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

OMB No 1545-0052

2016

Department of the Treasury
Internal Revenue Service

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Open to Public Inspection

For calendar year 2016 or tax year beginning

, 2016, and ending

Name of foundation The Peltier Foundation		A Employer identification number 72-1416778
Number and street (or P O box number if mail is not delivered to street address) 101 St. Louis St.		B Telephone number (see instructions) (985) 447-4033
City or town, state or province, country, and ZIP or foreign postal code Thibodaux LA 70301		C If exemption application is pending, check here. ☐
G Check all that apply		D 1 Foreign organizations, check here ☐
☐ Initial return	☐ Initial return of a former public charity	2 Foreign organizations meeting the 85% test, check here and attach computation ☐
☐ Final return	☐ Amended return	E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
☐ Address change	☐ Name change	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		
I Fair market value of all assets at end of year (from Part II, column (c), line 16) ▶ \$ 18,754,846.		
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)		

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
REVENUE	1 Contributions, gifts, grants, etc. received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	141,881.			
	4 Dividends and interest from securities	272,954.			
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	45,003.	L-6a Stmt		
	b Gross sales price for all assets on line 6a	2,437,849.			
	7 Capital gain net income (from Part IV, line 2)		45,003.		
	8 Net short-term capital gain			45,003.	
	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)					
See Line 11 Stmt	357,396.	357,396.			
12 Total Add lines 1 through 11.	817,234.	402,399.	45,003.		
ADMINISTRATIVE AND OPERATING EXPENSES	13 Compensation of officers, directors, trustees, etc.				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits.				
	16a Legal fees (attach schedule). L-16a Stmt	22,303.	22,303.		
	b Accounting fees (attach sch). L-16b Stmt	9,060.	9,060.		
	c Other professional fees (attach sch) L-16c Stmt	76,550.	76,550.		
	17 Interest				
	18 Taxes (attach schedule)(see instrs) See Line 18 Stmt	42,505.	42,490.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) See Line 23 Stmt	5,741.	5,741.		
	24 Total operating and administrative expenses Add lines 13 through 23	156,159.	156,144.		
25 Contributions, gifts, grants paid	1,016,047.			1,016,047.	
26 Total expenses and disbursements Add lines 24 and 25	1,172,206.	156,144.		1,016,047.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-354,972.				
b Net investment income (if negative, enter -0-).		246,255.			
c Adjusted net income (if negative, enter -0-).			45,003.		

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value			
ASSETS	1	Cash — non-interest-bearing	3,196.	14,006.	14,006.		
	2	Savings and temporary cash investments	10,229,025.	9,709,027.	9,866,898.		
	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) L-10b Stmt	6,135,934.	6,291,701.	7,093,700.		
	c	Investments — corporate bonds (attach schedule)					
	LIABILITIES	11	Investments — land, buildings, and equipment basis ▶				
		Less accumulated depreciation (attach schedule) ▶					
12		Investments — mortgage loans					
13		Investments — other (attach schedule)					
14		Land, buildings, and equipment basis ▶					
		Less accumulated depreciation (attach schedule) ▶					
15		Other assets (describe ▶ L-15 Stmt)	1,032,929.	1,032,929.	1,780,242.		
16		Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I.)	17,401,084.	17,047,663.	18,754,846.		
17		Accounts payable and accrued expenses					
18		Grants payable					
FUNDS	19	Deferred revenue					
	20	Loans from officers, directors, trustees, & other disqualified persons					
	21	Mortgages and other notes payable (attach schedule)					
	22	Other liabilities (describe ▶)					
	23	Total liabilities (add lines 17 through 22)					
		Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted	12,015,693.	11,662,269.			
	25	Temporarily restricted					
	26	Permanently restricted	5,385,391.	5,385,394.			
		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 (see instructions)	17,401,084.	17,047,663.				
31	Total liabilities and net assets/fund balances (see instructions)	17,401,084.	17,047,663.				

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	17,401,084.
2	Enter amount from Part I, line 27a	2	-354,972.
3	Other increases not included in line 2 (itemize) Tax refund	3	1,551.
4	Add lines 1, 2, and 3	4	17,047,663.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	17,047,663.

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.)
1 a	See Schedule 1	P	various	various
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 2,437,849.		2,392,846.	45,003.
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a 0.	0.	0.	45,003.
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	45,003.
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	45,003.

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.

(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	1,050,591.	20,623,249.	0.050942
2014	975,422.	21,496,681.	0.045375
2013	886,841.	20,012,904.	0.044313
2012	860,409.	18,374,804.	0.046825
2011	720,348.	17,991,364.	0.040039

2 Total of line 1, column (d)	2	0.227494
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	0.045499
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5.	4	18,356,590.
5 Multiply line 4 by line 3	5	835,206.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,463.
7 Add lines 5 and 6	7	837,669.
8 Enter qualifying distributions from Part XII, line 4	8	1,016,047.

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	2,463.	
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.	
3 Add lines 1 and 2	3	2,463.	
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	2,463.	
6 Credits/Payments			
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6 a	5,040.	
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	5,040.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,577.	
11 Enter the amount of line 10 to be credited to 2017 estimated tax	2,577.	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)?		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?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☐ \$ _____ (2) On foundation managers ☐ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☐ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If 'Yes,' attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If 'Yes,' attach a conformed copy of the changes		X
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?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If 'Yes,' attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • 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? If 'Yes,' complete Part II, col. (c), and Part XV	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions)		
LOUISIANA		
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If 'No,' attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If 'Yes,' complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If 'Yes,' attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' attach schedule (see instructions)	11	Yes	No
				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 <u>N/A</u>				
14	The books are in care of <u>Stephen Peltier</u> Telephone no <u>(985) 447-4033</u>			
Located at <u>101 St. Louis St. Thibodaux, 70301 LA</u> ZIP + 4 <u>70301</u>				
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 <u>15</u>				
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	Yes	No
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.

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

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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

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

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

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

7 b

b If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?**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
Stephen Peltier 101 St Louis St Thibodaux LA 70301	Sec/Treas 5.00	22,303.	0.	0.
Sarah Naguin 101 St Louis St Thibodaux LA 70301	Vice-Pres 5.00	0.	0.	0.
Dr. James Peltier 101 St Louis St Thibodaux LA 70301	President 5.00	0.	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

None

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
None		
		None
Total number of others receiving over \$50,000 for professional services		None

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 None	
	0.
2	
3	
4	

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

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

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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	1 a	6,710,952.
b	Average of monthly cash balances	1 b	10,144,938.
c	Fair market value of all other assets (see instructions)	1 c	1,780,242.
d	Total (add lines 1a, b, and c)	1 d	18,636,132.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	18,636,132.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	279,542.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	18,356,590.
6	Minimum investment return. Enter 5% of line 5	6	917,830.

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	917,830.
2 a	Tax on investment income for 2016 from Part VI, line 5	2 a	2,463.
b	Income tax for 2016 (This does not include the tax from Part VI)	2 b	
c	Add lines 2a and 2b	2 c	2,463.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	915,367.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	915,367.
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	915,367.

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	1,016,047.
b	Program-related investments — total from Part IX-B	1 b	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)	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	1,016,047.
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	2,463.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,013,584.

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				915,367.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			1,015,855.	
b Total for prior years 20 __, 20 __, 20 __				
3 Excess distributions carryover, if any, to 2016				
a From 2011	0.			
b From 2012	0.			
c From 2013	0.			
d From 2014	0.			
e From 2015	0.			
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 1,016,047.				
a Applied to 2015, but not more than line 2a			1,015,855.	
b Applied to undistributed income of prior years (Election required — see instructions)				
c Treated as distributions out of corpus (Election required — see instructions)				
d Applied to 2016 distributable amount				192.
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))				
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				
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				915,175.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required — see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	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	0.			
b Excess from 2013	0.			
c Excess from 2014	0.			
d Excess from 2015	0.			
e Excess from 2016	0.			

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	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
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))

N/A

- 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

N/A

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

Peltier Foundation

101 St. Louis St.

Thibodaux

LA 70301

(985) 447-4033

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

Letter of request

- c Any submission deadlines

N/A

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

501(c)(3) organizations

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
<i>a Paid during the year</i> see schedule 13 LA 70301		501(c)(3)	schedule #13	1,016,047.
Total			3 a	1,016,047.
<i>b Approved for future payment</i>				
Total			3 b	

Peltier Foundation 72-1416778
Form 990PF 2016
Line 6a
Schedule 1

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

45179303

Refer to the Proceeds not reported to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	C (Form 1099-B not received)	19,021.44	19,122.63	0.00	0.00	-101.19
Long	F (Form 1099-B not received)	204,610.67	300,412.92	0.00	0.00	-95,802.25
Undetermined	C or F (Form 1099-B not received)	4,122.16	0.00	0.00	0.00	0.00
Grand total		227,754.27	319,535.55	0.00	0.00	-95,903.44

Withholding	Amount
Federal income tax withheld	0.00
	223,632.11

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

71363353

Refer to the Proceeds not reported to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	C (Form 1099-B not received)	94,267.78	100,826.11	0.00	0.00	-6,558.33
Long	F (Form 1099-B not received)	691,478.67	638,945.05	0.00	0.00	52,533.62
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Grand total		785,746.45	739,771.16	0.00	0.00	45,975.29

Withholding	Amount
Federal income tax withheld	0.00

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

45153811

Refer to the Proceeds not reported to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	C (Form 1099-B not received)	17,421.97	15,518.19	0.00	0.00	1,903.78
Long	F (Form 1099-B not received)	270,392.39	239,124.67	0.00	0.00	31,267.72
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Grand total		287,814.36	254,642.86	0.00	0.00	33,171.50

Withholding	Amount
Federal income tax withheld	0.00

Peltier Foundation 72-1416778
 Form 990PF 2016
 Line 6a
 Schedule 1 (cont'd)

#39761589

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the Proceeds not reported to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	C (Form 1099-B not received)	163,087.63	175,498.17	0.00	0.00	-12,410.54
Long	F (Form 1099-B not received)	201,760.83	162,478.88	0.00	0.00	39,281.95
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
Grand total		364,848.46	337,977.05	0.00	0.00	26,871.41

Withholding

Federal income tax withheld

Amount

0.00

#22492633

SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the Proceeds not reported to the IRS pages to ensure that you consider all relevant items to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	C (Form 1099-B not received)	667,859.56	551,093.41	0.00	0.00	6,766.14
Long	F (Form 1099-B not received)	217,948.64	189,826.14	0.00	0.00	28,122.50
Undetermined	C or F (Form 1099-B not received)	66,834	0.00	0.00	0.00	0.00
Grand total		775,696.60	740,919.55	0.00	0.00	34,888.64

Withholding

Federal income tax withheld

Amount

0.00

775,308.19

Totals

2437,849

33928,46

45003

Peltier Foundation, Inc
Form 990-PF
Schedule 6-Stocks on hand
72-1416778

12/31/2015 | 12/31/2016

Capital One Inv #4R6-501560	-	
4.76% membership interest West Fork Land Co LLC	13,423 46	13,902 46
3-74/100 shares Lafourche Sugar Cane Co. common	-	
1-6/10 shares Lafourche Sugar Cane Co preferred	-	
40 shares Terra Firma Trust	-	
1 share Dixie Lafourche Club	19,200 00	19,200 00
25-60/100 units of Lafourche Sugars, LLC	8,960.00	8,960 00
94810% membership Peltier Farms, LLC	17,683 00	18,658 50
	<u>59,266 46</u>	<u>60,720.96</u>

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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/17/16	HASBRO INC C HAS	33	77.79	2,567.07	82.1015	2,709.35 2,709.35	-142.28	67	2.62%
02/16/12	HERSHEY COMPANY C HSY	8	103.43	827.44	60.6788	485.43 485.43	342.01	19	2.39%
03/16/12		3		310.29	59.9900	179.97 179.97	130.32	7	
04/11/12		3		310.29	60.5500	181.65 181.65	128.64	7	
04/24/12		17		1,758.31	66.4688	1,129.97 1,129.97	628.34	42	
05/14/12		5		517.15	69.2200	346.10 346.10	171.05	12	
06/12/12		4		413.72	67.3800	269.52 269.52	144.20	9	
02/04/13		12		1,241.16	79.5383	954.46 954.46	286.70	29	
02/19/13		14		1,448.02	81.6964	1,143.75 1,143.75	304.27	34	
09/16/15		8		827.44	93.3563	746.85 746.85	80.59	19	

EQUITIES AND OPTIONS continue on page 25

¹ 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.

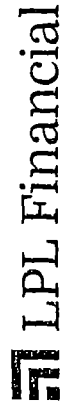
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	GRANITE CONSTR INC (continued)	17		935.00	33.1800	564.06 564.06	370.94	8	
Total		141		7,755.00	35.4792	5,002.57 5,002.57	2,752.43	71	
07/06/15	HARTFORD FINANCIAL C SERVICES GROUP INC HIG	38	47.65	1,810.70	43.7468	1,662.38 1,662.38	148.32	34	1.93%
07/14/15		32		1,524.80	45.7341	1,463.49 1,463.49	61.31	29	
07/15/15		62		2,954.30	46.8823	2,906.70 2,906.70	47.60	57	
08/13/15		37		1,763.05	50.7151	1,876.46 1,876.46	-113.41	34	
08/13/15		12		571.80	48.9000	586.80 586.80	-15.00	11	
10/29/15		32		1,524.80	46.9900	1,503.68 1,503.68	21.12	29	
11/28/16		80		3,812.00	47.4555	3,796.44 3,796.44	15.56	73	
Total		293		13,961.45	47.0852	13,795.95 13,795.95	165.50	267	

EQUITIES AND OPTIONS continue on page 24

¹ 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.



Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

Account Holdings / All Cap Core-Rank Strategy 3976-1589

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Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
08/04/15	GENERAL MOTORS COMPANY (continued)	66		2,299.44	31.6024	2,085.76 2,085.76		213.68	100	
10/29/15		38		1,323.92	34.4300	1,308.34 1,308.34		15.58	57	
11/07/16		39		1,358.76	32.0200	1,248.78 1,248.78		109.98	59	
Total		205		7,142.20	32.2471	6,610.66 6,610.66		531.54	310	
04/28/14	GILEAD SCIENCES INC C GILD	36	71.61	2,577.96	75.1919	2,706.91 2,706.91		-128.95	67	2.63%
10/29/15		8		572.88	109.6700	877.36 877.36		-304.48	15	
Total		44		3,150.84	81.4607	3,584.27 3,584.27		-433.43	82	
06/15/15	GRANITE CONSTR INC C GVA	25	55.00	1,375.00	36.3632	909.08 909.08		465.92	13	0.95%
06/16/15		58		3,190.00	36.6221	2,124.08 2,124.08		1,065.92	30	
07/09/15		19		1,045.00	34.9753	664.53 664.53		380.47	9	
09/08/15		22		1,210.00	33.6736	740.82 740.82		469.18	11	

EQUITIES AND OPTIONS continue on page 23

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/04/16	FEDEX CORP (continued)	15		2,793.00	163.9433	2,459.15 2,459.15	333.85	24	
04/06/16		20		3,724.00	162.2455	3,244.91 3,244.91	479.09	32	
Total		55		10,241.00	161.8293	8,900.61 8,900.61	1,340.39	88	
01/21/16	FLUOR CORP NEW C FLR	9	52.52	472.68	41.4389	372.95 372.95	99.73	7	1.60%
01/22/16		67		3,518.84	42.8428	2,870.47 2,870.47	648.37	56	
Total		76		3,991.52	42.6766	3,243.42 3,243.42	748.10	63	
08/11/14	FORTINET INC C FTNT	27	30.12	813.24	25.3326	683.98 683.98	129.26	—	—
11/14/14		53		1,596.36	27.1702	1,440.02 1,440.02	156.34	—	—
10/29/15		33		993.96	34.2676	1,130.83 1,130.83	-136.87	—	—
Total		113		3,403.56	28.8038	3,254.83 3,254.83	148.73	—	—
08/03/15	GENERAL MOTORS COMPANY C GM	62	34.84	2,160.08	31.7384	1,967.78 1,967.78	192.30	94	4.36%

EQUITIES AND OPTIONS continue on page 22

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ³
04/11/12	ALPHABET INC C CLC	1	771.82	771.82	310.5400	310.54 310.54	461.28	—	—
06/12/12	GOOG	1	771.82	771.82	280.1400	280.14 280.14	491.68	—	—
11/06/12		3		2,315.46	341.9500	1,025.85 1,025.85	1,289.61	—	—
04/16/13		2		1,543.64	395.6500	791.30 791.30	752.34	—	—
10/29/15		1		771.82	715.9600	715.96 715.96	55.86	—	—
Total		8		6,174.56	390.4738	3,123.79 3,123.79 ✓	3,050.77	—	—
01/24/11	ALPHABET INC C CLA	1	792.45	792.45	304.4500	304.45 304.45	488.00	—	—
02/03/12	GOOGL	2		1,584.90	298.4600	596.92 596.92	987.98	—	—
02/14/12		1		792.45	305.2900	305.29 305.29	487.16	—	—
04/11/12		1		792.45	317.4600	317.46 317.46	474.99	—	—

EQUITIES AND OPTIONS continue on page 5

¹ 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.

CASH AND CASH EQUIVALENTS		Current Balance
Description		
Cash		\$238.53
Money Market Funds		7,717.73
TOTAL CASH AND CASH EQUIVALENTS		\$7,956.26

EQUITIES AND OPTIONS									
Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/31/12	A O SMITH C AOS	40	\$47.35	\$1,894.00	\$15.0535	\$602.14 602.14	\$1,291.86	\$19	1.01%
12/20/12		60		2,841.00	15,7723	946.34 946.34	1,894.66	28	
10/29/15		22		1,041.70	38.0000	836.00 836.00	205.70	10	
Total		122		5,776.70	19,5449	2,384.48 ✓ 2,384.48	3,392.22	57	
09/28/16	ALASKA AIR GROUP INC C ALK	31	88.73	2,750.63	66.9987	2,076.96 2,076.96	673.67	34	1.24%
10/05/16		19		1,685.87	68.3895	1,299.40 1,299.40	386.47	20	
Total		50		4,436.50	67.5272	3,376.36 ✓ 3,376.36	1,060.14	54	
EQUITIES AND OPTIONS continue on page 4									

1 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	EXXON MOBIL CORP (continued)	15		1,353.90	82.1900	1,232.85 1,232.85	121.05	45	
12/17/15		28		2,527.28	78.4075	2,195.41 2,195.41	331.87	84	
Total		80		7,220.80	82.6451	6,611.61 6,611.61	609.19	240	
01/17/14	FACEBOOK INC CL A C FB	23	115.05	2,646.15	57.2930	1,317.74 1,317.74	1,328.41	—	—
01/22/14		22		2,531.10	57.6255	1,267.76 1,267.76	1,263.34	—	—
01/30/14		46		5,292.30	62.0480	2,854.21 2,854.21	2,438.09	—	—
07/24/14		15		1,725.75	76.2273	1,143.41 1,143.41	582.34	—	—
10/29/15		17		1,955.85	104.6276	1,778.67 1,778.67	177.18	—	—
Total		123		14,151.15	67.9820	8,361.79 8,361.79	5,789.36	—	—
11/10/16	FASTENAL COMPANY C FAST	91	46.98	4,275.18	44.8495	4,081.30 4,081.30	193.88	109	2.55%
03/17/16	FEDEX CORP C FDX	20	186.20	3,724.00	159.8275	3,196.55 3,196.55	527.45	32	0.86%
EQUITIES AND OPTIONS continue on page 21									

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/23/14	EAST WEST BANCORP INC (continued)	31		1,575.73	34 9265	1,082.72 1,082.72	493.01	24	
10/29/15		20		1,016.60	41 4880	829.76 829.76	186.84	16	
Total		140		7,116.20	27.4940	3,849.16 3,849.16	3,267.04	110	
10/26/15	EBAY INC C EBAY	29	29.69	861.01	28 0724	814.10 814.10	46.91	—	—
10/29/15		16		475.04	28 1731	450.77 450.77	24.27	—	—
11/04/15		93		2,761.17	29 2549	2,720.71 2,720.71	40.46	—	—
01/20/16		59		1,751.71	25 5236	1,505.89 1,505.89	245.82	—	—
07/21/16		35		1,039.15	30 0854	1,052.99 1,052.99	-13.84	—	—
Total		232		6,888.08	28.2089	6,544.46 6,544.46	343.62	—	—
05/07/15	EXXON MOBIL CORP C XOM	14	90.26	1,263.64	87 7436	1,228.41 1,228.41	35.23	42	3.32%
06/09/15		23		2,075.98	84 9974	1,954.94 1,954.94	121.04	69	

EQUITIES AND OPTIONS continue on page 20

¹ 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.



Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/12/15	DOMINION DIAMOND CORP (continued)	126		1,219.68	9.0941	1,145.86 1,145.86	73.82	50	
Total		218		2,110.24	9.8432	2,145.81 2,145.81	-35.57	86	
11/09/15	DOW CHEMICAL COMPANY C DOW	65	57.22	3,719.30	51.8132	3,367.86 3,367.86	351.44	119	3.22%
11/10/15		32		1,831.04	51.4997	1,647.99 1,647.99	183.05	58	
12/17/15		35		2,002.70	50.5874	1,770.56 1,770.56	232.14	64	
Total		132		7,553.04	51.4122	6,786.41 6,786.41	766.63	241	
06/20/16	DU PONT DE NEMOURS C & COMPANY DD	49	73.40	3,596.60	67.9943	3,331.72 3,331.72	264.88	74	2.07%
07/25/16	EAGLE MATERIALS INC C EXP	22	98.53	2,167.66	85.5786	1,882.73 1,882.73	284.93	8	0.41%
05/24/12	EAST WEST BANCORP INC C EWBC	31	50.83	1,575.73	22.4971	697.41 697.41	878.32	24	1.57%
06/12/12		13		660.79	21.1500	274.95 274.95	385.84	10	
06/13/12		45		2,287.35	21.4293	964.32 964.32	1,323.03	36	

EQUITIES AND OPTIONS continue on page 19

¹ 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.

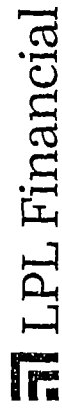
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/08/16	CONAGRA BRANDS INC (continued)	34		1,344.70	37.5200	1,275.68 1,275.68	69.02	27	
Total		119		4,706.45	37.1180	4,417.04 4,417.04	289.41	94	
03/07/16	DANAHER CORP C DHR	18	77.84	1,401.12	69.0244	1,242.44 1,242.44	158.68	9	0.64%
03/14/16		17		1,323.28	69.9088	1,188.45 1,188.45	134.83	8	
Total		35		2,724.40	69.4540	2,430.89 2,430.89	293.51	17	
07/06/16	DEAN FOODS COMPANY NEW C DF	121	21.78	2,635.38	18.8712	2,283.42 2,283.42	351.96	43	1.65%
11/21/16		86		1,873.08	20.1383	1,731.89 1,731.89	141.19	30	
11/22/16		53		1,154.34	20.1377	1,067.30 1,067.30	87.04	19	
Total		260		5,662.80	19.5485	5,082.61 5,082.61	580.19	92	
10/27/15	DOMINION DIAMOND CORP C DDC	81	9.68	784.08	10.9670	888.33 888.33	-104.25	32	4.13%
10/29/15		11		106.48	10.1473	111.62 111.62	-5.14	4	

EQUITIES AND OPTIONS continue on page 18

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
08/16/16	CITIZENS FINANCIAL C GROUP INC CFG	74	35.63	2,636.62	23 4380	1,734.41 1,734.41	902.21	35	1.35%
08/17/16		74		2,636.62	23 5184	1,740.36 1,740.36	896.26	35	
08/29/16		92		3,277.96	24 5016	2,254.15 2,254.15	1,023.81	44	
09/12/16		102		3,634.26	24 8160	2,531.23 2,531.23	1,103.03	48	
10/06/16		62		2,209.06	25 5792	1,585.91 1,585.91	623.15	29	
11/01/16		67		2,387.21	26 7925	1,795.10 1,795.10	592.11	32	
Total		471		16,781.73	24,7158	11,641.16 ✓ 11,641.16	5,140.57	223	
11/28/16	COLGATE-PALMOLIVE C COMPANY CL	158	65.44	10,339.52	66.5320	10,512.06 ✓ 10,512.06	-172.54	246	2.38%
10/14/16	CONAGRA BRANDS INC C CAG	57	39.55	2,254.35	36.8325	2,099.45 2,099.45	154.90	45	2.02%
10/18/16		28		1,107.40	37 2111	1,041.91 1,041.91	65.49	22	

EQUITIES AND OPTIONS continue on page 17

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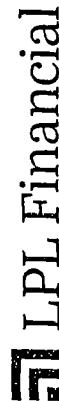
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/09/15	CHURCHILL DOWNS INC C CHDN	7	150.45	1,053.15	149.9471	1,049.63 1,049.63	3.52	9	0.88%
11/13/15		6		902.70	148.9650	893.79 893.79	8.91	7	
Total		13		1,955.85	149.4938	1,943.42 ✓ 1,943.42	12.43	16	
10/10/16	CIENA CORP NEW C CIEN	153	24.41	3,734.73	22.4388	3,433.14 ✓ 3,433.14	301.59	—	—
10/12/16		84		2,050.44	20.6087	1,731.13 ✓ 1,731.13	319.31	—	—
12/09/16		16		390.56	24.6469	394.35 ✓ 394.35	-3.79	—	—
Total		253		6,175.73	21.9708	5,558.62 5,558.62	617.11	—	—
08/14/15	CISCO SYSTEMS INC C CSCO	126	30.22	3,807.72	28.9276	3,644.88 3,644.88	162.84	131	3.44%
10/26/15		74		2,236.28	28.9653	2,143.43 2,143.43	92.85	76	
10/29/15		143		4,321.46	29.0700	4,157.01 4,157.01	164.45	148	
Total		343		10,365.46	28.9951	9,945.32 ✓ 9,945.32	420.14	355	

EQUITIES AND OPTIONS continue on page 16

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ²
04/11/12	CHEVRON CORP (continued)	6		706.20	101.1300	606.78 606.78	99.42	25	
04/23/12		12		1,412.40	102.0967	1,225.16 1,225.16	187.24	51	
05/14/12		7		823.90	102.1900	715.33 715.33	108.57	30	
06/12/12		7		823.90	100.3700	702.59 702.59	121.31	30	
10/29/15		5		588.50	89.5900	447.95 447.95	140.55	21	
11/09/15		13		1,530.10	92.5138	1,202.68 1,202.68	327.42	56	
01/20/16		44		5,178.80	76.7016	3,374.87 3,374.87	1,803.93	190	
01/21/16		13		1,530.10	80.6762	1,048.79 1,048.79	481.31	56	
11/14/16		30		3,531.00	105.9537	3,178.61 3,178.61	352.39	129	
Total		141		16,595.70	91.8128	12,945.60 ✓ 12,945.60	3,650.10	605	

EQUITIES AND OPTIONS continue on page 15

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

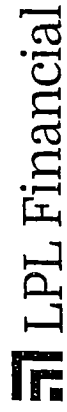
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/13/16	CALIFORNIA WTR SVC GRP (continued)	47		1,593.30	32.0155	1,504.73 1,504.73	88.57	32	
Total		316		10,712.40	22.9476	7,251.45 7,251.45 ✓	3,460.95	213	
04/25/16	CARPENTER TECHNOLOGY CORP C CRS	13	36.17	470.21	35.7938	465.32 465.32	4.89	9	1.99%
04/26/16		29		1,048.93	35.2769	1,023.03 1,023.03	25.90	20	
05/23/16		34		1,229.78	30.8209	1,047.91 1,047.91	181.87	24	
Total		76		2,748.92	33.3718	2,536.26 2,536.26 ✓	212.66	53	
03/16/16	CHEMICAL FINANCIAL CORP C CHFC	47	54.17	2,545.99	34.6345	1,627.82 1,627.82	918.17	50	1.99%
04/21/16		26		1,408.42	38.5262	1,001.68 1,001.68	406.74	28	
09/12/16		42		2,275.14	43.9826	1,847.27 1,847.27	427.87	45	
Total		115		6,229.55	38.9284	4,476.77 4,476.77 ✓	1,752.78	123	
03/16/12	CHEVRON CORP C CVX	4	117.70	470.80	110.7100	442.84 442.84	27.96	17	3.67%
EQUITIES AND OPTIONS continue on page 14									

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ³
02/14/12	CALIFORNIA WTR SVC GRP (continued)	9		305.10	18 3300	164 97 164 97	140 13		6
03/16/12		9		305 10	18 2400	164 16 164 16	140.94		6
04/11/12		8		271 20	17 6200	140 96 140.96	130.24		5
05/14/12		10		339 00	17 6600	176 60 176 60	162.40		6
06/12/12		10		339 00	17 6600	176 60 176 60	162.40		6
01/21/14		25		847 50	22 7468	568 67 568 67	278.83		17
01/22/14		44		1,491.60	22 7993	1,003 17 1,003 17	488 43		30
02/27/15		34		1,152 60	25 4429	865 06 865 06	287.54		23
09/23/15		22		745 80	21 7514	478 53 478 53	267.27		15
10/29/15		32		1,084 80	22.8200	730.24 730 24	354.56		22

EQUITIES AND OPTIONS continue on page 13

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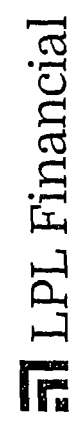
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/14/12	BLACKROCK INC C BLK	1	380.54	380.54	192.5500	192.55 192.55	187.99	9	2.41%
03/16/12		2		761.08	204.6200	409.24 409.24	351.84	18	
04/11/12		2		761.08	198.4600	396.92 396.92	364.16	18	
05/14/12		2		761.08	177.8200	355.64 355.64	405.44	18	
06/12/12		2		761.08	171.9600	343.92 343.92	417.16	18	
07/10/12		8		3,044.32	172.6050	1,380.84 1,380.84	1,663.48	73	
10/17/12		7		2,663.78	189.1929	1,324.35 1,324.35	1,339.43	64	
10/29/15		4		1,522.16	348.4400	1,393.76 1,393.76	128.40	36	
Total		28		10,655.12	207.0436	5,797.22 ✓ 5,797.22	4,857.90	254	
04/27/09	CALIFORNIA WTR SVC GRP C CWT	66	33.90	2,237.40	19.3600	1,277.76 1,277.76	959.64	45	2.04%

EQUITIES AND OPTIONS continue on page 12

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^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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
08/29/16	BANK AMERICA CORP (continued)	147		3,248.70	15 9389	2,343.02 2,343.02	905.68	44	
09/12/16		166		3,668.60	15 8316	2,628.05 2,628.05	1,040.55	49	
Total		539		11,911.90	15.3146	8,254.56 8,254.56 ✓	3,657.34	159	
06/17/16	BAXTER INTERNATIONAL INC C BAX	75	44.34	3,325.50	44 3605	3,327.04 3,327.04	-1.54	39	1.17%
08/22/16		70		3,103.80	48 0417	3,362.92 3,362.92	-259.12	36	
10/25/16		47		2,083.98	49 1000	2,307.70 2,307.70	-223.72	24	
Total		192		8,513.28	46.8628	8,997.66 8,997.66 ✓	-484.38	99	
11/18/16	BEST BUY COMPANY INC C BBY	77	42.67	3,285.59	45 3114	3,488.98 3,488.98	-203.39	86	2.62%
11/22/16		34		1,450.78	46 8653	1,593.42 1,593.42	-142.64	38	
12/05/16		59		2,517.53	47 0678	2,777.00 2,777.00 ✓	-259.47	66	
Total		170		7,253.90	46.2318	7,859.40 7,859.40	-605.50	190	
EQUITIES AND OPTIONS continue on page 11									

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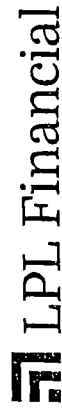
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/12	ARES CAPITAL CORP (continued)	8		131.92	15,930.00	127.44 127.44	4.48		12
05/14/12		10		164.90	15,570.00	155.70 155.70	9.20		15
06/12/12		9		148.41	15,500.00	139.50 139.50	8.91		13
12/09/13		65		1,071.85	18,348.60	1,192.66 1,192.66	-120.81		98
12/10/13		55		906.95	17,782.40	978.03 978.03	-71.08		83
12/12/13		61		1,005.89	17,381.10	1,060.25 1,060.25	-54.36		92
10/29/15		44		725.56	15,330.00	674.52 674.52	51.04		66
Total		329		5,425.21	16,769.00	5,517.01 5,517.01 ✓	-91.80		493
05/19/16	BANK AMERICA CORP C BAC	113	22.10	2,497.30	14,550.00	1,644.15 1,644.15	853.15		33
05/23/16		113		2,497.30	14,507.40	1,639.34 1,639.34	857.96		33

EQUITIES AND OPTIONS continue on page 10

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/14/14	APPLE INC (continued)	14		1,621.48	77.4379	1,084.13 1,084.13	537.35	31	
08/18/14		17		1,968.94	99.0500	1,683.85 1,683.85	285.09	38	
01/07/15		13		1,505.66	107.8000	1,401.40 1,401.40	104.26	29	
10/29/15		9		1,042.38	119.8100	1,078.29 1,078.29	-35.91	20	
09/16/16		22		2,548.04	114.9195	2,528.23 2,528.23	19.81	50	
Total		86		9,960.52	100.6536	8,656.21 8,656.21 ✓	1,304.31	193	
10/24/11	ARES CAPITAL CORP ^c ARCC	23	16.49	379.27	15.2504	350.76 350.76	28.51	34	9.22%
10/25/11		36		593.64	15.1494	545.38 545.38	48.26	54	
02/14/12		9		148.41	16.3800	147.42 147.42	0.99	13	
03/16/12		9		148.41	16.1500	145.35 145.35	3.06	13	

EQUITIES AND OPTIONS continue on page 9

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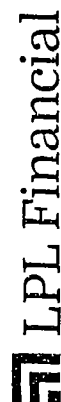
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
05/14/12	AMGEN INC (continued)	8		1,169.68	70 5800	564 64 564 64	605 04	36	
06/12/12		7		1,023.47	68 4300	479 01 479 01	544.46	32	
07/30/14		20		2,924.20	130 2870	2,605 74 2,605 74	318.46	92	
03/18/15		7		1,023 47	163.0257	1,141.18 1,141 18	-117.71	32	
10/29/15		7		1,023 47	160 3100	1,122.17 1,122 17	-98.70	32	
Total		54		7,895.34	115.6831	6,246.89 ✓ 6,246.89	1,648.45	247	
09/13/16	APACHE CORP C APA	59	63.47	3,744 73	57 8700	3,414 33 3,414 33	330 40	59	1 58%
09/14/16		29		1,840 63	57.2286	1,659 63 1,659 63	181.00	29	
10/18/16		57		3,617 79	62.6793	3,572.72 3,572.72	45 07	57	
Total		145		9,203.15	59.6323	8,646.68 ✓ 8,646.68	556.47	145	
12/03/13	APPLE INC C AAPL	11	115 82	1,274.02	80 0282	880.31 880.31	393 71	25	1.97%

EQUITIES AND OPTIONS continue on page 8

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ²
10/26/16	AMERICAN EXPRESS COMPANY (continued)	26		1,926.08	66 5869	1,731.26 1,731.26 ✓	194.82	33	
Total		76		5,630.08	66.9611	5,089.04 ✓ 5,089.04	541.04	97	
02/14/12	AMERICAN STS WATER c COMPANY AWR	6	45 56	273.36	18 3400	110.04 110.04	163.32	5	2.12%
03/16/12		16		728.96	18 5150	296.24 296.24	432.72	15	
04/11/12		16		728.96	17 6350	282.16 282.16	446.80	15	
05/14/12		18		820.08	18 5000	333.00 333.00	487.08	17	
06/12/12		16		728.96	18 9250	302.80 302.80	426.16	15	
10/29/15		15		683.40	40 5373	608.06 608.06	75.34	14	
Total		87		3,963.72	22.2103	1,932.30 ✓ 1,932.30	2,031.42	81	
04/11/12	AMGEN INC c AMGN	5	146.21	731.05	66 8300	334.15 334.15	396.90	23	3 15%
EQUITIES AND OPTIONS continue on page 7									

¹ 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.

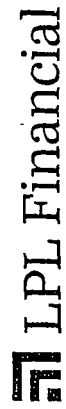
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/12/12	ALPHABET INC (continued)	1		792.45	281.0500	281.05 281.05	511.40	—	—
11/06/12		3		2,377.35	343.0500	1,029.15 1,029.15	1,348.20	—	—
04/16/13		2		1,584.90	396.9250	793.85 793.85	791.05	—	—
10/29/15		2		1,584.90	743.2500	1,486.50 1,486.50	98.40	—	—
Total		13		10,301.85	393.4362	5,114.67 ✓ 5,114.67	5,187.18	—	—
08/15/16	AMAZON COM INC C AMZN	9	749.87	6,748.83	768.9867	6,920.88 6,920.88 ✓	-172.05	—	—
10/20/14	AMERICAN ELECTRIC POWER C COMPANY INC AEP	1	62.96	62.96	55.3300	55.33 55.33 ✓	7.63	2	3.75%
08/26/15		41		2,581.36	53.2422	2,182.93 2,182.93 ✓	398.43	96	
10/29/15		16		1,007.36	55.8500	893.60 ✓ 893.60	113.76	37	
Total		58		3,651.68	53.9976	3,131.86 ✓ 3,131.86	519.82	135	
10/21/16	AMERICAN EXPRESS COMPANY C AXP	50	74.08	3,704.00	67.1556	3,357.78 ✓ 3,357.78	346.22	64	1.73%

EQUITIES AND OPTIONS continue on page 6

¹ 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.



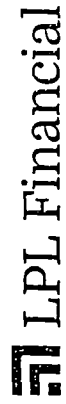
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	HERSHEY COMPANY (continued)	10		1,034.30	89.0280	890.28 890.28	144.02	24	
Total		84		8,688.12	75.3331	6,327.98 6,327.98	2,360.14	202	
08/08/12	HOME DEPOT INC C HD	32	134.08	4,290.56	52.5709	1,682.27 1,682.27	2,608.29	88	2.06%
08/17/12		17		2,279.36	57.0876	970.49 970.49	1,308.87	46	
12/03/12		17		2,279.36	65.1053	1,106.79 1,106.79	1,172.57	46	
03/04/13		28		3,754.24	69.5514	1,947.44 1,947.44	1,806.80	77	
05/21/13		10		1,340.80	78.4340	784.34 784.34	556.46	27	
10/29/15		15		2,011.20	123.2600	1,848.90 1,848.90	162.30	41	
Total		119		15,955.52	70.0860	8,340.23 8,340.23	7,615.29	325	
09/06/13	HONEYWELL INTL INC C HON	16	115.85	1,853.60	80.3219	1,285.15 1,285.15	568.45	42	2.30%
10/04/13		30		3,475.50	81.9357	2,458.07 2,458.07	1,017.43	79	

EQUITIES AND OPTIONS continue on page 26

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/21/14	HONEYWELL INTL INC (continued)	11		1,274.35	97.7791	1,075.57 1,075.57	198.78	29	
01/29/15		14		1,621.90	99.3593	1,391.03 1,391.03	230.87	37	
10/29/15		13		1,506.05	101.8654	1,324.25 1,324.25	181.80	34	
Total		84		9,731.40	89.6913	7,534.07 7,534.07	2,197.33	221	
02/14/12	HOSPITALITY PPTYS TR C SBI HPT	5	31.74	158.70	24.8700	123.24 123.24	35.46	10	6.43%
03/16/12		11		349.14	25.6000	279.13 279.13	70.01	22	
04/11/12		11		349.14	26.1500	285.18 285.18	63.96	22	
05/14/12		13		412.62	25.3100	326.12 326.12	86.50	26	
06/12/12		12		380.88	23.2300	275.97 275.97	104.91	24	
10/07/14		57		1,809.18	26.8181	1,518.80 1,518.80	290.38	116	

EQUITIES AND OPTIONS continue on page 27

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	HOSPITALITY PPTYS TR (continued)	21		666.54	27.0000	567.00 567.00	99.54	42	
12/04/15		37		1,174.38	27.0873	1,002.23 1,002.23	172.15	75	
Total		167		5,300.58	26.2136	4,377.67 4,377.67	922.91	337	
04/19/13	INTEL CORP C INTC	44	36.27	1,595.88	22.4000	985.60 985.60	610.28	45	2.87%
06/04/13		36		1,305.72	25.4783	917.22 917.22	388.50	37	
08/14/14		23		834.21	33.9661	781.22 781.22	52.99	23	
10/06/15		33		1,196.91	31.7900	1,049.07 1,049.07	147.84	34	
10/15/15		38		1,378.26	32.7700	1,245.26 1,245.26	133.00	39	
10/29/15		23		834.21	34.0800	783.84 783.84	50.37	23	
02/02/16		75		2,720.25	29.9673	2,247.55 2,247.55	472.70	78	

EQUITIES AND OPTIONS continue on page 28

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/09/16	INTEL CORP (continued)	37		1,341.99	28.7800	1,064.86 1,064.86		277.13	38	
Total		309		11,207.43	29.3677	9,074.62 9,074.62		2,132.81	317	
02/13/15	INTERCONTINENTAL C EXCHANGE INC ICE	65	56.42	3,667.30	46.7491	3,038.69 3,038.69		628.61	44	1.21%
09/02/15		40		2,256.80	44.9055	1,796.22 1,796.22		460.58	27	
10/29/15		15		846.30	51.9793	779.69 779.69		66.61	10	
Total		120		6,770.40	46.7883	5,614.60 5,614.60		1,155.80	81	
12/07/16	JACOBS ENGINEERING GROUP C JEC	58	57.00	3,306.00	60.9600	3,535.68 3,535.68		-229.68	—	
04/15/13	JOHNSON & JOHNSON C JNJ	44	115.21	5,069.24	82.6370	3,636.03 3,636.03		1,433.21	140	2.78%
04/19/13		21		2,419.41	84.0648	1,765.36 1,765.36		654.05	67	
05/07/13		17		1,958.57	85.3794	1,451.45 1,451.45		507.12	54	
10/29/15		10		1,152.10	100.7200	1,007.20 1,007.20		144.90	32	

EQUITIES AND OPTIONS continue on page 29

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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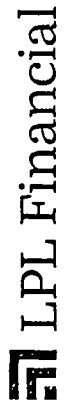
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/26/16	JOHNSON & JOHNSON (continued)	14		1,612.94	99.5100	1,393.14 1,393.14		219.80	44	
Total		106		12,212.26	87.2942	9,253.18 9,253.18		2,959.08	337	
02/03/15	JPMORGAN CHASE & C COMPANY JPM	68	86.29	5,867.72	56.2109	3,822.34 3,822.34		2,045.38	130	2.23%
02/12/15		34		2,933.86	59.4776	2,022.24 2,022.24		911.62	65	
05/19/15		23		1,984.67	66.9813	1,540.57 1,540.57		444.10	44	
10/29/15		21		1,812.09	65.0800	1,366.68 1,366.68		445.41	40	
04/13/16		24		2,070.96	61.5692	1,477.66 1,477.66		593.30	46	
Total		170		14,669.30	60.1735	10,229.49 10,229.49		4,439.81	325	
07/15/15	LABORATORY CORP OF AMER C HOLDINGS NEW LH	14	128.38	1,797.32	122.8164	1,719.43 1,719.43		77.89	—	—
10/29/15		10		1,283.80	122.7480	1,227.48 1,227.48		56.32	—	—

EQUITIES AND OPTIONS continue on page 30

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/16/16	LABORATORY CORP OF AMER (continued)	17		2,182.46	103.1665	1,753.83 1,753.83	428.63	—	
Total		41		5,263.58	114.6522	4,700.74 4,700.74	562.84	—	
03/05/13	LAM RESEARCH CORP C LRCX	27	105.73	2,854.71	43.4056	1,171.95 1,171.95	1,682.76	48	1.70%
05/01/13		22		2,326.06	45.7777	1,007.11 1,007.11	1,318.95	39	
10/29/15		10		1,057.30	75.5980	755.98 755.98	301.32	18	
Total		59		6,238.07	49.7464	2,935.04 2,935.04	3,303.03	105	
08/11/16	MACYS INC C M	12	35.81	429.72	38.7458	464.95 464.95	-35.23	18	4.22%
08/19/16		31		1,110.11	40.3203	1,249.93 1,249.93	-139.82	46	
09/08/16		53		1,897.93	36.2179	1,919.55 1,919.55	-21.62	80	
Total		96		3,437.76	37.8586	3,634.43 3,634.43	-196.67	144	
08/08/11	MARSH & MCLENNAN COS INC C MMC	23	67.59	1,554.57	26.5574	610.82 610.82	943.75	31	2.01%
EQUITIES AND OPTIONS continue on page 31									

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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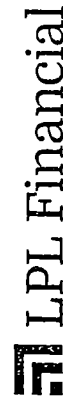
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/14/12	MARSH & MCLENNAN COS INC (continued)	10		675.90	31.7600	317.60 317.60	358.30	13	
03/16/12		10		675.90	33.0300	330.30 330.30	345.60	13	
04/11/12		9		608.31	31.7900	286.11 286.11	322.20	12	
05/14/12		11		743.49	32.7400	360.14 360.14	383.35	14	
06/12/12		10		675.90	32.0100	320.10 320.10	355.80	13	
10/29/15		10		675.90	56.0380	560.38 560.38	115.52	13	
01/25/16		34		2,298.06	52.0176	1,768.60 1,768.60	529.46	46	
Total		117		7,908.03	38.9235	4,554.05 4,554.05	3,353.98	155	
03/02/15	MEDTRONIC PLC C MDT	10	71.23	712.30	78.6850	779.46 779.46	-67.16	17	2.41%
04/14/15		20		1,424.60	77.8000	1,545.16 1,545.16	-120.56	34	

EQUITIES AND OPTIONS continue on page 32

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	MEDTRONIC PLC (continued)	7		498.61	73.4400	514.08 514.08	-15.47	12	
12/04/15		20		1,424.60	78.1935	1,563.87 1,563.87	-139.27	34	
01/27/16		36		2,564.28	76.0181	2,736.65 2,736.65	-172.37	61	
Total		93		6,624.39	76.7658	7,139.22 7,139.22	-514.83	158	
08/05/16	MERCK & COMPANY INC NEW C MRK	57	58.87	3,355.59	61.3633	3,497.71 3,497.71	-142.12	107	3.19%
08/08/16		54		3,178.98	62.4393	3,371.72 3,371.72	-192.74	101	
08/09/16		27		1,589.49	62.7889	1,695.30 1,695.30	-105.81	50	
08/10/16		29		1,707.23	62.8690	1,823.20 1,823.20	-115.97	54	
Total		167		9,831.29	62.2032	10,387.93 10,387.93	-556.64	312	
02/02/16	MICROCHIP TECHNOLOGY INC C MCHP	37	64.15	2,373.55	43.4632	1,608.14 1,608.14	765.41	53	2.25%
EQUITIES AND OPTIONS continue on page 33									

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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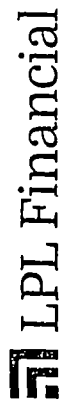
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/16/16	MICROCHIP TECHNOLOGY INC (continued)	40		2,566.00	41.5493	1,661.97 1,661.97	904.03	57	
Total		77		4,939.55	42.4690	3,270.11 3,270.11	1,669.44	110	
10/05/16	MICRON TECHNOLOGY INC C MU	184	21.92	4,033.28	17.9512	3,303.02 3,303.02	730.26	—	—
10/06/16		101		2,213.92	17.7778	1,795.56 1,795.56	418.36	—	—
11/07/16		94		2,060.48	17.2900	1,625.26 1,625.26	435.22	—	—
12/22/16		88		1,928.96	23.2422	2,045.31 2,045.31	-116.35	—	—
Total		467		10,236.64	18.7776	8,769.15 8,769.15	1,467.49	—	—
11/22/16	MICROSEMI CORP C MSCC	43	53.97	2,320.71	55.6786	2,394.18 2,394.18	-73.47	—	—
11/23/16		32		1,727.04	55.6341	1,780.29 1,780.29	-53.25	—	—
11/28/16		50		2,698.50	56.1922	2,809.61 2,809.61	-111.11	—	—
Total		125		6,746.25	55.8726	6,984.08 6,984.08	-237.83	—	—

EQUITIES AND OPTIONS continue on page 34

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/27/14	MICROSOFT CORP C MSFT	50	62.14	3,107.00	36,122.0	1,806.10 1,806.10	1,300.90	78	2.51%
01/30/14		45		2,796.30	36,422.0	1,638.99 1,638.99	1,157.31	70	
02/06/14		21		1,304.94	36,120.0	758.52 758.52	546.42	32	
10/23/15		28		1,739.92	53,240.0	1,490.72 1,490.72	249.20	43	
10/29/15		19		1,180.66	53,380.0	1,014.22 1,014.22	166.44	29	
Total		163		10,128.82	41,156.7	6,708.55 6,708.55	3,420.27	252	
06/12/12	MIDDLEBY CORP C MIDD	3	128.81	386.43	32,480.0	97.44 97.44	288.99	—	
11/14/12		18		2,318.58	41,833.3	753.00 753.00	1,565.58	—	
10/29/15		8		1,030.48	117,470.0	939.76 939.76	90.72	—	
Total		29		3,735.49	61,731.0	1,790.20 1,790.20	1,945.29	—	
09/23/16	MOTOROLA SOLUTIONS INC C NEW MSI	46	82.89	3,812.94	76,307.0	3,510.12 3,510.12	302.82	86	2.27%

EQUITIES AND OPTIONS continue on page 35

¹ 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.

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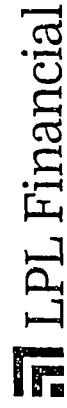
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/19/16	NABORS INDUSTRIES LTD C NBR	227	16.40	3,722.80	15.7783	3,581.67 3,581.67	141.13	54	1.46%
11/30/15	NATIONAL INSTRUMENTS C CORP NATI	32	30.82	986.24	31.4322	1,005.83 1,005.83	-19.59	25	2.60%
12/09/15		34		1,047.88	29.7282	1,010.76 1,010.76	37.12	27	
07/27/16		33		1,017.06	29.4097	970.52 970.52	46.54	26	
Total		99		3,051.18	30.1728	2,987.11 2,987.11	64.07	78	
08/27/13	NICE LTD C SPONS ADR NICE	4	68.76	275.04	37.2000	148.80 148.80	126.24	2	0.93%
09/20/13		23		1,581.48	41.1422	946.27 946.27	635.21	14	
09/23/13		23		1,581.48	41.2874	949.61 949.61	631.87	14	
09/16/14		22		1,512.72	41.3055	908.72 908.72	604.00	14	
09/19/14		25		1,719.00	40.7752	1,019.38 1,019.38	699.62	16	

EQUITIES AND OPTIONS continue on page 36

¹ 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.



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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/01/14	NICE LTD (continued)	23		1,581.48	41.2352	948.41 948.41	633.07	14	
10/29/15		17		1,168.92	61.5100	1,045.67 1,045.67	123.25	10	
Total		137		9,420.12	43.5537	5,966.86 5,966.86	3,453.26	84	
11/20/14	NIKE INC C CL B NKE	26	50.83	1,321.58	48.6169	1,264.04 1,264.04	57.54	18	1.42%
12/19/14		20		1,016.60	46.8920	937.84 937.84	78.76	14	
03/20/15		34		1,728.22	51.3753	1,746.76 1,746.76	-18.54	24	
10/29/15		18		914.94	65.4450	1,178.01 1,178.01	-263.07	12	
Total		98		4,981.34	52.3128	5,126.65 5,126.65	-145.31	68	
10/28/13	NISOURCE INC C NI	76	22.14	1,682.64	11.5533	878.05 878.05	804.59	50	2.98%
04/03/14		38		841.32	12.7484	484.44 484.44	356.88	25	

EQUITIES AND OPTIONS continue on page 37

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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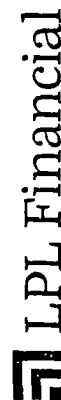
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/14	NISOURCE INC (continued)	21		464.94	12.4862	262.21 262.21	202.73	13	
10/29/15		18		398.52	18.8100	338.58 338.58	59.94	11	
Total		153		3,387.42	12.8319	1,963.28 1,963.28	1,424.14	99	
09/21/16	OSI SYSTEMS INC C OSIS	31	76.12	2,359.72	65.0910	2,017.82 2,017.82	341.90	—	—
10/28/16		25		1,903.00	72.7060	1,817.65 1,817.65	85.35	—	—
Total		56		4,262.72	68.4905	3,835.47 3,835.47	427.25	—	—
07/24/14	PAYCHEX INC C PAYX	34	60.88	2,069.92	42.6126	1,448.83 1,448.83	621.09	62	3.02%
08/04/14		33		2,009.04	40.8024	1,346.48 1,346.48	662.56	60	
10/29/15		13		791.44	51.5877	670.64 670.64	120.80	23	
Total		80		4,870.40	43.3244	3,465.95 3,465.95	1,404.45	145	
05/02/13	PEPSICO INC C PEP	40	104.63	4,185.20	82.3875	3,295.50 3,295.50	889.70	120	2.88%

EQUITIES AND OPTIONS continue on page 38

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Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
05/06/13	PEPSICO INC (continued)	28		2,929.64	82.4896	2,309.71	2,309.71	619.93	84	
04/28/14		8		837.04	86.4900	691.92	691.92	145.12	24	
08/11/14		11		1,150.93	91.7091	1,008.80	1,008.80	142.13	33	
09/17/14		19		1,987.97	92.4000	1,755.60	1,755.60	232.37	57	
07/14/15		10		1,046.30	97.0070	970.07	970.07	76.23	30	
10/29/15		15		1,569.45	102.5600	1,538.40	1,538.40	31.05	45	
10/10/16		21		2,197.23	106.2910	2,232.11	2,232.11	-34.88	63	
Total		152		15,903.76	90.8034	13,802.11	13,802.11	2,101.65	456	
10/30/13	PFIZER INC C PFE	5	32.48	162.40	30.9180	154.59	154.59	7.81	6	3.94%
11/14/13		35		1,136.80	31.8700	1,115.45	1,115.45	21.35	44	

EQUITIES AND OPTIONS continue on page 39

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest
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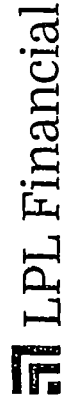
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/28/14	PFIZER INC (continued)	53		1,721.44	30 4600	1,614.38 1,614.38	107.06	67	
09/02/15		70		2,273.60	31 5627	2,209.39 2,209.39	64.21	89	
10/29/15		53		1,721.44	34 6698	1,837.50 1,837.50	-116.06	67	
Total		216		7,015.68	32.0894	6,931.31 6,931.31	84.37	273	
04/29/15	PG&E CORP C PCG	52	60.77	3,160.04	53 3031	2,771.76 2,771.76	388.28	101	3.23%
10/29/15		15		911.55	51 6600	774.90 774.90	136.65	29	
01/20/16		32		1,944.64	50.9925	1,631.76 1,631.76	312.88	62	
Total		99		6,016.23	52.3073	5,178.42 5,178.42	837.81	192	
01/07/16	PINNACLE FOODS INC DE C PF	9	53.45	481.05	42 6378	383.74 383.74	97.31	10	2.13%
01/08/16		42		2,244.90	43 1086	1,810.56 1,810.56	434.34	47	

EQUITIES AND OPTIONS continue on page 40

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/11/16	PINNACLE FOODS INC DE (continued)	25		1,336.25	43.8728	1,096.82 1,096.82	239.43	28	
Total		76		4,062.20	43.3042	3,291.12 3,291.12	771.08	85	
05/03/16	PROCTER & GAMBLE COMPANY C PG	22	84.08	1,849.76	81.3155	1,788.94 1,788.94	60.82	58	3.19%
10/10/16		45		3,783.60	89.4662	4,025.98 4,025.98	-242.38	120	
11/23/16		42		3,531.36	82.6843	3,472.74 3,472.74	58.62	112	
Total		109		9,164.72	85.2079	9,287.66 9,287.66	-122.94	290	
03/12/15	PROOFPOINT INC C PPPT	21	70.65	1,483.65	55.9919	1,175.83 1,175.83	307.82	—	—
03/13/15		21		1,483.65	56.2490	1,181.23 1,181.23	302.42	—	—
03/24/15		15		1,059.75	57.5487	863.23 863.23	196.52	—	—
10/20/15		20		1,413.00	58.4010	1,168.02 1,168.02	244.98	—	—

EQUITIES AND OPTIONS continue on page 41

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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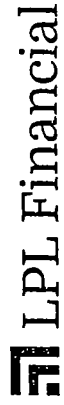
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	PROOFPOINT INC (continued)	9		635.85	67 6978	609 28 609.28	26 57	—	—
Total		86		6,075.90	58.1115	4,997.59 4,997.59	1,078.31	—	—
01/04/16	RAYTHEON COMPANY NEW ^c RTN	27	142 00	3,834.00	122.1630	3,298 40 3,298 40	535.60	79	2 06%
01/07/16		17		2,414 00	123.2271	2,094.86 2,094.86	319 14	49	
01/08/16		7		994.00	121.9771	853 84 853 84	140 16	20	
05/09/16		12		1,704 00	130 5300	1,566 36 1,566 36	137 64	35	
Total		63		8,946.00	124.0232	7,813.46 7,813.46	1,132.54	183	
10/07/15	REPUBLIC SERVICES INC ^c RSG	102	57 05	5,819 10	42 3670	4,321.43 4,321.43	1,497.67	130	2 24%
10/09/15		32		1,825 60	43 2844	1,385 10 1,385.10	440.50	40	
10/29/15		17		969 85	43 8000	744 60 744 60	225.25	21	
Total		151		8,614.55	42.7227	6,451.13 6,451.13	2,163.42	191	

EQUITIES AND OPTIONS continue on page 42

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^b
08/09/10	ROYAL DUTCH SHELL PLC C SPONSORED ADR REPSTG B SHARES RDS/B	3	57.97	173.91	56.2067	168.62 168.62	5.29	11	6.49%
02/28/11		15		869.55	72.0047	1,080.07 1,080.07	-210.52	56	
02/14/12		3		173.91	73.6800	221.04 221.04	-47.13	11	
03/16/12		4		231.88	72.6400	290.56 290.56	-58.68	15	
04/11/12		4		231.88	69.2700	277.08 277.08	-45.20	15	
05/14/12		4		231.88	67.3400	269.36 269.36	-37.48	15	
06/12/12		4		231.88	66.5900	266.36 266.36	-34.48	15	
04/26/13		20		1,159.40	68.5330	1,370.66 1,370.66	-211.26	75	
04/30/15		27		1,565.19	64.6033	1,744.29 1,744.29	-179.10	101	

EQUITIES AND OPTIONS continue on page 43

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	ROYAL DUTCH SHELL PLC (continued)	11		637.67	52.7200	579.92 579.92	57.75	41	
05/18/16		64		3,710.08	50.7072	3,245.26 3,245.26	464.82	240	
Total		159		9,217.23	59.8316	9,513.22 9,513.22	-295.99	595	
10/07/15	SABRE CORP C SABR	21	24.95	523.95	28.8038	602.99 602.99	-79.04	10	2.08%
10/08/15		49		1,222.55	28.9896	1,416.08 1,416.08	-193.53	25	
10/13/15		48		1,197.60	29.3540	1,404.67 1,404.67	-207.07	24	
10/29/15		26		648.70	29.3677	761.22 761.22	-112.52	13	
11/11/15		53		1,322.35	29.1794	1,541.74 1,541.74	-219.39	27	
Total		197		4,915.15	29.0695	5,726.70 5,726.70	-811.55	99	
01/19/16	SENIOR HOUSING C PROPERTIES TRUST SBI SNH	76	18.93	1,438.68	15.3300	1,165.08 1,165.08	273.60	118	8.24%

EQUITIES AND OPTIONS continue on page 44

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield
02/01/16	SENIOR HOUSING (continued)	82		1,552.26	14 6596	1,202 09 1,202 09	350 17	127	
02/03/16		69		1,306 17	15 1109	1,042 65 1,042 65	263 52	107	
Total		227		4,297.11	15.0212	3,409.82 3,409.82	887.29	352	
02/16/11	SNAP ON INC C SNA	19	171.27	3,254.13	58.8979	1,119.06 1,119 06	2,135.07	53	1 66%
02/14/12		3		513 81	61 6300	184 89 184 89	328 92	8	
03/16/12		2		342 54	61 8300	123 66 123 66	218 88	5	
04/11/12		3		513 81	58 5000	175 50 175 50	338 31	8	
05/14/12		2		342.54	60.8700	121 74 121.74	220 80	5	
06/12/12		3		513 81	62.8300	188 49 188 49	325 32	8	

EQUITIES AND OPTIONS continue on page 45

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	SNAP ON INC (continued)	3		513.81	164.3867	493.16 493.16	20.65	8	
Total		35		5,994.45	68.7571	2,406.50 2,406.50	3,587.95	95	
01/27/15	STARBUCKS CORP C SBUX	40	55.52	2,220.80	44.3158	1,772.63 1,772.63	448.17	40	1.80%
01/29/15		24		1,332.48	44.5242	1,068.58 1,068.58	263.90	24	
02/04/15		20		1,110.40	44.5900	891.80 891.80	218.60	20	
02/12/15		46		2,553.92	45.8437	2,108.81 2,108.81	445.11	46	
10/29/15		16		888.32	62.3000	996.80 996.80	-108.48	16	
02/23/16		41		2,276.32	58.5437	2,400.29 2,400.29	-123.97	41	
02/24/16		27		1,499.04	58.2256	1,572.09 1,572.09	-73.05	27	
Total		214		11,881.28	50.5187	10,811.00 10,811.00	1,070.28	214	
10/25/16	SYMANTEC CORP C SYMC	82	23.89	1,958.98	24.9496	2,045.87 2,045.87	-86.89	24	1.26%

EQUITIES AND OPTIONS continue on page 46

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/26/16	SYMANTEC CORP (continued)	53		1,266 17	25.0100	1,325 53 1,325.53	-59 36	15	
11/01/16		66		1,576 74	25 2047	1,663 51 1,663 51	-86.77	19	
11/07/16		72		1,720 08	24.2699	1,747 43 1,747 43	-27 35	21	
Total		273		6,521.97	24.8437	6,782.34 6,782.34	-260.37	79	
10/25/16	T-MOBILE US INC c TMUS	40	57 51	2,300 40	50.6950	2,027 80 2,027 80	272 60	110	4 78%
10/26/16		62		3,565 62	49.7108	3,082 07 3,082 07	483 55	170	
10/28/16		33		1,897 83	49 7852	1,642.91 1,642 91	254 92	90	
Total		135		7,763.85	50.0206	6,752 78 6,752.78	1,011.07	370	
10/03/11	TIME WARNER INC NEW c TWX	4	96 53	386 12	28.1800	112 72 112 72	273.40	6	1 67%
02/14/12		6		579 18	36 2417	217.45 217 45	361.73	9	
03/16/12		6		579 18	34 4367	206 62 206 62	372.56	9	
EQUITIES AND OPTIONS continue on page 47									

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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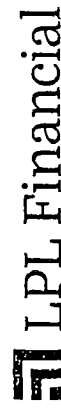
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/12	TIME WARNER INC NEW (continued)	6	579 18	579 18	34 3700	206 22 206 22	372.96	9	
05/14/12		7	675 71	675 71	34 3700	240 59 240 59	435 12	11	
06/12/12		6	579 18	579 18	33.7267	202 36 202 36	376 82	9	
02/15/13		28	2,702 84	2,702 84	51 1896	1,433 31 1,433.31	1,269.53	45	
07/17/13		21	2,027 13	2,027 13	59 1919	1,243.03 1,243.03	784.10	33	
10/29/15		12	1,158 36	1,158 36	75 3800	904 56 904 56	253 80	19	
Total		96	9,266.88	9,266.88	49.6548	4,766.86 4,766.86	4,500.02	150	
06/04/12	TRAVELERS COMPANIES INC C TRV	16	122 42	1,958 72	60.2700	964.32 964 32	994.40	42	2.19%
06/12/12		7	856.94	856.94	61 7100	431.97 431 97	424.97	18	

EQUITIES AND OPTIONS continue on page 48

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



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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ²
10/29/15	TRAVELERS COMPANIES INC (continued)	8		979.36	114.4075	915.26 915.26	64.10	21	
Total		31		3,795.02	74.5661	2,311.55 2,311.55	1,483.47	81	
12/15/16	UNIT CORP C UNIT	68	26.87	1,827.16	25.7409	1,750.38 1,750.38	76.78	--	--
12/19/16		67		1,800.29	27.0678	1,813.54 1,813.54	-13.25	--	
Total		135		3,627.45	26.3994	3,563.92 3,563.92	63.53	--	
11/03/16	UNITEDHEALTH GROUP INC C UNH	42	160.04	6,721.68	138.4193	5,813.61 5,813.61	908.07	105	1.56%
11/14/16		39		6,241.56	149.7854	5,841.63 5,841.63	399.93	97	
11/29/16		7		1,120.28	157.8243	1,104.77 1,104.77	15.51	17	
Total		88		14,083.52	145.0001	12,760.01 12,760.01	1,323.51	219	
12/09/14	VAIL RESORTS INC C MTN	10	161.31	1,613.10	90.3250	903.25 903.25	709.85	32	2.01%
12/10/14		6		967.86	88.7783	532.67 532.67	435.19	19	

EQUITIES AND OPTIONS continue on page 49

¹ 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.

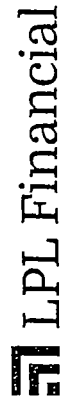
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/29/15	VAIL RESORTS INC (continued)	3		483.93	114.5900	343.77 343.77	140.16	9	
Total		19		3,064.89	93.6679	1,779.69 1,779.69	1,285.20	60	
02/25/13	VERIZON COMMUNICATIONS INC VZ	28	53.38	1,494.64	45.6386	1,277.88 1,277.88	216.76	64	4.33%
03/11/13		58		3,096.04	47.7600	2,770.08 2,770.08	325.96	133	
11/14/13		37		1,975.06	50.3081	1,861.40 1,861.40	113.66	85	
01/27/15		65		3,469.70	46.6565	3,032.67 3,032.67	437.03	150	
10/29/15		25		1,334.50	46.2900	1,157.25 1,157.25	177.25	57	-
Total		213		11,369.94	47.4145	10,099.28 10,099.28	1,270.66	489	
04/27/09	WALT DISNEY CO C DIS	21	104.22	2,188.62	19.7600	414.96 414.96	1,773.66	32	1.50%
02/14/12		7		729.54	41.4800	290.36 290.36	439.18	10	

EQUITIES AND OPTIONS continue on page 50

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/16/12	WALT DISNEY CO (continued)	6		625.32	43.4100	260.46 260.46	364.86	9	
04/11/12		6		625.32	41.5900	249.54 249.54	375.78	9	
05/14/12		7		729.54	45.4400	318.08 318.08	411.46	10	
06/12/12		6		625.32	46.1700	277.02 277.02	348.30	9	
05/13/13		21		2,188.62	67.2643	1,412.55 1,412.55	776.07	32	
05/05/15		4		416.88	111.0700	444.28 444.28	-27.40	6	
10/29/15		12		1,250.64	114.7150	1,376.58 1,376.58	-125.94	18	
Total		90		9,379.80	56.0426	5,043.83 5,043.83	4,335.97	135	
03/08/16	WOODWARD INC C WWD	20	69.05	1,381.00	48.8935	977.87 977.87	403.13	8	0.64%
03/16/16		18		1,242.90	50.9561	917.21 917.21	325.69	7	

EQUITIES AND OPTIONS continue on page 51

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/21/16	WOODWARD INC (continued)	17		1,173.85	54.6247	928.62 928.62	245.23	7	
Total		55		3,797.75	51.3400	2,823.70 2,823.70	974.05	22	
06/28/16	XYLEM INC C XYL	38	49.52	1,881.76	42.9982	1,633.93 1,633.93	247.83	23	1.25%
06/29/16		37		1,832.24	43.6332	1,614.43 1,614.43	217.81	22	
12/07/16		26		1,287.52	52.1608	1,356.18 1,356.18	-68.66	16	
Total		101		5,001.52	45.5895	4,604.54 4,604.54	396.98	61	
TOTAL EQUITIES AND OPTIONS				\$700,009.09 ✓		\$566,993.53 \$566,993.53	\$133,015.56	\$14,743	

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

Value of Your LPL Financial Account

- ¹ 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.
² 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		Current Balance
Description		
Cash		-\$4,411.07
Money Market Funds		58,385.14
TOTAL CASH AND CASH EQUIVALENTS		\$53,974.07

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/10/12	ABBVIE INC C ABV	93	\$62.62	\$5,823.66	\$29,1742	\$2,713.20 2,713.20	\$3,110.46	\$238	4.09%
02/14/12		11		688.82	28,4882	313.37 313.37	375.45	28	
03/13/12		10		626.20	30,6370	306.37 306.37	319.83	25	
04/11/12		13		814.06	31,1523	404.98 404.98	409.08	33	
05/14/12		12		751.44	32,2033	386.44 386.44	365.00	30	
06/18/12		12		751.44	32,6500	391.80 391.80	359.64	30	
08/20/13		6		375.72	43,1483	258.89 258.89	116.83	15	

EQUITIES AND OPTIONS continue on page 4

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/03/13	ABBVIE INC (continued)	7		438.34	42.5400	297.78 297.78	140.56	17	
09/18/13		7		438.34	47.8800	335.16 335.16	103.18	17	
10/18/13		7		438.34	48.4100	338.87 338.87	99.47	17	
11/18/13		163		10,207.06	49.7299	8,105.98 8,105.98	2,101.08	417	
11/20/13		136		8,516.32	48.3090	6,570.02 6,570.02	1,946.30	348	
12/17/13		13		814.06	53.3400	693.42 693.42	120.64	33	
Total		490		30,683.80	43.0944	21,116.28 21,116.28	9,567.52	1,248	
09/12/12	AFLAC INC C AFL	314	69.60	21,854.40	48.6098	15,263.48 15,263.48	6,590.92	540	2.47%
08/20/13		1		69.60	59.5400	59.54 59.54	10.06	1	
09/03/13		13		904.80	58.0500	754.65 754.65	150.15	22	

EQUITIES AND OPTIONS continue on page 5

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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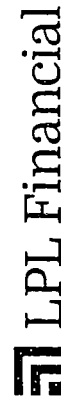
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/18/13	AFLAC INC (continued)	14		974.40	62.5900	876.26 876.26	98.14	24	
10/18/13		13		904.80	65.7600	854.88 854.88	49.92	22	
11/18/13		9		626.40	67.3000	605.70 605.70	20.70	15	
12/17/13		17		1,183.20	65.9888	1,121.81 1,121.81	61.39	29	
Total		381		26,517.60	51.2764	19,536.32 19,536.32	6,981.28	653	
10/27/16	ALLISON TRANSMISSION C HLDGS INC ALSN	370	33.69	12,465.30	29.2157	10,809.82 10,809.82	1,655.48	222	1.78%
05/05/09	ALTRIA GROUP INC C MO	210	67.62	14,200.20	16.4600	3,456.59 3,456.59	10,743.61	512	3.61%
05/07/09		5		338.10	17.1000	85.50 85.50	252.60	12	
04/06/10		11		743.82	21.0300	231.33 231.33	512.49	26	
02/14/12		38		2,569.56	29.1400	1,107.32 1,107.32	1,462.24	92	

EQUITIES AND OPTIONS continue on page 6

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Account Holdings / Large Cap Value-Dividend Strategy 4515-3811

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/13/12	ALTRIA GROUP INC (continued)	26		1,758.12	30.0800	782.08 782.08	976.04	63	
04/11/12		31		2,096.22	31.1900	966.89 966.89	1,129.33	75	
05/14/12		33		2,231.46	31.8600	1,051.38 1,051.38	1,180.08	80	
06/18/12		29		1,960.98	33.8900	982.81 982.81	978.17	70	
09/03/13		18		1,217.16	33.8200	608.76 608.76	608.40	43	
09/18/13		16		1,081.92	35.7000	571.20 571.20	510.72	39	
10/18/13		17		1,149.54	35.8300	609.11 609.11	540.43	41	
11/18/13		18		1,217.16	37.9700	683.46 683.46	533.70	43	
12/17/13		12		811.44	37.5300	450.36 450.36	361.08	29	
Total		464		31,375.68	24.9715	11,586.79 11,586.79	19,788.89	1,125	

EQUITIES AND OPTIONS continue on page 7

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Account Holdings as of December 31, 2016

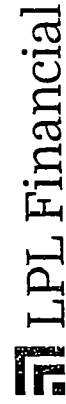
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/10/12	AMERICAN ELECTRIC POWER C COMPANY INC AEP	188	62.96	11,836.48	41.3673	7,777.05 7,777.05	4,059.43	443	3.75%
02/14/12		24		1,511.04	39.6100	950.64 950.64	560.40	56	
03/13/12		21		1,322.16	39.0700	820.47 820.47	501.69	49	
04/11/12		27		1,699.92	37.2900	1,006.83 1,006.83	693.09	63	
05/14/12		24		1,511.04	38.3100	919.44 919.44	591.60	56	
06/18/12		24		1,511.04	40.0500	961.20 961.20	549.84	56	
09/03/13		14		881.44	42.2700	591.78 591.78	289.66	33	
09/18/13		13		818.48	44.4700	578.11 578.11	240.37	30	
10/18/13		13		818.48	44.8900	583.57 583.57	234.91	30	
11/18/13		16		1,007.36	48.2600	772.16 772.16	235.20	37	

EQUITIES AND OPTIONS continue on page 8

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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Account Holdings / Large Cap Value-Dividend Strategy 4515-3811

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/17/13	AMERICAN ELECTRIC POWER (continued)	9		566.64	45.8200	412.38 412.38	154.26	21	
Total		373		23,484.08	41.2162	15,373.63 15,373.63	8,110.45	874	
07/07/09	AMERICAN FINANCIAL GRP C INC OHIO AFG	119	88.12	10,486.28	21.1796	2,520.37 2,520.37	7,965.91	148	1.42%
12/14/10		57		5,022.84	32.6396	1,860.46 1,860.46	3,162.38	71	
02/14/12		23		2,026.76	37.1000	853.30 853.30	1,173.46	28	
03/13/12		19		1,674.28	38.4900	731.31 731.31	942.97	23	
04/11/12		24		2,114.88	37.5300	900.72 900.72	1,214.16	30	
05/14/12		25		2,203.00	39.4400	986.00 986.00	1,217.00	31	
06/18/12		22		1,938.64	39.2800	864.16 864.16	1,074.48	27	
08/20/13		7		616.84	51.6800	361.76 361.76	255.08	8	

EQUITIES AND OPTIONS continue on page 9

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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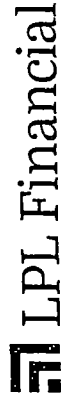
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/03/13	AMERICAN FINANCIAL GRP (continued)	13		1,145.56	51.8200	673.66 673.66	471.90	16	
09/18/13		12		1,057.44	54.1400	649.68 649.68	407.76	15	
10/18/13		13		1,145.56	55.1900	717.47 717.47	428.09	16	
11/18/13		11		969.32	56.6000	622.60 622.60	346.72	13	
12/17/13		10		881.20	55.0800	550.80 550.80	330.40	12	
Total		355		31,282.60	34.6262	12,292.29 12,292.29	18,990.31	438	
11/05/12	AMERIPRISE FINANCIAL INC C AMP	238	110.94	26,403.72	60.0980	14,303.32 14,303.32	12,100.40	714	2.70%
08/20/13		1		110.94	87.2000	87.20 87.20	23.74	3	
09/03/13		11		1,220.34	86.6000	952.60 952.60	267.74	33	
09/18/13		10		1,109.40	93.8600	938.60 938.60	170.80	30	

EQUITIES AND OPTIONS continue on page 10

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Account Holdings / Large Cap Value-Dividend Strategy 4515-3811

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	AMERIPRISE FINANCIAL INC (continued)	10		1,109.40	99.3200	993.20 993.20	116.20	30	
11/18/13		6		665.64	105.9300	635.58 635.58	30.06	18	
12/17/13		14		1,553.16	108.7400	1,522.36 1,522.36	30.80	42	
Total		290		32,172.60	67.0099	19,432.86 19,432.86	12,739.74	870	
08/23/11	ARTHUR J GALLAGHER & C COMPANY AUG	219	51.96	11,379.24	26.3885	5,779.08 5,779.08	5,600.16	332	2.93%
02/14/12		28		1,454.88	35.1100	983.08 983.08	471.80	42	
03/13/12		24		1,247.04	35.7800	858.72 858.72	388.32	36	
04/11/12		34		1,766.64	34.8100	1,183.54 1,183.54	583.10	51	
05/14/12		25		1,299.00	35.6600	891.50 891.50	407.50	38	
06/18/12		28		1,454.88	34.4000	963.20 963.20	491.68	42	

EQUITIES AND OPTIONS continue on page 11

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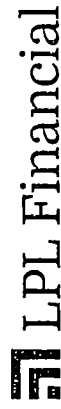
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
08/20/13	ARTHUR J GALLAGHER & (continued)	7		363.72	42 9300	300.51 300.51	63.21	10	
09/03/13		16		831.36	41 4200	662.72 662.72	168.64	24	
09/18/13		15		779.40	44 6800	670.20 670.20	109.20	22	
10/18/13		16		831.36	46 8400	749.44 749.44	81.92	24	
11/18/13		15		779.40	47 8500	717.75 717.75	61.65	22	
12/17/13		15		779.40	45 6800	685.20 685.20	94.20	22	
Total		442		22,966.32	32.6809	14,444.94 14,444.94	8,521.38	665	
05/05/09	AT&T INC C T	179	42.53	7,612.87	26.5175	4,746.63 4,746.63	2,866.24	350	4.61%
11/20/09		49		2,083.97	26 0876	1,278.29 1,278.29	805.68	96	
01/08/10		42		1,786.26	26.9276	1,130.96 1,130.96	655.30	82	

EQUITIES AND OPTIONS continue on page 12

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Account Holdings / Large Cap Value-Dividend Strategy 4515-3811

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/18/10	AT&T INC (continued)	16		680.48	28.4500	455.20 455.20	225.28	31	
04/01/11		8		340.24	30.6400	245.12 245.12	95.12	15	
02/14/12		68		2,892.04	29.9100	2,033.88 2,033.88	858.16	133	
03/13/12		54		2,296.62	31.6100	1,706.94 1,706.94	589.68	105	
04/11/12		72		3,062.16	30.3900	2,188.08 2,188.08	874.08	141	
05/14/12		62		2,636.86	33.4900	2,076.38 2,076.38	560.48	121	
06/18/12		62		2,636.86	35.8300	2,221.46 2,221.46	415.40	121	
08/20/13		6		255.18	33.8800	203.28 203.28	51.90	11	
09/03/13		33		1,403.49	33.5552	1,107.32 1,107.32	296.17	64	
09/18/13		33		1,403.49	34.8100	1,148.73 1,148.73	254.76	64	

EQUITIES AND OPTIONS continue on page 13

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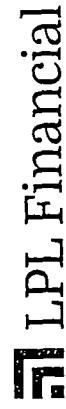
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	AT&T INC (continued)	33		1,403.49	34.6400	1,143.12 1,143.12	260.37	64	
11/18/13		30		1,275.90	35.5500	1,066.50 1,066.50	209.40	58	
12/17/13		30		1,275.90	33.7900	1,013.70 1,013.70	262.20	58	
11/18/15		534		22,711.02	33.3888	17,829.63 17,829.63	4,881.39	1,046	
Total		1,311		55,756.83	31.7279	41,595.22 41,595.22	14,161.61	2,560	
03/09/11	BLACKROCK INC C BLK	34	380.54	12,938.36	197.6800	6,721.12 6,721.12	6,217.24	311	2.41%
02/14/12		6		2,283.24	190.2700	1,141.62 1,141.62	1,141.62	54	
03/13/12		4		1,522.16	201.9700	807.88 807.88	714.28	36	
04/11/12		4		1,522.16	198.4800	793.92 793.92	728.24	36	
05/14/12		4		1,522.16	177.6500	710.60 710.60	811.56	36	

EQUITIES AND OPTIONS continue on page 14

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/18/12	BLACKROCK INC (continued)	5		1,902.70	174.1300	870.65 870.65	1,032.05	45	
12/27/12		10		3,805.40	205.9600	2,059.60 2,059.60	1,745.80	91	
08/20/13		2		761.08	266.4800	532.96 532.96	228.12	18	
09/03/13		3		1,141.62	262.5400	787.62 787.62	354.00	27	
09/18/13		3		1,141.62	279.2500	837.75 837.75	303.87	27	
10/18/13		3		1,141.62	301.9600	905.88 905.88	235.74	27	
11/18/13		4		1,522.16	305.1400	1,220.56 1,220.56	301.60	36	
Total		82		31,204.28	212.0751	17,390.16 17,390.16	13,814.12	744	
05/05/09	CHEVRON CORP C CVX	145	117.70	17,066.50	65.4476	9,489.90 9,489.90	7,576.60	626	3.67%
05/07/09		2		235.40	68.5500	137.10 137.10	98.30	8	

EQUITIES AND OPTIONS continue on page 15

¹ 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

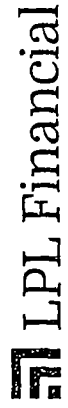
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/08/10	CHEVRON CORP (continued)	4		470 80	79 1800	316 72 316 72	154 08		17
04/01/11		1		117 70	108 3700	108 37 108 37	9 33		4
02/14/12		21		2,471.70	105 7700	2,221 17 2,221 17	250 53		90
03/13/12		17		2,000 90	111 2200	1,890.74 1,890 74	110 16		73
04/11/12		23		2,707 10	101 1900	2,327 37 2,327 37	379 73		99
05/14/12		19		2,236.30	102.1600	1,941 04 1,941 04	295 26		82
06/18/12		19		2,236 30	103 5900	1,968.21 1,968.21	268 09		82
08/20/13		1		117 70	118 9000	118 90 118 90	-1.20		4
09/03/13		11		1,294 70	120 3600	1,323.96 1,323 96	-29 26		47
09/18/13		10		1,177 00	125 9000	1,259 00 1,259 00	-82.00		43

EQUITIES AND OPTIONS continue on page 16

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	CHEVRON CORP (continued)	11		1,294.70	119.6900	1,316.59 1,316.59	-21.89	47	
11/18/13		11		1,294.70	120.1000	1,321.10 1,321.10	-26.40	47	
12/17/13		8		941.60	119.0000	952.00 952.00	-10.40	34	
Total		303		35,663.10	88.0930	26,692.17 26,692.17	8,970.93	1,303	
10/08/12	CISCO SYSTEMS INC C CSCO	728	30.22	22,000.16	18.9800	13,817.44 13,817.44	8,182.72	757	3.44%
05/30/13		222		6,708.84	24.5399	5,447.86 5,447.86	1,260.98	230	
08/20/13		7		211.54	24.4600	171.22 171.22	40.32	7	
09/03/13		41		1,239.02	23.5600	965.96 965.96	273.06	42	
09/18/13		41		1,239.02	24.6900	1,012.29 1,012.29	226.73	42	
10/18/13		42		1,269.24	23.0800	969.36 969.36	299.88	43	

EQUITIES AND OPTIONS continue on page 17

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Account Holdings as of December 31, 2016

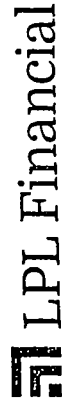
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/18/13	CISCO SYSTEMS INC (continued)	36		1,087.92	21 6600	779.76 779.76	308.16	37	
12/17/13		35		1,057.70	21 0400	736.40 736.40	321.30	36	
Total		1,152		34,813.44	20,7468	23,900.29 23,900.29	10,913.15	1,194	
04/01/14	CME GROUP INC CLASS A C CME	324	115.35	37,373.40	73 0423	23,665.71 23,665.71	13,707.69	777	2.08%
09/27/16	COCA-COLA COMPANY C KO	757	41.46	31,385.22	42.3023	32,022.84 32,022.84	-637.62	1,059	3.38%
04/14/16	CRANE COMPANY C CR	156	72.12	11,250.72	55.7144	8,691.44 8,691.44	2,559.28	205	1.83%
11/29/16	CROWN CASTLE INTL CORP C NEW CCI	243	86.77	21,085.11	85 0494	20,667.00 20,667.00	418.11	923	4.38%
03/13/13	EATON CORP PLC C ETN	188	67.09	12,612.92	63 2399	11,006.45 11,006.45	1,606.47	428	3.40%
08/20/13		1		67.09	64.3500	60.02 60.02	7.07	2	
09/03/13		8		536.72	63 4400	472.82 472.82	63.90	18	
09/18/13		8		536.72	69 3000	519.70 519.70	17.02	18	

EQUITIES AND OPTIONS continue on page 18

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	EATON CORP PLC (continued)	8		536.72	68.6300	514.31 514.31	22.41	18	
11/18/13		7		469.63	72.3600	477.40 477.40	-7.77	15	
12/17/13		10		670.90	73.4500	692.90 692.90	-22.00	22	
12/22/15		278		18,651.02	52.2015	14,512.03 14,512.03	4,138.99	633	
Total		508		34,081.72	55.6213	28,255.63 28,255.63	5,826.09	1,154	
11/19/14	EMERSON ELECTRIC COMPANY C EMR	268	55.75	14,941.00	64.1226	17,184.85 17,184.85	-2,243.85	514	3.44%
05/05/09	EXXON MOBIL CORP C XOM	161	90.26	14,531.86	67.1999	10,819.18 10,819.18	3,712.68	483	3.32%
05/07/09		1		90.26	68.6400	68.64 68.64	21.62	3	
11/18/10		3		270.78	70.2500	210.75 210.75	60.03	9	
04/01/11		1		90.26	84.7100	84.71 84.71	5.55	3	

EQUITIES AND OPTIONS continue on page 19

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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Account Holdings as of December 31, 2016

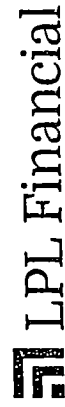
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield
02/14/12	EXXON MOBIL CORP (continued)	24		2,166.24	84 0700	2,017.68 2,017.68	148.56	72	
03/13/12		19		1,714.94	86 8600	1,650.34 1,650.34	64.60	57	
04/11/12		26		2,346.76	82 5500	2,146.30 2,146.30	200.46	78	
05/14/12		20		1,805.20	82.3900	1,647.80 1,647.80	157.40	60	
06/18/12		22		1,985.72	82 8800	1,823.36 1,823.36	162.36	66	
07/09/12		50		4,513.00	83 6800	4,184.00 4,184.00	329.00	150	
09/03/13		15		1,353.90	87 2600	1,308.90 1,308.90	45.00	45	
09/18/13		13		1,173.38	89 5900	1,164.67 1,164.67	8.71	39	
10/18/13		15		1,353.90	87 4600	1,311.90 1,311.90	42.00	45	
11/18/13		62		5,596.12	95 5698	5,925.33 5,925.33	-329.21	186	

EQUITIES AND OPTIONS continue on page 20

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/20/13	EXXON MOBIL CORP (continued)	1		90 26	95 3700	95 37 95 37	-5.11	3	
12/17/13		13		1,173 38	96 4900	1,254 37 1,254 37	-80 99	39	
Total		446		40,255.96	80,0747	35,713.30 35,713.30	4,542.66	1,338	
03/20/12	FIDELITY NATIONAL C INFORMATION SERVICES INC FIS	106	75 64	8,017.84	32.6877	3,464 90 3,464 90	4,552 94	110	1.37%
04/04/12		105		7,942.20	32 8471	3,448 95 3,448 95	4,493 25	109	
04/11/12		18		1,361 52	32 7000	588 60 588 60	772 92	18	
05/14/12		25		1,891 00	32 5500	813 75 813 75	1,077.25	26	
06/18/12		22		1,664 08	33.1100	728 42 728 42	935.66	22	
08/20/13		6		453 84	45 7883	274 73 274 73	179 11	6	
09/03/13		12		907 68	44 6300	535 56 535 56	372 12	12	

EQUITIES AND OPTIONS continue on page 21

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/18/13	FIDELITY NATIONAL (continued)	12		907.68	46.9800	563.76 563.76	343.92		12
10/18/13		13		983.32	47.4192	616.45 616.45	366.87		13
11/18/13		13		983.32	50.7492	659.74 659.74	323.58		13
12/17/13		10		756.40	51.0000	510.00 510.00	246.40		10
Total		342		25,868.88	35.6867	12,204.86 12,204.86	13,664.02		351
02/08/16	FIRSTENERGY CORP C FE	594	30.97	18,396.18	32.8356	19,504.35 19,504.35	-1,108.17		855 4.65%
05/05/09	GENERAL ELECTRIC COMPANY C GE	516	31.60	16,305.60	13.1188	6,769.30 6,769.30	9,536.30		495 3.04%
05/07/09		57		1,801.20	14.2500	812.25 812.25	988.95		54
11/20/09		161		5,087.60	15.4891	2,493.75 2,493.75	2,593.85		154
01/08/10		5		158.00	16.5500	82.75 82.75	75.25		4

EQUITIES AND OPTIONS continue on page 22

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/06/10	GENERAL ELECTRIC COMPANY (continued)	30		948.00	18.6200	558.60 558.60	389.40	28	
04/01/11		15		474.00	20.3500	305.25 305.25	168.75	14	
02/14/12		112		3,539.20	18.8700	2,113.44 2,113.44	1,425.76	107	
03/13/12		87		2,749.20	19.6299	1,707.80 1,707.80	1,041.40	83	
04/11/12		125		3,950.00	19.0700	2,383.75 2,383.75	1,566.25	120	
05/14/12		91		2,875.60	18.7800	1,708.98 1,708.98	1,166.62	87	
06/18/12		102		3,223.20	19.8190	2,021.54 2,021.54	1,201.66	97	
08/20/13		14		442.40	23.6600	331.24 331.24	111.16	13	
09/03/13		58		1,832.80	23.0600	1,337.48 1,337.48	495.32	55	
09/18/13		56		1,769.60	24.7900	1,388.24 1,388.24	381.36	53	

EQUITIES AND OPTIONS continue on page 23

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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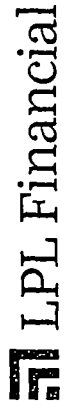
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	GENERAL ELECTRIC COMPANY (continued)	57		1,801.20	25 6100	1,459.77 1,459.77	341.43	54	
11/18/13		52		1,643.20	27 3900	1,424.28 1,424.28	218.92	49	
12/17/13		48		1,516.80	27 0000	1,296.00 1,296.00	220.80	46	
Total		1,586		50,117.60	17.7771	28,194.42 28,194.42	21,923.18	1,513	
06/03/14	HCP INC C HCP	428	29.72	12,720.16	42 0891	17,947.43 17,947.43	-5,227.27	633	4.98%
05/05/09	HOME DEPOT INC C HD	122	134.08	16,357.76	25.9649	3,167.72 3,167.72	13,190.04	336	2.06%
05/07/09		32		4,290.56	26 1300	836.16 836.16	3,454.40	88	
04/06/10		7		938.56	32 5700	227.99 227.99	710.57	19	
04/01/11		3		402.24	37 5800	112.74 112.74	289.50	8	
02/14/12		27		3,620.16	45 7900	1,236.33 1,236.33	2,383.83	74	

EQUITIES AND OPTIONS continue on page 24

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Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/13/12	HOME DEPOT INC (continued)	18		2,413.44	49,1200	884.16 884.16	1,529.28	49	
04/11/12		27		3,620.16	49,7300	1,342.71 1,342.71	2,277.45	74	
05/14/12		19		2,547.52	50,2000	953.80 953.80	1,593.72	52	
06/18/12		22		2,949.76	52,2200	1,148.84 1,148.84	1,800.92	60	
09/03/13		12		1,608.96	74,4000	892.80 892.80	716.16	33	
09/18/13		12		1,608.96	77,2400	926.88 926.88	682.08	33	
10/18/13		12		1,608.96	74,9500	899.40 899.40	709.56	33	
11/18/13		13		1,743.04	79,9200	1,038.96 1,038.96	704.08	35	
12/17/13		8		1,072.64	78,8500	630.80 630.80	441.84	22	
Total		334		44,782.72	42,8122	14,299.29 14,299.29	30,483.43	916	

EQUITIES AND OPTIONS continue on page 25

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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Account Holdings as of December 31, 2016

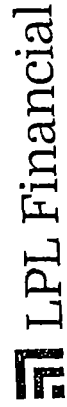
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/13/16	HP INC C HPQ	1,832	14 84	27,186.88	10.4869	19,212.00 19,212.00	7,974.88	972	3 58%
06/17/15	INTEL CORP C INTC	928	36 27	33,658.56	31.8575	29,563.76 29,563.76	4,094.80	965	2 87%
03/03/16	INTERNATIONAL PAPER C COMPANY	700	53 06	37,142.00	37.9685	26,577.95 26,577.95	10,564.05	1,295	3 49%
06/28/16	INTL BUSINESS MACHINES C CORP IBM	106	165 99	17,594.94	144.3692	15,303.14 15,303.14	2,291.80	593	3 37%
02/07/12	INVESCO LTD C IVZ	168	30 34	5,097.12	23.6599	3,974.86 3,974.86	1,122.26	188	3 69%
02/14/12		22		667.48	23.8300	524.26 524.26	143.22	24	
03/13/12		19		576.46	25.9800	493.62 493.62	82.84	21	
04/11/12		28		849.52	24.8300	695.24 695.24	154.28	31	
05/14/12		18		546.12	22.7800	410.04 410.04	136.08	20	
06/18/12		22		667.48	21.6900	477.18 477.18	190.30	24	

EQUITIES AND OPTIONS continue on page 26

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/24/12	INVENCO LTD (continued)	118		3,580.12	24,298.4	2,867.21 2,867.21	712.91	132	
12/19/12		126		3,822.84	26,319.0	3,316.19 3,316.19	506.65	141	
08/20/13		8		242.72	31,080.0	248.64 248.64	-5.92	8	
09/03/13		23		697.82	30,450.0	700.58 700.58	-2.76	25	
09/18/13		22		667.48	32,080.0	705.76 705.76	-38.28	24	
10/18/13		23		697.82	32,880.0	756.24 756.24	-58.42	25	
11/18/13		18		546.12	33,840.0	609.12 609.12	-63.00	20	
12/17/13		22		667.48	34,510.0	759.22 759.22	-91.74	24	
Total		637		19,326.58	25,962.6	16,538.16 16,538.16	2,788.42	707	
11/05/13	JOHNSON & JOHNSON C JNJ	255	115.21	29,378.55	92,845.4	23,675.58 23,675.58	5,702.97	816	2.78%

EQUITIES AND OPTIONS continue on page 27

¹ 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

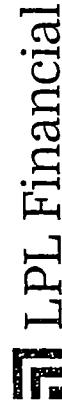
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/18/13	JOHNSON & JOHNSON (continued)	8		921 68	94 2600	754 08 754 08	167 60	25	
12/17/13		10		1,152.10	90 6100	906 10 906.10	246 00	32	
01/14/15		85		9,792 85	103 9999	8,839 99 8,839 99	952 86	272	
08/11/15		91		10,484 11	98 9341	9,003.00 9,003 00	1,481 11	291	
Total		449		51,729.29	96.1665	43,178.75 43,178.75	8,550.54	1,436	
05/05/09	JPMORGAN CHASE & C COMPANY JPM	129	86 29	11,131 41	35 0400	4,520 16 4,520 16	6,611 25	247	2 23%
05/07/09		7		604.03	38 5000	269 50 269 50	334 53	13	...
04/06/10		11		949 19	45 9200	505 12 505 12	444 07	21	
04/06/11		79		6,816 91	47 1689	3,726 34 3,726 34	3,090.57	151	
09/20/11		75		6,471 75	32 6895	2,451 71 2,451 71	4,020 04	144	

EQUITIES AND OPTIONS continue on page 28

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
01/05/12	JPMORGAN CHASE & (continued)	54		4,659.66	34,999.1	1,889.95 1,889.95	2,769.71	103	
02/14/12		55		4,745.95	37,530.0	2,064.15 2,064.15	2,681.80	105	
03/13/12		48		4,141.92	43,380.0	2,082.24 2,082.24	2,059.68	92	
04/11/12		66		5,695.14	43,880.0	2,896.08 2,896.08	2,799.06	126	
05/14/12		52		4,487.08	36,180.0	1,881.36 1,881.36	2,605.72	99	
06/18/12		55		4,745.95	34,790.0	1,913.45 1,913.45	2,832.50	105	
08/20/13		8		690.32	51,950.0	415.60 415.60	274.72	15	
09/03/13		31		2,674.99	51,100.0	1,584.10 1,584.10	1,090.89	59	
09/18/13		30		2,588.70	53,390.0	1,601.70 1,601.70	987.00	57	
10/18/13		31		2,674.99	53,990.0	1,673.69 1,673.69	1,001.30	59	

EQUITIES AND OPTIONS continue on page 29

¹ 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

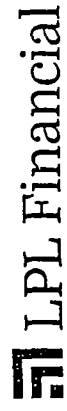
EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/18/13	JPMORGAN CHASE & (continued)	25		2,157.25	55.8300	1,395.75 1,395.75	761.50	48	
12/17/13		31		2,674.99	55.8800	1,732.28 1,732.28	942.71	59	
Total		787		67,910.23	41.4272	32,603.18 32,603.18	35,307.05	1,503	
05/15/14	KAR AUCTION SVCS INC C KAR	387	42.62	16,493.94	29.0719	11,250.84 11,250.84	5,243.10	495	3.00%
09/22/14	KIMBERLY CLARK CORP C KMB	269	114.12	30,698.28	103.4623	27,831.35 27,831.35	2,866.93	989	3.22%
08/17/10	LIBERTY PROPERTY TRUST C LPT	105	39.50	4,147.50	30.6718	3,139.61 3,139.61	1,007.89	199	4.81%
09/01/10		50		1,975.00	30.9298	1,507.93 1,507.93	467.07	95	
02/14/12		35		1,382.50	33.2400	1,143.36 1,143.36	239.14	66	
03/13/12		19		750.50	34.8600	651.48 651.48	99.02	36	
04/11/12		25		987.50	34.9300	861.31 861.31	126.19	47	
05/14/12		21		829.50	36.3700	753.75 753.75	75.75	39	

EQUITIES AND OPTIONS continue on page 30

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/18/12	LIBERTY PROPERTY TRUST (continued)	22		869 00	35 7200	775 24 775 24	93.76	41	
09/03/13		12		474.00	33 9200	403 60 403 60	70 40	22	
09/18/13		12		474 00	36.8700	439 00 439 00	35 00	22	
10/18/13		12		474 00	37 4600	446 08 446 08	27.92	22	
11/18/13		13		513.50	34 7300	447 77 447.77	65 73	24	
12/17/13		7		276 50	34 1100	236.81 236 81	39 69	13	
01/14/15		219		8,650 50	39 9618	8,748 72 8,748.72	-98 22	416	
Total		552		21,804.00	35.4251	19,554.66 19,554.66	2,249.34	1,042	
02/14/12	LILLY ELI & COMPANY C LLY	32	73 55	2,353.60	38 3500	1,227 20 1,227.20	1,126 40	66	2 83%
03/13/12		21		1,544 55	40 2000	844 20 844 20	700.35	43	

EQUITIES AND OPTIONS continue on page 31

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

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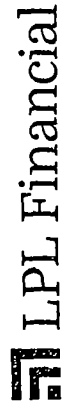
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/12	LILLY ELI & COMPANY (continued)	26		1,912.30	39 4500	1,025 70 1,025 70	886.60	54	
05/14/12		27		1,985 85	41 1300	1,110 51 1,110 51	875 34	56	
06/18/12		25		1,838 75	41 9700	1,049 25 1,049.25	789 50	52	
09/03/13		15		1,103 25	51 1400	767 10 767 10	336 15	31	
09/18/13		14		1,029 70	53 9500	755 30 755 30	274.40	29	
10/18/13		13		956.15	49.5500	644 15 644 15	312 00	27	
11/18/13		14		1,029.70	50.8100	711 34 711 34	318 36	29	
12/17/13		10		735 50	49 0000	490 00 490 00	245 50	20	
Total		197		14,489 35	43.7805	8,624.75 8,624.75	5,864.60	407	
05/06/13	LOCKHEED MARTIN CORP C LMT	43	249 94	10,747 42	102 3688	4,401.86 4,401 86	6,345 56	313	2 91%

EQUITIES AND OPTIONS continue on page 32

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/03/13	LOCKHEED MARTIN CORP (continued)	7		1,749.58	123 7600	866.32 866.32	883.26	50	
09/18/13		7		1,749.58	130.2600	911.82 911.82	837.76	50	
10/18/13		7		1,749.58	128 9400	902.58 902.58	847.00	50	
11/18/13		3		749.82	138 4600	415.38 415.38	334.44	21	
12/17/13		7		1,749.58	140.6900	984.83 984.83	764.75	50	
Total		74		18,495.56	114.6323	8,482.79 8,482.79	10,012.77	534	
08/25/16	LYONDELLBASELL C INDUSTRIES N V ORD SHS CLA LYB	279	85.78	23,932.62	78.5482	21,914.96 21,914.96	2,017.66	948	3.96%
03/03/16	MARATHON PETROLEUM CORP C MPC	449	50.35	22,607.15	36.8208	16,532.56 16,532.56	6,074.59	646	2.86%
08/04/10	MARSH & MCLENNAN COS INC C MMC	225	67.59	15,207.75	23.7485	5,343.41 5,343.41	9,864.34	306	2.01%
04/01/11		2		135.18	30 0000	60.00 60.00	75.18	2	

EQUITIES AND OPTIONS continue on page 33

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

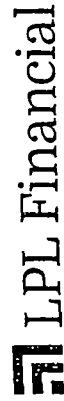
^a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/14/12	MARSH & MCLENNAN COS INC (continued)	28		1,892.52	31.8300	891.24 891.24	1,001.28	38	
03/13/12		25		1,689.75	32.6900	817.25 817.25	872.50	34	
04/11/12		32		2,162.88	31.7900	1,017.28 1,017.28	1,145.60	43	
05/14/12		30		2,027.70	32.7200	981.60 981.60	1,046.10	40	
06/18/12		29		1,960.11	31.3300	908.57 908.57	1,051.54	39	
08/20/13		13		878.67	41.9100	544.83 544.83	333.84	17	
09/03/13		17		1,149.03	41.4500	704.65 704.65	444.38	23	
09/18/13		16		1,081.44	43.7300	699.68 699.68	381.76	21	
10/18/13		17		1,149.03	45.4900	773.33 773.33	375.70	23	
11/18/13		18		1,216.62	47.3900	853.02 853.02	363.60	24	

EQUITIES AND OPTIONS continue on page 34

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/17/13	MARSH & MCLENNAN COS INC (continued)	12		811.08	47.4200	569.04 569.04	242.04	16	
Total		464		31,361.76	30.5256	14,163.90 14,163.90	17,197.86	626	
05/05/09	MERCK & COMPANY INC NEW C MRK	67	58.87	3,944.29	24.6594	1,652.18 1,652.18	2,292.11	125	3.19%
05/07/09		6		353.22	24.5900	147.54 147.54	205.68	11	
01/08/10		117		6,887.79	37.7395	4,415.52 4,415.52	2,472.27	219	
10/11/10		112		6,593.44	36.7495	4,115.94 4,115.94	2,477.50	210	
02/14/12		49		2,884.63	38.0200	1,862.98 1,862.98	1,021.65	92	
03/13/12		34		2,001.58	38.2600	1,300.84 1,300.84	700.74	63	
04/11/12		41		2,413.67	38.5200	1,579.32 1,579.32	834.35	77	
05/14/12		43		2,531.41	38.2800	1,646.04 1,646.04	885.37	80	

EQUITIES AND OPTIONS continue on page 35

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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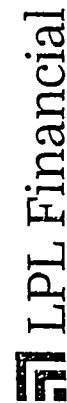
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/18/12	MERCK & COMPANY INC NEW (continued)	40		2,354.80	38 8600	1,554.40 1,554.40	800.40	75	
02/20/13		113		6,652.31	42 4796	4,800.19 4,800.19	1,852.12	212	
08/20/13		7		412.09	48 1300	336.91 336.91	75.18	13	
09/03/13		28		1,648.36	47 1100	1,319.08 1,319.08	329.28	52	
09/18/13		26		1,530.62	48 4100	1,258.66 1,258.66	271.96	48	
10/18/13		28		1,648.36	46 5600	1,303.68 1,303.68	344.68	52	
11/18/13		168		9,890.16	47.8545	8,039.55 8,039.55	1,850.61	315	
11/20/13		6		353.22	48 0800	288.48 288.48	64.74	11	
12/17/13		34		2,001.58	47 9700	1,630.98 1,630.98	370.60	63	
Total		919		54,101.53	40.5357	37,252.29 37,252.29	16,849.24	1,718	

EQUITIES AND OPTIONS continue on page 36

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/04/15	METLIFE INC C MET	406	53.89	21,879.34	51.2581	20,810.77 20,810.77	1,068.57	649	2.97%
11/18/10	MICROSOFT CORP C MSFT	291	62.14	18,082.74	25.9781	7,559.64 7,559.64	10,523.10	453	2.51%
04/01/11		6		372.84	25.3900	152.34 152.34	220.50	9	
02/14/12		41		2,547.74	30.1000	1,234.10 1,234.10	1,313.64	63	
03/13/12		33		2,050.62	32.6500	1,077.45 1,077.45	973.17	51	
04/11/12		45		2,796.30	30.3500	1,365.75 1,365.75	1,430.55	70	
05/14/12		36		2,237.04	30.9300	1,113.48 1,113.48	1,123.56	56	
06/18/12		38		2,361.32	29.8100	1,132.78 1,132.78	1,228.54	59	
08/20/13		13		807.82	31.7300	412.49 412.49	395.33	20	
09/03/13		23		1,429.22	31.3500	721.05 721.05	708.17	35	

EQUITIES AND OPTIONS continue on page 37

¹ 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.

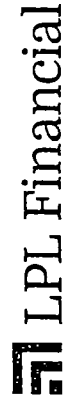
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
09/18/13	MICROSOFT CORP (continued)	21		1,304.94	33 1500	696 15 696 15	608 79	32	
10/18/13		22		1,367 08	34 8800	767 36 767 36	599.72	34	
11/18/13		27		1,677.78	37 2900	1,006 83 1,006.83	670 95	42	
12/17/13		11		683 54	36 4100	400 51 400 51	283 03	17	
07/29/14		148		9,196.72	43 9499	6,504.59 6,504.59	2,692.13	230	
Total		755		46,915.70	31,9795	24,144.52 24,144.52	22,771.18	1,171	
05/26/16	NORFOLK SOUTHERN CORP C NSC	264	108 07	28,530.48	84 1792	22,223 31 22,223.31	6,307.17	623	2 18%
12/17/09	OCCIDENTAL PETROLEUM C CORP OXY	50	71 23	3,561 50	75 4822	3,774 11 3,774 11	-212.61	152	4.27%
01/08/10		2		142 46	79 7550	159.51 159.51	-17.05	6	
06/17/10		50		3,561 50	83 2292	4,161.46 4,161.46	-599.96	152	

EQUITIES AND OPTIONS continue on page 38

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/14/12	OCCIDENTAL PETROLEUM (continued)	15		1,068.45	99 8427	1,497 64 1,497 64	-429 19	45	
03/13/12		11		783.53	96 2682	1,058.95 1,058 95	-275.42	33	
04/11/12		16		1,139 68	86 7200	1,387 52 1,387 52	-247 84	48	
05/14/12		12		854 76	79 2233	950 68 950 68	-95 92	36	
06/18/12		14		997.22	80 2543	1,123 56 1,123.56	-126.34	42	
05/14/13		78		5,555 94	87 9272	6,858 32 6,858 32	-1,302 38	237	
08/20/13		4		284.92	82 8950	331.58 331.58	-46 66	12	
09/03/13		11		783.53	84 8891	933 78 933.78	-150.25	33	
09/18/13		10		712 30	88 8690	888 69 888 69	-176 39	30	
10/18/13		11		783 53	94 5145	1,039.66 1,039 66	-256 13	33	

EQUITIES AND OPTIONS continue on page 39

¹ 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.

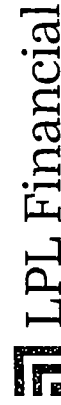
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/18/13	OCCIDENTAL PETROLEUM (continued)	11		783 53	93.6091	1,029 70 1,029.70	-246 17	33	
12/17/13		8		569 84	87 1338	697 07 697 07	-127 23	24	
Total		303		21,582.69	85 4529	25,892.23 25,892.23	-4,309.54	916	
05/05/09	PFIZER INC C PFE	381	32 48	12,374 88	14 3500	5,467 35 5,467 35	6,907.53	487	3 94%
05/07/09		56		1,818 88	13 9400	780 64 780 64	1,038.24	71	
10/16/09		119		3,865.12	17 6875	2,104 81 2,104 81	1,760.31	152	
01/08/10		11		357 28	18 6700	205 37 205 37	151 91	14	
09/01/10		120		3,897.60	16 3399	1,960 79 1,960 79	1,936.81	153	
11/18/10		27		876 96	16 8900	456 03 456 03	420 93	34	
04/01/11		10		324 80	20.3700	203 70 203 70	121 10	12	

EQUITIES AND OPTIONS continue on page 40

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/14/12	PFIZER INC (continued)	99		3,215.52	21.2351	2,102.27 2,102.27	1,113.25	126	
03/13/12		81		2,630.88	22.0100	1,782.81 1,782.81	848.07	103	
04/11/12		94		3,053.12	22.0500	2,072.70 2,072.70	980.42	120	
05/14/12		107		3,475.36	22.6194	2,420.28 2,420.28	1,055.08	136	
06/18/12		94		3,053.12	22.6900	2,132.86 2,132.86	920.26	120	
08/20/13		20		649.60	28.7000	574.00 574.00	75.60	25	
09/03/13		54		1,753.92	27.9700	1,510.38 1,510.38	243.54	69	
09/18/13		52		1,688.96	29.0400	1,510.08 1,510.08	178.88	66	
10/18/13		53		1,721.44	30.4600	1,614.38 1,614.38	107.06	67	
11/18/13		45		1,461.60	32.0600	1,442.70 1,442.70	18.90	57	

EQUITIES AND OPTIONS continue on page 41

¹ 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.

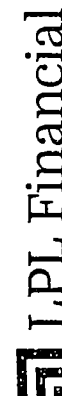
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/17/13	PFIZER INC (continued)	46		1,494.08	30.1900	1,388.74 1,388.74	105.34	58	
Total		1,469		47,713.12	20.2382	29,729.89 29,729.89	17,983.23	1,870	
10/11/10	PHILIP MORRIS INTL INC c PM	137	91.49	12,534.13	56.7300	7,772.01 7,772.01	4,762.12	569	4.55%
02/14/12		18		1,646.82	81.2500	1,462.50 1,462.50	184.32	74	
03/13/12		16		1,463.84	85.7300	1,371.68 1,371.68	92.16	66	
04/11/12		20		1,829.80	87.5100	1,750.20 1,750.20	79.60	83	
05/14/12		18		1,646.82	85.5800	1,540.44 1,540.44	106.38	74	
06/18/12		19		1,738.31	88.3900	1,679.41 1,679.41	58.90	79	
09/03/13		10		914.90	83.4100	834.10 834.10	80.80	41	
09/18/13		10		914.90	89.5500	895.50 895.50	19.40	41	

EQUITIES AND OPTIONS continue on page 42

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
10/18/13	PHILIP MORRIS INTL INC (continued)	10		914 90	86 8100	868 10 868 10	46.80	41	
11/18/13		7		640 43	91 6600	641 62 641 62	-1.19	29	
12/17/13		12		1,097 88	84 5200	1,014 24 1,014 24	83.64	49	
01/14/15		125		11,436 25	82 8738	10,359 23 10,359 23	1,077 02	520	
Total		402		36,778.98	75.0971	30,189.03 30,189.03	6,589.95	1,666	
07/17/13	PNC FINANCIAL SERVICES C GROUP INC PNC	157	116 96	18,362 72	73 7871	11,584 58 11,584 58	6,778 14	345	1.88%
09/03/13		7		818 72	72 3300	506 31 506 31	312 41	15	
09/18/13		7		818 72	75.3300	527 31 527 31	291 41	15	
10/18/13		7		818 72	74 9500	524 65 524 65	294 07	15	
11/18/13		4		467 84	75.9200	303.68 303 68	164 16	8	
EQUITIES AND OPTIONS continue on page 43									

¹ 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.

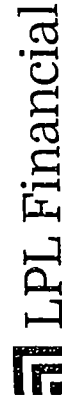
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/17/13	PNC FINANCIAL SERVICES (continued)	9		1,052.64	74.7900	673.11 673.11	379.53	19	
Total		191		22,339.36	73.9248	14,119.64 14,119.64	8,219.72	417	
05/05/09	PROCTER & GAMBLE COMPANY C PG	31	84.08	2,606.48	49.9200	1,547.52 1,547.52	1,058.96	83	3.19%
06/03/09		52		4,372.16	53.6288	2,788.70 2,788.70	1,583.46	139	
01/08/10		2		168.16	60.1200	120.24 120.24	47.92	5	
05/20/11		50		4,204.00	67.4190	3,370.95 3,370.95	833.05	133	
02/14/12		20		1,681.60	64.2100	1,284.20 1,284.20	397.40	53	
03/13/12		15		1,261.20	67.8800	1,018.20 1,018.20	243.00	40	
04/11/12		18		1,513.44	66.5400	1,197.72 1,197.72	315.72	48	
05/14/12		20		1,681.60	63.7300	1,274.60 1,274.60	407.00	53	

EQUITIES AND OPTIONS continue on page 44

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ³
06/18/12	PROCTER & GAMBLE COMPANY (continued)	17		1,429.36	61.8900	1,052.13 1,052.13	377.23	45	
08/20/13		1		84.08	79.8800	79.88 79.88	4.20	2	
08/22/13		77		6,474.16	79.5396	6,124.55 6,124.55	349.61	206	
09/03/13		11		924.88	77.5900	853.49 853.49	71.39	29	
09/18/13		13		1,093.04	79.9900	1,039.87 1,039.87	53.17	34	
10/18/13		13		1,093.04	79.4800	1,033.24 1,033.24	59.80	34	
11/18/13		11		924.88	84.2200	926.42 926.42	-1.54	29	
12/17/13		13		1,093.04	80.9600	1,052.48 1,052.48	40.56	34	
05/07/15		105		8,828.40	80.3482	8,436.56 8,436.56	391.84	281	

EQUITIES AND OPTIONS continue on page 45

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

³ Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

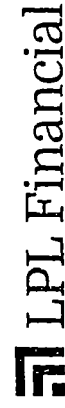
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
07/16/15	PROCTER & GAMBLE COMPANY (continued)	94		7,903.52	82 3599	7,741 83 7,741 83	161.69	251	
Total		563		47,337.04	72.7222	40,942.58 40,942.58	6,394.46	1,499	
02/05/14	PROLOGIS INC C PLD	727	52 79	38,378 33	38 9517	28,317 89 28,317 89	10,060.44	1,221	3 18%
06/03/09	PRUDENTIAL FINANCIAL INC C PRU	49	104 06	5,098 94	40 6890	1,993 76 1,993 76	3,105.18	137	2 69%
07/29/09		43		4,474 58	42 0388	1,807 67 1,807 67	2,666.91	120	
04/06/10		7		728 42	64 1100	448 77 448 77	279.65	19	
12/14/10		32		3,329.92	56 5800	1,810 56 1,810 56	1,519 36	89	
04/01/11		6		624 36	62 4700	374 82 374.82	249.54	16	
02/14/12		19		1,977 14	58.8000	1,117 20 1,117 20	859 94	53	
03/13/12		15		1,560 90	63 0100	945 15 945.15	615.75	42	

EQUITIES AND OPTIONS continue on page 46

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/12	PRUDENTIAL FINANCIAL INC (continued)	23		2,393.38	60 3700	1,388 51 1,388 51	1,004 87	64	
05/14/12		15		1,560 90	50 4000	756 00 756 00	804 90	42	
06/18/12		17		1,769 02	47 3600	805.12 805 12	963 90	47	
08/20/13		1		104 06	77 6400	77 64 77 64	26 42	2	
09/03/13		10		1,040 60	75 8300	758 30 758 30	282 30	28	
09/18/13		9		936 54	81 1600	730 44 730 44	206 10	25	
10/18/13		10		1,040 60	82 3800	823 80 823 80	216 80	28	
11/18/13		8		832 48	89 5900	716.72 716.72	115 76	22	
12/17/13		9		936 54	88 0400	792 36 792 36	144 18	25	

EQUITIES AND OPTIONS continue on page 47

¹ 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.

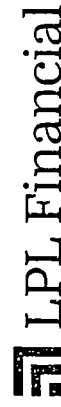
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield
12/11/14	PRUDENTIAL FINANCIAL INC (continued)	106		11,030.36	90.2390	9,565.33 9,565.33	1,465.03	296	
Total		379		39,438.74	65.7313	24,912.15 24,912.15	14,526.59	1,055	
10/06/15	QUALCOMM INC C QCOM	433	65.20	28,231.60	56.4581	24,446.36 24,446.36	3,785.24	917	3.25%
10/27/16	RAYONIER INC C RYN	405	26.60	10,773.00	26.6419	10,789.95 10,789.95	-16.95	405	3.76%
08/11/15	SCHLUMBERGER LTD C SLB	205	83.95	17,209.75	83.5651	17,130.85 17,130.85	78.90	410	2.38%
07/27/16		137		11,501.15	80.1899	10,986.02 10,986.02	515.13	274	
Total		342		28,710.90	82.2131	28,116.87 28,116.87	594.03	684	
12/29/16	STAPLES INC C SPLS	1,900	9.05	17,195.00	9.1149	17,318.31 17,318.31	-123.31	912	5.30%
10/21/14	THOMSON REUTERS CORP C TRI	596	43.78	26,092.88	36.3067	21,638.81 21,638.81	4,454.07	810	3.11%
05/11/11	U S BANCORP DE NEW C USB	287	51.37	14,743.19	25.3582	7,277.80 7,277.80	7,465.39	321	2.18%
02/14/12		59		3,030.83	28.7851	1,698.32 1,698.32	1,332.51	66	

EQUITIES AND OPTIONS continue on page 48

¹ 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	Purchase Cost ¹	Cost Basis/ Gain or Loss	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/13/12	U S BANCORP DE NEW (continued)	34		1,746.58	30 9300	1,051.62 1,051.62		694.96	38	
04/11/12		47		2,414.39	30 8900	1,451.83 1,451.83		962.56	52	
05/14/12		37		1,900.69	31 7800	1,175.86 1,175.86		724.83	41	
06/18/12		39		2,003.43	31 5600	1,230.84 1,230.84		772.59	43	
12/27/12		15		770.55	31.7200	475.80 475.80		294.75	16	
08/20/13		11		565.07	36 7800	404.58 404.58		160.49	12	
09/03/13		23		1,181.51	36 0200	828.46 828.46		353.05	25	
09/18/13		22		1,130.14	38 0100	836.22 836.22		293.92	24	
10/18/13		23		1,181.51	37 9400	872.62 872.62		308.89	25	
11/18/13		18		924.66	38 2300	688.14 688.14		236.52	20	

EQUITIES AND OPTIONS continue on page 49

¹ 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.

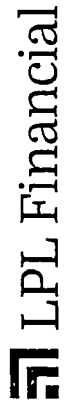
Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
12/17/13	U S BANCORP DE NEW (continued)	22		1,130.14	39 1900	862.18 862.18	267.96	24	
Total		637		32,722.69	29.5985	18,854.27 18,854.27	13,868.42	707	
12/29/16	UNITED TECHNOLOGIES CORP C UTX	262	109.62	28,720.44	110.5376	28,960.85 28,960.85	-240.41	691	2.41%
05/05/09	VERIZON COMMUNICATIONS C INC VZ	251	53.38	13,398.38	28.8802	7,248.92 7,248.92	6,149.46	579	4.33%
01/08/10		23		1,227.74	29.6030	680.87 580.87	546.87	53	
11/18/10		10		533.80	32.7100	327.10 327.10	206.70	23	
02/14/12		49		2,615.62	37.8100	1,852.69 1,852.69	762.93	113	
03/13/12		33		1,761.54	39.4900	1,303.17 1,303.17	458.37	76	
04/11/12		43		2,295.34	37.4100	1,608.63 1,608.63	686.71	99	
05/14/12		37		1,975.06	40.9800	1,516.26 1,516.26	458.80	85	

EQUITIES AND OPTIONS continue on page 50

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
06/18/12	VERIZON COMMUNICATIONS (continued)	38		2,028.44	43.9600	1,670.48 1,670.48	357.96	87	
12/27/12		18		960.84	43.0789	775.42 775.42	185.42	41	
08/20/13		8		427.04	47.6900	381.52 381.52	45.52	18	
09/03/13		22		1,174.36	46.2800	1,018.16 1,018.16	156.20	50	
09/18/13		22		1,174.36	48.5100	1,067.22 1,067.22	107.14	50	
10/18/13		22		1,174.36	49.9500	1,098.90 1,098.90	75.46	50	
11/18/13		20		1,067.60	50.5600	1,011.20 1,011.20	56.40	46	
12/17/13		19		1,014.22	47.5500	903.45 903.45	110.77	43	
07/27/16		257		13,718.66	55.3992	14,237.60 14,237.60	-518.94	593	
Total		872		46,547.36	42.0890	36,701.59 36,701.59	9,845.77	2,006	

EQUITIES AND OPTIONS continue on page 51

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/04/14	WAL-MART STORES INC C WMT	393	69 12	27,164 16	75 0026	29,476 04 29,476 04	-2,311.88	786	2 89%
05/07/15		115		7,948 80	78 2483	8,998 56 8,998 56	-1,049 76	230	
04/14/16		115		7,948 80	68 8844	7,921 71 7,921 71	27.09	230	
Total		623		43,061.76	74 4724	46,396.31 46,396.31	-3,334.55	1,246	
05/05/09	WELLS FARGO & CO NEW C WFC	265	55 11	14,604.15	22 9075	6,070 50 6,070 50	8,533 65	402	2.76%
05/07/09		44		2,424 84	27 6600	1,217 04 1,217 04	1,207 80	66	
04/06/10		14		771 54	32 1793	450 51 450 51	321.03	21	
04/01/11		6		330 66	32 0700	192 42 192 42	138 24	9	
02/14/12		35		1,928 85	30 1700	1,055 95 1,055 95	872 90	53	
03/13/12		35		1,928 85	33 3800	1,168 30 1,168 30	760.55	53	

EQUITIES AND OPTIONS continue on page 52

¹ 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.



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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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/11/12	WELLS FARGO & CO NEW (continued)	46		2,535.06	33 8500	1,557.10 1,557 10	977 96	69	
05/08/12		136		7,494.96	33 2199	4,517 91 4,517 91	2,977.05	206	
05/14/12		56		3,086 16	32 6800	1,830 08 1,830 08	1,256 08	85	
06/18/12		54		2,975.94	32 4700	1,753 38 1,753 38	1,222 56	82	
12/27/12		97		5,345.67	33.9099	3,289.26 3,289 26	2,056.41	147	
08/20/13		11		606 21	42 5100	467.61 467.61	138.60	16	
09/03/13		35		1,928 85	41.2500	1,443.75 1,443.75	485.10	53	
09/18/13		34		1,873 74	43.5800	1,481 72 1,481 72	392 02	51	
10/18/13		35		1,928 85	42 6800	1,493.80 1,493.80	435.05	53	
11/18/13		32		1,763.52	43 6900	1,398 08 1,398 08	365 44	48	

EQUITIES AND OPTIONS continue on page 53

¹ 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

CASH AND CASH EQUIVALENTS

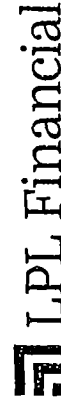
Description	Current Balance
Money Market Funds	\$69,935.99
TOTAL CASH AND CASH EQUIVALENTS	\$69,935.99

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
07/21/15* Purchases	ALLIANZGI R SHORT DURATION HIGH INCOME CL P ASHPX	8,448.139	\$15.13	\$127,820.34	\$15.45	\$130,495.83 120,214.49	-\$2,675.49	\$7,679	6.01%
03/31/16* Purchases	ANGEL OAK R MULTI STRATEGY INCOME INSTL CL ANGIX	4,903.735	11.21	54,970.86	11.03	54,112.44 51,650.48	858.42	4,042	7.36%
07/25/13* Purchases	BARON R ASSET INSTL CL BARIX	1,584.435	59.56	94,368.94	60.15	95,308.70 79,135.15	-939.76	—	—
02/11/16* Purchases	FEDERATED R STRATEGIC VALUE DIVIDEND INSTL CL SVAIX	52,981.208	5.91	313,118.93	5.78	306,184.57 291,294.71	6,934.36	9,794	3.13%
07/22/11* Purchases	HARBOR R CAP APPREC INSTL CL HACAX	1,967.298	56.65	111,447.43	40.99	80,649.01 74,018.81	30,798.42	92	0.09%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 28

¹ 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

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

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
11/19/13* Purchases	LOOMIS SAYLES R GROWTH CL Y LSGRX	13,040.403	11.99	156,354.43	9.09	118,569.68 115,400.35	37,784.75	804	0.52%
06/12/14* Purchases	MAINGATE R MLP CL I IMLPX	11,622.513	10.47	121,687.71	10.87	126,302.37 115,835.87	-4,614.66	7,314	6.02%
09/18/12* Purchases	MAINSTAY R EPOCH GLOBAL EQUITY YIELD CL I EPSYX	8,968.92	17.64	158,211.74	16.64	149,235.41 126,383.25	8,976.33	4,994	3.16%
03/15/16* Purchases	MFS VALUE R CL I MEIIX	4,704.748	36.24	170,500.06	34.14	160,600.13 154,738.85	9,899.93	2,913	1.71%
02/11/16* Purchases	PIMCO INVESTMENT R GRADE CORP BOND CL P PBDPX	6,574.393	10.21	67,124.55	9.87	64,856.90 62,840.72	2,267.65	2,599	3.88%
07/22/11* Purchases	ROYCE R DIVIDEND VALUE INVESTMENT CL RDVIX	29,900.881	7.18	214,688.32	7.18	214,757.84 142,596.60	-69.52	4,049	1.89%
03/31/16* Purchases	VANGUARD R INTERMEDIATE TERM TREASURY ADMIRAL CL VFIUX	6,071.841	11.09	67,336.71	11.58	70,335.56 68,867.31	-2,998.85	1,165	1.74%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 29

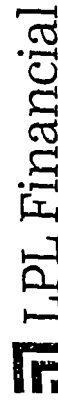
¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
^a Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.

Account Holdings as of December 31, 2016

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

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ³
03/15/16*	WELLS FARGO R DIVERSIFIED INCOME BUILDER ADMIN CL EKSDX	15,754.762	5.99	94,371.02	5.58	87,915.53 84,855.51	6,455.49	3,351	3.56%
TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS							\$92,677.07	\$48,796	
* Date of Earliest Acquisition R Dividends and/or capital gains distributed by this security will be reinvested.									
Value of Your LPL Financial Account							Unrealized Gain or Loss	Estimated Annual Income	

- 1 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.
2 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	Current Balance
Money Market Funds	\$39,793.77
TOTAL CASH AND CASH EQUIVALENTS	\$39,793.77

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
02/17/16	ISHARES GOLD TRUST C IAU	3,242	\$11.08	\$35,921.36	\$11.6786	\$37,862.08 37,862.08	-\$1,940.72	—	—
TOTAL EQUITIES AND OPTIONS							-\$1,940.72	—	

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

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
07/21/15 Purchases	ISHARES MBS ETF MBB	364	\$106.34	\$38,707.76	\$108.87	\$39,628.68 39,628.68	-\$920.92	\$871	2.25%
06/16/16 Purchases	ISHARES U.S. TREASURY BOND ETF GOVT	1,520	24.93	37,893.60	26.15	39,747.09 39,747.09	-1,853.49	572	1.51%
12/07/16 Purchases	ISHARES CORE S&P SMALL CAP ETF UR	293	137.52	40,293.36	138.06	40,451.54 40,451.54	-158.18	270	0.67%
10/14/15* Purchases	ISHARES CORE U.S. AGGREGATE BOND ETF AGG	3,505	108.06	378,750.30	110.32	386,675.24 386,675.24	-7,924.94	9,839	2.60%

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 11

¹ 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

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

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
03/20/13*	SPDR S&P MID CAP 400 ETF Purchases MDY	636	301.73	191,900.28	252.48	160,577.67 160,577.67	31,322.61	2,504	1.31%
01/21/16*	SPDR S&P 500 ETF Purchases SPY	181	223.53	40,458.93	188.93	34,196.11 34,196.11	6,262.82	821	2.03%
TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS							\$701,276.33 763,926	\$26,727.90	\$14,877
* Date of Earliest Acquisition									
Value of Your LPL Financial Account							Cost Basis/ Purchase Cost ²	Unrealized Gain or Loss	Estimated Annual Income

- 1 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.
2 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments

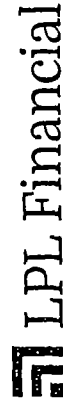


Account Holdings as of December 31, 2016

EQUITIES AND OPTIONS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ²	Estimated 30-Day Yield ²
12/17/13	WELLS FARGO & CO NEW (continued)	27		1,487.97	43 6400	1,178 28 1,178 28	309 69	41	
Total		962		53,015.82	31.7731	30,565.69 30,565.69	22,450.13	1,455	
TOTAL EQUITIES AND OPTIONS									
				\$1,865,142.20		\$1,366,177.95 \$1,366,177.95	\$498,964.25	\$57,930	
C Dividends and/or capital gains distributed by this security will be distributed as cash.									
Value of Your LPL Financial Account									

¹ 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.
Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments



Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

Account Holdings / Large Cap Value-Dividend Strategy 4515-3811



Account Holdings as of December 31, 2016

CASH AND CASH EQUIVALENTS

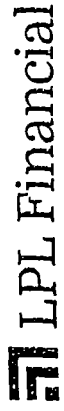
Description	Current Balance
Cash	\$26.13
Money Market Funds	70,805.41
TOTAL CASH AND CASH EQUIVALENTS	\$70,831.54

EQUITIES AND OPTIONS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
N/A	AXA SA SPONSORED ADR C AXAHY	53	\$25.20	\$1,335.60	N/A	N/A	N/A	\$66	4.96%
N/A	CAPITAL ONE C FINANCIAL CORP COF	5,992	87.24	522,742.08	N/A	175,978.7 429,475.38	N/A	9,587	1.83%
N/A	CITIGROUP INC NEW C C	70	59.43	4,160.10	N/A	N/A	N/A	44	1.08%
N/A	GENERAL ELECTRIC COMPANY C GE	900	31.60	28,440.00	N/A	320,044.00	N/A	864	3.04%
N/A	JPMORGAN CHASE & C COMPANY JPM	191	86.29	16,481.39	N/A	342,544.00 8337.15	N/A	366	2.23%
N/A	NISSAN MTR LTD NEW C SPONSORED ADR NSANY	1,000	20.00	20,000.00	N/A	N/A	N/A	820	4.10%
N/A	REGIONS FINANCIAL C CORP NEW RF	195	14.36	2,800.20	N/A	207,000.00 5672.55	N/A	50	1.81%

EQUITIES AND OPTIONS continue on page 4

¹ 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 ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
N/A	TRAVELERS COMPANIES INC C TRV	39	122.42	4,774.38	N/A	N/A	N/A	104	2.19%
						1907.00			
N/A	WAL-MART STORES INC C WMT	550	69.12	38,016.00	N/A	N/A	N/A	1,100	2.89%
						25036.00			
TOTAL EQUITIES AND OPTIONS				\$638,749.75		0.00	—	\$13,001	

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

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
N/A	AB R GROWTH & INCOME CL A CABDX	14,457.288	\$5.54	\$80,093.37	N/A	N/A	N/A	\$795	0.99%
						76,775.91			
12/26/07*		5,582.609		30,927.65	4.74	26,437.62	4,490.03	299	
Purchases						+ 7259.34			
Total		20,039.897		111,021.02	N/A	84,015.25	4,490.03	1,094	
N/A	FRANKLIN R INCOME CL A FKINX	29,102.834	2.31	67,227.54	N/A	N/A	N/A	3,491	5.19%
						127362.33			
02/05/07*		25,952.708		59,950.76	2.21	57,239.97	2,710.79	3,060	
Purchases						548.11			
Total		55,055.542		127,178.30	N/A	57,239.97	2,710.79	6,551	
						127,910.44			
MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS continue on page 5									

¹ 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

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

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Estimated Annual Income ^a	Estimated 30-Day Yield ^a
04/16/14*	OPPENHEIMER R STEELPATH MLP SELECT 40 CLC MLPEX	9,727.856	9.15	89,009.88	10.96	106,578.18 90,065.75	-17,568.30	6,857	7.72%

110,394.82

TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

\$327,209.20

~~\$180,255.77~~
~~\$90,065.75~~

\$14,502

* Date of Earliest Acquisition
R Dividends and/or capital gains distributed by this security will be reinvested.

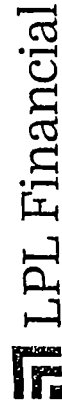
328,320.51

UNIT INVESTMENT TRUSTS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Accrued Interest	Estimated Annual Income
08/16/16	FIRST TRUST MLP ENERGY 50 MO CE RE 30288Y212	3,004	\$10.5074	\$31,564.23	\$10.47	\$31,450.57	\$113.66	—	\$1,949
09/26/16		32,511		341.60	10.19	331.34	10.26	—	21
10/25/16		9,576		100.62	10.34	98.99	1.63	—	6
11/25/16		8,011		84.17	10.30	82.55	1.62	—	5
12/27/16		34,754		365.18	10.40	361.61	3.57	—	22
Total		3,088.852		32,455.80	10.47	32,325.06	130.74	—	2,003

UNIT INVESTMENT TRUSTS continue on page 6

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
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Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

Account Holdings / Investment Account 4517-9303

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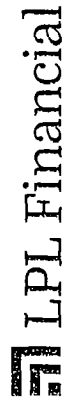


Account Holdings as of December 31, 2016

UNIT INVESTMENT TRUSTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Accrued Interest	Estimated Annual Income
03/29/16	FIRST TRUST ALTERNATIVE INCM 16 MO RE 30289M803	8,575	11.2436	96,413.87	10.22	87,642.36	8,771.51	—	6,172
04/25/16		65,002		730.86	10.27	667.69	63.17	—	46
05/25/16		38,507		432.96	10.41	400.92	32.04	—	27
06/27/16		45,548		512.12	10.72	488.32	23.80	—	32
07/25/16		73,187		822.88	11.02	806.35	16.53	—	52
08/25/16		31,114		349.83	11.12	346.11	3.72	—	22
09/26/16		45,679		513.60	10.99	502.08	11.52	—	32
10/25/16		72,689		817.29	10.78	783.91	33.38	—	52
11/25/16		34,26		385.20	10.90	373.30	11.90	—	24

UNIT INVESTMENT TRUSTS continue on page 7

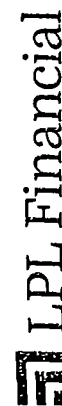


Account Holdings as of December 31, 2016

UNIT INVESTMENT TRUSTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Accrued Interest	Estimated Annual Income
12/27/16	FIRST TRUST (continued)	48,477		545.06	11.15	540.66	4.40	—	34
12/27/16		35,754		402.00	11.15	398.76	3.24	—	25
Total		9,065,217		101,925.67	10.25	92,950.46	8,975.21	—	6,518
03/29/16	FIRST TRUST MLP ENERGY 49 MO CE RE 30289N561	6,119	11.5882	70,908.19	9.73	59,566.12	11,342.07	—	4,537
04/25/16		8,475		98.21	10.61	89.95	8.26	—	6
05/25/16		30,123		349.07	10.72	322.92	26.15	—	22
06/27/16		69,333		803.44	10.96	759.85	43.59	—	51
07/25/16		18,965		219.77	11.20	212.34	7.43	—	14
08/25/16		19,224		222.77	11.53	221.73	1.04	—	14
09/26/16		67,352		780.49	11.50	774.37	6.12	—	49

UNIT INVESTMENT TRUSTS continue on page 8



Account Holdings as of December 31, 2016

UNIT INVESTMENT TRUSTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis	Unrealized Gain or Loss	Accrued Interest	Estimated Annual Income
10/25/16	FIRST TRUST (continued)	18,142		210.23	11.59	210.24	-0.01	—	13
11/25/16		19,042		220.66	11.64	221.64	-0.98	—	14
12/27/16		68,247		790.87	11.52	786.02	4.85	—	50
Total		6,437,903		74,603.70	9.81	63,165.18	11,438.52	—	4,770
TOTAL UNIT INVESTMENT TRUSTS				\$208,985.17		\$188,440.70	\$20,544.47	—	\$13,291

ALTERNATIVE INVESTMENTS

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
05/30/14	COLE CREDIT PROPERTY K TRUST IV 19326U100	145,814	\$9.92	\$1,446.47	\$9.5000	\$1,322.79	\$123.68	Non-Traded REITs
07/02/14		141,898		1,407.63	9.5000	1,291.10	116.53	Non-Traded REITs
09/04/13		25,000		248,000.00	9.9409	237,799.72	10,200.28	Non-Traded REITs
09/30/13		117,173		1,162.36	9.4585	1,058.12	104.24	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 9

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

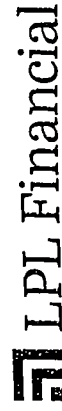
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
10/31/13	COLE CREDIT PROPERTY (continued)	140 36	1,392 37	1,392 37	9 4796	1,270 45	121 92	Non-Traded REITs
11/29/13		136 592	1,354 99	1,354 99	9 4993	1,239 01	115 98	Non-Traded REITs
12/31/13		141 908	1,407 73	1,407 73	9 5000	1,287 35	120 38	Non-Traded REITs
01/31/14		142 701	1,415 59	1,415 59	9 5000	1,294 57	121 02	Non-Traded REITs
02/28/14		129 612	1,285 75	1,285 75	9 5000	1,175 79	109 96	Non-Traded REITs
03/31/14		144 223	1,430 69	1,430 69	9 5000	1,308 32	122 37	Non-Traded REITs
04/30/14		140 351	1,392 28	1,392 28	9 5000	1,272 83	119 45	Non-Traded REITs
08/04/14		147 421	1,462 42	1,462 42	9 5000	1,345 50	116 92	Non-Traded REITs
09/03/14		148 245	1,470 59	1,470 59	9 5000	1,357 02	113 57	Non-Traded REITs
10/02/14		144 264	1,431 10	1,431 10	9 5000	1,324 36	106 74	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 10

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



Questions? Contact John Dupont
(985)853-2100 • john.dupont@LPL.COM

Account Holdings / Investment Account 4517-9303

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Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
11/04/14	COLE CREDIT PROPERTY (continued)	149 879		1,486 80	9 5000	1,380 42	106 38	Non-Traded REITs
12/02/14		145 856		1,446 89	9 5000	1,347 34	99 55	Non-Traded REITs
01/05/15		151 533		1,503 21	9 5000	1,403 15	100 06	Non-Traded REITs
02/03/15		152 379		1,511 60	9 5000	1,414 37	97 23	Non-Traded REITs
03/03/15		138 402		1,372 95	9 5000	1,287 41	85 54	Non-Traded REITs
04/02/15		154 004		1,527 72	9 5000	1,436 00	91 72	Non-Traded REITs
05/04/15		149 869		1,486 70	9 5000	1,400 68	86 02	Non-Traded REITs
06/02/15		155 702		1,544 56	9 5000	1,458 68	85 88	Non-Traded REITs
07/02/15		151 521		1,503 09	9 5000	1,422 77	80 32	Non-Traded REITs
08/04/15		157 419		1,561 60	9 5000	1,481 66	79 94	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 11

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

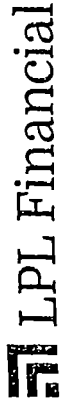
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
09/02/15	COLE CREDIT PROPERTY (continued)	158 299	1,570 33		9 5000	1,493 47	76 86	Non-Traded REITs
10/02/15		150 872	1,496 65		9 7000	1,456 83	39 82	Non-Traded REITs
11/03/15		156 727	1,554 73		9 7000	1,516 87	37 86	Non-Traded REITs
12/02/15		152 501	1,512 81		9 7000	1,479 26	33 55	Non-Traded REITs
01/05/16		158 42	1,571 53		9 7000	1,536 67	34 86	Non-Traded REITs
02/02/16		158 752	1,574 82		9 7000	1,539 89	34 93	Non-Traded REITs
03/02/16		149 32	1,481 25		9 7000	1,448 40	32 85	Non-Traded REITs
04/04/16		160 432	1,591 48		9 7000	1,556 19	35 29	Non-Traded REITs
05/03/16		156 104	1,548 55		9 7000	1,514 21	34 34	Non-Traded REITs
06/02/16		162 159	1,608 62		9 7000	1,572 94	35 68	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 12

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
08/15/16	COLE CREDIT PROPERTY (continued)	158 645		1,573.76	9.7000	1,538.85	34.91	Non-Traded REITs
08/18/16		0.086		0.85	9.6512	0.83	0.02	Non-Traded REITs
08/19/16		163 043		1,617.39	9.7000	1,581.52	35.87	Non-Traded REITs
09/02/16		164.657		1,633.40	9.7000	1,597.17	36.23	Non-Traded REITs
10/04/16		160.352		1,590.69	9.7000	1,555.41	35.28	Non-Traded REITs
11/02/16		166 571		1,652.38	9.7000	1,615.74	36.64	Non-Traded REITs
12/02/16		158.483		1,572.15	9.9200	1,572.15	—	Non-Traded REITs
Total		30,862.549		\$306,156.48	9.4923	292,955.81	13,200.67	
09/30/14	FS ENERGY & POWER K 30264D109	102.808	7.35	755.64	9.9000	1,017.80	-262.16	Non-Traded BDCs
09/03/13		13,953 488		102,558.13	10.7500	150,000.00	-47,441.87	Non-Traded BDCs

ALTERNATIVE INVESTMENTS continue on page 13

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

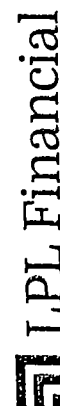
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
09/24/13	FS ENERGY & POWER (continued)	72.781		534.94	9.6751	704.16	-169.22	Non-Traded BDCs
10/29/13		91.452		672.17	9.6750	884.80	-212.63	Non-Traded BDCs
11/26/13		73.637		541.23	9.6750	712.44	-171.21	Non-Traded BDCs
12/31/13		92.185		677.56	9.7200	896.04	-218.48	Non-Traded BDCs
01/28/14		74.502		547.59	9.7200	724.16	-176.57	Non-Traded BDCs
02/25/14		74.635		548.57	9.7650	728.81	-180.24	Non-Traded BDCs
03/25/14		74.94		550.81	9.8100	735.16	-184.35	Non-Traded BDCs
04/29/14		94.597		695.29	9.8100	928.00	-232.71	Non-Traded BDCs
05/27/14		76.171		559.86	9.8100	747.24	-187.38	Non-Traded BDCs
06/24/14		78.695		578.41	9.8550	775.54	-197.13	Non-Traded BDCs

ALTERNATIVE INVESTMENTS continue on page 14

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



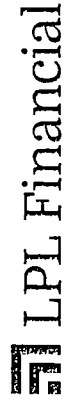
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
07/29/14	FS ENERGY & POWER (continued)	101.551		746.40	9.9000	1,005.35	-258.95	Non-Traded BDCs
08/26/14		81.798		601.22	9.9000	809.80	-208.58	Non-Traded BDCs
10/30/14		82.812		608.67	9.9000	819.84	-211.17	Non-Traded BDCs
11/28/14		84.811		623.36	9.7200	824.36	-201.00	Non-Traded BDCs
01/02/15		117.489		863.54	8.8200	1,036.25	-172.71	Non-Traded BDCs
01/29/15		96.69		710.67	8.6400	835.40	-124.73	Non-Traded BDCs
02/26/15		96.298		707.79	8.7300	840.68	-132.89	Non-Traded BDCs
04/02/15		121.123		890.25	8.7300	1,057.40	-167.15	Non-Traded BDCs
04/30/15		97.654		717.76	8.7300	852.52	-134.76	Non-Traded BDCs
05/28/15		97.261		714.87	8.8200	857.84	-142.97	Non-Traded BDCs

ALTERNATIVE INVESTMENTS continue on page 15

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest



Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Purchase Cost ¹	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
07/02/15	FS ENERGY & POWER (continued)	122.324	899.08		8.8200	1,078.90		-179.82	Non-Traded BDCs
07/30/15		100.15	736.10		8.6850	869.80		-133.70	Non-Traded BDCs
08/27/15		105.139	772.77		8.3250	875.28		-102.51	Non-Traded BDCs
10/01/15		139.841	1,027.83		7.8750	1,101.25		-73.42	Non-Traded BDCs
10/29/15		113.487	834.13		7.8300	888.60		-54.47	Non-Traded BDCs
11/27/15		119.786	880.43		7.4700	894.80		-14.37	Non-Traded BDCs
12/31/15		166.911	1,226.80		6.7500	1,126.65		100.15	Non-Traded BDCs
01/28/16		140.5	1,032.67		6.4800	910.44		122.23	Non-Traded BDCs
02/25/16		146.775	1,078.80		6.2550	918.08		160.72	Non-Traded BDCs
03/31/16		182.443	1,340.96		6.3450	1,157.60		183.36	Non-Traded BDCs

ALTERNATIVE INVESTMENTS continue on page 16

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
04/28/16	FS ENERGY & POWER (continued)	142 472		1,047.17	6.5700	936 04	111.13	Non-Traded BDCs
06/02/16		175 951		1,293 24	6.7050	1,179 75	113 49	Non-Traded BDCs
06/30/16		134 087		985.54	7 1100	953 36	32 18	Non-Traded BDCs
07/28/16		131.781		968 59	7 2900	960.68	7 91	Non-Traded BDCs
09/01/16		165 96		1,219 80	7 2900	1,209 85	9 95	Non-Traded BDCs
09/29/16		131.572		967.05	7.4250	976 92	-9 87	Non-Traded BDCs
10/27/16		130 949		962 48	7 5150	984 08	-21.60	Non-Traded BDCs
12/01/16		164 87		1,211 79	7 5150	1,239 00	-27.21	Non-Traded BDCs
Total		18,352.376		\$134,889.96	10.1379	186,054.67	-51,164.71	
09/30/14	HINES GLOBAL REIT K 433240108	112.587	10 24	1,152.89	9 8800	1,071 49	81.40	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 17

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

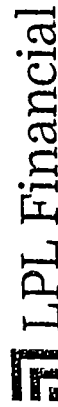
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
10/31/14	HINES GLOBAL REIT (continued)	116.968	1,197.75	1,197.75	9.8800	1,113.20	84.55	Non-Traded REITs
08/22/13		19,455.253	199,221.79	199,221.79	10.2131	191,622.41	7,599.38	Non-Traded REITs
08/30/13		35.464	363.15	363.15	9.7093	331.48	31.67	Non-Traded REITs
09/30/13		106.581	1,091.39	1,091.39	9.7296	998.34	93.05	Non-Traded REITs
10/31/13		110.737	1,133.95	1,133.95	9.7501	1,039.49	94.46	Non-Traded REITs
11/29/13		107.773	1,103.60	1,103.60	9.7700	1,013.80	89.80	Non-Traded REITs
12/31/13		111.97	1,146.57	1,146.57	9.7700	1,053.32	93.25	Non-Traded REITs
01/31/14		112.605	1,153.08	1,153.08	9.7700	1,059.27	93.81	Non-Traded REITs
02/28/14		102.281	1,047.36	1,047.36	9.7700	962.13	85.23	Non-Traded REITs
03/31/14		112.548	1,152.49	1,152.49	9.8800	1,071.14	81.35	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 18

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



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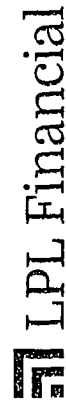
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
04/30/14	HINES GLOBAL REIT (continued)	109 524	1,121.53	1,121.53	9 8800	1,042 34	79 19	Non-Traded REITs
05/30/14		113 797	1,165.28	1,165.28	9 8800	1,082 99	82 29	Non-Traded REITs
06/30/14		110 735	1,133.93	1,133.93	9 8800	1,053 85	80 08	Non-Traded REITs
07/31/14		115 053	1,178.14	1,178.14	9 8800	1,094 90	83 24	Non-Traded REITs
08/29/14		115 685	1,184.61	1,184.61	9 8800	1,100 95	83 66	Non-Traded REITs
12/02/14		113 83	1,165.62	1,165.62	9 8800	1,084 85	80 77	Non-Traded REITs
01/06/15		118 254	1,210.92	1,210.92	9 8800	1,130 52	80 40	Non-Traded REITs
02/03/15		118 915	1,217.69	1,217.69	9 8800	1,140 25	77 44	Non-Traded REITs
03/03/15		108 004	1,105.96	1,105.96	9 8800	1,038.34	67 62	Non-Traded REITs
04/02/15		125 778	1,287.97	1,287.97	9 4400	1,157.94	130.03	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 19

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest



Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
05/04/15	HINES GLOBAL REIT (continued)	122,443		1,253.82	9,4400	1,130.47	123.35	Non-Traded REITs
06/02/15		127,225		1,302.78	9,4400	1,178.39	124.39	Non-Traded REITs
07/02/15		123,845		1,268.17	9,4400	1,150.64	117.53	Non-Traded REITs
08/04/15		128,697		1,317.86	9,4400	1,199.54	118.32	Non-Traded REITs
09/02/15		129,451		1,325.58	9,4400	1,210.43	115.15	Non-Traded REITs
10/02/15		126,007		1,290.31	9,4400	1,182.15	108.16	Non-Traded REITs
11/03/15		130,957		1,341.00	9,4400	1,232.47	108.53	Non-Traded REITs
12/02/15		127,468		1,305.27	9,4400	1,203.30	101.97	Non-Traded REITs
01/05/16		132,467		1,356.46	9,4400	1,250.49	105.97	Non-Traded REITs
02/03/16		133,233		1,364.31	9,4400	1,257.72	106.59	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 20

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.



Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
03/02/16	HINES GLOBAL REIT (continued)	115.575	1,183.49	1,183.49	10.2400	1,183.49	—	Non-Traded REITs
04/04/16		124.156	1,271.36	1,271.36	10.2400	1,271.36	—	Non-Traded REITs
05/03/16		120.815	1,237.14	1,237.14	10.2400	1,237.15	-0.01	Non-Traded REITs
06/02/16		125.483	1,284.94	1,284.94	10.2400	1,284.95	-0.01	Non-Traded REITs
07/05/16		122.084	1,250.14	1,250.14	10.2400	1,250.14	—	Non-Traded REITs
08/02/16		126.82	1,298.64	1,298.64	10.2400	1,298.64	—	Non-Traded REITs
09/02/16		127.508	1,305.68	1,305.68	10.2400	1,305.68	—	Non-Traded REITs
10/04/16		124.048	1,270.25	1,270.25	10.2400	1,270.25	—	Non-Traded REITs
11/02/16		128.869	1,319.62	1,319.62	10.2400	1,319.62	—	Non-Traded REITs

ALTERNATIVE INVESTMENTS continue on page 21

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)						
Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹
12/02/16	HINES GLOBAL REIT (continued)	125.386		1,283.95	10 2400	1,283 95
						—
Total		24,156.879		\$247,366.44	9.8094	236,963.83
						10,402.61
10/01/15	HMS INCOME FUND	10,101.01	7.92	79,999.99	9 9000	100,000 00
	40427D102					-20,000.01
11/03/15		68 787		544 79	8 7300	600.51
						-55 72
12/02/15		68.029		538.79	8 6000	585 05
						-46 26
01/05/16		75 133		595.05	8 1000	608 58
						-13 53
02/03/16		77.415		613 13	7 9200	613 13
						—
03/02/16		75.546		598.32	7.6500	577 93
						20.39
04/04/16		80.385		636 65	7.7400	622.18
						14 47
05/03/16		77 503		613.82	7.8300	606 85
						6 97

ALTERNATIVE INVESTMENTS continue on page 22

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.

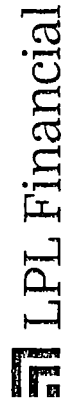
Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
06/02/16	HMS INCOME FUND (continued)	79.737		631.52	7.9200	631.52	—	Non-Traded BDCs
07/05/16		77.76		615.86	7.9200	615.86	—	Non-Traded BDCs
08/02/16		80.029		633.83	8.0100	641.03	-7.20	Non-Traded BDCs
09/02/16		80.615		638.47	8.0100	645.73	-7.26	Non-Traded BDCs
10/04/16		78.583		622.38	8.0100	629.45	-7.07	Non-Traded BDCs
11/02/16		80.9		640.73	8.1000	655.29	-14.56	Non-Traded BDCs

ALTERNATIVE INVESTMENTS continue on page 23

¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest

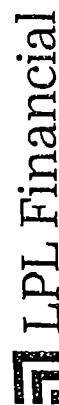


Account Holdings as of December 31, 2016

ALTERNATIVE INVESTMENTS (continued)

Date Acquired	Description/Security ID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost ¹	Unrealized Gain or Loss	Category
12/02/16	HMS INCOME FUND (continued)	78 368		620 68	8 1500	638 70	-18 02	Non-Traded BDCs
Total		11,179.8		\$88,544.01	9.7204	108,671.81	-20,127 80	
TOTAL ALTERNATIVE INVESTMENTS				\$776,956.89		\$824,646.12	-\$47,689.23	
Cost Basis and Unrealized Gain or Loss Totals include alternative investment totals when available K Based on an independent appraisal								
				1,951,901		1900,563		
Value of Your LPL Financial Account								
			Market Value	Cost Basis/ Purchase Cost ²	Unrealized Gain or Loss	Estimated Annual Income		

- ¹ Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
- ² Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments



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Account Holdings / Investment Account 4517-9303



THE PELTIER FOUNDATION
DONATIONS AS OF 12/31/2016

YEAR	TOTAL TO BE DONATED	PLEDGED AMOUNT	DATE PAID
2016	\$ 1,015,855.00		
1)	Thibodaux Lions Club P.O. Box 461 Thibodaux, LA 70302 for AllStar basketball game	\$ 3,000.00	2/25/2016
2)	Food for the Poor, Inc. c/o Rev. Thomas R. Bouterie P.O. Box 56907 New Orleans, LA 70156-6907 for 5-\$3200 units in Honduras (four for one)	\$ 16,000.00	4/11/2016
3)	Bayou Community Foundation P.O. Box 582 Houma, LA 70361 for Al Dano, Jr. Memorial Lagniappe Fund	\$ 2,500.00	4/25/2016
4)	Arete Scholars P. O. Box 3148 St. Francisville, LA 70775 for Catholic school scholarships	\$ 25,000.00	4/25/2016
5)	Diocese of Houma-Thibodaux P.O. Box 505 Schriever, LA 70395 for Cursillo Movement	\$ 6,000.00	5/17/2016
6)	Edward Douglas White Catholic High School 555 Cardinal Drive Thibodaux, LA 70301 for general fund	\$ 50,000.00	7/28/2016

7)	Nicholls Foundation P.O. Box 2066 Thibodaux, LA 70310 for general fund	\$ 50,000.00	7/28/2016
8)	LSU Foundation 3838 West Lakeshore Drive Baton Rouge, LA 70808 for general fund	\$ 50,000.00	7/28/2016
9)	Sisters of Mount Carmel P.O. Box 476 Lacombe, LA 70445 for general fund	\$ 15,000.00	7/28/2016
10)	St. Joseph Abbey & Seminary College 75376 River Road Saint Benedict, LA 70457 for general fund	\$ 25,000.00	7/28/2016
11)	Bayou Community Foundation P.O. Box 582 Houma, LA 7361 for general fund	\$ 25,000.00	7/28/2016
12)	Restore or Retreat, Inc. P.O. Box 2048 - NSU Thibodaux, LA 70310 for general fund	\$ 10,000.00	7/28/2016
13)	The USO P.O. Box 96860 Washington, DC 20077-7677 for general fund	\$ 10,000.00	7/28/2016
14)	Boy Scouts of America Southeast Louisiana Council 4200 South I-10 Service Road W Suite 101 Metairie, LA 70001 for general fund	\$ 10,000.00	7/28/2016

15)	St. John's Historic Cemetery Association, Inc. 718 Jackson Street Thibodaux, LA 70301 for general fund	\$ 5,000.00	7/28/2016
16)	St. Mary's Residential Training School P.O. Drawer 7768 Alexandria, LA 71306 for general fund	\$ 10,000.00	7/28/2016
17)	St. Joseph Co-Cathedral 721 Canal Boulevard Thibodaux, LA 70301 for Heaven's Handymen	\$ 15,000.00	7/28/2016
18)	The Thibodaux Senior Citizens Center, Inc. 1229 Canal Boulevard Thibodaux, LA 70301 for annual holiday social	\$ 5,000.00	7/28/2016
19)	Lafourche Crossing 308 Volunteer Fire Department 691 Highway 308 Thibodaux, LA 70301 for purchase of air packs	\$ 6,000.00	7/28/2016
20)	Most Rev. Bishop Shelton Fabre Diocese of Houma-Thibodaux P.O. Box 505 Schriever, Louisiana 70395 for Chaplain at Thibodaux Regional Medical Center	\$ 40,000.00	7/28/2016
21)	CASA of Lafourche P.O. Box 1343 Thibodaux, LA 70302 for general fund	\$ 10,000.00	7/28/2016
22)	St. Genevieve Catholic Church 815 Barbier Avenue Thibodaux, LA 70301 for general fund	\$ 10,000.00	7/28/2016

23)	St. John the Evangelist Catholic Church 2085 St. Mary Street Thibodaux, LA 70301 for general fund	\$	10,000.00	7/28/2016
24)	St. Charles Borromeo Catholic Church 1985 Highway 308 Thibodaux, LA 70301 for general fund	\$	10,000.00	7/28/2016
25)	Christ the Redeemer Catholic Church 720 Talbot Avenue Thibodaux, LA 70301 for general fund	\$	10,000.00	7/28/2016
26)	Our Lady of the Isle Church P.O. Box 885 Grand Isle, LA 70358 for general fund	\$	10,000.00	7/28/2016
27)	Father Sabino "Benie" Rebozura, II Our Lady of Prompt Succor Catholic Church 529 Highway 20 Thibodaux, LA 70301 for general fund	\$	10,000.00	7/28/2016
28)	Brothers of the Sacred Heart Foundation 4600 Elysian Fields Avenue New Orleans, LA 70122 for general fund	\$	10,000.00	7/28/2016
29)	St. Luke Catholic Church 300 East 11 th Street Thibodaux, LA 70301 for general fund	\$	10,000.00	7/28/2016

30)	Diocese of Houma-Thibodaux P.O. Box 505 Schriever, LA 70395 for seminarian's burse in the name of "The Peltier Foundation"	\$ 15,000.00	7/28/2016
31)	St. Joseph Elementary Schpol 501 Cardinal Drive Thibodaux, LA 70301 for general fund	\$ 10,000.00	7/28/2016
32)	St. Genevieve Elementary School 807 Barbier Avenue Thibodaux, LA 70301 for general fund	\$ 10,000.00	7/28/2016
33)	Fletcher Foundation 1407 Highway 311 Schriever, LA 70395 for general fund	\$ 25,000.00	7/28/2016
34)	Louisiana Pediatric Cardiology Foundation 2137-A Quail Run Drive, Suite A Baton Rouge, LA 70808 for general fund	\$ 20,000.00	7/28/2016
35)	Good Samaritan Food Bank 100 Birch Street Thibodaux, LA 70301 for general fund	\$ 25,000.00	7/28/2016
36)	St. Vincent dePaul Triparish Community Pharmacy 7385 Main Street Houma, LA 70360 for general fund	\$ 25,000.00	7/28/2016
37)	Public Affairs Research Council of Louisiana, Inc. P.O. Box 14776 Baton Rouge, LA 70898-4776 for general fund	\$ 10,000.00	7/28/2016

38)	Tiger Band from Bayouland Parent Organization, Inc. 2492 Pineridge Street Thibodaux, LA 70301 to replace instruments and equipment	\$ 6,800.00	7/28/2016
39)	St. Eloi Catholic Church 1335 Bayou Dularge Road Theriot, LA 70397 for music issue books and covers	\$ 700.00	8/18/2016
40)	Baton Rouge Area Foundation 100 North Street, Suite 900 Baton Rouge, LA 70802 for disaster recovery	\$ 10,000.00	8/18/2016
41)	Community Foundation of Acadiana 1035 Camellia Blvd., Suite 100 Lafayette, LA 70508 for disaster recovery	\$ 10,000.00	8/18/2016
42)	City of Thibodaux P.O. Box 5418 Thibodaux, LA 70302 for Thibodaux Police riot gear	\$ 25,046.71	8/23/2016
43)	Arête Scholars Louisiana P. O. Box 3148 St. Francisville, LA 70775 for Catholic school scholarships	\$ 23,750.00	8/31/2016
44)	Franciscan Missionary Sisters for Africa 172 Foster Street Brighton, MA 02135 for general fund	\$ 5,000.00	12/19/2016
45)	The National World War II Museum 945 Magazine Street New Orleans, LA 70130-3813 for general fund	\$ 10,000.00	12/19/2016

46)	Thibodaux Volunteer Fire Department P.O. Box 1421 Thibodaux, LA 70302 for general fund	\$ 25,000.00	12/19/2016
47)	Hope for Animals P.O. Box 1341 Thibodaux, LA 70302 for general fund	\$ 5,000.00	12/19/2016
48)	Toys for Tots P.O. Box 4002036 Des Moines, IA 50340-2036 for general fund	\$ 5,000.00	12/19/2016
49)	Council for a Better Louisiana P.O. Box 4308 Baton Rouge, LA 70821 for general fund	\$ 10,000.00	12/19/2016
50)	Nicholls Foundation for Chef John Folse Culinary Institute P.O. Box 2099 Nicholls State University Thibodaux, LA 70310	\$ 5,000.00	12/19/2016
51)	Thibodaux Area Christmas Toy Drive P.O. Box 1014 Thibodaux, LA 70302 for general fund	\$ 5,000.00	12/19/2016
52)	Diocese of Houma-Thibodaux for Priests' Retirement Fund P.O. Box 505 Schriever, LA 70395	\$ 50,000.00	12/19/2016
53)	Edward Douglas White Catholic High School 555 Cardinal Drive Thibodaux, LA 70301 for general fund	\$ 50,000.00	12/19/2016

54)	St. Genevieve Elementary School 807 Barbier Avenue Thibodaux, LA 70301 for general fund	\$	50,000.00	12/19/2016
55)	St. Joseph Catholic Elementary School 501 Cardinal Drive Thibodaux, LA 70301 for general fund	\$	50,000.00	12/19/2016
56)	Nicholls Foundation for Endowed NSU Alumni Federation Scholarships P.O. Box 2158 Nicholls State University Thibodaux, LA 70310	\$	25,000.00	12/19/2016
57)	Bayou Community Foundation P.O. Box 582 Houma, LA 70361 for general fund	\$	45,000.00	12/19/2016
58)	Diocese of Houma-Thibodaux for Priests' Retirement Fund P.O. Box 505 Schriever, LA 70395	\$	5,000.00	12/19/2016
59)	Bayou Community Band, Inc. 850 Bayou Road Thibodaux, LA 70301 for general fund	\$	10,000.00	12/19/2016

Total Committed for year 2016 -----\$

1016,046.71✓
~~1,039,796.71~~

Total Uncommitted for year 2016-----\$

0.00