



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



Form 990-PF

Department of the Treasury
Internal Revenue ServiceReturn of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

Do not enter social security numbers on this form as it may be made public.
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning , 2016, and ending

03/04
THE LUPIN FOUNDATION
234 METAIRIE ROAD
METAIRIE, LA 70005

A Employer identification number
*****0770 72-0940770B Telephone number (see instructions)
504 849 0518

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16)
\$ 15,803,775.
J Accounting method: ☐ Cash ☒ Accrual
☐ Other (specify) (Part I, column (d) must be on cash basis.)

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐Part I Analysis of Revenue and Expenses
(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
REVENUE				
1 Contributions, gifts, grants, etc., received (attach schedule)				
2 Check ☒ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	502.	502.	502.	
4 Dividends and interest from securities	305,959.	305,959.	305,959.	
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	804,418.			
b Gross sales price for all assets on line 6a.	10,945,299.			
7 Capital gain net income (from Part IV, line 2)		806,965.		
8 Net short-term capital gain			27,491.	
9 Income modifications				
10a Gross sales less returns and allowances				
b Less: Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)				
12 Total. Add lines 1 through 11	1,110,879.	1,113,426.	333,952.	
ADMINISTRATIVE EXPENSES				
13 Compensation of officers, directors, trustees, etc.	191,287.	150,787.		40,500.
14 Other employee salaries and wages	15,202.			15,202.
15 Pension plans, employee benefits				
16a Legal fees (attach schedule) See St. 1	8,547.			8,547.
b Accounting fees (attach sch) See St. 2	30,000.	7,310.		22,690.
c Other professional fees (attach sch) See St. 3	25,342.	25,342.		
17 Interest				
18 Taxes (attach schedule) (see instrs) See Stmt 4	45,357.	39,933.		5,424.
19 Depreciation (attach schedule) and depletion See Stmt 5	16,378.			
20 Occupancy				
21 Travel, conferences, and meetings MAY 2017	3,115.			3,115.
22 Printing and publications				
23 Other expenses (attach schedule)				
See Statement 6	64,317.	25,833.		38,484.
24 Total operating and administrative expenses. Add lines 13 through 23	399,545.	249,205.		133,962.
25 Contributions, gifts, grants paid Part. XV	579,000.			579,000.
26 Total expenses and disbursements. Add lines 24 and 25	978,545.	249,205.	0.	712,962.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	132,334.			
b Net investment income (if negative, enter -0-)		864,221.		
c Adjusted net income (if negative, enter -0-)			333,952.	

BAA For Paperwork Reduction Act Notice, see instructions.

TEEA0504L 12/16/16

Form 990-PF (2016)

8

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
ASSETS	1	Cash — non-interest-bearing		1,432,264.	718,823.	718,823.
	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 (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach sch)				
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments — U.S. and state government obligations (attach schedule)				
	b	Investments — corporate stock (attach schedule)	13,368,832.	14,409,889.	15,084,952.	
	c	Investments — corporate bonds (attach schedule)				
	11	Investments — land, buildings, and equipment: basis				
	Less: accumulated depreciation (attach schedule)					
12	Investments — mortgage loans					
13	Investments — other (attach schedule)	1,217,530.	363,563.			
14	Land, buildings, and equipment: basis	595,919.				
	Less: accumulated depreciation (attach schedule)	See Stmt. 7	346,496.	265,801.	249,423.	
15	Other assets (describe					
16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)		16,284,427.	15,741,698.	15,803,775.	
LIABILITIES	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons	5,419.	5,419.		
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe				
23	Total liabilities (add lines 17 through 22)	5,419.	5,419.			
NET ASSETS OR FUND BALANCES	Foundations that follow SFAS 117, check here			☐		
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here			☒		
	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	16,279,008.	15,736,279.		
	30	Total net assets or fund balances (see instructions)	16,279,008.	15,736,279.		
	31	Total liabilities and net assets/fund balances (see instructions)	16,284,427.	15,741,698.		

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	16,279,008.
2	Enter amount from Part I, line 27a	2	132,334.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	16,411,342.
5	Decreases not included in line 2 (itemize)	5	675,063.
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	15,736,279.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a See Statement 9			
b			
c			
d			
e			

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

(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			

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	806,965.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).	If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8	3	27,491.

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	923,078.	16,213,532.	0.056933
2014	991,820.	20,124,188.	0.049285
2013	845,915.	21,120,682.	0.040052
2012	954,907.	18,925,429.	0.050456
2011	910,076.	17,973,499.	0.050634

2 Total of line 1, column (d)	2	0.247360
3 Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.049472
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	14,401,301.
5 Multiply line 4 by line 3	5	712,461.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	8,642.
7 Add lines 5 and 6	7	721,103.
8 Enter qualifying distributions from Part XII, line 4	8	712,962.

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

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

1 a Exempt operating foundations described in section 4940(d)(2), check here. ☐ and enter 'N/A' on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary – see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here. ☐ and enter 1% of Part I, line 27b		1	17,284.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2.		3	17,284.
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	17,284.
6 Credits/Payments:			
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a		
b Exempt foreign organizations – tax withheld at source	6 b		
c Tax paid with application for extension of time to file (Form 8868)	6 c		
d Backup withholding erroneously withheld.	6 d		
7 Total credits and payments. Add lines 6a through 6d.	7		0.
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8		431.
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed.	9		17,715.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.	10		
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax. Refunded.	11		

Part VII-A Statements Regarding Activities

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

BAA

Form 990-PF (2016)

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 THE LUPIN FOUNDATION Telephone no. 504 849 0518		
Located at 234 METAIRIE ROAD ZIP + 4 70005		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here N/A		N/A
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.

1 a During the year did the foundation (either directly or indirectly).

- (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No
- (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No
- (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No
- (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No
- (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No
- (6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No

b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?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?**2** Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):**a** At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No

If 'Yes,' list the years 20 __, 20 __, 20 __, 20 __

b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer 'No' and attach statement - see instructions.)**c** If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.

20 __, 20 __, 20 __, 20 __

3 a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No**b** If 'Yes,' did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.)**4 a** Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?**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?

BAA

Form 990-PF (2016)

Part VII-B: Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5 a** During the year did the foundation pay or incur any amount to:

- (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
- (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
- (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

5 b N/A

Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

N/A

If 'Yes,' attach the statement required by Regulations section 53.4945–5(d)

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

6 b X

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

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No

7 b N/A

Part VIII: Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 10		191,287.	0.	0.

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

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

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

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
STERN ASSOCIATES 2550 VICTORY BLVD STATEN ISLAND, NY 10314	ACCOUNTING	30,000.
CJL 535 MADISON AVENUE 30 FL NEW YORK, NY 10022	INVEST CONSULTANT	12,784.
CHARLES SCHWAB 555 GRANT STREET PITTSBURGH, PA 15219	INVEST CONSULTANT	12,557.
Total number of others receiving over \$50,000 for professional services		0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

BAA

Form 990-PF (2016)

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1 a	13,228,233.
b	Average of monthly cash balances	1 b	1,392,377.
c	Fair market value of all other assets (see instructions)	1 c	
d	Total (add lines 1a, b, and c)	1 d	14,620,610.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	14,620,610.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	219,309.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	14,401,301.
6	Minimum investment return. Enter 5% of line 5	6	720,065.

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	720,065.
2 a	Tax on investment income for 2016 from Part VI, line 5	2 a	17,284.
b	Income tax for 2016. (This does not include the tax from Part VI)	2 b	
c	Add lines 2a and 2b	2 c	17,284.
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	702,781.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	702,781.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	702,781.

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	1 a	712,962.
b	Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	712,962.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	712,962.

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				702,781.
2 Undistributed income, if any, as of the end of 2016:				
a Enter amount for 2015 only			577,211.	
b Total for prior years: 20 , 20 , 20		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$ 712,962.				
a Applied to 2015, but not more than line 2a			577,211.	
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				135,751.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5.	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount — see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount — see instructions			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				567,030.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required — see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

BAA

Form 990-PF (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)

- 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

[illegible]

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 11

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

See Statement for Line 2a

- c Any submission deadlines.

See Statement for Line 2a

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

See Statement for Line 2a

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year See attached schedule			See attached schedule	579,000.
Total			3 a	579,000.
b Approved for future payment				
Total			3 b	

2016

Federal Statements

Page 1

Client LUPIN

THE LUPIN FOUNDATION

*****0770

5/10/17

11 54PM

Statement 1
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Kings Kreh	\$ 8,547.			\$ 8,547.
Total	\$ 8,547.	\$ 0.	\$ 0.	\$ 8,547.

Statement 2
Form 990-PF, Part I, Line 16b
Accounting Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Stern Associates.	\$ 30,000.	\$ 7,310.		\$ 22,690.
Total	\$ 30,000.	\$ 7,310.	\$ 0.	\$ 22,690.

Statement 3
Form 990-PF, Part I, Line 16c
Other Professional Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Investment Brokers.....	\$ 25,342.	\$ 25,342.		
Total	\$ 25,342.	\$ 25,342.	\$ 0.	\$ 0.

Statement 4
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Excise Tax.....	\$ 29,932.	\$ 29,932.		
Foreign Tax.....	4,357.	4,357.		
Payroll Taxes.....	11,068.	5,644.		\$ 5,424.
Total	\$ 45,357.	\$ 39,933.	\$ 0.	\$ 5,424.

2016

Federal Statements

Page 2

Client LUPIN

THE LUPIN FOUNDATION

*****0770

5/10/17

11:54PM

Statement 5
Form 990-PF, Part I, Line 19
Allocated Depreciation

Date Acquired	Cost Basis	Prior Yr Depr	Method	Rate	Life	Current Yr Depr	Net Invest Income	Adjusted Net Income
Building 9/10/04	420,216	172,530	S/L	0.0364		15,283	0	0
Improvements 11/01/04	21,032	8,511	S/L	0.0364		765	0	0
Improvements 6/14/05	9,062	3,470	S/L	0.0364		330	0	0

Statement 6
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Bank Charges.....	\$ 14,788.	\$ 7,394.		\$ 7,394.
Insurance.....	24,410.	12,205.		12,205.
Office Expenses.....	14,594.	3,160.		11,434.
Repairs & Maintenance.....	4,695.	1,035.		3,660.
Telephone.....	5,830.	2,039.		3,791.
Total	\$ 64,317.	\$ 25,833.	\$ 0.	\$ 38,484.

Statement 7
Form 990-PF, Part II, Line 14
Land, Buildings, and Equipment

Category	Basis	Accum. Deprec.	Book Value	Fair Market Value
Furniture and Fixtures	\$ 101,993.	\$ 101,993.	\$ 0.	\$ 0.
Machinery and Equipment	43,614.	43,614.	0.	0.
Buildings	420,217.	187,813.	232,404.	0.
Improvements	30,095.	13,076.	17,019.	0.
Total	\$ 595,919.	\$ 346,496.	\$ 249,423.	\$ 0.

Statement 8
Form 990-PF, Part III, Line 5
Other Decreases

Net Unrealized Gains or Losses on Investments.....	Total	\$ 675,063.
		\$ 675,063.

Client LUPIN

THE LUPIN FOUNDATION

*****0770

5/10/17

11.54PM

Statement 9
Form 990-PF, Part IV, Line 1
Capital Gains and Losses for Tax on Investment Income

Item	(a) Description	(b) How Acquired	(c) Date Acquired	(d) Date Sold
1	SCHEDULE ATTACHED-SCHWAB 6649 ST	Purchased	Various	Various
2	SCHEDULE ATTACHED-SCHWAB 6649 LT	Purchased	Various	Various
3	SCHEDULE ATTACHED-SCHWAB 3183 ST	Purchased	Various	Various
4	SCHEDULE ATTACHED-ETRADE	Purchased	Various	Various
5	SCHEDULE ATTACHED-ETRADE	Purchased	Various	Various
6	SCHEDULE ATTACHED-A LUPIN-708	Purchased	Various	Various
7	SCHEDULE ATTACHED-A LUPIN-708	Purchased	Various	Various
8	SCHEDULE ATTACHED- C JL	Purchased	Various	Various
9	SCHEDULE ATTACHED- C JL	Purchased	Various	Various
10	LONG TERM CAPITAL GAIN DISTRIBUTION	Purchased	Various	12/31/2016
11	Wash Sale			

Item	(e) Gross Sales	(f) Deprec. Allowed	(g) Cost Basis	(h) Gain (Loss)	(i) FMV 12/31/69	(j) Adj. Bas. 12/31/69	(k) Excess (i) - (j)	(l) Gain (Loss)
1	235,324.		226,922.	8,402.				\$ 8,402.
2	713,807.		457,093.	256,714.				256,714.
3	627,216.		663,119.	-35,903.				-35,903.
4	334,326.		345,221.	-10,895.				-10,895.
5	5804278.		5892430.	-88,152.				-88,152.
6	261,757.		173,154.	88,603.				88,603.
7	2212014.		1739542.	472,472.				472,472.
8	265,398.		290,661.	-25,263.				-25,263.
9	489,992.		352,739.	137,253.				137,253.
10	1,187.		0.	1,187.				1,187.
11								2,547.
Total								\$ 806,965.

Statement 10
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

Name and Address	Title and Average Hours Per Week Devoted	Compen- sation	Contri- bution to EBP & DC	Expense Account/ Other
ARNOLD M. LUPIN 234 METAIRIE ROAD METAIRIE, LA 70005	Pres./Director 40.00	\$ 149,287.	\$ 0.	\$ 0.
JAY LUPIN 12 CHURCH LANE SOUTH SCARSDALE, NY 10583	Director 1.00	4,500.	0.	0.
LILY R. LUPIN 690 W. HANCOCK ATHENS, GA 30601	Director 1.00	4,500.	0.	0.

2016

Federal Statements

Page 4

Client LUPIN

THE LUPIN FOUNDATION

*****0770

5/10/17

11:54PM

Statement 10 (continued)
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

Name and Address	Title and Average Hours Per Week Devoted	Compen- sation	Contri- bution to EBP & DC	Expense Account/ Other
MAX LUPIN 607 WEBSTER STREET NEW ORLEANS, LA 70118	Director 1.00	\$ 4,500.	\$ 0.	\$ 0.
LOUIS J. LUPIN 909 POYDRAS, SUITE #2600 NEW ORLEANS, LA 70112	Director 1.00	10,500.	0.	0.
LISA R. LUPIN 6025 ANNUNCIATION STREET NEW ORLEANS, LA 70118	Director 1.00	4,500.	0.	0.
NANCY LUPIN 160 E. 84TH STREET, APT 12B NEW YORK, NY 10023	Director 1.00	4,500.	0.	0.
L. TIMOTHY LUPIN 535 ARABELLA STREET NEW ORLEANS, LA 70115	Director 1.00	4,500.	0.	0.
ANDREW LUPIN 214 SAINT JOHNS PLACE #4 BROOKLYN, NY 11217	Director 1.00	4,500.	0.	0.
Total		\$ 191,287.	\$ 0.	\$ 0.

Statement 11
Form 990-PF, Part XV, Line 2a-d
Application Submission Information

Name of Grant Program: LUPIN FOUNDATION
Name:
Care Of: DR. ARNOLD M. LUPIN
Street Address: 234 METAIRIE ROAD
City, State, Zip Code: METAIRIE, LA 70005
Telephone: 504-849-0518
E-Mail Address:
Form and Content: AN OUTLINE OF THE PROPOSED USE OF GRANTS
Submission Deadlines: NONE
Restrictions on Awards: NONE

Charles Schwab 5964-6649
Tax ID # 72-0940770
1/1/16-12/31/16

Detail Of Capital Gains and Losses

Short Term

Shares	Description	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code	Amount of Adjustment	Gain or Loss
250	AT&T INC	8/31/2016	12/30/2016	10,664.27	10,192.02			472.25
20	ALPHABET INC	6/24/2016	12/30/2016	15,502.38	13,507.99			1,994.39
50	AMAZON INC	1/29/2016	12/30/2016	37,830.48	29,078.87			8,751.61
20	AMAZON INC	6/24/2016	12/30/2016	15,132.19	14,007.99			1,124.20
200	ANI PHARMACEUTICALS	8/18/2016	12/30/2016	12,257.99	13,758.19			(1,500.20)
100	AVERY DENNISON CORP	8/10/2016	12/30/2016	7,066.89	7,882.99			(816.10)
550	BEZEQ ISRAEL TELCO	12/29/2016	12/30/2016	995.50	995.50			-
250	CARNIVAL CORP.	9/7/2016	12/30/2016	13,042.47	11,357.99			1,684.48
200	CYNOSURE INC	8/10/2016	12/30/2016	9,143.70	10,745.99			(1,602.29)
151	FACEBOOK INC	8/19/2016	12/30/2016	17,377.83	18,688.33			(1,310.50)
502	INTREXON	2/10/2016	12/30/2016	12,280.01	16,711.06			(4,431.05)
1000	MARINEMAX INC	12/2/2016	12/30/2016	19,339.08	19,067.99			271.09
80	PROCTOR & GAMBLE	2/10/2016	12/30/2016	6,723.85	6,605.26			118.59
100	PVH CORP	6/24/2016	12/30/2016	9,076.40	9,507.99			(431.59)
250	VALERO ENERGY CORP	3/2/2016	12/30/2016	17,124.63	15,502.97			1,621.66
250	VANGUARD HEALTHCARE	3/16/2016	12/30/2016	31,766.31	30,306.74			1,459.57
Total Short Term				235,323.98	227,917.87			7,406.11

Long-Term

Shares	Description	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code	Amount of Adjustment	Gain or Loss
300	ABBVIE INC	11/26/2014	12/30/2016	18,772.99	19,975.21			(1,202.22)
20	ALPHABET INC	8/16/2011	12/30/2016	15,502.38	5,353.67			10,148.71
1000	ANTHERA PHARMA	2/13/2015	12/30/2016	690.98	3,747.99			(3,057.01)
200	ANTHERA PHARMA	6/12/2015	12/30/2016	138.20	1,557.99			(1,419.79)
800	ANTHERA PHARMA	6/17/2015	12/30/2016	552.79	7,205.59			(6,652.80)
500	ANTHERA PHARMA	7/18/2015	12/30/2016	345.49	4,132.99			(3,787.50)
1000	ANTHERA PHARMA	12/4/2015	12/30/2016	690.99	4,877.89			(4,186.90)

2000	APPLE INC	VARIOUS	12/30/2016	232,517.93	112,946.87	119,571.06
300	CELGENE CORP	8/9/2012	12/30/2016	34,764.44	10,731.71	24,032.73
500	CHARLES RIVER LABS	10/30/2014	12/30/2016	38,147.32	31,507.49	6,640.33
500	FACEBOOK INC	VARIOUS	12/30/2016	57,542.50	38,977.46	18,565.04
400	FIVE PRIME THERAPEUT	VARIOUS	12/30/2016	20,147.56	10,168.71	9,978.85
1000	GILEAD SCIENCES INC	VARIOUS	12/30/2016	71,632.64	30,325.57	41,307.07
200	IONIS PHARMACEUTICAL	7/18/2015	12/30/2016	9,711.51	11,968.67	(2,257.16)
120	JOHNSON & JOHNSON	8/25/2011	12/30/2016	13,883.00	7,740.70	6,142.30
200	KROGER COMPANY	7/22/2015	12/30/2016	6,933.87	7,799.99	(866.12)
500	METLIFE INC	1/21/2015	12/30/2016	26,916.56	24,457.99	2,458.57
1000	NIKE INC	VARIOUS	12/30/2016	50,866.59	40,396.07	10,470.52
900	NOVAVAX INC	VARIOUS	12/30/2016	1,154.04	6,295.13	(5,141.09)
200	SILVER WHEATON CORP	6/21/2012	12/30/2016	3,980.11	5,487.58	(1,507.47)
400	STARBUCKS CORP	6/1/2012	12/30/2016	22,387.51	10,550.75	11,836.76
400	TIDEWATER INC	8/20/2014	12/30/2016	1,340.01	19,883.95	(18,543.94)
67	TIMBERLINE RES CO	4/28/2010	12/30/2016	18.16	991.99	(973.83)
400	UNITEDHEALTH GRP INC	3/15/2012	12/30/2016	64,325.00	22,247.39	42,077.61
200	WALT DISNEY CO	11/7/2014	12/30/2016	20,844.41	17,763.43	3,080.98
				<u>713,807.48</u>	<u>457,092.78</u>	<u>256,714.70</u>

Shares	Description	Acquired	Date Sold	Price	Other Basis	Code	Adjustment	Gain or Loss
1200	AT&T INC	3/31/2016	11/1/2016	44,058.41	47,079.37			(3,020.96)
570	ATMOS ENERGY CORP	3/31/2016	11/15/2016	40,654.53	42,117.53			(1,463.00)
1420	B&G FOODS INC	6/1/2016	11/15/2016	57,145.08	61,361.75			(4,216.67)
640	CH ROBINSON WORLDWIDE	3/31/2016	8/2/2016	44,202.06	47,511.09			(3,309.03)
1170	CA INC	8/2/2016	11/22/2016	36,712.57	40,495.63			(3,783.06)
1550	CADENCE DESIGN SYS	3/31/2016	12/6/2016	39,593.78	36,649.40			2,944.38
330	CONSTELLATION BRAND CL A	3/31/2016	11/15/2016	49,812.87	49,892.01			(79.14)
220	CRACKER BARREL	4/5/2016	9/20/2016	30,919.52	32,936.35			(2,016.83)
260	CROWN CASTLE INTL CO	3/31/2016	11/15/2016	21,394.20	22,620.37			(1,226.17)
670	DELTA AIRLINES INC	3/31/2016	4/26/2016	29,293.06	33,074.66			(3,781.60)
460	DR PEPPER SNAPPLE GP	3/31/2016	9/20/2016	41,784.59	41,273.80			510.79
310	HOME DEPOT INC	3/31/2016	9/20/2016	39,341.99	41,466.80			(2,124.81)
60	INTUITIVE SURGICAL	3/31/2016	12/13/2016	38,408.97	36,273.49			2,135.48
1400	MATTEL INCORPORATED	4/5/2016	10/4/2016	42,215.53	46,683.83			(4,468.30)
1040	PROGRESSIVE CO OHIO	3/31/2016	9/27/2016	32,480.98	36,523.25			(4,042.27)
750	WEBMD HEALTH CORP	3/31/2016	8/16/2016	39,198.03	47,159.95			(7,961.92)
Total Short Term				627,216.17	663,119.28			(35,903.11)

Capital Gains - Last year

1/1/2016 through 12/31/2016

3/19/2017

Page 1

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
SHORT TERM							
E TRADE	AFFILIATED MANAGERS G.	300 000	11/20/2015	1/8/2016	40,899.28	52,870.03	-11,970.75
E TRADE	FMC CORP	500 000	8/19/2015	1/8/2016	18,067.12	23,257.99	-5,190.87
E TRADE	TYLER TECHNOLOGIES INC	100 000	8/14/2015	1/8/2016	16,224.30	14,173.59	2,050.71
E TRADE	TYLER TECHNOLOGIES INC	150 000	8/14/2015	1/8/2016	24,336.44	21,241.47	3,094.97
E TRADE	PAYCOM SOFTWARE INC	70 000	11/25/2015	1/11/2016	2,274.40	3,013.79	-739.39
E TRADE	PAYCOM SOFTWARE INC	930 000	11/25/2015	1/11/2016	30,217.01	39,989.91	-9,772.90
E TRADE	GALLAGHER ARTHUR J &	500 000	11/18/2015	1/15/2016	18,667.73	21,790.19	-3,122.46
E TRADE	GALLAGHER ARTHUR J &	250 000	11/20/2015	1/15/2016	9,333.86	11,076.99	-1,743.13
E TRADE	EXPEDIA INC	206 000	12/21/2015	1/19/2016	21,899.70	0.00	21,899.70
E TRADE	TWITTER	500 000	10/27/2015	1/20/2016	8,123.76	13,760.49	-5,636.73
E TRADE	INTREXON CORP	500 000	2/10/2016	2/10/2016	16,401.70	16,644.49	-242.79
E TRADE	CVS CORP	100 000	8/19/2015	2/24/2016	9,687.19	10,707.99	-1,020.80
E TRADE	CVS CORP	100 000	10/30/2015	2/24/2016	9,687.19	9,888.98	-201.79
E TRADE	GENERAL ELECTRIC	32 000	11/25/2015	2/24/2016	928.73	973.89	-45.16
E TRADE	GENERAL ELECTRIC	968 000	11/25/2015	2/24/2016	28,082.85	29,460.30	-1,377.45
E TRADE	PILGRIMS PRIDE CORP	100 000	12/23/2015	2/24/2016	2,306.95	2,256.49	50.46
E TRADE	PILGRIMS PRIDE CORP	300 000	12/23/2015	2/24/2016	6,920.85	6,746.97	173.88
E TRADE	VANGUARD INDEX FUNDS	500 000	6/8/2016	7/6/2016	35,593.28	35,766.29	-173.01
E TRADE	PILGRIMS PRIDE CORP	100 000	12/23/2015	7/8/2016	2,568.31	2,248.99	319.32
E TRADE	MCCORMICK & CO INC NO.	200 000	4/13/2016	8/24/2016	20,266.94	19,461.97	804.97
E TRADE	HEADWATERS INC	100 000	4/13/2016	11/25/2016	2,369.08	1,978.04	391.04
E TRADE	HEADWATERS INC	100 000	4/13/2016	11/25/2016	2,361.45	1,978.04	383.41
E TRADE	HEADWATERS INC	300 000	4/13/2016	11/25/2016	7,107.89	5,934.11	1,173.78
TOTAL SHORT TERM						345,221.00	-10,894.99
LONG TERM							
E TRADE	APPLE COMPUTER	220 000	7/21/2009	1/8/2016	21,348.85	4,612.21	16,736.64
E TRADE	APPLE COMPUTER	30 000	9/16/2009	1/8/2016	2,911.21	739.07	2,172.14
E TRADE	RUCKUS WIRELESS INC	250 000	11/17/2014	1/8/2016	2,407.91	3,115.49	-707.58
E TRADE	BANK OF AMERICA CORP	100 000	1/7/2011	1/13/2016	1,486.38	1,448.79	37.59
E TRADE	BANK OF AMERICA CORP	400 000	1/7/2011	1/13/2016	5,945.54	5,794.03	151.51
E TRADE	PFIZER INC	200 000	2/1/2013	1/15/2016	6,136.69	5,543.20	593.49
E TRADE	PFIZER INC	300 000	7/1/2013	1/15/2016	9,205.03	8,396.05	808.98
E TRADE	BANK OF AMERICA CORP	50 000	1/7/2011	1/20/2016	666.87	724.25	-57.38
E TRADE	BANK OF AMERICA CORP	200 000	1/7/2011	1/20/2016	2,667.49	2,897.79	-230.30
E TRADE	BANK OF AMERICA CORP	200 000	1/7/2011	1/20/2016	2,667.49	2,897.59	-230.10

Capital Gains - Last year

1/1/2016 through 12/31/2016

3/19/2017

Page 2

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/L
E TRADE	BANK OF AMERICA CORP	50 000	1/7/2011	1/20/2016	666 87	724.27	-57 40
E TRADE	ALKERMES PLC	400.000	2/24/2014	2/24/2016	13,645 34	21,570.99	-7,925 65
E TRADE	ALKERMES PLC	100.000	3/3/2014	2/24/2016	3,411.34	5,376 79	-1,965 45
E TRADE	COCA COLA CO	250 000	6/1/2012	2/24/2016	10,967.12	9,190 59	1,776.53
E TRADE	COCA COLA CO	500.000	8/26/2013	2/24/2016	21,934 25	19,258 95	2,675.30
E TRADE	GILEAD SCIENCES INC	100.000	10/14/2010	2/24/2016	8,938 81	1,847 45	7,091.36
E TRADE	GILEAD SCIENCES INC	300 000	10/14/2010	2/24/2016	26,840 44	5,542.34	21,298.10
E TRADE	GILEAD SCIENCES INC	400.000	10/14/2010	2/24/2016	35,783 21	7,389.79	28,393.42
E TRADE	MORGAN STANLEY	500.000	8/16/2011	2/24/2016	11,817 60	8,508 95	3,308.65
E TRADE	MORGAN STANLEY	500.000	1/27/2014	2/24/2016	11,817 60	16,371 89	-4,554 29
E TRADE	NIKE INC CL B	600.000	7/5/2012	2/24/2016	36,353.37	13,029 71	23,323 66
E TRADE	PHILIP MORRIS	150 000	6/10/2011	2/24/2016	13,714 31	10,130 37	3,583 94
E TRADE	IMMUNOMEDICS INC	3,000.000	5/20/2011	7/6/2016	7,171 45	11,798 95	-4,627 50
E TRADE	NOVAVAX INC	1,500.000	6/6/2014	9/28/2016	3,251 43	6,244.49	-2,993 06
TOTAL LONG TERM					261,756.60	173,154.00	88,602.60
OVERALL TOTAL					596,082.61	518,375.00	77,707.61

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
200	ABBVIE INC	07/24/2015	01/08/2016	11,331.82	13,506.39			-2,174.57
450	ACTIVISION BLIZZARD INC	VAR	01/08/2016	16,121.51	16,300.78			-179.27
250	ACTIVISION BLIZZARD INC	11/03/2015	01/13/2016	8,764.34	8,129.00			635.34
250	ACTIVISION BLIZZARD INC	11/03/2015	01/20/2016	8,415.65	8,128.99			286.66
14	ADVANSIX	VAR	10/21/2016	224.45	211.51			12.94
250	AETNA INC NEW COM	10/30/2015	01/08/2016	26,986.51	28,632.99			-1,646.48
10	ALPHABET INC - CL C	01/06/2016	01/13/2016	7,092.90	7,407.99			-315.09
400	AMERICAN WATER WORKS	VAR	08/31/2016	29,444.96	30,878.48			-1,433.52
200	AMERICAN WOODMARK CORP WOODMARK CORP	VAR	03/23/2016	13,759.38	13,424.18			335.20
1000	ANTHERA PHARMACEUTICALS INC	04/29/2015	01/13/2016	2,911.95	4,707.99			-1,796.04
250	APPLE INC	01/27/2016	05/13/2016	22,837.76	23,382.99			-545.23
1000	APPLIED MICRO CIRCUITS CORP	07/20/2016	10/19/2016	5,870.78	6,967.99			-1,097.21
250	BANK OF NOVA SCOTIA	12/30/2015	01/13/2016	9,252.78	10,382.99			-1,130.21
500	BARCLAYS PLC ADR	10/30/2015	01/08/2016	5,878.60	7,122.35			-1,243.75
500	BARCLAYS PLC ADR	10/30/2015	01/20/2016	5,108.61	7,122.34			-2,013.73
300	BECTON DICKINSON & CO COM	VAR	12/30/2016	49,655.97	49,442.92			213.05
500	CVS HEALTH CORP HEALTH CORP	VAR	01/13/2016	47,314.94	52,449.34			-5,134.40
300	CALLIDUS	12/18/2015	01/08/2016	5,010.91	5,902.99			-892.08
250	CAPITAL ONE FINL CORP COM	12/18/2015	02/09/2016	15,374.25	18,207.99			-2,833.74
750	CARNIVAL CORP	VAR	09/21/2016	34,538.20	34,570.98			-32.78
598	CATERPILLAR INC	VAR	11/02/2016	48,724.35	47,244.92			1,479.43
1000	CELLULAR BIOMEDICINE GROUP	VAR	01/08/2016	19,029.05	32,357.23			-13,328.18
200	COLUMBIA SPORTSWEAR CO	02/26/2016	03/30/2016	12,206.14	11,807.99			398.15
400	COSTCO	VAR	03/04/2016	60,621.08	59,387.98			1,233.10
250	CUMMINS INC	06/03/2016	09/07/2016	29,809.10	28,301.94			1,507.16
150	DANAHER CORPORATION	11/02/2016	12/30/2016	11,668.35	11,542.99			125.36
200	DISNEY WALT CO NEW	12/18/2015	01/08/2016	20,042.30	21,783.97			-1,741.67
250	DISCOVER FINL SVCS	12/09/2015	01/13/2016	12,434.28	13,507.99			-1,073.71
500	DISCOVER FINL SVCS	VAR	02/09/2016	22,723.60	26,485.98			-3,762.38
250	DOMINION RES INC VA NEW	10/02/2015	05/06/2016	17,723.50	17,157.99			565.51
100	ECOLAB INC. ECOLAB INC	12/18/2015	01/20/2016	10,026.08	11,343.59			-1,317.51
100	ECOLAB INC. ECOLAB INC	06/17/2016	07/27/2016	11,888.95	11,820.84			68.11
500	EMERSON ELEC CO ELEC CO COM	06/08/2016	08/05/2016	26,901.42	26,907.99			-6.57
Totals								

JSA
XG900 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
1000. ENDOCHOICE HOLDINGS		03/23/2016	09/28/2016	7,965.33	5,607.99			2,357.34
250. FIDELITY NATIONAL INFORMATION		06/15/2016	09/09/2016	19,742.60	18,432.99			1,309.61
600. FIVE PRIME THERAPEUTICS INC		VAR	01/08/2016	21,045.68	15,316.96			5,728.72
250. FLOWERS FOODS INC		12/09/2015	01/13/2016	5,365.36	5,445.49			-80.13
62. FLOWERS FOODS INC		12/18/2015	01/20/2016	1,212.07	1,350.48			-138.41
438. FLOWERS FOODS INC		VAR	01/20/2016	8,550.41	9,488.00			-937.59
250. FOOT LOCKER INC		02/26/2016	07/06/2016	13,695.16	16,070.49			-2,375.33
50. GALLAGHER ARTHUR J & CO COM		12/18/2015	01/13/2016	1,866.46	2,026.60			-160.14
200. GALLAGHER ARTHUR J & CO COM		12/18/2015	01/13/2016	7,459.89	8,106.39			-646.50
500. GENERAL ELECTRIC CO COM		09/28/2016	12/30/2016	15,778.51	14,942.49			836.02
500. GLAXO SMITHKLINE SPONSORED ADR AMERICAN		VAR	02/09/2016	19,563.39	20,518.86			-955.47
300. HCA HOLDINGS INC		09/18/2015	01/20/2016	18,066.19	24,849.79			-6,783.60
500. HEALTHEQUITY INC		10/19/2016	11/02/2016	15,969.76	18,207.99			-2,238.23
5. HERSHEY COMPANY		10/28/2015	02/09/2016	449.65	446.33			3.36
495. HERSHEY COMPANY		10/28/2015	02/09/2016	44,491.74	44,186.66			305.08
200. HILTON		06/12/2015	01/08/2016	3,859.95	5,707.99			-1,848.04
500. HUBBELL INC		VAR	11/25/2016	56,342.99	52,378.97			3,964.02
250. INTREXON CORP		12/18/2015	01/13/2016	5,500.10	8,004.00			-2,503.90
500. INTREXON CORP		VAR	01/20/2016	11,484.30	15,011.98			-3,527.68
500. IROBOT CORP		05/18/2016	11/25/2016	27,666.40	18,757.99			8,908.41
100. KINDER MORGAN INC		11/04/2015	01/13/2016	1,305.48	2,715.45			-1,409.97
900. KINDER MORGAN INC		11/04/2015	01/13/2016	11,816.87	24,439.04			-12,622.17
500. KROGER CO COM		12/18/2015	04/22/2016	17,666.67	20,382.99			-2,716.32
500. LEGGETT & PLATT INC		06/22/2016	07/06/2016	25,271.45	25,257.99			13.46
200. LOWES COMPANIES INC COS INC COM		02/03/2016	10/05/2016	14,619.45	13,381.97			1,237.48
130. MARTEL CORPORATION HOLDING CO		VAR	01/13/2016	108,965.11	113,185.98			-4,220.87
250. MARIOTT INTL INC NEW CL A		08/05/2016	08/26/2016	18,174.11	18,132.99			41.12
350. MASTERCARD INC		VAR	07/06/2016	30,376.17	32,253.48			-1,877.31
1000. MATCH GROUP INC		04/15/2016	11/02/2016	16,373.05	11,407.99			4,965.06
500. MATTEL INC		04/20/2016	08/12/2016	16,983.83	16,927.94			55.89
500. MCCORMICK & CO INC		VAR	11/02/2016	47,470.97	47,463.60			7.37
200. METLIFE INC COM		10/21/2015	01/08/2016	8,444.65	9,899.99			-1,455.34
200. METLIFE INC COM		06/03/2016	11/02/2016	9,261.32	8,873.97			387.35
Totals								

JSA
X6800 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
500. METLIFE INC COM		05/06/2016	12/02/2016	27,788.90	21,382.99			6,405.91
16425. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	09/14/2016	16,425.00	16,425.00			
34257.99 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	09/19/2016	34,257.99	34,257.99			
5018. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	09/21/2016	5,018.00	5,018.00			
41924.42 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/03/2016	41,924.42	41,924.42			
40953.97 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/05/2016	40,953.97	40,953.97			
7172. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/05/2016	7,172.00	7,172.00			
1846.25 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/12/2016	1,846.25	1,846.25			
3592. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/14/2016	3,592.00	3,592.00			
10975. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/19/2016	10,975.00	10,975.00			
11257.63 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/24/2016	11,257.63	11,257.63			
32563.99 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/24/2016	32,563.99	32,563.99			
56503.29 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/26/2016	56,503.29	56,503.29			
7750. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	10/26/2016	7,750.00	7,750.00			
20111.58 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/02/2016	20,111.58	20,111.58			
29094. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/02/2016	29,094.00	29,094.00			
5497.99 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/04/2016	5,497.99	5,497.99			
22459.31 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/09/2016	22,459.31	22,459.31			
19775. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/09/2016	19,775.00	19,775.00			
11688.67 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/15/2016	11,688.67	11,688.67			
.72 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/15/2016	0.72	0.72			
20497.2 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/16/2016	20,497.20	20,497.20			
12969.06 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/17/2016	12,969.06	12,969.06			
697. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/21/2016	697.00	697.00			
10331.09 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/23/2016	10,331.09	10,331.09			
28911.98 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/29/2016	28,911.98	28,911.98			
10023. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	11/30/2016	10,023.00	10,023.00			
22823.97 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/05/2016	22,823.97	22,823.97			
57827.01 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/07/2016	57,827.01	57,827.01			
1.34 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/09/2016	1.34	1.34			
11323.68 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/12/2016	11,323.68	11,323.68			
15254. FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/14/2016	15,254.00	15,254.00			
89872.77 FEDERATED GOV'T OBLIG FD #117 (GOFXX)		09/12/2016	12/21/2016	89,872.77	89,872.77			
Totals								

USA
XG900 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
240756. FEDERATED GOV'T OBLIG FD #117 (GOFXX)	09/12/2016	12/23/2016	240,756.00	240,756.00			
37984.77 FEDERATED GOV'T OBLIG FD #117 (GOFXX)	09/12/2016	12/27/2016	37,984.77	37,984.77			
14635. FEDERATED GOV'T OBLIG FD #117 (GOFXX)	09/12/2016	12/28/2016	14,635.00	14,635.00			
500 MONDELEZ INTERNATIONAL INTL INC	08/06/2015	02/03/2016	19,398.65	23,157.99			-3,759.34
37060.98 FEDERATED TREAS OBLIG #398	06/08/2015	01/05/2016	37,060.98	37,060.98			
2998.49 FEDERATED TREAS OBLIG #398	06/08/2015	01/07/2016	2,998.49	2,998.49			
187841.26 FEDERATED TREAS OBLIG #398	06/08/2015	01/11/2016	187,841.26	187,841.26			
41942.37 FEDERATED TREAS OBLIG #398	06/08/2015	01/13/2016	41,942.37	41,942.37			
770.7 FEDERATED TREAS OBLIG #398	06/08/2015	01/19/2016	770.70	770.70			
3289.32 FEDERATED TREAS OBLIG #398	06/08/2015	01/20/2016	3,289.32	3,289.32			
38206.96 FEDERATED TREAS OBLIG #398	06/08/2015	01/21/2016	38,206.95	38,206.96			
37214.28 FEDERATED TREAS OBLIG #398	06/08/2015	01/25/2016	37,214.23	37,214.28			
7.54 FEDERATED TREAS OBLIG #398	06/08/2015	01/25/2016	7.54	7.54			
6214.1 FEDERATED TREAS OBLIG #398	06/08/2015	01/29/2016	6,214.10	6,214.10			
10382.99 FEDERATED TREAS OBLIG #398	06/08/2015	02/03/2016	10,382.99	10,382.99			
869. FEDERATED TREAS OBLIG #398	06/08/2015	02/05/2016	869.00	869.00			
58106.26 FEDERATED TREAS OBLIG #398	06/08/2015	02/08/2016	58,106.26	58,106.26			
15901.01 FEDERATED TREAS OBLIG #398	06/08/2015	02/10/2016	15,901.01	15,901.01			
610. FEDERATED TREAS OBLIG #398	06/08/2015	02/16/2016	610.00	610.00			
20745.49 FEDERATED TREAS OBLIG #398	06/08/2015	02/18/2016	20,745.49	20,745.49			
83635.98 FEDERATED TREAS OBLIG #398	06/08/2015	02/24/2016	83,635.98	83,635.98			
6477 FEDERATED TREAS OBLIG #398	06/08/2015	02/26/2016	6,477.00	6,477.00			
25694.49 FEDERATED TREAS OBLIG #398	06/08/2015	02/29/2016	25,694.49	25,694.49			
55982.65 FEDERATED TREAS OBLIG #398	06/08/2015	03/02/2016	55,982.65	55,982.65			
68584.96 FEDERATED TREAS OBLIG #398	06/08/2015	03/07/2016	68,584.96	68,584.96			
1826. FEDERATED TREAS OBLIG #398	06/08/2015	03/07/2016	1,826.00	1,826.00			
9740. FEDERATED TREAS OBLIG #398	06/08/2015	03/09/2016	9,740.00	9,740.00			
23271.99 FEDERATED TREAS OBLIG #398	06/08/2015	03/14/2016	23,271.99	23,271.99			
7041.22 FEDERATED TREAS OBLIG #398	06/08/2015	03/16/2016	7,041.22	7,041.22			
56199.57 FEDERATED TREAS OBLIG #398	06/08/2015	03/21/2016	56,199.57	56,199.57			
6178. FEDERATED TREAS OBLIG #398	06/08/2015	03/23/2016	6,178.00	6,178.00			
20087.76 FEDERATED TREAS OBLIG #398	06/08/2015	03/29/2016	20,087.76	20,087.76			
2958. FEDERATED TREAS OBLIG #398	06/08/2015	03/30/2016	2,958.00	2,958.00			
Totals							

USA
X6900 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
100000. FEDERATED TREAS OBLIG #398		06/08/2015	03/31/2016	1,000,000.00	1,000,000.00			
8515.49 FEDERATED TREAS OBLIG #398		06/08/2015	04/06/2016	8,515.49	8,515.49			
7997 FEDERATED TREAS OBLIG #398		06/08/2015	04/06/2016	7,997.00	7,997.00			
53328.52 FEDERATED TREAS OBLIG #398		06/08/2015	04/13/2016	53,328.52	53,328.52			
9297 FEDERATED TREAS OBLIG #398		06/08/2015	04/13/2016	9,297.00	9,297.00			
3631.62 FEDERATED TREAS OBLIG #398		06/08/2015	04/18/2016	3,631.62	3,631.62			
11407.99 FEDERATED TREAS OBLIG #398		06/08/2015	04/20/2016	11,407.99	11,407.99			
4991. FEDERATED TREAS OBLIG #398		06/08/2015	04/21/2016	4,991.00	4,991.00			
39476.98 FEDERATED TREAS OBLIG #398		06/08/2015	04/21/2016	39,476.98	39,476.98			
24179.68 FEDERATED TREAS OBLIG #398		06/08/2015	04/22/2016	24,179.68	24,179.68			
42905.93 FEDERATED TREAS OBLIG #398		06/08/2015	04/25/2016	42,905.93	42,905.93			
21216.69 FEDERATED TREAS OBLIG #398		06/08/2015	04/21/2016	21,216.69	21,216.69			
2495 FEDERATED TREAS OBLIG #398		06/08/2015	04/21/2016	2,495.00	2,495.00			
18001.73 FEDERATED TREAS OBLIG #398		06/08/2015	05/02/2016	18,001.73	18,001.73			
41583.99 FEDERATED TREAS OBLIG #398		06/08/2015	05/05/2016	41,583.99	41,583.99			
41447.96 FEDERATED TREAS OBLIG #398		06/08/2015	05/09/2016	41,447.96	41,447.96			
71 FEDERATED TREAS OBLIG #398		06/08/2015	05/11/2016	71.00	71.00			
33828.48 FEDERATED TREAS OBLIG #398		06/08/2015	05/11/2016	33,828.48	33,828.48			
48759.86 FEDERATED TREAS OBLIG #398		06/08/2015	05/11/2016	48,759.86	48,759.86			
8477.32 FEDERATED TREAS OBLIG #398		06/08/2015	05/16/2016	8,477.32	8,477.32			
5078 FEDERATED TREAS OBLIG #398		06/08/2015	05/18/2016	5,078.00	5,078.00			
54236.11 FEDERATED TREAS OBLIG #398		06/08/2015	05/23/2016	54,236.11	54,236.11			
229117 FEDERATED TREAS OBLIG #398		06/08/2015	05/25/2016	229,117.00	229,117.00			
21294.5 FEDERATED TREAS OBLIG #398		06/08/2015	06/03/2016	21,294.50	21,294.50			
4701.38 FEDERATED TREAS OBLIG #398		06/08/2015	06/03/2016	4,701.38	4,701.38			
126713.53 FEDERATED TREAS OBLIG #398		06/08/2015	06/08/2016	126,713.53	126,713.53			
6226.25 FEDERATED TREAS OBLIG #398		06/08/2015	06/08/2016	6,226.25	6,226.25			
250. NEW YORK CMNTY BANCORP INC COM		12/02/2015	01/20/2016	3,594.47	4,170.49			-576.02
500. NEW YORK CMNTY BANCORP INC COM		06/15/2016	08/31/2016	7,538.69	7,507.99			30.70
200. NIKE INC CL B		10/23/2015	01/13/2016	11,790.94	13,007.99			-1,217.05
200 NIKE INC CL B		01/20/2016	02/09/2016	11,094.48	11,432.12			-337.64
250 PAYPAL HDGS INC		05/18/2016	11/11/2016	9,995.34	9,774.50			220.84
1000. PAYPAL HDGS INC		VAR	11/16/2016	38,944.96	38,608.96			336.00
Totals								

USA
XG900 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
64. PEMBINA PIPELINE CORPORATION		VAR	01/08/2016	1,271.35	2,224.26			-952.91
.529 PEMBINA PIPELINE CORPORATION		01/15/2016	01/22/2016	9.31	14.33			-4.42
.036 PEMBINA PIPELINE CORPORATION		04/15/2016	04/21/2016	0.95	1.22			-0.27
500. PFIZER INC		11/13/2015	01/13/2016	15,216.77	16,672.30			-1,455.53
600. PHILLIPS 66 COM		VAR	07/20/2016	45,474.61	47,925.98			-2,451.37
250. PILGRIM'S PRIDE CORP		05/18/2016	08/12/2016	5,697.76	6,245.49			-547.73
500. PILGRIM'S PRIDE CORP		03/09/2016	10/07/2016	10,091.78	12,479.00			-2,387.22
100. PROOFPOINT INC		09/30/2016	11/02/2016	7,509.84	7,507.99			1.85
200. RALPH LAUREN CORP		VAR	12/30/2016	18,073.62	19,584.38			-1,510.76
1000 RIO TINTO PLC SPONSORED ADR		02/24/2016	03/16/2016	27,134.61	25,694.49			1,440.12
200 RYANAIR HDGS PLC SP ADR		VAR	11/11/2016	16,533.64	16,370.98			162.66
250. SALESFORCE.COM		01/06/2016	05/13/2016	19,269.46	19,182.99			86.47
500. CHARLES SCHWAB CORP		01/06/2016	01/13/2016	13,943.50	15,545.84			-1,602.34
100. SELECT SECTOR SPDR CONSUMER DISCRETIONAR		09/07/2016	10/07/2016	7,992.18	8,095.99			-103.81
500. SHAKE SHACK INC - A		07/20/2016	10/19/2016	15,960.41	19,746.49			-3,786.08
301 SHOPIFY INC - CLASS A		VAR	11/16/2016	12,064.43	11,348.11			716.32
250 SPLUNK INC		07/29/2016	08/10/2016	15,570.22	15,382.99			187.23
500. TARGET CORP		09/14/2016	12/21/2016	38,768.66	34,257.99			4,510.67
200. TATA MOTORS LTD SPONSORED ADR		07/08/2016	01/20/2016	4,835.63	6,203.27			-1,367.64
500. TEXAS INSTRUMENTS, INC		06/03/2016	07/06/2016	30,543.34	30,231.49			311.85
100. 3M CO		12/15/2015	01/13/2016	13,899.27	14,803.99			-904.72
250. TORONTO DOMINION BANK		03/11/2015	01/13/2016	8,965.23	10,502.00			-1,536.71
250. TORONTO DOMINION BANK		03/11/2015	02/09/2016	9,039.34	10,502.00			-1,462.66
309 TRANS CANADA CORP		12/18/2015	03/13/2016	9,539.96	10,140.14			-600.18
191 TRANS CANADA CORP		12/18/2015	03/13/2016	5,899.88	6,287.85			-387.97
950. UNDER ARMOUR INC		VAR	10/26/2016	30,443.05	34,597.60			-4,154.55
58 UNDER ARMOUR INC CLASS C		03/02/2016	07/05/2016	22.21	23.76			-1.55
200 UNITEDHEALTH GROUP INC COM		VAR	01/13/2016	21,803.40	23,329.44			-1,526.04
150 VAIL VALE RESORTS		08/09/2016	09/09/2016	24,105.78	22,893.00			1,212.78
500 VANGUARD HIGH DIVIDEND YIELD ETF		06/03/2016	07/06/2016	35,383.23	35,231.29			151.94
200. VANGUARD CONSUMER STAPLE ETF		12/02/2016	12/23/2016	26,932.46	26,132.97			799.49
200. VANGUARD HEALTH CARE ETF		10/21/2015	01/08/2016	25,151.56	25,256.51			-104.95
500. VALGREENS BOOTS ALLIANCE, INC		VAR	01/13/2016	39,996.26	45,912.84			-5,916.58
Totals								

USA
XG900 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

JSA
XG900 3 000

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
500 ACTIVISION BLIZZARD INC		12/19/2014	02/05/2016	15,603.72	10,097.94			5,505.78
2000. AHER TEST SYSTEM		12/03/2014	01/20/2016	2,496.95	5,367.99			-2,871.03
24 ADVANSIX		VAR	10/21/2016	384.77	180.92			203.85
30 ALPHABET INC - CL C		VAR	01/13/2016	21,278.69	16,191.59			5,087.10
15 ALPHABET INC CL A		VAR	01/13/2016	10,900.29	5,795.72			5,104.57
800 APPLE INC		VAR	01/08/2016	78,113.60	22,866.27			55,247.33
200. APPLE INC		VAR	01/08/2016	19,520.65	5,716.57			13,804.08
500 APPLE INC		VAR	05/13/2016	45,675.52	13,873.56			31,801.96
500 AUTOS ENERGY CORP		VAR	01/13/2016	30,841.50	13,664.99			17,176.51
250 AUTOMATIC DATA PROCESSING INC COM		VAR	01/13/2016	19,411.65	9,921.57			9,490.08
1000. BLACKSTONE GROUP L P EXCHANGE TRADED PAR		VAR	01/08/2016	26,384.91	29,489.38			-3,104.47
1000. BLACKSTONE GROUP L P EXCHANGE TRADED PAR		07/26/2013	07/06/2016	22,795.51	21,060.82			1,734.69
250 BRISTOL-MYERS SQUIBB COMMON STOCK		VAR	01/13/2016	15,429.22	9,475.39			5,953.83
250 CVS HEALTH CORP HEALTH CORP		VAR	11/16/2016	18,620.08	24,407.84			-5,787.76
.618 CALIFORNIA RESOURCES CORP RESOURCES CORP		03/19/2003	04/12/2016	0.79	NONE			0.79
3 CALIFORNIA RESOURCES CORP		03/19/2003	06/06/2016	4.72	NONE			4.72
9 CALIFORNIA RESOURCES CORP		03/19/2003	06/22/2016	120.09	NONE			120.09
100 DISNEY WALT CO NEW		VAR	01/08/2016	10,021.14	6,952.35			3,068.79
250. EXPRESS SCRIPTS HDG CO COM		VAR	01/13/2016	20,038.65	18,487.03			1,551.62
50 EXPRESS SCRIPTS HDG CO COM		01/15/2014	01/20/2016	3,456.43	3,660.29			-203.86
200 EXPRESS SCRIPTS HDG CO COM		05/29/2013	01/20/2016	13,819.77	12,607.99			1,211.78
500 EXPRESS SCRIPTS HDG CO COM		VAR	07/27/2016	39,024.75	30,683.97			8,340.78
500 HP INC		10/29/2014	01/08/2016	5,333.66	8,504.50			-3,170.84
250 INCYTE CORP		VAR	01/13/2016	19,855.97	16,558.70			3,297.27
ISARES SILVER TRUST		04/02/2009	12/31/2016	81.11	62.43			18.68
150. KNEAT.COM INC		03/05/2014	10/07/2016	41.50	163.13			-121.63
500 KROGER CO COM		VAR	10/19/2016	15,438.57	19,097.84			-3,659.27
250 MCKESSON CORP COM		VAR	01/13/2016	39,316.28	18,867.58			20,448.70
250 MCKESSON CORP COM		VAR	02/09/2016	37,507.56	18,243.98			19,263.58
500 MCKESSON CORP COM		VAR	09/14/2016	84,472.16	31,756.70			52,715.46
500 MCKESSON CORP COM		VAR	11/02/2016	68,055.52	30,931.61			37,123.91
1000. MERRIMACK PHARMACEUTICALS IN		08/09/2014	01/08/2016	6,565.48	6,425.33			140.15
200. METLIFE INC COM		09/18/2015	10/21/2016	9,282.60	9,323.20			-40.60
Totals								

JSA
XG500 3 000

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
300 METLIFE INC COM		09/18/2015	11/02/2016	13,891.98	13,984.79			-92.81
6911 74 FEDERATED TREAS OBLIG #398		06/08/2015	06/10/2016	6,911.74	6,911.74			
35217.48 FEDERATED TREAS OBLIG #398		06/08/2015	06/13/2016	35,217.48	35,217.48			
35927.11 FEDERATED TREAS OBLIG #398		06/08/2015	06/15/2016	35,927.11	35,927.11			
36256. FEDERATED TREAS OBLIG #398		06/08/2015	06/15/2016	36,256.00	36,256.00			
4317 FEDERATED TREAS OBLIG #398		06/08/2015	06/17/2016	4,317.00	4,317.00			
50385 26 FEDERATED TREAS OBLIG #398		06/08/2015	06/20/2016	50,385.26	50,385.26			
49229 81 FEDERATED TREAS OBLIG #398		06/08/2015	06/22/2016	49,229.81	49,229.81			
70374 88 FEDERATED TREAS OBLIG #398		06/08/2015	06/27/2016	70,374.88	70,374.88			
5551 FEDERATED TREAS OBLIG #398		06/08/2015	06/27/2016	5,551.00	5,551.00			
1929.5 FEDERATED TREAS OBLIG #398		06/08/2015	06/30/2016	1,929.50	1,929.50			
47641 FEDERATED TREAS OBLIG #398		06/08/2015	07/08/2016	47,641.00	47,641.00			
6749. FEDERATED TREAS OBLIG #398		06/08/2015	07/13/2016	6,749.00	6,749.00			
15368 46 FEDERATED TREAS OBLIG #398		06/08/2015	07/19/2016	15,368.46	15,368.46			
22612 99 FEDERATED TREAS OBLIG #398		06/08/2015	07/20/2016	22,612.99	22,612.99			
24660 97 FEDERATED TREAS OBLIG #398		06/08/2015	07/27/2016	24,660.97	24,660.97			
7347. FEDERATED TREAS OBLIG #398		06/08/2015	07/27/2016	7,347.00	7,347.00			
15312.99 FEDERATED TREAS OBLIG #398		06/08/2015	08/03/2016	15,312.99	15,312.99			
12970.49 FEDERATED TREAS OBLIG #398		06/08/2015	08/08/2016	12,970.49	12,970.49			
12035.95 FEDERATED TREAS OBLIG #398		06/08/2015	08/10/2016	12,035.95	12,035.95			
35849 FEDERATED TREAS OBLIG #398		06/08/2015	08/10/2016	35,849.00	35,849.00			
62293 99 FEDERATED TREAS OBLIG #398		06/08/2015	08/12/2016	62,293.99	62,293.99			
7693 FEDERATED TREAS OBLIG #398		06/08/2015	08/17/2016	7,693.00	7,693.00			
21670.52 FEDERATED TREAS OBLIG #398		06/08/2015	08/22/2016	21,670.52	21,670.52			
24461.9 FEDERATED TREAS OBLIG #398		06/08/2015	08/24/2016	24,461.90	24,461.90			
13742. FEDERATED TREAS OBLIG #398		06/08/2015	08/24/2016	13,742.00	13,742.00			
6477. FEDERATED TREAS OBLIG #398		06/08/2015	08/31/2016	6,477.00	6,477.00			
10195 FEDERATED TREAS OBLIG #398		06/08/2015	09/07/2016	10,195.00	10,195.00			
148983 08 FEDERATED TREAS OBLIG #398		06/08/2015	09/12/2016	148,983.08	148,983.08			
500 NESTLE S A ADR		07/06/2007	01/13/2016	35,621.35	19,292.56			16,328.79
800 NIVE INC CL B		VAR	01/13/2016	47,163.78	21,119.98			26,043.80
500. NOVARTIS AG SPONSORED ADR		VAR	01/13/2016	40,617.96	26,943.32			13,674.64
1559. PEMBINA PIPELINE CORPORATION		VAR	01/08/2016	30,969.23	24,728.90			6,240.33
Totals								

JSA
XG900 3 000

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail		Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
200 PHILLIPS 66 COM		08/15/2012	01/08/2016	15,148.53	7,993.20			7,155.33
1000 PINNACLE FOODS INC DEL		VAR	01/27/2016	41,671.24	31,925.93			9,745.31
500. PROCTOR & GAMBLE		VAR	12/07/2016	41,498.10	39,219.36			2,278.74
500 ROCHE HLDG LTD SPONSORED ADR		VAR	03/23/2016	15,221.67	17,484.24			-2,262.57
100 SPDR S&P 500 ETF TRUST		08/28/2015	12/23/2016	22,526.89	19,934.99			2,591.90
1000 SANGAMO BIOSCIENCES INC		01/12/2015	01/20/2016	5,895.60	15,927.99			-10,032.39
1000 SPECTRA ENERGY CORP COM		VAR	01/20/2016	23,602.57	16,540.19			7,062.38
500 STARBUCKS CORP COM		VAR	07/06/2016	29,036.52	19,621.25			9,415.27
300. TARGA RES CORP		VAR	07/06/2016	12,323.06	32,615.98			-20,292.92
500. TATA MOTORS LTD SPONSORED ADR		VAR	01/20/2016	12,089.06	12,355.48			-266.42
1000 TATA MOTORS LTD SPONSORED ADR		VAR	02/09/2016	22,811.68	18,144.97			4,666.71
150 3M CO		VAR	01/13/2016	20,848.90	12,625.77			8,223.13
500. UNDER ARMOUR INC		VAR	01/08/2016	37,555.80	31,337.08			6,218.72
50. UNDER ARMOUR INC		06/18/2014	10/26/2016	1,602.21	1,487.22			115.05
200. UNION PAC CORP COM		08/18/2011	01/13/2016	14,807.43	8,503.99			6,303.46
1000 UNION PAC CORP COM		10/21/2010	05/18/2016	82,680.30	41,882.99			40,797.31
100 WABTEC CORP		10/28/2011	01/13/2016	6,160.39	3,458.80			2,701.59
100 WABTEC CORP		10/28/2011	01/13/2016	6,168.88	3,458.80			2,710.08
300. WABTEC CORP		10/28/2011	01/13/2016	18,500.68	10,376.40			8,124.28
500 WABTEC CORP		10/28/2011	11/02/2016	37,952.58	17,293.99			20,658.59
190. WELLS FARGO & CO NEW COM		VAR	09/09/2016	9,293.81	10,053.99			-760.18
500. WELLS FARGO & CO NEW COM		VAR	09/09/2016	24,471.47	17,820.32			6,651.15
310. WELLS FARGO & CO NEW COM		08/27/2012	09/21/2016	14,178.54	10,572.85			3,605.69
250. ZOSTIS		12/12/2014	01/13/2016	10,826.84	10,587.99			238.85
250. ACCENTURE PLC		07/20/2010	01/13/2016	24,819.05	9,646.97			15,172.08
Totals				2,212,014.12	1,739,541.59			472,472.53

JSA
XG300 3 000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

	Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
100.	ALIBABA GROUP HOLDING LTD - SP ADR	01/30/2015	01/13/2016	7,035.05	9,183.65			-2,148.60
100	ALIBABA GROUP HOLDING LTD - SP ADR	01/30/2015	01/21/2016	6,742.56	9,183.65			-2,441.09
20.	AMAZON COM INC	VAR	01/21/2016	11,400.62	10,673.20			727.42
90.	APPLE COMPUTER INC COM	11/04/2015	01/21/2016	8,536.53	11,083.23	W	2,546.70	
150.	APPLE COMPUTER INC COM	01/29/2016	07/29/2016	15,565.38	14,459.42			1,105.96
35.	CVS CORP COM	11/04/2015	01/13/2016	3,289.48	3,506.35			-217.17
150	CVS CORP COM	04/15/2016	08/31/2016	13,879.36	15,271.45			-1,392.09
300.	CORNING INC	11/04/2015	01/21/2016	4,964.46	5,723.81			-759.35
65.	DISNEY WALT CO COM DISNEY	11/04/2015	01/13/2016	6,382.42	7,365.53			-983.11
100	DISNEY WALT CO COM DISNEY	08/11/2016	09/23/2016	9,285.53	9,868.27			-582.74
150.	DOW CHEM CO COM	11/04/2015	01/21/2016	6,128.14	7,775.52			-1,647.38
150.	FACEBOOK INC	VAR	01/13/2016	14,329.07	15,793.64			-1,464.57
80.	FACEBOOK INC	07/31/2015	01/21/2016	7,401.88	7,708.00			-306.12
120.	GILEAD SCIENCES INC.	11/04/2015	01/21/2016	10,641.63	13,004.40			-2,362.77
175.	GOLDMAN SACHS GROUP INC COM	VAR	06/17/2016	25,391.45	36,899.26			-11,507.81
900.	JOHNSON CTLS INC COM	03/09/2016	09/06/2016	41,341.34	33,376.16			7,965.18
50.	MORGAN STANLEY	11/20/2015	06/10/2016	1,286.75	1,733.20			-446.45
400.	ZEBRA TECHNOLOGIES CORP	04/22/2016	08/10/2016	25,889.95	26,257.41			-367.46
300.	ZIMMER HDSGS INC COM	05/16/2016	11/02/2016	30,687.51	35,812.24			-5,124.73
	2 ADIENT PLC	10/31/2016	10/31/2016	8.93	9.32			-0.39
75.	ADIANT PLC	10/31/2016	11/09/2016	3,312.48	3,493.88			-181.40
20.	ALLERGAN PLC	11/04/2015	01/13/2016	5,717.74	6,118.99			-401.25
	.13 JOHNSON CTLS INTL PLC NPV	09/06/2016	09/15/2016	6.25	6.25			
75.	CHECK POINT SOFTWARE TECHNOLOGIES	11/04/2015	04/22/2016	6,173.57	6,354.13			-180.56
Totals				265,397.78	290,660.96		2,546.70	-22,716.48

AFL356 651T 02/14/2017 1525-1140000717

THE LUPIN FOUNDATION
GRANTS CONTRIBUTION PAID
DECEMBER 31, 2016

<u>Name</u>	<u>Purpose</u>	<u>Status</u>	<u>Amount Paid</u>
Riverdale Lassie Dance Team	Assist with the Cost of the Competition	Non Profit	1,000.00
Temple Beth Shalom of Vero Beach	To obtain a sponsorship for the upcoming 5K run	Non Profit	1,000.00
The Louisiana Children's Museum	For Country Sponsorship for 2016 Children's Fair.	Non Profit	3,000.00
The Spirit of Charity Foundation	To Help With Medical Research	Non Profit	2,000.00
The New Orleans Museum of Art	For General Operating Expenses	Non Profit	10,000.00
The National World War II Museum	To Help With The Production of Brundibar	Non Profit	5,000.00
The Nocca Institute	To support the General Operations of The NOCCA Institute	Non Profit	5,000.00
Audubon Nature Institute	To Help Underwrite the 2015 Zoo-to Do	Non Profit	5,000.00
Brooklyn Academy of Music	For General Operating Expenses	Non Profit	20,000.00
St. Augustine High School	To Help Students Attend The National Leadership Conference	Non Profit	5,000.00
Kappa Kappa Gamma Sorority Books for Keep	To Provide a for the literacy Program	Non Profit	2,500.00
Shir Chadash Conservative Congregation	To Help Underwrite The Cost For the Annual Fundraiser	Non Profit	2,500.00
Casa Argentina	To Benefit the Educational Program For Underserved Youth	Non Profit	5,000.00
H.O.R.S.E OF CT, Inc.	To Help Abused Starved Horses in Need	Non Profit	2,500.00
LSU Health Sciences Center Foundation	To Facilitate a Research Project On Adult Stem Cells	Non Profit	50,000.00
Roundabout Theatre Company	To help support 2016 Main Stage Productions	Non Profit	10,000.00
Build Your House on the Rock	To Help Provide Medical and Dental Supplies for the Mission	Non Profit	2,500.00
Mississippi Delta Blues Society of Indianola	To Donate the Entire Amount to the 44th Annual Bentonia blues Festival	Non Profit	5,000.00
City of Kenner Food Bank	To Purchase Food Items For The Kenner Food Bank	Non Profit	5,000.00

THE LUPIN FOUNDATION
GRANTS CONTRIBUTION PAID
DECEMBER 31, 2016

Friends of Jefferson the Beautiful	For the Annual Tree School	Non Profit	10,000.00
LSU Medical Alumni Association	To Help Support The School of Medicine	Non Profit	5,000.00
Lusher Charter School PTSA	To Support the Annual Soiree and Silent Auction	Non Profit	5,000.00
Friends of the Cabildo	To fund two low-income homeowners	Non Profit	5,000.00
Louisiana Society for the Prevention of Cruelty to Animals	For A Sponsorship for A Table At The Howling Success Fundraiser	Non Profit	3,000.00
New Orleans Bowl	To Help Support Bowl Football for Kids	Non Profit	12,500.00
New Orleans Jewish Community Center	For a Sponsorship of the 2016 Annual Fundraiser	Non Profit	5,000.00
Shine the Light	For General Operating Expenses	Non Profit	10,000.00
St. Michael Special School	To Support Supplement Tuition	Non Profit	15,000.00
LSU Health Sciences Center Foundation	To Help Cover The Cost of the 2nd Annual Kelsey Bradley Favrot Memorial	Non Profit	5,000.00
Autism Services of Southwest Louisiana	To Help Provide Housing For Adults With Autism	Non Profit	2,500.00
Broadmoor Improvement Association	For Equipment and General Operating Cost.	Non Profit	20,000.00
Center for Hearing and Communication	To Support the Natural Resources Crew	Non Profit	5,000.00
Lake Pontchartrain Basin Foundation	To Help with Funding To Restore and Preserve the Pontchartrain Basin	Non Profit	5,000.00
Prospect Park Alliance Inc	To Support the Natural Resources Crew	Non Profit	5,000.00
The Wildlife Conservation Society	For General Operating Cost	Non Profit	5,000.00
Chabad Jewish Center	To Be Used Towards the Crowd Funding Campaign	Non Profit	6,250.00
Thelonious Monk Institute of Jazz	To Support our National Performing Art Program	Non Profit	10,000.00
St. Ann's Warehouse, Inc	To Help Towards Operations of the Inaugural 2016-2017	Non Profit	5,000.00
Concern Worldwide Revised Money Report	To Help Continue the Efforts of GCC Program	Non Profit	10,000.00

THE LUPIN FOUNDATION
GRANTS CONTRIBUTION PAID
DECEMBER 31, 2016

The University of Georgia Foundation -Revised Money Report	To Expand Networking Services and Enhance Career Readiness of our Students	Non Profit	28,250.00
The National World War II Museum from 11/6/2013	For the seven year on going grant to the National World War II Museum for the Liberation Pavilion	Non Profit	56,000.00
The University of Georgia Foundation from 5/14/2014	For the Lupin Gallery Enhancement Fund	Non Profit	50,000.00
University of Georgia Foundation 10/31/2015	For the Lupin Gallery Enhancement Fund Of Georgia	Non Profit	25,000.00
The National World War II Museum 11/6/13	To Help Fund the Liberation Pavilion	Non Profit	43,500.00
The University of Georgia Foundation 5/13/2014	For the Year on grant for the Lamar Dodd School of Art at the University of Georgia	Non Profit	50,000.00
The University of Georgia Foundation 10/14/2015	For the Lupin Gallery Enhancement Fund	Non Profit	25,000.00
Thelonious Monk for 12/16/2016	To Support our National Performing Art	Non Profit	<u>10,000.00</u>
<u>Total Grants</u>			<u>579,000.00</u>