879	1,237 53 1,237 53	591 27	17	0 94%
10/26/11		40		1,016.00	13 5800	543 20 543 20	472.80	9	
Total		112		2,844.80	15.8994	1,780.73 1,780.73	1,064 07	26	
10/11/16	TESARO INC C TSRO	35	134 48	4,706 80	116 4849	4,076 97 4,076 97	629.83	—	—
11/10/16		15		2,017.20	137.4720	2,062 08 2,062 08	-44.88	—	
Total		50		6,724.00	122.7810	6,139.05 6,139.05	584.95	—	
09/27/12	THERMON GROUP HLDGS INC C THR	110	19.09	2,099 90	24.5141	2,696 55 2,696 55	-596 65	—	—
03/06/13		180		3,436 20	20 5236	3,694 24 3,694.24	-258 04	—	
Total		290		5,536.10	22.0372	6,390.79 6,390.79	-854.69	—	

EQUITIES AND OPTIONS continue on page 25

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[8]	Estimated 30-Day Yield[8]
05/07/14	TREX COMPANY INC C TREX	106	64.40	6,826.40	32.6696	3,462.98 3,462 98	3,363 42	—	—
07/02/15	TYLER TECHNOLOGIES INC C TYL	33	142.77	4,711 41	129.9230	4,287 46 4,287.46	423 95	—	—
01/18/13	ULTIMATE SOFTWARE GROUP C INC ULTI	30	182.35	5,470.50	94 6700	2,840.10 2,840 10	2,630 40	—	—
10/16/13		19		3,464.65	139 8084	2,656 36 2,656 36	808 29	—	
06/30/14		28		5,105.80	138 2393	3,870 70 3,870 70	1,235 10	—	
Total		77		14,040.95	121.6514	9,367.16 9,367 16	4,673 79	—	
07/15/15	ULTRAGENYX C PHARMACEUTICAL INC RARE	34	70.31	2,390 54	130.3091	4,430 51 4,430 51	-2,039 97	—	—
09/22/16		21		1,476 51	73 5871	1,545 33 1,545 33	-68 82	—	
Total		55		3,867.05	108.6516	5,975.84 5,975.84	-2,108 79	—	
02/02/11	UMB FINANCIAL CORP C UMBF	60	77.12	4,627 20	41.0900	2,465 40 2,465.40	2,161 80	61	1 32%
02/02/11	UNIVERSAL ELECTRS INC C UEIC	196	64.55	12,651.80	27.0028	5,292.54 5,292 54	7,359.26	—	—

EQUITIES AND OPTIONS continue on page 26

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
8 Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/26/11	UNIVERSAL ELECTRONICS INC (continued)					220.08 220.08	554.52	—	
09/24/15		30		1,936.50	44.8900	1,346.70 1,346.70	589.80	—	
11/28/16		65		4,195.75	66.3998	4,315.99 4,315.99	-120.24	—	
Total		303		19,558.65	36.8822	11,175.31 11,175.31	8,383.34	—	
02/02/11	VEECO INSTRUMENTS INC DE C VECO	123	29 15	3,585 45	44.6187	5,488 10 5,488 10	-1,902.65	—	—
10/26/11		4		116 60	24 5750	98 30 98 30	18 30	—	
08/28/13		63		1,836.45	34 5981	2,179 68 2,179 68	-343 23	—	
05/20/14		116		3,381 40	31 4649	3,649 93 3,649 93	-268 53	—	
Total		306		8,919.90	37 3072	11,416.01 11,416.01	-2,496.11	—	
02/02/11	VITAMIN SHOPPE INC C VSI	233	23 75	5,533.75	31 6708	7,379.29 7,379.29	-1,845 54	—	—

EQUITIES AND OPTIONS continue on page 27

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
12/13/13	VITAMIN SHOPPE INC (continued)	50		1,187.50	52.4454	2,622.27 2,622 27	-1,434.77	—	
Total		283		6,721.25	35.3412	10,001.56 10,001.56	-3,280.31	—	
02/02/11	WABCO HOLDINGS INC C WBC	81	106.15	8,598.15	56.9398	4,612 12 4,612.12	3,986 03	—	—
06/01/16	WASTE CONNECTIONS INC C WCN	342	78.59	26,877 78	31.6100	10,810 62 10,810 62	16,067.16	246	0 92%
08/05/14	WEBMD HEALTH CORP CL A C WBMD	74	49.57	3,668.18	48.1988	3,566 71 3,566 71	101 47	—	—
05/16/16		40		1,982.80	63.2665	2,530.66 2,530 66	-547.86	—	
Total		114		5,650.98	53.4857	6,097.37 6,097.37	-446.39	—	
03/30/15	WEST PHARMACEUTICAL C SERVICES INC WST	104	84.83	8,822 32	59 2564	6,162 67 6,162 67	2,659 65	54	0 61%
12/22/15		19		1,611 77	60 7884	1,154 98 1,154 98	456 79	9	
Total		123		10,434.09	59.4931	7,317.65 7,317 65	3,116.44	63	
08/11/14	WOODWARD INC C WWD	71	69.05	4,902 55	51 1370	3,630 73 3,630 73	1,271 82	31	0 64%
02/04/15	ZELTIQ AESTHETICS INC C ZLTQ	118	43.52	5,135 36	32 3416	3,816 31 3,816.31	1,319 05	—	—

EQUITIES AND OPTIONS continue on page 28

3 - Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a - Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
02/27/15	ZELTIQ AESTHETICS INC (continued)	55	[illegible]	2,393.60	33.1340	1,822.37 1,822.37	571.23	—	
Total		173		7,528.96	32.5935	5,638.68 5,638.68	1,890.28	—	
TOTAL EQUITIES AND OPTIONS				$814,528.34		$617,793.32 $617,793.32	$196,735.02	$8,450	

C Dividends and/or capital gains distributed by this security will be distributed as cash.

Value of Your LPL Financial Account

	Market Value	Cost Basis/ Purchase Cost[4]	Unrealized Gain or Loss	Estimated Annual Income
	$829,531.05	$632,796.03 $632,796.03	$196,735.02	$8,450

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated
4 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

Description	Interest Paid in December[1]	Blended Interest Rate[1]	Current Balance
Cash			$349 20
Insured Cash Account[2]			
Goldman Sachs Bank USA			11,143 77
Bremer Bank NA			35 19
Total Insured Cash Account	0 04	0 007%	11,178 96
TOTAL CASH AND CASH EQUIVALENTS			**$11,528.16**

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/10/15	A O SMITH C AOS	240	$47.35	$11,364.00	$31.4973	$7,559.36 7,559 36	$3,804.64	$115	1 01%
07/13/16	ABIOMED INC S ABMD	72	112.68	8,112.96	118.3819	8,523.50 8,523 50	-410.54	—	—
06/06/14	ACUITY BRANDS INC S AYI	33	230.86	7,618.38	130.6591	4,311 75 4,311 75	3,306.63	17	0.23%
07/17/14		2		461.72	112.6300	225.26 225 26	236.46	1	
07/21/14		30		6,925.80	114.1100	3,423 30 3,423 30	3,502 50	15	

EQUITIES AND OPTIONS continue on page 4

1 Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month
2 Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes See message section for further information.
3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield
03/03/16	ACUITY BRANDS INC (continued)	3		692 58	219 9500	659 85 659 85	37 73	1	
Total		68		15,698 48	126 7671	8,620 16 8,620 16	7,078.32	34	
12/02/14	AERCAP HOLDINGS N V C AER	111	41 61	4,618 71	42 2060	4,684 87 4,684 87	-66 16	--	—
12/12/14		7		291 27	39 3386	275 37 275 37	15 90	--	
06/02/15		115		4,785 15	48 7570	5,607 06 5,607 06	-821.91	–	
Total		233		9,695 13	45 3532	10,567 30 10,567.30	-872.17	—	
04/24/15	ALIGN TECHNOLOGY INC C ALGN	68	96 13	6,536 84	60 0147	4,081 00 4,081 00	2,455 84	--	—
01/25/16	ALLEGION PUBLIC LTD C ALLE	89	64 00	5,696 00	59 6900	5,312 41 5,312 41	383.59	42	0 75%
03/03/16		3		192 00	64 6000	193 80 193 80	-1 80	1	
10/27/16		50		3,200 00	62 5068	3,125 34 3,125 34	74 66	24	
Total		142		9,088 00	60 7856	8,631 55 8,631.55	456.45	67	

EQUITIES AND OPTIONS continue on page 5

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/18/09	AMERIPRISE FINANCIAL INC [C] AMP	3	110 94	332 82	18 2267	54 68 54 68	278 14	9	2 70%
08/15/11		99		10,983 06	44 8070	4,435 89 4,435 89	6,547 17	297	
10/06/11		76		8,431 44	38 1070	2,896 13 2,896 13	5,535 31	228	
10/26/11		19		2,107 86	41 8663	795 46 795 46	1,312 40	57	
Total		197		21,855.18	41.5338	8,182 16 8,182 16	13,673 02	591	
09/17/12	AMPHENOL CORP [C] CLASS A NEW APH	91	67 20	6,115 20	31 8268	2,896 24 2,896 24	3,218 96	58	0 95%
08/28/13		146		9,811 20	38 0049	5,548 72 5,548 72	4,262 48	93	
Total		237		15,926.40	35.6327	8,444.96 8,444.96	7,481.44	151	
03/18/09	ANSYS INC [C] ANSS	129	92 49	11,931 21	23 0792	2,977 22 2,977 22	8,953 99	—	—
10/26/11		5		462 45	51.1000	255 50 255 50	206 95	—	

EQUITIES AND OPTIONS continue on page 6

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30 Day Yield
03/03/16	ANSYS INC (continued)	3		277 47	85 8700	257 61 257 61	19 86		
Total		137		12,671 13	25.4769	3,490 33 3,490 33	9,180.80	–	
02/07/12	AUTODESK INC ADSK	66	74 01	4,884 66	38 0680	2,512 49 2,512 49	2,372 17	–	—
02/20/13		127		9,399 27	39 3272	4,994 55 4,994 55	4,404 72	–	
03/03/16		5		370 05	54 0880	270 44 270 44	99 6	–	
Total		198		14,653 98	39 2802	7,777 48 7,777 48	6,876 50		
08/13/13	AUTOZONE INC AZO	17	789 79	13,426 43	433 2400	7,365 08 7,365 08	6,061 35	–	—
03/03/16		1		789 79	777 6100	777 61 777 61	12 18		
Total		18		14,216.22	452 3717	8,142 69 8,142 69	6,073 53	–	
08/30/16	BARD C R INC BCR	34	224 66	7,638 44	221 1135	7,517 36 7,517 36	120 58	35	0 46%
09/15/16		14		3,145 24	224 9200	3,148 88 3,148 88	-3 64	14	

EQUITIES AND OPTIONS continue on page 7

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/02/16	BARD C R INC (continued)	17		3,819.22	216 2400	3,676 08 3,676 08	143.14	17	
Total		65		14,602.90	220.6588	14,342.82 14,342.82	260 08	66	
05/31/12	BIOMARIN PHARMACEUTICAL C INC BMRN	18	82 84	1,491 12	36 3967	655 14 655 14	835 98	—	—
07/16/12		85		7,041 40	43 3422	3,684 09 3,684 09	3,357 31	—	
11/09/16		43		3,562.12	90 2242	3,879 64 3,879 64	-317 52	—	
Total		146		12,094.64	56 2936	8,218 87 8,218.87	3,875 77	—	
01/26/15	BRIXMOR PROPERTY GRP INC C BRX	213	24.42	5,201.46	26 9076	5,731 31 5,731 31	-529 85	221	4 26%
02/08/16		353		8,620 26	21.2286	7,493.71 7,493 71	1,126 55	367	
03/03/16		20		488 40	24 2665	485.33 485 33	3 07	20	
Total		586		14,310.12	23.3965	13,710.35 13,710 35	599.77	608	
12/24/14	BRUNSWICK CORP C BC	114	54.54	6,217 56	51.0204	5,816 32 5,816 32	401 24	75	1 21%

EQUITIES AND OPTIONS continue on page 8

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/06/15	BRUNSWICK CORP (continued)	52		2,836 08	50 1033	2,605 37 2,605 37	230 71	34	
03/03/16		8		436 32	44 1725	353 38 353 38	82 94	5	
11/22/16		87		4,744 98	47 8572	4,163 58 4,163 58	581 40	57	
Total		261		14,234.94	49.5734	12,938.65 12,938 65	1,296.29	171	
03/02/16	BURLINGTON STORES INC C BURL	95	84 75	8,051 25	56 6574	5,382 45 5,382 45	2,668 80	—	—
03/03/16		3		254 25	55 4500	166 35 166 35	87 90	—	
05/17/16		28		2,373 00	52 2100	1,461 88 1,461 88	911 12	—	
05/24/16		14		1,186.50	55 4093	775 73 775 73	410 77	—	
05/25/16		66		5,593 50	55 7202	3,677 53 3,677 53	1,915 97	—	

EQUITIES AND OPTIONS continue on page 9

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[4]	Estimated 30-Day Yield[a]
10/10/16	BURLINGTON STORES INC (continued)	61		5,169 75	81 2172	4,954 25 4,954 25	215 50	—	
Total		267		22,628.25	61 4913	16,418 19 16,418.19	6,210 06	—	
06/16/14	CENTENE CORP DEL C CNC	107	56 51	6,046 57	37 3690	3,998 48 3,998 48	2,048 09	—	—
06/18/14		100		5,651 00	38 4399	3,843 99 3,843 99	1,807 01	—	
03/03/16		14		791 14	59 8507	837 91 837 91	-46 77	—	
Total		221		12,488 71	39.2777	8,680 38 8,680 38	3,808 33	—	
06/25/09	CHURCH & DWIGHT C COMPANY INC CHD	480	44 19	21,211 20	13 4922	6,476 27 6,476 27	14,734 93	340	1 61%
03/03/16		12		530 28	45 3333	544 00 544 00	-13 72	8	
Total		492		21,741 48	14.2688	7,020.27 7,020.27	14,721.21	348	
06/01/15	CIGNA CORP C CI	44	133 39	5,869 16	141 8020	6,239 29 6,239 29	-370 13	1	0 03%

EQUITIES AND OPTIONS continue on page 10

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield
06/16/15	CIGNA CORP (continued)	19		2,534 41	155 0658	2,946 25 2,946 25	-411 84	—	
Total		63		8,403.57	145.8022	9,185 54 9,185 54	-781.97	1	
09/23/16	COHERENT INC C COHR	111	137.385	15,249 73	111 0341	12,324 79 12,324 79	2,924 94	—	—
05/16/14	CONSTELLATION BRANDS C INC CL A STZ	42	153 31	6,439 02	82 1202	3,449 05 3,449 05	2,989.97	67	1 04%
03/03/16		34		5,212 54	142 0612	4,830 08 4,830 08	382 46	54	
Total		76		11,651.56	108 9359	8,279.13 8,279 13	3,372 43	121	
02/26/16	COOPER COS INC NEW C COO	37	174 93	6,472 41	144 5968	5,350 08 5,350 08	1,122 33	2	0 03%
03/03/16		1		174 93	142 4300	142 43 142 43	32 50	—	
03/04/16		34		5,947 62	151 5647	5,153 20 5,153 20	794 42	2	
Total		72		12,594.96	147.8571	10,645 71 10,645 71	1,949 25	4	
08/06/14	COSTAR GROUP INC C CSGP	4	188 49	753 96	141 6800	566 72 566 72	187 24	—	—

EQUITIES AND OPTIONS continue on page 11

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[3]
11/03/14	COSTAR GROUP INC (continued)	33		6,220.17	161.5400	5,330 82 5,330 82	889 35	—	
[illegible]		24		4,523 76	186 8696	4,484 87 4,484 87	38 89	—	
Total		61		11,497.89	170.2034	10,382.41 10,382.41	1,115.48	—	
11/13/14	CROWN CASTLE INTL CORP C NEW CCI	141	86.77	12,234.57	80.9295	11,411 06 11,411 06	823.51	535	4 38%
11/21/14		28		2,429 56	81 4011	2,279 23 2,279 23	150 33	106	
03/03/16		6		520 62	87 8050	526 83 526.83	-6 21	22	
Total		175		15,184.75	81.2407	14,217 12 14,217.12	967.63	663	
03/08/13	DELTA AIRLINES INC NEW C DAL	264	49 19	12,986 16	16 2941	4,301 64 4,301 64	8,684 52	213	1 65%
01/21/14		184		9,050 96	32 0164	5,891 01 5,891 01	3,159 95	149	
03/03/16		5		245 95	48 5780	242 89 242.89	3 06	4	
Total		453		22,283.07	23.0365	10,435.54 10,435.54	11,847.53	366	

EQUITIES AND OPTIONS continue on page 12

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield
10/07/14	DIAMONDBACK ENERGY INC C FANG	71	101 06	7,175 26	73 6220	5,227 16 5,227 16	1,948 10	—	—
10/08/14		3		303 18	70 2200	210 66 210 66	92 52	—	
01/13/15		88		8,893 28	60 5300	5,326 64 5,326 64	3,566 64	—	
04/23/15		62		6,265 72	83 0235	5,147 46 5,147 46	1,118 26	—	
Total		**224**		**22,637 44**	**71 0354**	**15,911 92** **15,911 92**	**6,725.52**	—	
03/28/16	DOLLAR TREE INC C DLTR	71	77 18	5,479 78	80 8599	5,741.05 5,741 05	-261 27	—	—
10/04/16		47		3,627 46	76 8745	3,613 10 3,613 10	14 36	—	
11/22/16		49		3,781 82	90 6000	4,439 40 4,439 40	-657 58	—	
Total		**167**		**12,889 06**	**82 5961**	**13,793 55** **13,793.55**	**-904 49**	—	
07/16/15	DOMINOS PIZZA INC C DPZ	55	159 24	8,758 20	115 5202	6,353 61 6,353 61	2,404 53	—	—
07/21/15		2		318 48	111 1550	222 31 222.31	96 17	—	

EQUITIES AND OPTIONS continue on page 13

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/03/16	DOMINOS PIZZA INC (continued)	3		477.72	131 4767	394 43 394 43	83 29	—	
Total		60		9,554.40	116 1725	6,970.35 6,970.35	2,584.05	—	
01/28/15	EDWARDS LIFESCIENCES C CORP EW	21	93.70	1,967.70	64 9414	1,363 77 1,363 77	603 93	—	—
02/04/15		50		4,685.00	67 7334	3,386 67 3,386 67	1,298 33	—	
03/16/15		76		7,121 20	72 7200	5,526 72 5,526 72	1,594 48	—	
03/03/16		13		1,218.10	87 0938	1,132 22 1,132 22	85 88	—	
Total		160		14,992.00	71.3086	11,409 38 11,409.38	3,582.62	—	
04/22/16	ELECTRONIC ARTS INC C EA	130	78 76	10,238 80	65 3926	8,501 04 8,501 04	1,737 76	—	—
04/25/16		1		78.76	65 4300	65 43 65 43	13 33	—	
04/27/16		8		630 08	62 7463	501 97 501 97	128 11	—	

EQUITIES AND OPTIONS continue on page 14

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/28/16	ELECTRONIC ARTS INC (continued)	44		3,465 44	79 8970	3,515 47 3,515 47	-50 03	–	
11/01/16		5		393 80	78 4080	392 04 392 04	1 76	–	
11/14/16		67		5,276 92	77 6648	5,203 54 5,203 54	73 38	–	
12/01/16		52		4,095 52	76 0069	3,952 36 3,952 36	143 16	–	
12/15/16		26		2,047 76	81 5985	2,121 56 2,121 56	-73 80	-	
Total		333		26,227 08	72 8331	24,253 41 24,253 41	1,973.67	—	
02/22/16	EQUITY RESIDENTIAL C EQR	137	64 36	8,817 32	74 0752	10,148 30 10,148 30	-1,330 98	276	3 13%
06/17/15	FLEETCOR TECHNOLOGIES C INC FLT	46	141 52	6,509 92	161 5050	7,429 23 7,429 23	-919 31	—	—
01/09/15	FORTUNE BRANDS HOME & C SEC INC FBHS	123	53 46	6,575 58	46 1554	5,677 11 5,677 11	898 47	88	1 35%

EQUITIES AND OPTIONS continue on page 15

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/14/15	FORTUNE BRANDS HOME & (continued)	120		6,415 20	45 7433	5,489 19 5,489 19	926 01	86	
Total		243		12,990 78	45.9519	11,166 30 11,166.30	1,824.48	174	
10/25/11	HEXCEL CORP NEW HXL	4	51.44	205 76	24 8975	99 59 99 59	106 17	1	0 86%
10/26/11		90		4,629 60	24 9196	2,242 76 2,242 76	2,386 84	39	
04/11/12		208		10,699 52	24 3445	5,063 66 5,063 66	5,635 86	91	
04/12/12		4		205.76	25 6400	102 56 102.56	103 20	1	
03/03/16		6		308.64	42 2500	253 50 253 50	55.14	2	
Total		312		16,049.28	24.8784	7,762.07 7,762.07	8,287.21	134	
12/12/11	HUNTSMAN CORP HUN	217	19 08	4,140 36	10 1479	2,202 09 2,202 09	1,938 27	108	2 62%
11/18/13		95		1,812.60	23 0499	2,189 74 2,189 74	-377 14	47	

EQUITIES AND OPTIONS continue on page 16

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/10/14	HUNTSMAN CORP (continued)	146		2,785 68	24 7588	3,614 79 3,614 79	-829 11	73	
Total		458		8,738 64	17.4817	8,006 62 8,006.62	732.02	228	
11/03/16	IDEXX LABORATORIES INC C IDXX	77	117 27	9,029 79	106 1062	8,170 18 8,170 18	859 61	-	—
07/13/16	IHS MARKIT LTD C INFO	441	35 41	15,615 81	32 8800	14,500 08 14,500 08	1,115 73	—	—
12/26/12	ILG INC C ILG	11 87238	18 17	215 72	10 0132	118 88 118 88	96 84	5	2 64%
09/09/13		18 53059		336 70	11 7206	217 19 217 19	119 51	8	
10/08/13		19.82343		360 19	11 5863	229 68 229 68	130 51	9	
06/04/14		10 7736		195 76	14 0139	150 98 150 98	44 78	5	
05/16/16		330		5,996 10	14 7938	4,881 97 4,881 97	1,114.13	158	
05/25/16		36		654 12	14 0467	505 68 505 68	148 44	17	
Total		427		7,758.59	14 2960	6,104 38 6,104 38	1,654.21	202	

EQUITIES AND OPTIONS continue on page 17

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/21/16	INTL GAME TECH PLC C USD IGT	421	25 52	10,743.92	28 4597	11,981 53 11,981 53	-1,237 61	336	3 13%
07/22/15	INTUITIVE SURGICAL INC C NEW ISRG	13	634 17	8,244 21	562 2769	7,309 60 7,309 60	934 61	—	—
07/05/16		1		634.17	662 4500	662 45 662 45	-28.28	—	
07/20/16		4		2,536 68	713 4400	2,853 76 2,853 76	-317 08	—	
07/27/16		3		1,902 51	684 2400	2,052 72 2,052 72	-150 21	—	
Total		**21**		**13,317.57**	**613 2633**	**12,878 53 12,878.53**	**439 04**	—	
12/28/12	IPG PHOTONICS CORP C IPGP	23	98.71	2,270 33	64 3596	1,480 27 1,480 27	790 06	—	—
02/15/13		79		7,798.09	61 9541	4,894 37 4,894 37	2,903 72	—	
Total		**102**		**10,068.42**	**62.4965**	**6,374.64 6,374.64**	**3,693.78**	—	
09/21/16	JUNIPER NETWORKS INC C JNPR	254	28 26	7,178 04	23 7665	6,036 69 6,036 69	1,141 35	101	1 42%
10/05/16		111		3,136 86	24 8999	2,763 89 2,763 89	372.97	44	

EQUITIES AND OPTIONS continue on page 18

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/16/16	JUNIPER NETWORKS INC (continued)	123		3,475 98	26 2099	3,223 32 3,223 32	252 16	49	
Total		488		13,790 88	24 6402	12,024 40 12,024 40	1,766.48	194	
09/15/16	LABORATORY CORP OF AMER C HOLDINGS NEW LH	45	128 38	5,777 10	134 6744	6,060 35 6,060 35	-283 25	—	—
02/24/15	LENNAR CORP C LEN	113	42 93	4,851 09	51 3119	5,798 25 5,798 25	-947 16	18	0 37%
04/17/15		75		3,219 75	48 7576	3,656 32 3,656 32	-437 07	12	
03/29/16		128		5,495 04	48 3945	6,194 49 6,194 49	-699 45	20	
03/29/16		6		257 58	48 3933	325 36 325 36	-67 78	—	
Total		322		13,823 46	49.6116	15,974 92 15,974.92	-2,151 46	50	
03/07/13	LIBERTY INTERACTIVE CORP C QVC GROUP SER A QVCA	7	19 98	139 86	18 3100	128 17 128 17	11 69	—	—
10/14/13		468		9,350 64	21 9571	10,275 91 10,275 91	-925 27	—	

EQUITIES AND OPTIONS continue on page 19

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/28/13	LIBERTY INTERACTIVE CORP (continued)	181		3,616.38	22 9070	4,146 16 4,146 16	-529 78	—	
06/04/14		101		2,017 98	24 7604	2,500 80 2,500 80	-482 82	—	
03/03/16		18		359 64	26 1483	470 67 470 67	-111 03	—	
11/28/16		287		5,734 26	21 8799	6,279 53 6,279 53	-545 27	—	
Total		1,062		21,218.76	22 4117	23,801 24 23,801.24	-2,582.48	—	
N/A	LIONS GATE ENTERTAINMENT C CORP CL A VOTING LGF/A	228	26 90	6,133 20	N/A	N/A —	N/A	—	—
N/A	LIONS GATE ENTERTAINMENT C CORP CL B NON VOTING LGF/B	228	24.54	5,595 12	N/A	N/A —	N/A	—	—
12/26/12	MARRIOTT INTL INC NEW CL A MAR	22.8	82.68	1,885.10	65 9561	1,503.80 1,503 80	381 30	27	1 45%
09/09/13		34.4		2,844.19	69.7500	2,399 40 2,399 40	444 79	41	
10/08/13		36.8		3,042 63	69 7500	2,566 80 2,566 80	475 83	44	

EQUITIES AND OPTIONS continue on page 20

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/04/14	MARRIOTT INTL INC NEW (continued)	20		1,653 60	69 7500	1,395 00 1,395 00	258 60	24	
Total		114		9,425 52	68.9912	7,865 00 7,865.00	1,560 52	136	
01/28/14	MARTIN MARIETTA C MATERIALS INC MLM	13 7	221 53	3,034 96	105 7635	1,448 96 1,448 96	1,586 00	23	0 76%
01/28/14		38 3		8,484 60	106.1883	4,067 01 4,067 01	4,417 59	64	
04/22/15		39		8,639 67	136 5272	5,324 56 5,324 56	3,315 11	65	
11/03/15		32		7,088 96	143 8169	4,602 14 4,602 14	2,486 82	53	
Total		123		27,248.19	125.5502	15,442 67 15,442.67	11,805 52	205	
12/13/16	MGM RESORTS INTL C MGM	162	28 83	4,670 46	30 1891	4,890 63 4,890 63	-220 17	—	—
12/19/16		263		7,582 29	28 9091	7,603 09 7,603 09	-20 80	—	
Total		425		12,252.75	29.3970	12,493.72 12,493.72	-240.97	—	
01/02/13	MICROCHIP TECHNOLOGY INC C MCHP	50	64 15	3,207 50	33 5598	1,496 85 1,496 85	1,710 65	72	2 25%

EQUITIES AND OPTIONS continue on page 21

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/13/16	MICROCHIP TECHNOLOGY INC (continued)	145		9,301 75	43 1899	6,262 54 6,262 54	3,039 21	209	
03/08/16		75		4,811.25	46 9728	3,522 96 3,522 96	1,288 29	108	
Total		270		17,320.50	41.7865	11,282 35 11,282 35	6,038.15	389	
06/23/16	MICRON TECHNOLOGY INC C MU	457	21 92	10,017 44	13 5500	6,192 35 6,192 35	3,825 09	—	—
07/01/16		176		3,857 92	12 4099	2,184 14 2,184 14	1,673 78	—	
Total		633		13,875.36	13 2330	8,376 49 8,376 49	5,498 87	—	
04/22/15	MIDDLEBY CORP C MIDD	56	128 81	7,213 36	103 6698	5,805 51 5,805 51	1,407 85	—	—
11/11/15		32		4,121 92	107 2341	3,431 49 3,431 49	690 43	—	
Total		88		11,335.28	104 9659	9,237 00 9,237.00	2,098.28	—	
10/31/12	MONSTER BEVERAGE CORP C NEW MNST	51	44 34	2,261.34	14 9169	760 76 760 76	1,500 58	—	—
12/12/12		210		9,311 40	18 5366	3,892 69 3,892 69	5,418 71	—	

EQUITIES AND OPTIONS continue on page 22

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/03/16	MONSTER BEVERAGE CORP (continued)	18		798 12	42 3839	762 91 762 91	35 21	--	
Total		279		12,370.86	19 4135	5,416 36 5,416.36	6,954 50	--	
05/25/16	MOODYS CORP MCO	70	94 27	6,598 90	98 2236	6,875 65 6,875 65	-276 75	106	1 61%
05/27/16		48		4,524 96	98 7402	4,715 53 4,715 53	-190 57	72	
Total		118		11,123.86	98 2303	11,591 18 11,591.18	-467 32	178	
04/15/16	NVIDIA CORP NVDA	227	106 74	24,229 98	37 0727	8,415 50 8,415 50	15,814 48	127	0 52%
10/20/16		50		5,337 00	66 9900	3,349 50 3,349 50	1,987 50	28	
Total		277		29,566.98	42 4729	11,765.00 11,765 00	17,801 98	155	
04/23/15	O REILLY AUTOMOTIVE INC NEW ORLY	28	278 41	7,795 48	229 3704	6,422 37 6,422 37	1,373 11	—	—
02/17/16		26		7,238 66	258 3523	6,717 16 6,717 16	521 50	—	
Total		54		15,034 14	243 3246	13,139.53 13,139 53	1,894 61	—	

EQUITIES AND OPTIONS continue on page 23

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/14/14	OLD DOMINION FREIGHT LINES INC ODFL	82	85.79	7,034.78	64.7441	5,309 02 5,309.02	1,725 76	—	—
12/17/14		62		5,318.98	75 2577	4,665 98 4,665 98	653 00	—	
03/03/16		2		171.58	65 7800	131 56 131 56	40 02	—	
Total		146		12,525.34	69.2230	10,106 56 10,106 56	2,418.78	—	
02/04/14	PALO ALTO NETWORKS INC PANW	50	125.05	6,252 50	60 5796	3,028 98 3,028 98	3,223 52	—	—
11/30/16		24		3,001 20	134 5858	3,230 06 3,230 06	-228 86	—	
Total		74		9,253 70	84 5816	6,259 04 6,259.04	2,994.66	—	
03/20/12	ROYAL CARIBBEAN CRUISES LIMITED RCL	34	82.04	2,789.36	30 0800	1,022.72 1,022 72	1,766 64	65	2 34%
04/04/12		57		4,676 28	28 1689	1,605 63 1,605 63	3,070 65	109	
04/23/12		99		8,121 96	25 8300	2,557 17 2,557.17	5,564 79	190	

EQUITIES AND OPTIONS continue on page 24

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
05/25/12	ROYAL CARIBBEAN (continued)	126		10,337.04	24 1421	3,041 91 3,041 91	7,295 13	241	
12/17/14		27		2,215 08	77 6100	2,095 47 2,095 47	119 61	51	
03/03/16		9		738 36	73 8000	664 20 664 20	74 16	17	
Total		352		28,878.08	31.2134	10,987.10 10,987 10	17,890.98	673	
05/08/15	RSP PERMIAN INC [C] RSPP	396	44.62	17,669 52	27 0151	10,697 99 10,697 99	6,971 53	—	—
08/04/11	SALLY BEAUTY HOLDINGS [C] INC SBH	1	26 42	26 42	15 8800	15 88 15 88	10 54	—	—
08/05/11		216		5,706 72	16 5869	3,582 77 3,582 77	2,123 95	—	
09/22/11		130		3,434 60	16 8392	2,189 09 2,189 09	1,245 51	—	
11/12/15		157		4,147 94	24 2980	3,814 79 3,814 79	333 15	—	
03/03/16		25		660 50	31 7384	793 46 793 46	-132 96	—	

EQUITIES AND OPTIONS continue on page 25

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/03/16	SALLY BEAUTY HOLDINGS (continued)	128		3,381.76	30 0350	3,844 48 3,844.48	-462 72	—	
Total		657		17,357.94	21.6750	14,240.47 14,240.47	3,117.47	—	
03/16/11	SBA COMMUNICATIONS CORP C CLASS A SBAC	190	103.26	19,619 40	41 4299	7,871 68 7,871 68	11,747.72	—	—
10/26/11		5		516.30	38 0000	190 00 190 00	326.30	—	
03/03/16		3		309 78	95.6000	286 80 286 80	22 98	—	
Total		198		20,445.48	42.1640	8,348.48 8,348 48	12,097 00	—	
12/14/16	SCHEIN HENRY INC C HSIC	62	151 71	9,406 02	152 8365	9,475 86 9,475 86	-69 84	—	—
10/13/16	SCOTTS MIRACLE-GRO CO C SMG	70	95.55	6,688 50	84 9784	5,948 49 5,948 49	740 01	140	2 09%
11/09/16		61		5,828 55	91 1110	5,557 77 5,557 77	270 78	122	
Total		131		12,517.05	87.8340	11,506 26 11,506 26	1,010.79	262	
05/04/16	SEAGATE TECHNOLOGY PLC C STX	286	38 17	10,916 62	19 9757	5,713 04 5,713 04	5,203 58	720	6 60%

EQUITIES AND OPTIONS continue on page 26

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/09/16	SEATTLE GENETICS INC WA C SGEN	89	52 77	4,696 53	67 9598	6,048 42 6,048 42	-1,351 89		—
02/04/14	SENSATA TECHNOLOGIES C HOLDING BV ALMELO ST	113	38 95	4,401 35	39 0933	4,417 54 4,417 54	-16 19	---	—
05/01/14		108		4,206 60	42 8453	4,627 29 4,627 29	-420 69	—	
03/03/16		35		1,363 25	35 6640	1,248 24 1,248 24	115 01		
04/26/16		65		2,531 75	38 6402	2,511 61 2,511 61	20 14	—	
Total		321		12,502.95	39 8900	12,804 68 12,804 68	-301.73	—	
04/16/14	SERVICENOW INC C NOW	89	74 34	6,616 26	53 2500	4,739 25 4,739 25	1,877 01	—	—
03/03/16		3		223 02	57 4600	172 38 172 38	50 64	—	
Total		92		6,839.28	53 3873	4,911 63 4,911 63	1,927 65	—	
11/07/14	SHERWIN WILLIAMS CO C SHW	7	268 74	1,881 18	236 0429	1,652 30 1,652 30	228 88	23	1 25%
02/24/15		18		4,837 32	289 6594	5,213 87 5,213 87	-376.55	60	

EQUITIES AND OPTIONS continue on page 27

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/26/16	SHERWIN WILLIAMS CO (continued)	11		2,956 14	247 3264	2,720 59 2,720 59	235 55	36	
08/03/16		2		537.48	275 8700	551 74 551 74	-14 26	6	
Total		38		10,212.12	266.8026	10,138.50 10,138.50	73.62	125	
03/17/15	SIGNATURE BANK NEW YORK NY SBNY	47	150.20	7,059 40	132 0551	6,206 59 6,206.59	852.81	—	—
03/25/15		2		300 40	127 1800	254 36 254 36	46 04	—	
11/22/16		34		5,106 80	149.9753	5,099.16 5,099 16	7 64	—	
12/20/16		64		9,612 80	149 6659	9,578 62 9,578 62	34 18	—	
Total		147		22,079.40	143 8009	21,138.73 21,138.73	940 67	—	
10/25/13	SIRIUS XM HLDGS INC C SIRI	1,889	4 45	8,406.05	3 7700	7,121 53 7,121 53	1,284 52	75	0 90%
12/27/13		1,920		8,544 00	3 5400	6,796 80 6,796 80	1,747 20	76	

EQUITIES AND OPTIONS continue on page 28

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[1]	Estimated 30-Day Yield[a]
03/31/14	SIRIUS XM HLDGS INC (continued)	1,139		5,068 55	3 1700	3,610 63 3,610 63	1,457 92	45	
04/11/14		1,573		6,999 85	3 1600	4,970 68 4,970 68	2,029 17	67	
Total		**6,521**		**29,018.45**	**3.4503**	**22,499.64** **22,499 64**	**6,518.81**	**258**	
07/23/15	SOUTHWEST AIRLINES C COMPANY LUV	167	49 84	8,323 28	36 5999	6,112 18 6,112 18	2,211 10	66	0 80%
07/28/15		5		249.20	35 1660	175 83 175 83	73 37	2	
Total		**172**		**8,572.48**	**36.5582**	**6,288 01** **6,288 01**	**2,284.47**	**68**	
02/04/15	SPLUNK INC C SPLK	91	51 15	4,654 65	56 3053	5,123 78 5,123 78	-469 13	—	—
02/05/15		89		4,552 35	60 8508	5,415 72 5,415 72	-863 37	—	
10/13/16		67		3,427 05	56 0140	3,752 94 3,752 94	-325 89	—	
Total		**247**		**12,634.05**	**57 8641**	**14,292 44** **14,292.44**	**-1,658 39**	—	
08/21/14	SYNOPSYS INC C SNPS	199	58.86	11,713 14	41 5988	8,278 16 8,278 16	3,434 98	—	—

EQUITIES AND OPTIONS continue on page 29

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
09/07/12	TD AMERITRADE HLDG CORP C AMTD	324	43 60	14,126 40	17 5299	5,679 68 5,679 68	8,446 72	233	1 65%
06/22/15	TWITTER INC C TWTR	146	16.30	2,379 80	35 5099	5,184 44 5,184 44	-2,804 64	—	—
06/24/15		3		48 90	35 6000	106 80 106 80	-57 90	—	
10/13/15		125		2,037.50	29.6567	3,707 09 3,707 09	-1,669 59	—	
Total		274		4,466.20	32.8406	8,998.33 8,998.33	-4,532.13	—	
11/18/16	TYLER TECHNOLOGIES INC C TYL	60	142 77	8,566 20	154 8592	9,291 55 9,291.55	-725 35	—	—
03/11/16	ULTA SALON COSMETICS & C FRAGRANCE INC ULTA	29	254.94	7,393 26	190 7638	6,182 25 6,182 25	1,211.01	—	—
02/12/16	ULTIMATE SOFTWARE GROUP C INC ULTI	31	182 35	5,652 85	157 7700	4,890 87 4,890 87	761 98	—	—
11/02/16		17		3,099.95	209 5971	3,563 15 3,563 15	-463 20	—	
11/10/16		20		3,647 00	197 3910	3,947 82 3,947 82	-300 82	—	
Total		68		12,399.80	182.3800	12,401 84 12,401.84	-2 04	—	

EQUITIES AND OPTIONS continue on page 30

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[3]
05/17/16	UNITED RENTALS INC C URI	87	105 58	9,185 46	65 4601	5,695 03 5,695 03	3,490 43	—	—
05/18/16		40		4,223 20	65 5770	2,623 08 2,623 08	1,600 17	—	
05/25/16		4		422 32	66 7200	266 88 266 88	155 44	—	
Total		**131**		13,830 98	65.5343	8,584.99 8,584 99	5,245.99	—	
08/11/16	VAIL RESORTS INC C MTN	31	161 31	5,000.61	158.0161	4,898 50 4,898 50	102 11	100	2 01%
10/04/16		2		322 62	156 8250	313 65 313 65	8 97	6	
11/22/16		29		4,677 99	160 9717	4,668 18 4,668 18	9 81	93	
Total		**62**		10,001.22	159 3602	9,880.33 9,880 33	120 89	199	
07/29/15	VCA INC C WOOF	101	68 65	6,933 65	60 7276	6,133 49 6,133 49	800 16	—	—
12/09/15		71		4,874 15	55 1744	3,917 38 3,917 38	956 77	—	

EQUITIES AND OPTIONS continue on page 31

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
03/03/16	VCA INC (continued)	2		137.30	52.1900	104.38 104.38	32.92	—	
Total		174		11,945.10	58.3635	10,155.25 10,155.25	1,789.85	—	
05/28/15	VERISK ANALYTICS INC VRSK	85	81.17	6,899.45	73.2580	6,226.93 6,226.93	672.52	—	—
08/10/15		74		6,006.58	77.8968	5,764.36 5,764.36	242.22	—	
03/03/16		1		81.17	75.0500	75.05 75.05	6.12	—	
Total		160		12,987.20	75.4146	12,066.34 12,066.34	920.86	—	
09/02/15	WABCO HOLDINGS INC WBC	45	106.15	4,776.75	113.7102	5,116.96 5,116.96	-340.21	—	—
09/17/15		2		212.30	117.0000	234.00 234.00	-21.70	—	
10/22/15		59		6,262.85	110.5108	6,520.14 6,520.14	-257.29	—	
10/27/16		28		2,972.20	97.4229	2,727.84 2,727.84	244.36	—	
Total		134		14,224.10	108.9473	14,598.94 14,598.94	-374.84	—	

EQUITIES AND OPTIONS continue on page 32

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
06/01/16	WASTE CONNECTIONS INC [C] WCN	482	78 59	37,880 38	31.6100	15,236 02 15,236 02	22,644 36	347	0 92%
07/14/16	WEST PHARMACEUTICAL [C] SERVICES INC WST	48	84 83	4,071 84	78 5000	3,768 00 3,768 00	303 84	24	0 61%
07/20/16		62		5,259 46	78 4732	4,865 34 4,865 34	394 12	32	
Total		110		9,331 30	78.4849	8,633 34 8,633.34	697.96	56	
12/15/16	XILINX INC [C] XLNX	110	60 37	6,640 70	60 1481	6,616 29 6,616 29	24 41	145	2 19%
09/15/16	ZIMMER BIOMET HOLDINGS [C] INC ZBH	72	103.20	7,430 40	125 6065	9,043 67 9,043 67	-1,613 27	69	0 93%
10/10/16	ZOETIS INC CL A [C] ZTS	231	53 53	12,365 43	52.6591	12,164 25 12,164 25	201 18	97	0 78%
11/09/16		119		6,370 07	50 7472	6,038 92 6,038 92	331 15	49	

EQUITIES AND OPTIONS continue on page 33

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[1]	Estimated 30-Day Yield[3]
11/30/16	ZOETIS INC CL A (continued)	5		267 65	50 5000	252 50 252 50	15 15	2	
Total		355		19,003 15	51.9878	18,455.67 18,455.67	547.48	148	
TOTAL EQUITIES AND OPTIONS				$1,228,081.41		$931,710.44 $931,710.44	$284,642.65	$9,266	

C Dividends and/or capital gains distributed by this security will be distributed as cash

Value of Your LPL Financial Account

Market Value	Cost Basis/ Purchase Cost[4]	Unrealized Gain or Loss	Estimated Annual Income
$1,239,609.57	$943,238.60 $943,238.60	$284,642.65	$9,266

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated
4 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

Account Activity as of December 31, 2016

ACCOUNT ACTIVITY SUMMARY

	Period Ending November 30, 2016	*Period Ending December 31, 2016*	*Year-to-Date*
Securities Purchased	-$99,106 87	-$44,238 41	-$521,494 05
Securities Sold	99,916 21	46,863 89	516,835 63
Additions to Your Account	—	—	—
Withdrawals from Your Account	-21 69	—	-53 78
Dividends, Interest and Capital Gains	612 91	1,166 72	10,256 66
Reinvestments	—	—	—
Net Change in Bank Deposit Sweep Balance[1]	3,806 21	-6,186 68	-3,207 33
Net Change in Money Market Fund Balance	—	—	—
Fees and Expenses[2]	—	—	-11,692 1[illegible]
Other Activity	—	—	2,003 00

SECURITIES PURCHASED

Date	*Activity Type*	*Description/Security ID*	*Capacity*	*Quantity*	*Price*	*Amount*
12/01/16	*Purchase*	ELECTRONIC ARTS INC EA	AGENT	52	$76 007	-$3,952 36
12/13/16	*Purchase*	MGM RESORTS INTL MGM	AGENT	162	30 1891	-4,890 63
12/14/16	*Purchase*	SCHEIN HENRY INC HSIC	AGENT	62	152 8363	-9,475 86
12/15/16	*Purchase*	ELECTRONIC ARTS INC EA	AGENT	26	81 5982	-2,121 56
12/15/16	*Purchase*	XILINX INC XLNX	AGENT	110	60 1481	-6,616 29

SECURITIES PURCHASED continue on page 35

1 *Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See the message section for further information*

2 *Fees and expenses include account, custodial and advisory fees assessed during the statement period*

LPL Financial

CASH AND CASH EQUIVALENTS

Description	Interest Paid in December[1]	Blended Interest Rate[1]	Current Balance
Cash			-$13,841 83
Insured Cash Account[2]			
Goldman Sachs Bank USA			35,904 91
Total Insured Cash Account	0 29	0 010%	35,904 91
TOTAL CASH AND CASH EQUIVALENTS			$22,063.08

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
04/01/15	ADVANCE AUTO PARTS INC C AAP	[illegible]	$169.12	$1,860.32	$144.8591	$1,593.45 1,593 45	$266.87	$2	0 14%
06/22/15		36		6,088 32	162.3900	5,846 04 5,846 04	242 28	8	
11/17/15		[illegible]		5,919.20	163.5700	5,724 95 5,724 95	194 25	8	
12/16/15		43		7,272 16	160 9700	6,921 71 6,921 71	350 45	10	
Total		125		21,140 00	160 6892	20,086 15 20,086 15	1,053 85	28	
12/30/16	ALLERGAN PLC C AGN	66	210.01	13,860 66	210 0812	13,865 36 13,865 36	-4 70	184	1 33%

EQUITIES AND OPTIONS continue on page 4

1 Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month
2 Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes See message section for further information
3 Purchase cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield
01/30/12	ALPHABET INC C CL C GOOG	10	771 82	7,718 20	285 6260	2,856 26 2,856 26	4,861 94	—	—
11/30/12		7		5,402 74	344 7571	2,413 30 2,413 30	2,989 44	—	
08/14/13		7		5,402 74	435 1829	3,046 28 3,046 28	2,356 46	—	
10/22/14		19		14,664 58	535 9100	10,182 29 10,182 29	4,482 29	—	
Total		**43**		**33,188.26**	**430 1891**	**18,498 13** **18,498.13**	**14,690.13**	—	
10/13/16	AMAZON COM INC C AMZN	16	749 87	11,997 92	826 6488	13,226 38 13,226 38	-1,228 46	—	—
10/05/16	AMERICAN TOWER CORP NEW C AMT	40	105 68	4,227 20	107 6773	4,307 09 4,307 09	-79 89	92	2 20%
10/13/16		38		4,015 84	112 0571	4,258 17 4,258 17	-242 33	88	
11/01/16		34		3,593 12	116 8671	3,973 48 3,973 48	-380 36	78	
Total		112		11,836 16	111 9530	12,538 74 12,538 74	-702 58	258	
11/25/15	APPLE INC C AAPL	92	115 82	10,655 44	118 2599	10,879 91 10,879 91	-224 47	209	1 97%

EQUITIES AND OPTIONS continue on page 5

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[4]	Estimated 30 Day Yield[4]
05/04/16	APPLE INC (continued)	52		6,022 64	93 8369	4,879 52 4 879 52	1 143 12	118	
11/25/15		17		1,968 94	118 2600	2,010 42 2,010 42	-41 48	38	
Total		**161**		18,647 02	110 3717	17,769 85 17,769 85	877 17	365	
04/08/13	BANK NEW YORK MELLON CORP BK	38	47 38	1,800 44	27 3876	1,040 73 1,040 73	759 71	28	1 60%
04/16/13		116		5,496 08	27 7382	3,217 63 3,217 63	2,278 45	88	
07/18/13		103		4,880 14	31 4382	3,238 13 3,238 13	1,642 01	78	
03/12/15		190		9,002 20	40 0988	7,618 77 7,618 77	1,383 43	144	
05/13/15		118		5,590 84	43 2190	5 099 84 5,099 84	491 00	89	
Total		**565**		26,769 70	35 7789	20,215 10 20,215 10	6,554 60	427	
10/15/15	BAXTER INTERNATIONAL INC BAX	255	44 34	11,306 70	33 5880	8,564 95 8,564 95	2,741 75	132	1 17%

EQUITIES AND OPTIONS continue on page 6

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividend and interest

4 Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how the figures are calculated

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost	Unrealized Gain or Loss	Estimated Annual Income [a]	Estimated 30 Day Yield [a]
12/19/16	BAYER A G [c] SPONSORED ADR BAYRY	112	104 28	11 679 36	10[illegible] 7438	11,507 [illegible] 11,507 [illegible]	17[illegible]	[illegible]	[illegible]%
11/01/16	BRISTOL MYERS SQUIBB [c] COMPANY BMY	86	58 44	5,025 84	50 9499	4,381 [illegible] 4,381 [illegible]	641 15	[illegible]	[illegible]%
11/22/16	CBRE GROUP INC CL A [c] CBG	233	31 49	7,337 17	29 2982	6,826 48 6,826 48	510 69		—
12/05/16		209		6,581 41	30 5691	6,388 94 6,388 94	192 47		
12/19/16		61		1,920 89	31 7667	1,937 77 1,937 77	-16 88	—	
Total		503		15,839 47	30 1256	15,153 19 15,153 19	686 28	—	
07/02/15	CELGENE CORP [c] CELG	56	115 75	6,482 00	119 5270	6,693 51 6,693 51	-211 51	—	
11/10/15		44		5,093 00	113 7050	5,003 02 5,003 02	89 98	—	
06/07/16		24		2,778 00	106 4271	2,554 25 2,554 25	223 75		
Total		124		14,353 00	114 9256	14,250 78 14,250 78	102 22	—	
05/10/16	CHUBB LTD CB	70	132 12	9,248 40	124 1334	8,689 [illegible] 8,689 [illegible]	559 06	19[illegible]	2 09%

EQUITIES AND OPTIONS continue on page 7

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends or [illegible]

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this data is calculated

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
07/29/16	CHUBB LTD (continued)	37		4,888 44	126 1103	4,666 08 4,666 08	222 36	102	
08/08/16		36		4,756 32	127 0036	4,572 13 4,572 13	184.19	99	
Total		143		18,893.16	125.3675	17,927.55 17,927.55	965.61	394	
01/24/14	CISCO SYSTEMS INC C CSCO	95	30 22	2,870 90	22 2400	2,112 80 2,112 80	758 10	98	3 44%
02/13/14		204		6,164.88	21.9399	4,475 74 4,475 74	1,689.14	212	
04/02/14		173		5,228.06	22 9000	3,961 70 3,961 70	1,266.36	179	
06/04/14		118		3,565.96	24.5000	2,891.00 2,891.00	674.96	122	
01/16/14		83		2,508.26	22 7600	1,889 08 1,889 08	619 18	86	
Total		673		20,338.06	22.7791	15,330.32 15,330.32	5,007.74	697	
01/28/16	COCA-COLA COMPANY KO	41	41 46	1,699 86	42 4188	1,739 17 1,739 17	-39 31	57	3 38%
02/04/16		98		4,063.08	42.5390	4,168 82 4,168 82	-105.74	137	

EQUITIES AND OPTIONS continue on page 8

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	*Description/Security ID*	*Quantity*	*Price*	*Market Value*	*Unit Cost*	*Cost Basis/ Purchase Cost*[3]	*Unrealized Gain or Loss*	*Estimated Annual Income*[a]	*Estimated 30-Day Yield*[a]
02/25/16	COCA-COLA COMPANY (continued)	83		3,441 18	44 0760	3,658 31 3,658 31	-217 13	116	
Total		222		9,204.12	43 0914	9,566 30 9,566.30	-362 18	310	
08/18/16	COGNIZANT TECHNOLOGY C SOLUTIONS CORP CL A CTSH	120	56 03	6,723 60	56 7386	6,808 63 6,808 63	-85 03	—	—
09/22/16		129		7,227 87	53 7090	6,928 46 6,928 46	299 41	—	
Total		249		13,951.47	55.1690	13,737 09 13,737 09	214.38	—	
05/13/14	CVS HEALTH CORP C CVS	26	78 91	2,051 66	76 6296	1,992 37 1,992 37	59 29	52	2 53%
06/11/14		58		4,576 78	77 6498	4,503 69 4,503 69	73 09	116	
10/03/14		66		5,208 06	81 6597	5,389 54 5,389 54	-181 48	132	
10/16/14		48		3,787 68	78 7600	3,780 48 3,780 48	7 20	96	
11/25/15		72		5,681.52	93 6799	6,744 95 6,744 95	-1,063 43	144	
Total		270		21,305.70	83.0038	22,411.03 22,411 03	-1,105.33	540	

EQUITIES AND OPTIONS continue on page 9

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
	DANAHER CORP C DHR		77.84						
02/21/14		51		3,969.84	57.9788	2,956.92 2,956.92	1,012.92	25	0.64%
06/04/14		83		6,460.72	59.8096	4,964.20 4,964.20	1,496.52	41	
04/16/12		24		1,868.16	41.2908	990.98 990.98	877.18	12	
Total		158		12,298.72	56.4057	8,912.10 8,912.10	3,386.62	78	
05/27/16	DEERE & COMPANY C DE	81	103.04	8,346.24	79.9970	6,479.76 6,479.76	1,866.48	194	2.33%
	DENTSPLY SIRONA INC C XRAY		57.73						
10/17/16		74		4,272.02	58.3968	4,321.36 4,321.36	-49.34	22	0.54%
12/05/16		82		4,733.86	57.3635	4,703.81 4,703.81	30.05	25	
Total		156		9,005.88	57.8537	9,025.17 9,025.17	-19.29	47	
	DISH NETWORK CORP C CL A DISH		57.93						
10/13/16		79		4,576.47	56.3658	4,452.90 4,452.90	123.57	—	—
11/01/16		71		4,113.03	58.5038	4,153.77 4,153.77	-40.74	—	
Total		150		8,689.50	57.3778	8,606.67 8,606.67	82.83	—	

EQUITIES AND OPTIONS continue on page 10

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
05/10/16	DOLLAR TREE INC C DLTR	9	77 18	694 62	81 9356	737 4[illegible] 737 4[illegible]	12 80		
05/19/16		32		2,469 76	76 0500	2,433 60 2,433 6[illegible]	[illegible]		
06/10/16		33		2,546 94	91 1600	3,008 [illegible] 3,008 [illegible]	461 31		
06/23/16		62		4,785 16	91 8500	5,694 [illegible] 5,694 [illegible]	909 58		
Total		136		10,496 48	87 3091	11,874 04 11,874 04	1,377 56	–	
12/19/16	FASTENAL COMPANY C FAST	287	46 98	13,483 26	47 9898	13,773 [illegible] 13,773 [illegible]	289 82	[illegible]	[illegible]
12/13/16	FLOWSERVE CORP C FLS	224	48 05	10,763 20	50 4128	11,292 17 11,292 47	-529 27	170	1 58%
04/16/12	FORTIVE CORP C FTV	12	53 63	643 56	25 6933	308 32 308 32	335 24	3	0 52%
02/21/14		25 5		1,367 56	36 0769	919 96 919 96	447 60	7	
06/04/14		41 5		2,225 65	37 2161	1,544 47 1 544 47	681 18	11	
Total		79		4,236 77	35 0981	2,772 75 2,772 75	1,464.02	21	

EQUITIES AND OPTIONS continue on page 11

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how the figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/31/16	GENERAL DYNAMICS C CORP COMMON GD	59	172.66	10,186 94	151 9208	8,963 33 8,963 33	1,223 61	179	1 76%
09/22/16		57		9,841 62	154 5512	8,809 42 8,809 42	1,032 20	173	
10/05/16		27		4,661 82	153 6541	4,148 66 4,148 66	513 16	82	
Total		143		24,690.38	153.2966	21,921 41 21,921 41	2,768 97	434	
05/26/15	GENERAL ELECTRIC COMPANY C GE	3	31.60	94 80	27 4900	82 47 82 47	12 33	2	3 04%
06/08/15		171		5,403 60	27 2190	4,654 45 4,654 45	749 15	164	
07/21/15		102		3,223.20	26.9050	2,744.31 2,744 31	478 89	97	
09/11/15		116		3,665 60	24 7390	2,869 72 2,869 72	795 88	111	
10/06/15		159		5,024.40	27 2290	4,329 41 4,329 41	694 99	152	
10/15/15		65		2,054.00	28.1191	1,827 74 1,827 74	226.26	62	

EQUITIES AND OPTIONS continue on page 12

[3] Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

[a] Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30 Day Yield[a]
12/22/15	GENERAL ELECTRIC COMPANY (continued)	103		3,254 80	30 2990	[illegible]	[illegible]	[illegible]	
05/13/16		44		4,550 40	[illegible]	[illegible]	[illegible]	[illegible]	
Total		863		27,270 80	27 7272	23,928 60 23,928 60	3,312 20	82[illegible]	
[illegible]	HARRIS CORP DEL HRS	77	102 47	7,890 19	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]		33		3 381 51	[illegible]	[illegible]	[illegible]	[illegible]	
Total		110		11,271 70	92 7751	10,205 26 10,205 26	1,066 44	[illegible]	
[illegible]	HESS CORP HES	72	62 29	4,484 83	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	HUNTINGTON BANCSHRES INC HBAN	518	13 22	6,847 96	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]		518		6,847 96	[illegible]	[illegible]	[illegible]	[illegible]	
Total		1,036		13,695 92	13 1192	13,591 45 13,591 45	104 47	330	
[illegible]	JOHNSON CONTROLS INTL PLC JCI	188	41 19	7,743 72	45 6900	8,589 72 8 589 72	[illegible]	[illegible]	[illegible]

EQUITIES AND OPTIONS continue on page 13

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information [illegible]*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
11/22/16	KROGER COMPANY [C] KR	200	34.51	6,902 00	33 5956	6,719 12 6,719 12	182 88	96	1 39%
12/05/16		211		7,281.61	32 8899	6,939 77 6,939.77	341 84	101	
Total		411		14,183.61	33.2333	13,658 89 13,658.89	524.72	197	
01/09/15	LILLY ELI & COMPANY [C] LLY	98	73 55	7,207 90	69 4469	6,805 80 6,805 80	402 10	203	2 83%
06/11/14		4		294 20	59 6675	238 67 238 67	55 53	8	
Total		102		7,502.10	69.0634	7,044 47 7,044.47	457 63	211	
04/22/16	MCKESSON CORP [C] MCK	2	140 45	280 90	177 4700	354 94 354 94	-74 04	2	0 80%
05/10/16		38		5,337 10	170 0150	6,460 57 6,460 57	-1,123 47	42	
05/13/16		27		3,792 15	166 8989	4,506 27 4,506 27	-714 12	30	
06/28/16		30		4,213 50	176 3263	5,289 79 5,289 79	-1,076 29	33	

EQUITIES AND OPTIONS continue on page 14

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
04/22/16	MCKESSON CORP (continued)	11		1,544 95	177 4727	1,952 20 1,952 20	-407 25	12	
Total		108		15,168.60	171.8868	18,563 77 18,563 77	-3,395 17	119	
10/20/15	MEAD JOHNSON NUTRITION C COMPANY MJN	15	70 76	1,061 40	74 7127	1,120 69 1,120 69	-59 29	24	2 33%
11/03/15		49		3,467 24	83 5800	4,095 42 4,095 42	-628 18	80	
01/28/16		37		2,618 12	71 5657	2,647 93 2,647 93	-29 81	61	
Total		101		7,146 76	77 8618	7,864 04 7,864 04	-717 28	165	
01/27/15	MEDTRONIC PLC C MDT	201	71 23	14,317 23	76 9500	15,318 36 15,318 36	-1,001 13	345	2 41%
05/04/16		81		5,769 63	78 7899	6,381 98 6,381 98	-612 35	139	
Total		282		20,086.86	76 9516	21,700 34 21,700 34	-1,613 48	484	
05/29/13	MERCK & COMPANY INC NEW C MRK	28	58 87	1,648 36	46 6375	1,305 85 1,305 85	342 51	52	3 19%
06/05/13		47		2,766 89	48 6881	2,288 34 2,288 34	478 55	88	

EQUITIES AND OPTIONS continue on page 15

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
09/19/13	MERCK & COMPANY INC NEW (continued)	88		5,180 56	48 2195	4,243 32 4,243 32	937 24	165	
10/22/14		51		3,002 37	55 6700	2,839 17 2,839 17	163 20	95	
06/28/16		66		3,885.42	55.2876	3,648.98 3,648 98	236.44	124	
Total		280		16,483.60	51.1631	14,325.66 14,325.66	2,157.94	524	
05/04/16	MICROSOFT CORP C MSFT	357	62 14	22,183.98	49.9595	17,835 53 17,835 53	4,348 45	556	2 51%
05/13/16		63		3,914 82	51 4598	3,241 97 3,241 97	672 85	98	
06/28/16		66		4,101 24	49 1898	3,246 53 3,246 53	854 71	102	
Total		486		30,200.04	50 0494	24,324 03 24,324 03	5,876 01	756	
10/05/16	MORGAN STANLEY C MS	275	42 25	11,618 75	32 5099	8,940 22 8,940 22	2,678 53	220	1 89%
10/13/16		73		3,084.25	31 3899	2,291 46 2,291 46	792 79	58	
Total		348		14,703 00	32 2749	11,231.68 11,231.68	3,471.32	278	

EQUITIES AND OPTIONS continue on page 16

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/04/13	OCCIDENTAL PETROLEUM C CORP OXY	13	71 23	925 99	76 4862	994 32 994 32	-68 33	39	4 27%
04/02/14		62		4,416 26	91 3735	5,665 16 5,665 16	-1,248 90	188	
05/13/14		36		2,564 28	94 1581	3,389 69 3,389 69	-825 41	109	
04/22/15		29		2,065 67	79 5579	2,307 18 2,307 18	-241 51	88	
12/14/15		29		2,065 67	64 9024	1,882 17 1,882 17	183 50	88	
12/16/15		29		2,065 67	68 9355	1,999 13 1,999 13	66 54	88	
02/10/16		77		5,484 71	65 6109	5,052 04 5,052 04	432 67	234	
01/04/13		17		1,210 91	76 4871	1,300 28 1,300 28	-89 37	51	
Total		292		20,799.16	77.3629	22,589 97 22,589 97	-1,790 81	885	
10/17/16	PAYPAL HOLDINGS INC C PYPL	167	39 47	6,591 49	39 4191	6,582 99 6,582 99	8 50	—	—

EQUITIES AND OPTIONS continue on page 17

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[3]
12/19/16	PAYPAL HOLDINGS INC (continued)	66		2,605.02	39 7068	2,620 65 2,620 65	-15.63	—	
Total		233		9,196.51	39.5006	9,203.64 9,203.64	-7.13	—	
07/17/12	PFIZER INC C PFE	182	32 48	5,911.36	23 5899	4,293 36 4,293 36	1,618 00	232	3 94%
05/13/14		119		3,865 12	29 1999	3,474 79 3,474 79	390 33	152	
01/09/15		226		7,340 48	32.6599	7,381 14 7,381 14	-40.66	289	
07/17/12		5		162 40	23 5900	117 95 117.95	44.45	6	
05/13/16		174		5,651 52	33 3299	5,799 40 5,799 40	-147 88	222	
05/19/16		60		1,948 80	33 1998	1,991 99 1,991 99	-43 19	76	
06/28/16		93		3,020 64	34 1799	3,178 73 3,178 73	-158 09	119	
Total		859		27,900.32	30.5441	26,237.36 26,237 36	1,662 96	1,096	
01/07/16	PHILIP MORRIS INTL INC C PM	31	91.49	2,836 19	87 6387	2,716 80 2,716 80	119 39	128	4 55%

EQUITIES AND OPTIONS continue on page 18

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[1]	Estimated 30-Day Yield[a]
01/14/16	PHILIP MORRIS INTL INC (continued)	41		3,751 09	87 7841	3,599 15 3,599 15	151 94	170	
01/21/16		50		4,574 50	85 3950	4,269 75 4,269 75	304 75	208	
01/23/16		37		3,385 13	88 8857	3,288 77 3,288 77	96 36	153	
02/25/16		42		3,842 58	92 0976	3,868 10 3,868 10	-25 52	174	
Total		**201**		**18,389 49**	**88.2715**	**17,742.57** **17,742 57**	**646.92**	**833**	
11/03/16	PINNACLE FOODS INC DE C PF	126	53 45	6,734 70	51 6883	6,512 73 6,512 73	221 97	143	2 13%
11/17/16		55		2,939 75	49 4636	2,720 50 2,720 50	219 25	62	
Total		**181**		**9,674 45**	**51.0123**	**9,233 23** **9,233 23**	**441.22**	**205**	
07/02/15	POTASH CORP C CF SASKATCHEWAN INC POT	216	18.09	3,907 44	30 9794	6,691 55 6,691 55	-2,784 11	85	2 21%
07/21/15		184		3,328 56	28 5410	5,251 55 5,251 55	-1,922 99	73	

EQUITIES AND OPTIONS continue on page 19

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
08/11/15	POTASH CORP (continued)	128		2,315 52	26 2788	3,363 68 3,363 68	-1,048 16	51	
10/06/15		78		1,411 02	21 3099	1,662 17 1,662 17	-251 15	31	
10/15/15		197		3,563 73	22 1799	4,369 44 4,369 44	-805 71	78	
10/26/15		236		4,269 24	21.8042	5,145 78 5,145 78	-876 54	94	
Total		**1,039**		**18,795.51**	**25.4901**	**26,484 17 26,484.17**	**-7,688.66**	**413**	
11/22/16	PPG INDUSTRIES INC C PPG	70	94.76	6,633.20	96.2836	6,739.85 6,739 85	-106 65	112	1 69%
12/05/16		70		6,633.20	96 0636	6,724 45 6,724 45	-91 25	112	
12/13/16		47		4,453 72	97 1536	4,566 22 4,566 22	-112.50	75	
Total		**187**		**17,720.12**	**96 4199**	**18,030.52 18,030 52**	**-310 40**	**299**	
04/22/16	PRAXAIR INC C PX	16	117 19	1,875 04	119 2963	1,908 74 1,908 74	-33 70	48	2 56%
05/04/16		57		6,679 83	114 0702	6,502 00 6,502 00	177 83	171	

EQUITIES AND OPTIONS continue on page 20

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
05/19/16	PRAXAIR INC (continued)	42		4,921 98	109 8336	4,613 01 4,613 01	308 97	176	
06/07/16		43		5,039 17	112 0400	4,817 72 4,817 72	221 45	129	
04/22/16		10		1,171 90	119 2970	1,192 97 1,192 97	-21 07	30	
Total		168		19,687.92	113.3002	19,034 44 19,034 44	653 48	504	
03/23/15	PROGRESSIVE CORP OH C PGR	85	35 50	3,017 50	27 7389	2,357 81 2,357 81	659 69	75	2 50%
02/04/16		97		3,443 50	30 3390	2,942 88 2,942 88	500 62	86	
08/03/16		131		4,650 50	34 0091	4,455 19 4,455 19	195 31	116	
09/22/16		116		4,118 00	31 2191	3,621 42 3,621 42	496 58	103	
03/23/15		38		1,349 00	27 7392	1,054 09 1,054 09	294 91	33	
Total		467		16,578 50	30 9023	14,431 39 14,431 39	2,147 11	413	
10/06/15	SCHLUMBERGER LTD C SLB	14	83 95	1,175 30	73 8364	1,033 71 1,033 71	141 59	28	2 38%

EQUITIES AND OPTIONS continue on page 21

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
	SCHLUMBERGER LTD (continued)								
10/20/15		33		2,770.35	75 6100	2,495 13 2,495 13	275 22	66	
12/04/15		39		3,274 05	74 1538	2,892 00 2,892.00	382 05	78	
12/14/15		35		2,938 25	69 3240	2,426 34 2,426 34	511 91	70	
12/16/15		33		2,770 35	71 4991	2,359 47 2,359 47	410 88	66	
12/30/15		7		587.65	69 9686	489 78 489 78	97 87	14	
10/06/15		1		83 95	73 8400	73 84 73 84	10 11	2	
Total		162		13,599.90	72.6560	11,770.27 11,770.27	1,829.63	324	
	SIMON PROPERTY GROUP INC NEW SPG								
05/10/16		13	177.67	2,309 71	214.3931	2,787 11 2,787 11	-477 40	84	3 66%
06/28/16		19		3,375.73	211.7258	4,022 79 4,022 79	-647 06	123	

EQUITIES AND OPTIONS continue on page 22

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[1]	Estimated 30-Day Yield[1]
10/05/16	SIMON PROPERTY GROUP (continued)	30		5,330 10	195 7520	5,872 56 5,872 56	-542 46	195	
Total		62		11,015 54	204 5558	12,682 46 12,682 46	-1,666.92	402	
01/21/16	TARGET CORP C TGT	2	72 23	144 46	68 6450	137 29 137 29	7 17	4	3 32%
01/23/16		82		5,922 86	71 0573	5,826 70 5,826 70	96 16	196	
06/23/16		44		3,178 12	69 3291	3,050 48 3,050 48	127 64	105	
Total		128		9,245.44	70 4255	9,014 47 9,014 47	230 97	305	
03/15/16	TIME WARNER INC NEW C TWX	18	96 53	1,737 54	70 4072	1,267 33 1,267 33	470 21	28	1 67%
04/04/16		58		5,598 74	73 6045	4,269 06 4,269 06	1,329 68	93	
05/04/16		79		7,625 87	74 3138	5,870 79 5,870 79	1,755 08	127	
06/10/16		40		3,861 20	73 6583	2,946 33 2,946 33	914 87	64	
Total		195		18,823 35	73 6077	14,353 51 14,353 51	4,469 84	312	

EQUITIES AND OPTIONS continue on page 23

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

1 *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

LPL Financial

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[3]
02/10/16	U S BANCORP DE NEW C USB	256	51 37	13,150 72	39 5777	10,131 89 10,131 89	3,018 83	286	2 18%
02/18/16		107		5,496 59	39 3859	4,214 29 4,214 29	1,282 30	119	
03/21/16		56		2,876 72	41 2898	2,312 23 2,312 23	564 49	62	
04/22/16		91		4,674 67	43 3499	3,944 84 3,944 84	729 83	101	
05/04/16		108		5,547 96	41 5299	4,485 23 4,485 23	1,062 73	120	
Total		618		31,746.66	40.5962	25,088.48 25,088.48	6,658.18	688	
03/13/14	UNITED PARCEL SERVICE C INC CL B UPS	24	114 64	2,751 36	97 3200	2,335 68 2,335 68	415 68	74	2 72%
10/16/14		25		2,866 00	95.4900	2,387 25 2,387 25	478 75	78	
10/26/15		54		6,190.56	106 2787	5,739 05 5,739 05	451 51	168	
Total		103		11,807.92	101.5726	10,461 98 10,461 98	1,345.94	320	
11/12/14	VISA INC CLASS A C V	92	78 02	7,177 84	62 8325	5,780 59 5,780 59	1,397 25	60	0 85%

EQUITIES AND OPTIONS continue on page 24

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
01/30/15	VISA INC CLASS A (continued)	72		5,617 44	65 0500	4,683 60 4,683 60	933 84	47	
03/23/15		58		4,525 16	67 5166	3,915 96 3,915 96	609 20	38	
Total		222		17,320 44	64 7755	14,380 15 14,380.15	2,940 29	145	
10/13/16	WELLS FARGO & CO NEW C WFC	145	55 11	7,990 95	44 4650	6,447 43 6,447 43	1,543 52	220	2 76%
11/01/16		92		5,070 12	46 0199	4,233 83 4,233 83	836 29	139	
11/09/16		132		7,274 52	48 3199	6,378 23 6,378 23	896 29	200	
11/17/16		184		10,140 24	52 8499	9,724 38 9,724 38	415 86	279	
12/05/16		112		6,172 32	54 2589	6,077 00 6,077 00	95 32	170	
Total		665		36,648 15	49.4148	32,860 87 32,860 87	3,787 28	1,008	

EQUITIES AND OPTIONS continue on page 25

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost[3]	Unrealized Gain or Loss	Estimated Annual Income[a]	Estimated 30-Day Yield[a]
10/17/16	XILINX INC [C] XLNX	87	60.37	5,252 19	49 7449	4,327 81 4,327 81	924 38	114	2 19%
TOTAL EQUITIES AND OPTIONS				**$885,490.19**		**$819,701.30** **$819,701.30**	**$65,788.89**	**$17,724**	

C Dividends and/or capital gains distributed by this security will be distributed as cash

Value of Your LPL Financial Account

Market Value	Cost Basis/ Purchase Cost[4]	Unrealized Gain or Loss	Estimated Annual Income
$907,553.27	**$841,764.38** **$841,764.38**	**$65,788.89**	**$17,724**

3 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated
4 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

Account Activity as of December 31, 2016

ACCOUNT ACTIVITY SUMMARY

	Period Ending November 30, 2016	Period Ending December 31, 2016	Year-to-Date
Securities Purchased	-$55,709 40	-$103,988 27	-$644,908 85
Securities Sold	51,171 56	92,646 08	625,768 16
Additions to Your Account	—	—	—
Withdrawals from Your Account	-25 98	—	-254 57
Dividends, Interest and Capital Gains	1,414 25	1,209 61	18,707 44
Reinvestments	—	—	—
Net Change in Bank Deposit Sweep Balance[1]	-3,394 91	3,954 59	17,578 54
Net Change in Money Market Fund Balance	—	—	—
Fees and Expenses[2]	—	—	8,756 60
Other Activity	—	—	1,289 09

SECURITIES PURCHASED

Date	Activity Type	Description/Security ID	Capacity	Quantity	Price	Amount
12/05/16	*Purchase*	CBRE GROUP INC CL A CBG	AGENT	209	$30 5691	-$6,388 94
12/05/16	*Purchase*	DENTSPLY SIRONA INC XRAY	AGENT	82	57 3635	-4,703 81
12/05/16	*Purchase*	HUNTINGTON BANCSHRES INC HBAN	AGENT	518	13 0384	-6,753 90
12/05/16	*Purchase*	KROGER COMPANY KR	AGENT	211	32 8899	6,939 77
12/05/16	*Purchase*	PPG INDUSTRIES INC PPG	AGENT	70	96 0636	-6,724 45
12/05/16	*Purchase*	WELLS FARGO & CO NEW WFC	AGENT	112	54 2588	6,077 00

SECURITIES PURCHASED continue on page 27

1 *Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See the message section for further information.*

2 *Fees and expenses include account, custodial and advisory fees assessed during the statement period*

LPL Financial

Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

Description	*Interest Paid in December*[1]	*Blended Interest Rate*[1]	*Current Balance*
Cash			$205.40
Insured Cash Account[2]			
Goldman Sachs Bank USA			3,165 54
The Bank of East Asia Ltd			0 37
Total Insured Cash Account	0 62	0 010%	3,165 91
TOTAL CASH AND CASH EQUIVALENTS			**$3,371.31**

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	*Description/Security ID*	*Quantity*	*Price*	*Market Value*	*Unit Cost*	*Cost Basis/ Purchase Cost*[3]	*Unrealized Gain or Loss*	*Estimated Annual Income*[a]	*Estimated 30-Day Yield*[a]
10/02/14* *Purchases*	BLDRS EMERGING MARKETS 50 ADR INDEX ETF ADRE	1,262	$32.25	$40,699 50	$38 61	$48,728 58 48,728 58	-$8,029 08	$709	1 75%
10/02/14* *Purchases*	ISHARES EDGE MSCI MIN VOLATILITY EMERGING MARKETS ETF EEMV	3,285	48 91	160,669 35	59 50	195,452 25 195,452 25	-34,782.90	4,488	2.79%
04/16/15 *Purchases*	ISHARES MSCI GERMANY ETF EWG	834	26 48	22,084.32	29.98	25,002.31 25,002.31	-2,917 99	518	2 35%
10/07/14* *Purchases*	LORD ABBETT R SHORT DURATION INCOME CL A LALDX	52,319.926	4.31	225,498.88	4.45	232,972 25 201,487 33	-7,473.37	8,935	3 97%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 4

1 *Interest is paid on daily balances at a blended rate reflecting the weighted average rate during the statement month.*
2 *Bank Deposit Sweep Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes. See message section for further information*
3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*
a *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.*

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS (continued)

Date Acquired	*Description/Security ID*	*Quantity*	*Price*	*Market Value*	*Unit Cost*	*Cost Basis/ Purchase Cost*	*Unrealized Gain or Loss*	*Estimated Annual Income*[2]	*Estimated 30-Day Yield*[1]
06/07/11 * Purchases	PRINCIPAL [R] PREFERRED SECURITIES INSTL CL PPSIX	34,107 153	9 89	337,319 74	10 25	349,742 82 165,141 28	-12,423 08	17,048	5 07%
TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS				**$786,271.79**		**$851,898.21 $635,811.75**	**-$65,626.42**	**$31,698**	

* *Date of Earliest Acquisition*

R Dividends and/or capital gains distributed by this security will be reinvested

Value of Your LPL Financial Account

	Market Value	*Cost Basis/ Purchase Cost*[4]	*Unrealized Gain or Loss*	*Estimated Annual Income*
	$789,643.10	**$855,269.52 $639,183.06**	**-$65,626.42**	**$31,698**

3 *Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest*

2 *Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated*

4 *Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative investments*

LPL Financial