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Form 990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016 or tax year beginning

, and ending

Name of foundation KATHLEEN PATTON WESTBY FOUNDATION		A Employer identification number 73-1354412
Number and street (or P.O. box number if mail is not delivered to street address) 401 S. BOSTON AVE.	Room/suite 220	B Telephone number 918-743-8321
City or town, state or province, country, and ZIP or foreign postal code TULSA, OK 74103-4038		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 2,134,129.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		34.	34.		STATEMENT 1
4 Dividends and interest from securities		67,198.	67,198.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		47,045.			
b Gross sales price for all assets on line 6a		1,048,987.			
7 Capital gain net income (from Part IV, line 2)			47,045.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		114,277.	114,277.		
13 Compensation of officers, directors, trustees, etc		10,000.	5,000.		5,000.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees STMT 3		1,690.	0.		0.
b Accounting fees					
c Other professional fees STMT 4		8,815.	8,685.		130.
17 Interest					
18 Taxes STMT 5		1,514.	0.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 6		24,299.	0.		1,639.
24 Total operating and administrative expenses. Add lines 13 through 23		46,318.	13,685.		6,769.
25 Contributions, gifts, grants paid		100,100.			100,100.
26 Total expenses and disbursements. Add lines 24 and 25		146,418.	13,685.		106,869.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<32,141.>			
b Net investment income (if negative, enter -0-)			100,592.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	62,218.	44,869.	44,869.
	3 Accounts receivable ▶ 1,975.			
	Less: allowance for doubtful accounts ▶	2,557.	1,975.	1,975.
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	1,110,260.	1,197,410.	1,594,919.
	c Investments - corporate bonds STMT 9	515,258.	466,208.	492,366.
	11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other	52,310.			
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	1,742,603.	1,710,462.	2,134,129.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	1,742,603.	1,710,462.	
30 Total net assets or fund balances	1,742,603.	1,710,462.		
31 Total liabilities and net assets/fund balances	1,742,603.	1,710,462.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	1,742,603.
2 Enter amount from Part I, line 27a	2	<32,141.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,710,462.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,710,462.

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 1,048,987.		1,001,942.	47,045.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			47,045.

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	47,045.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	{ }	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	109,709.	2,124,228.	.051647
2014	110,755.	2,160,459.	.051265
2013	94,107.	2,009,234.	.046837
2012	121,333.	1,953,278.	.062118
2011	125,618.	1,989,255.	.063148

2 Total of line 1, column (d)	2	.275015
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	.055003
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	2,057,380.
5 Multiply line 4 by line 3	5	113,162.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,006.
7 Add lines 5 and 6	7	114,168.
8 Enter qualifying distributions from Part XII, line 4	8	106,869.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	2,012.
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	2,012.
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	2,012.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,120.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	1,120.	
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	892.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☐ Refunded ☐	11		

Part VII-A Statements Regarding Activities

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

N/A

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.WESTBYFOUNDATION.ORG</u>	X	
14 The books are in care of ► <u>FOUNDATION</u> Telephone no. ► <u>918-743-8321</u> Located at ► <u>401 S. BOSTON AVE., SUITE 220, TULSA, OK</u> ZIP+4 ► <u>74103</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		N/A
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		X

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

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

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

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

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

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

☐ Yes ☒ No

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

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN T. WESTBY 401 S. BOSTON AVE., SUITE 220 TULSA, OK 74103	TRUSTEE 5.00	5,000.	0.	0.
KATHLEEN H. WESTBY 401 S. BOSTON AVE., SUITE 220 TULSA, OK 74103	TRUSTEE 5.00	5,000.	0.	0.

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

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

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

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	2,037,448.
b	Average of monthly cash balances	1b	51,263.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	2,088,711.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	2,088,711.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	31,331.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,057,380.
6	Minimum investment return. Enter 5% of line 5	6	102,869.

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	102,869.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	2,012.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	2,012.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	100,857.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	100,857.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	100,857.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	106,869.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	106,869.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	106,869.

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				100,857.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	5,439.			
b From 2012	24,355.			
c From 2013				
d From 2014	5,249.			
e From 2015	4,613.			
f Total of lines 3a through e	39,656.			
4 Qualifying distributions for 2016 from Part XII, line 4: ▶ \$	106,869.			
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				100,857.
e Remaining amount distributed out of corpus	6,012.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	45,668.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	5,439.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	40,229.			
10 Analysis of line 9:				
a Excess from 2012	24,355.			
b Excess from 2013				
c Excess from 2014	5,249.			
d Excess from 2015	4,613.			
e Excess from 2016	6,012.			

N/A

- b Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(1)(3) or ☐ 4942(1)(5)

- (4) Gross investment income

[illegible]

NONE

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ARTS & HUMANITIES COUNCIL 101 E. ARCHER ST TULSA, OK 74103	NONE	PC	GENERAL OPERATIONS	2,500.
GILCREASE MUSEUM 1400 N. GILCREASE MUSEUM RD TULSA, OK 74127	NONE	PC		1,500.
ALZHEIMER'S ASSOCIATION 2448 E. 81ST STREET TULSA, OK 74137	NONE	PC	DRAWING ON MEMORIES ART PROGRAM	12,000.
AMERICAN DIABETES ASSOC 6600 S. YALE TULSA, OK 74136	NONE	PC	ADA CONSOURS FOR THE CURE	2,100.
THEATRE TULSA P.O. BOX 995 TULSA, OK 74101	NONE	PC	GENERAL OPERATIONS	1,000.
Total	SEE CONTINUATION SHEET(S)			100,100.
b Approved for future payment				
NONE				
Total				0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount		
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments			14	34.		
4 Dividends and interest from securities			14	67,198.		
5 Net rental income or (loss) from real estate:						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory			18	47,045.		
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)		0.		114,277.		0.
13 Total. Add line 12, columns (b), (d), and (e)						

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

13 114,277.

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

[illegible]

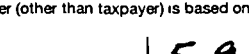
Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- | | | Yes | No |
|---|--|-------|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | X |
| | (2) Other assets | 1a(2) | X |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |

[illegible]

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

- [illegible]

Sign Here  Signature of officer or trustee	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.		May the IRS discuss this return with the preparer shown below (see Instr.)? ☒ Yes ☐ No		
	Date 5-9-17		Title TRUSTEE		
Paid Preparer Use Only	Print/Type preparer's name EDWARD J. MYSOCK, JR.	Preparer's signature  EDWARD J. MYSOCK, JR.	Date 05/05/17	Check ☐ if self-employed	PTIN P01379726
	Firm's name ▶ MYSOCK, CHEVAILLIER & BOLDEN, L.L.P.			Firm's EIN ▶ 73-1051839	
	Firm's address ▶ 2021 SOUTH LEWIS, SUITE 700 TULSA, OK 74104			Phone no. 918/747/6099	

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
CIRCLE CINEMA FOUNDATION 12 S. LEWIS TULSA, OK 74104	NONE	PC	2013 PLEDGE	15,000.
DVIS 4300 S. HARVARD TULSA, OK 74135	NONE	PC	ART FOR OUTPATIENT COUNSELING FACILITY	2,000.
INDIAN RIVER HABITAT FOR HUMANITY 4568 US HWY 1 VERO BEACH, FL 32967	NONE	PC	HABITAT HOUSE FUND	5,000.
LIFE SENIOR SEERVICES 5950 E. 31ST STREET TULSA, OK 74135	NONE	PC	THERAPEUDIC ART CLASSES	2,000.
MID AMERICA ARTS ALLIANCE 2018 BALTIMORE KANSAS CITY, MO 64108	NONE	PC	OKLAHOMA PROGRAMING	3,000.
NIMROD INTERNATIONAL 800 S. TUCKER TULSA, OK 74104	NONE	PC	SPRING & SUMMER PROGRAMS	1,000.
OKLAHOMA ARTS INSTITUTE 111 N.W. 9TH OKLAHOMA CITY, OK 73102	NONE	PC	SUMMER ARTS INSTITUTE	6,000.
OKLAHOMA HUMANITIES COUNCIL 428 W. CALIFORNIA AVE OKLAHOMA CITY, OK 73102	NONE	PC	LETS TALK ABOUT IT BOOK CLUB PROGRAM	500.
PHILBROOK 2727 S. ROCKFORD TULSA, OK 74114	NONE	PC	CONTEMPARY CONSORTIUM	10,000.
PHILBROOK 2727 S. ROCKFORD TULSA, OK 74114	NONE	PC	2016 EXHIBITION SERIES	12,500.
Total from continuation sheets				81,000.

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PLANNED PARENTHOOD 1007 S. PEORIA TULSA, OK 74114	NONE	PC	2016 OPERATIONS	1,500.
STREET SCHOOL 1135 S. YALE TULSA, OK 74112	NONE	PC	2016 PROGRAMS	1,000.
TULSA AIR AND SPACE MUSEUM 3624 N. 74TH E AVE TULSA, OK 74115	NONE	PC	SUMMER ARTS INSTITUTE	1,000.
TULSA BALLET 4512 S. PEORIA TULSA, OK 74105	NONE	PC	ARTISTIC AND EDUCATIONAL PROGRAMS	5,000.
TULSA CAMERATA 3612 NEW HAVEN AVE TULSA, OK 74135	NONE	PC	SEASON SUPPORT	1,000.
TULSA CHILDREN'S MUSEUM 560 N. MAYBELLE TULSA, OK 74127	NONE	PC	SPECIAL PROJECTS	1,000.
TULSA GIRLS ART SCHOOL PROGRAM 2202 E. ADMIRAL BLVD TULSA, OK 74110	NONE	PC	YOUTH VISUAL ARTS PROGRAMS	2,000.
TULSA OPERA 1610 S. BOULDER TULSA, OK 74119	NONE	PC	2016-17 SEASON	5,000.
TULSA SYMPHONY 117 N. BOSTON AVE TULSA, OK 74103	NONE	PC	2016 PROGRAMS AND 10TH ANNIVERSARY SEASON	5,000.
YOUTH SERVICES 311 S. MADISON TULSA, OK 74120	NONE	PC	2016 GED PROGRAM	1,500.
Total from continuation sheets				

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
OTHER	34.	34.	
TOTAL TO PART I, LINE 3	34.	34.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
LAZZARD	4,088.	0.	4,088.	4,088.	
MERRILL LYNCH DIVIDENDS	16,909.	4,963.	11,946.	11,946.	
MERRILL LYNCH INTEREST	5,959.	0.	5,959.	5,959.	
WELLS FARGO DIVIDENDS	28,714.	0.	28,714.	28,714.	
WELLS FARGO INTEREST	16,491.	0.	16,491.	16,491.	
TO PART I, LINE 4	72,161.	4,963.	67,198.	67,198.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	1,690.	0.		0.
TO FM 990-PF, PG 1, LN 16A	1,690.	0.		0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	8,815.	8,685.		130.
TO FORM 990-PF, PG 1, LN 16C	8,815.	8,685.		130.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN INCOME TAXES	819.	0.		0.
EXCISE TAXES	695.	0.		0.
TO FORM 990-PF, PG 1, LN 18	1,514.	0.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
OFFICE SUPPLIES & EXPENSE	907.	0.		0.
ADMINISTRATIVE FEES	20,747.	0.		0.
TRAVEL	1,006.	0.		0.
INSURANCE	1,639.	0.		1,639.
TO FORM 990-PF, PG 1, LN 23	24,299.	0.		1,639.

	FOOTNOTES	STATEMENT	7
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THE WESTBY FOUNDATION OCCUPIES OFFICE SPACE
 LEASED BY THE WESTBY, LLC. THE WESTBY LLC MEMBERS INCLUDE
 K. H. WESTBY AND JOHN T. WESTBY, DIRECTORS OF THE FOUNDATION
 THE FOUNDATION PAID A TOTAL OF \$20,747 TO THE
 LLC FOR EXPENSES ASSOCIATED WITH RENT,
 MANAGEMENT OF INVESTMENTS AND ACCOUNTING.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	1,197,410.	1,594,919.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,197,410.	1,594,919.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
FIXED INCOME	466,208.	492,366.
TOTAL TO FORM 990-PF, PART II, LINE 10C	466,208.	492,366.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	MERRILL LYNCH-DETAIL ATTACHED	P		
b	MERRILL LYNCH-DETAIL ATTACHED	P		
c	MERRILL LYNCH-DETAIL ATTACHED	P		
d	WELLS FARGO-DETAIL ATTACHED	P		
e	WELLS FARGO-DETAIL ATTACHED	P		
f	WELLS FARGO-DETAIL ATTACHED	P		
g	WELLS FARGO-DETAIL ATTACHED	P		
h	WELLS FARGO-DETAIL ATTACHED	P		
i	WELLS FARGO-DETAIL ATTACHED	P		
j	WELLS FARGO-DETAIL ATTACHED	P		
k	GNMA-RETURN OF PRINCIPAL	P		
l	WELLS FARGO-DETAIL ATTACHED	P		
m	WELLS FARGO-DETAIL ATTACHED	P		
n	WELLS FARGO-DETAIL ATTACHED	P		
o	MERRILL LYNCH-DETAIL ATTACHED	P		

(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	11.		11.
b	3,634.	3,634.	0.
c	25,000.	25,000.	0.
d	5,153.	8,719.	<3,566.>
e	18,776.	21,561.	<2,785.>
f	1,367.	525.	842.
g	12,375.	12,314.	61.
h	12,500.	12,500.	0.
i	626,266.	633,509.	<7,243.>
j	11,550.	11,857.	<307.>
k	18,961.	18,961.	0.
l	293,936.	235,832.	58,104.
m	11,323.	17,316.	<5,993.>
n	2,958.		2,958.
o	214.	214.	0.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			11.
b			0.
c			0.
d			<3,566.>
e			<2,785.>
f			842.
g			61.
h			0.
i			<7,243.>
j			<307.>
k			0.
l			58,104.
m			<5,993.>
n			2,958.
o			0.

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

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

3

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.				(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a CAPITAL GAINS DIVIDENDS						
b						
c						
d						
e						
f						
g						
h						
i						
j						
k						
l						
m						
n						
o						

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 4,963.			4,963.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			4,963.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }		2	47,045.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8		3	N/A



2016 Year-End Account Summary

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As of Date: 02/21/17

Account Number: 6322-4497

KATHLEEN PATTON WESTBY
FOUNDATION LAZARD INT'L

This information is NOT provided to the Internal Revenue Service, but is being provided to you for courtesy purposes.
Please consult with your Financial Advisor or tax advisor regarding specific questions.

Proceeds from Broker and Barter Exchange Transactions

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount (Box 1i)	Additional Information
BG GROUP PLC SPON ADR CUSIP: 055434203	70 00000	01/22/2015	01/11/2016	939 91	969 87	0 00	0 00	-29 96	Box 6: Gross Proceeds
CREDIT SUISSE GROUP SPON ADR CUSIP: 225401108	74 00000	10/29/2015	06/27/2016	772 74	1,883 99	0 00	0 00	-1,111 25	Box 6: Gross Proceeds
ENCANA CORP CUSIP: 292505104	108 00000	05/08/2015	02/11/2016	369 59	1,491 76	0 00	0 00	-1,122 17	Box 6: Gross Proceeds
	83 00000	06/12/2015	02/11/2016	284 04	1,008 38	0 00	0 00	-724 34	Box 6: Gross Proceeds
	27 00000	11/09/2015	02/11/2016	92 41	217 51	0 00	0 00	-125 10	Box 6: Gross Proceeds
Subtotals	218.00000			\$746.04	\$2,717.65	\$0.00	\$0.00	(\$1,971.61)	
GEA GROUP AG - SPON ADR CUSIP: 361592108	7 00000	10/14/2015	08/10/2016	377 50	288 87	0 00	0 00	88 63	Box 6: Gross Proceeds
LLOYDS BANKING GROUP PLC ADR CUSIP: 539439109	81 00000	11/04/2015	07/07/2016	204 55	374 54	0 00	0 00	-169 99	Box 6: Gross Proceeds
MEDIOLANUM SPA- UNSP ADR CUSIP: 58502L104	20 00000	12/17/2015	01/22/2016	274 09	328 82	0 00	0 00	-54 73	Box 6: Gross Proceeds Merger
RED ELECTRICA CORPORACION SA CUSIP: 756568101	0 20000	07/29/2016	07/29/2016	2 28	0 00	0 00	0 00	2 28	Box 6: Gross Proceeds Cash in Lieu

2016 Year-End Account Summary

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As of Date: 02/21/17

Account Number: 6322-4497

KATHLEEN PATTON WESTBY
FOUNDATION LAZARD INT L

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
VIVENDI SA UNSPONSORED ADR CUSIP: 92852T201	39.00000	07/14/2015	02/05/2016	786.81	1,043.51	0.00	0.00	-256.70	Box 6: Gross Proceeds
CHECK POINT SOFTWARE TECH LTD CUSIP: M22465104	14.00000	10/01/2015	08/02/2016	1,049.21	1,111.42	0.00	0.00	-62.21	Box 6: Gross Proceeds
Totals				\$5,153.13	\$8,718.67	\$0.00	\$0.00	(\$3,565.54)	



2016 Year-End Account Summary

As of Date: 02/21/17

Account Number: 6322-4497

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description (Box 1a) CUSIP	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ACTELION LTD UNSPONSORED ADR CUSIP: 00507G102	32 00000	12/23/2014	08/15/2016	1,332.07	961.19	0.00	0.00	370.88	Box 6: Gross Proceeds
ASSTEAD GROUP PLC UNSPONSORED ADR CUSIP: 045055100	14 00000	07/07/2014	02/01/2016	713.94	908.36	0.00	0.00	-194.42	Box 6: Gross Proceeds
BG GROUP PLC SPON ADR CUSIP: 055434203	7 00000 58 00000	09/08/2011 01/09/2013	01/11/2016 01/11/2016	93.99 778.77	147.24 961.06	0.00 0.00	0.00 0.00	-53.25 -182.29	Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	65.00000			\$872.76	\$1,108.30	\$0.00	\$0.00	(\$235.54)	
BNP PARIBAS ADR CUSIP: 05565A202	30 00000 13 00000 17 00000 11 00000 21 00000 92.00000	01/09/2013 02/15/2013 04/08/2013 07/01/2014 12/29/2014	01/21/2016 01/21/2016 01/21/2016 01/21/2016 01/21/2016	696.63 301.87 394.76 255.44 487.66 \$2,136.36	892.50 408.38 437.14 388.10 635.49 \$2,761.61	0.00 0.00 0.00 0.00 0.00 \$0.00	0.00 0.00 0.00 0.00 0.00 \$0.00	-195.87 -106.51 -42.38 -132.66 -147.83 (\$625.25)	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	92.00000			\$2,136.36	\$2,761.61	\$0.00	\$0.00	(\$625.25)	
BAYER AG SPONSORED ADR CUSIP: 072730302	4 00000 3 00000 2 00000 1 00000 3 00000 8 00000 9 00000 2 00000 7 00000	12/22/2011 06/11/2012 06/21/2012 06/21/2012 07/19/2012 01/09/2013 01/09/2013 07/03/2013 07/05/2013	05/02/2016 05/02/2016 05/02/2016 05/20/2016 05/20/2016 05/31/2016 05/31/2016 05/31/2016 05/31/2016	453.03 339.77 226.52 100.13 300.39 801.04 858.29 190.73 667.57	248.98 189.44 136.66 66.33 220.53 754.00 848.23 211.40 740.61	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00	204.05 150.33 89.86 31.80 79.86 47.04 10.06 -20.67 -73.04	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds

2016 Year-End Account Summary

As of Date: 02/21/17

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Account Number: 6322-4497

KATHLEEN PATTON WESTBY
FOUNDATION LAZARD INT L

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
BAYER AG SPONSORED ADR CUSIP: 072730302	39.00000			\$3,937.47	\$3,418.18	\$0.00	\$0.00	\$519.29	
Subtotals									
COMPAGNIE FINANCIERE RICHEMONT SA-UNSPON ADR CUSIP: 204319107	94.00000	05/21/2013	04/01/2016	597.02	886.11	0.00	0.00	-289.09	Box 6: Gross Proceeds
LLOYDS BANKING GROUP PLC ADR CUSIP: 539439109	300.00000 245.00000 279.00000	12/07/2012 01/09/2013 04/30/2013	07/07/2016 07/07/2016 07/07/2016	757.54 618.66 704.51	909.00 844.49 952.03	0.00 0.00 0.00	0.00 0.00 0.00	-151.46 -225.83 -247.52	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
	17.00000 69.00000 22.00000	07/16/2013 05/02/2014 06/18/2014	07/07/2016 07/07/2016 07/07/2016	42.92 174.24 55.55	70.89 374.63 117.48	0.00 0.00 0.00	0.00 0.00 0.00	-27.97 -200.39 -61.93	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	932.00000			\$2,353.42	\$3,268.52	\$0.00	\$0.00	(\$915.10)	
MEDIOLANUM SPA- UNSP ADR CUSIP: 58502L104	33.00000 33.00000 26.00000	10/21/2013 12/18/2013 01/06/2015	01/22/2016 01/22/2016 01/22/2016	452.22 452.23 356.30	580.06 557.43 324.49	0.00 0.00 0.00	0.00 0.00 0.00	-127.84 -105.20 31.81	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Merger Merger Merger
Subtotals	92.00000			\$1,260.75	\$1,461.98	\$0.00	\$0.00	(\$201.23)	
REXAM PLC NEW SPONSORED ADR 2014 CUSIP: 761655604	5.90409 6.33929 6.33929 7.41733	07/01/2011 08/17/2011 10/07/2011 01/09/2013	04/11/2016 04/11/2016 04/11/2016 04/11/2016	258.35 277.39 277.39 324.58	237.25 238.15 202.06 342.22	0.00 0.00 0.00 0.00	0.00 0.00 0.00 0.00	21.10 39.24 75.33 -17.64	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds



2016 Year-End Account Summary

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As of Date: 02/21/17

Account Number: 6322-4497

KATHLEEN PATTON WESTBY
FOUNDATION LAZARD INT L

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
REXAM PLC NEW ADRCHG SPONSORED ADR 2014 CUSIP: 761655604	25 86404 12 36893 1,76703	01/09/2013 07/01/2013 07/12/2013	06/17/2016 06/17/2016 06/17/2016	1,159.27 554.40 79.21	1,193.30 533.27 73.66	0.00 0.00 0.00	0.00 0.00 0.00	-34.03 21.13 5.55	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	66.00000			\$2,930.59	\$2,819.91	\$0.00	\$0.00	\$110.68	
SOFTBANK GROUP CORP UNSPON ADR CUSIP: 83404D109	39 00000	06/04/2014	07/22/2016	989.84	1,466.29	0.00	0.00	-476.45	Box 6: Gross Proceeds
SUMITOMO MITSUI TRUST HOLDINGS INC SPON ADR CUSIP: 86562X106	10 00000 342 00000	10/11/2013 10/15/2013	04/11/2016 04/11/2016	26.70 913.37	51.30 1,764.00	0.00 0.00	0.00 0.00	-24.60 -850.63	Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	352.00000			\$940.07	\$1,815.30	\$0.00	\$0.00	(\$875.23)	
SWEDBANK AB-ADR CUSIP: 870195104	25 00000 14 00000	04/11/2011 06/23/2011	02/12/2016 02/12/2016	456.10 255.42	465.93 219.01	0.00 0.00	0.00 0.00	-9.83 36.41	Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals	39.00000			\$711.52	\$684.94	\$0.00	\$0.00	\$26.58	
Totals				\$18,775.81	\$21,560.69	\$0.00	\$0.00	(\$2,784.88)	

2016 Year-End Account Summary

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As of Date: 02/21/17

Account Number: 6322-4497

KATHLEEN PATTON WESTBY
FOUNDATION LAZARD INT L

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Noncovered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
ANHEUSER BUSCH INBEV SA/NV-SPONSORED ADR CUSIP: 03524A108	11 00000	11/12/2009	06/17/2016	1,367.23	525.59	0.00	0.00	841.64	Box 6: Gross Proceeds
Totals				\$1,367.23	\$525.59	\$0.00	\$0.00	\$841.64	



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Account Number: 4847-3706
KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
KAYNE ANDERSON 4.25% PFD MLP INV CO PERP SERIES E CUSIP: 486600992	252.00000	03/14/2012	01/15/2016	6,300.00	6,300.00	0.00	0.00	0.00	Box 6: Gross Proceeds Redemption
KAYNE ANDERSON 4.25% PFD MLP INV CO PERP SERIES E CUSIP: 486606502	243.00000	03/14/2012	02/12/2016	6,075.00	6,014.05	0.00	0.00	60.95	Original Basis: 6,075.00 Box 6: Gross Proceeds Redemption
Totals				\$12,375.00	\$12,314.05	\$0.00	\$0.00	\$60.95	

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As of Date: 02/21/17

Account Number: 4647-3706

KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Noncovered Securities (Box 5)

Description (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
MERRILL LYNCH 6.45% PFD CAP TR II DUE 06/15/62 CPN 6.4500% DUE 06/15/2062 CUSIP 59024T203	500.00000	04/25/2007	08/15/2016	12,500.00	12,500.00	0.00	0.00	0.00	Box 6: Gross Proceeds Redemption
Totals				\$12,500.00	\$12,500.00	\$0.00	\$0.00	\$0.00	



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Account Number: 8171-2522

KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount (Box 1i)	Additional Information (Box 1j)
AES CORP CUSIP: 00130H105	702.00000	02/19/2016	04/01/2016	8,084.75	6,591.71	0.00	0.00	1,493.04	Box 6: Gross Proceeds
ABBVIE INC CUSIP: 00287Y109	18.00000	02/19/2016	05/04/2016	1,105.36	974.34	0.00	0.00	131.02	Box 6: Gross Proceeds
	163.00000	02/19/2016	07/06/2016	10,354.24	8,823.19	0.00	0.00	1,531.05	Box 6: Gross Proceeds
	10.00000	04/01/2016	07/06/2016	635.24	572.40	0.00	0.00	62.84	Box 6: Gross Proceeds
Subtotals	191.00000			\$12,094.84	\$10,369.93	\$0.00	\$0.00	\$1,724.91	
AETNA INC(NEW) CUSIP: 00817Y108	17.00000	07/20/2015	05/04/2016	1,929.07	1,905.70	0.00	0.00	23.37	Box 6: Gross Proceeds
	23.00000	12/01/2015	05/04/2016	2,609.94	2,467.21	0.00	0.00	142.73	Box 6: Gross Proceeds
	11.00000	06/01/2016	07/06/2016	1,331.41	1,265.11	0.00	0.00	66.30	Box 6: Gross Proceeds
Subtotals	51.00000			\$5,870.42	\$5,638.02	\$0.00	\$0.00	\$232.40	
ALIBABA GRP HOLDING ADR LTD SPON CUSIP: 01609W102	12.00000	12/01/2015	04/01/2016	941.26	1,008.84	0.00	0.00	-67.58	Box 6: Gross Proceeds
	75.00000	12/01/2015	05/04/2016	5,677.38	6,305.25	0.00	0.00	-627.87	Box 6: Gross Proceeds
	157.00000	02/19/2016	05/04/2016	11,884.66	10,580.21	0.00	0.00	1,304.45	Box 6: Gross Proceeds
Subtotals	244.00000			\$18,503.30	\$17,894.30	\$0.00	\$0.00	\$609.00	
ALLIANCE DATA SYSTEMS CORP CUSIP: 018581108	33.00000	06/01/2016	08/02/2016	7,352.90	7,348.77	0.00	0.00	4.13	Box 6: Gross Proceeds
	3.00000	07/06/2016	08/02/2016	668.45	590.40	0.00	0.00	78.05	Box 6: Gross Proceeds
Subtotals	36.00000			\$8,021.35	\$7,939.17	\$0.00	\$0.00	\$82.18	

2016 Year-End Account Summary

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Account Number: 8171-2522

KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
AMSURG CORP CUSIP: 03232P405	133 00000	12/01/2015	05/04/2016	10,319.24	10,984.39	0.00	0.00	-645.15	Box 6: Gross Proceeds
	14 00000	02/19/2016	05/04/2016	1,086.24	949.20	0.00	0.00	137.04	Box 6: Gross Proceeds
Subtotals	147.00000			\$11,405.48	\$11,913.59	\$0.00	\$0.00	(\$508.11)	
APPLE INC CUSIP: 037833100	6 00000	10/22/2015	04/01/2016	658.61	689.79	0.00	0.00	-31.18	Box 6: Gross Proceeds
	118.00000	10/22/2015	06/01/2016	11,627.46	13,585.87	0.00	0.00	-1,938.41	Box 6: Gross Proceeds
	81 00000	02/19/2016	06/01/2016	7,981.56	7,816.49	0.00	0.00	165.07	Box 6: Gross Proceeds
	23.00000	05/04/2016	06/01/2016	2,266.38	2,184.77	0.00	0.00	81.61	Box 6: Gross Proceeds
Subtotals	228.00000			\$22,534.01	\$24,256.92	\$0.00	\$0.00	(\$1,722.91)	
BIG LOTS INC CUSIP: 089302103	14 00000	02/19/2016	04/01/2016	632.65	530.01	0.00	0.00	102.64	Box 6: Gross Proceeds
	161.00000	02/19/2016	05/04/2016	7,469.55	6,095.09	0.00	0.00	1,374.46	Box 6: Gross Proceeds
Subtotals	175.00000			\$8,102.20	\$6,625.10	\$0.00	\$0.00	\$1,477.10	
BROADCOM CORP CL A CUSIP: 111320107	16 00000	03/25/2015	02/03/2016	823.73	623.30	0.00	0.00	200.43	Original Basis: 630.02 Box 6: Gross Proceeds Merger
BURLINGTON STORES INC CUSIP: 122017106	152 00000	12/01/2015	02/19/2016	8,270.14	7,326.46	0.00	0.00	943.68	Box 6: Gross Proceeds
	12 00000	04/01/2016	05/04/2016	690.70	669.88	0.00	0.00	20.82	Box 6: Gross Proceeds
	248.00000	04/01/2016	06/01/2016	15,358.65	13,844.15	0.00	0.00	1,514.50	Box 6: Gross Proceeds
	12.00000	07/06/2016	08/02/2016	882.34	807.62	0.00	0.00	74.72	Box 6: Gross Proceeds
Subtotals	424.00000			\$25,201.83	\$22,648.11	\$0.00	\$0.00	\$2,553.72	
CSRA INC CUSIP: 12650T104	580 00000	06/01/2016	07/06/2016	13,766.00	14,572.50	0.00	0.00	-806.50	Box 6: Gross Proceeds



2016 Year-End Account Summary

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Account Number: 8171-2522

KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CAMERON INTERNATIONAL CCHG CUSIP: 13342B105	9.00000	06/19/2015	02/19/2016	591.83	493.17	0.00	0.00	108.66	Box 6: Gross Proceeds
	130.00000	06/19/2015	04/04/2016	8,590.13	6,979.11	0.00	0.00	1,611.02	Box 6: Gross Proceeds
	21.00000	07/20/2015	04/04/2016	1,387.64	1,034.04	0.00	0.00	353.60	Box 6: Gross Proceeds
	14.00000	04/01/2016	04/04/2016	925.09	924.42	0.00	0.00	0.67	Box 6: Gross Proceeds
Subtotals	174.00000			\$11,494.69	\$9,420.74	\$0.00	\$0.00	\$2,073.95	
CELGENE CORP CUSIP: 151020104	5.00000	03/25/2015	02/19/2016	513.95	589.30	0.00	0.00	-75.35	Box 6: Gross Proceeds
	2.00000	04/21/2015	02/19/2016	205.58	230.04	0.00	0.00	-24.46	Box 6: Gross Proceeds
	19.00000	12/01/2015	02/19/2016	1,953.01	2,083.35	0.00	0.00	-130.34	Box 6: Gross Proceeds
Subtotals	26.00000			\$2,672.54	\$2,902.69	\$0.00	\$0.00	(\$230.15)	
CENTENE CORP CUSIP: 15135B101	9.00000	07/20/2015	05/04/2016	556.19	673.58	0.00	0.00	-117.39	Box 6: Gross Proceeds
	90.00000	07/20/2015	06/01/2016	5,697.77	6,735.75	0.00	0.00	-1,037.98	Box 6: Gross Proceeds
	25.00000	12/01/2015	06/01/2016	1,582.72	1,475.50	0.00	0.00	107.22	Box 6: Gross Proceeds
Subtotals	124.00000			\$7,836.68	\$8,884.83	\$0.00	\$0.00	(\$1,048.15)	
CITIZENS FINANCIAL GRP INC CUSIP: 174610105	85.00000	07/06/2016	08/02/2016	1,870.81	1,614.15	0.00	0.00	256.66	Box 6: Gross Proceeds
CORELOGIC INC CUSIP: 21871D103	383.00000	08/20/2015	05/04/2016	13,615.35	14,440.07	0.00	0.00	-824.72	Box 6: Gross Proceeds
	35.00000	04/01/2016	05/04/2016	1,244.23	1,220.45	0.00	0.00	23.78	Box 6: Gross Proceeds
Subtotals	418.00000			\$14,859.58	\$15,660.52	\$0.00	\$0.00	(\$800.94)	

2016 Year-End Account Summary

As of Date: 02/21/17

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KATHLEEN PATTON WESTBY
FOUNDATION

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
D R HORTON INC CUSIP: 23331A109	48 00000	06/19/2015	04/01/2016	1,454.85	1,310.38	0.00	0.00	144.47	Box 6: Gross Proceeds
	403.00000	06/19/2015	05/04/2016	12,041.37	11,001.70	0.00	0.00	1,039.67	Box 6: Gross Proceeds
	75 00000	02/19/2016	05/04/2016	2,240.96	1,877.24	0.00	0.00	363.72	Box 6: Gross Proceeds
Subtotals	526.00000			\$15,737.18	\$14,189.32	\$0.00	\$0.00	\$1,547.86	
DEAN FOODS CO NEW CUSIP: 242370203	34.00000	06/19/2015	04/01/2016	585.60	596.02	0.00	0.00	-10.42	Box 6: Gross Proceeds
E*TRADE FINANCIAL CORP CUSIP: 269246401	27 00000	06/01/2016	08/02/2016	664.73	754.92	0.00	0.00	-90.19	Box 6: Gross Proceeds
ELECTRONIC ARTS INC CUSIP: 285512109	31 00000	05/04/2016	06/01/2016	2,380.60	1,925.70	0.00	0.00	454.90	Box 6: Gross Proceeds
ENVISION HEALTHCARE CHG HOLDINGS CUSIP: 29413U103	292 00000	06/01/2016	07/06/2016	7,308.60	7,266.68	0.00	0.00	41.92	Box 6: Gross Proceeds
EVERCORE PARTNERS INC CLASS A CUSIP: 29977A105	127 00000	12/01/2015	06/01/2016	6,614.04	7,101.24	0.00	0.00	-487.20	Box 6: Gross Proceeds
	24.00000	02/19/2016	06/01/2016	1,249.90	1,108.56	0.00	0.00	141.34	Box 6: Gross Proceeds
Subtotals	151.00000			\$7,863.94	\$8,209.80	\$0.00	\$0.00	(\$345.86)	
EXPEDIA INC CUSIP: 30212P303	60 00000	07/20/2015	02/19/2016	6,477.46	6,585.47	0.00	0.00	-108.01	Box 6: Gross Proceeds
FOOT LOCKER INC CUSIP: 344849104	5 00000	04/21/2015	04/01/2016	319.00	300.89	0.00	0.00	18.11	Box 6: Gross Proceeds
HAIN CELESTIAL GROUP INC CUSIP: 405217100	178 00000	02/19/2016	04/01/2016	7,347.16	6,641.23	0.00	0.00	705.93	Box 6: Gross Proceeds



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KATHLEEN PATTON WESTBY
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
HALLIBURTON COMPANY CUSIP: 406216101	166 00000	06/19/2015	02/19/2016	5,169 12	7,403 58	0 00	0 00	-2,234 46	Box 6: Gross Proceeds
	15 00000	07/20/2015	02/19/2016	467 10	614 78	0 00	0 00	-147 68	Box 6: Gross Proceeds
Subtotals	181.00000			\$5,636.22	\$8,018.36	\$0.00	\$0.00	(\$2,382.14)	
HOLLYFRONTIER CORP CUSIP: 436106108	215 00000	04/01/2016	07/06/2016	4,898 51	7,305 70	0 00	0 00	-2,407 19	Box 6: Gross Proceeds
	42 00000	06/01/2016	07/06/2016	956 93	1,186 92	0 00	0 00	-229 99	Box 6: Gross Proceeds
Subtotals	257.00000			\$5,855.44	\$8,492.62	\$0.00	\$0.00	(\$2,637.18)	
HUMANA INC CUSIP: 444859102	3 00000	07/20/2015	04/01/2016	550 37	562 20	0 00	0 00	-11 83	Box 6: Gross Proceeds
	36 00000	07/20/2015	05/04/2016	6,381 22	6,746 40	0 00	0 00	-365 18	Box 6: Gross Proceeds
	4 00000	12/01/2015	05/04/2016	709 03	691 00	0 00	0 00	18 03	Box 6: Gross Proceeds
Subtotals	43.00000			\$7,640.62	\$7,999.60	\$0.00	\$0.00	(\$358.98)	
HUNTINGTON INGALLS INDUSTRIES INC CUSIP: 446413106	6 00000	02/19/2016	06/01/2016	938 80	796 02	0 00	0 00	142 78	Box 6: Gross Proceeds
	13 00000	02/19/2016	07/06/2016	2,235 95	1,724 71	0 00	0 00	511 24	Box 6: Gross Proceeds
Subtotals	19.00000			\$3,174.75	\$2,520.73	\$0.00	\$0.00	\$654.02	
HYATT HOTELS CORP CLASS A CUSIP: 448579102	232 00000	06/01/2016	07/06/2016	11,361 25	10,952 77	0 00	0 00	408 48	Box 6: Gross Proceeds
ING GROEP N V SPON ADR CUSIP: 456837103	92 00000	12/01/2015	05/04/2016	1,090 56	1,268 68	0 00	0 00	-178 12	Box 6: Gross Proceeds
	46 00000	02/19/2016	05/04/2016	545 29	526 24	0 00	0 00	19 05	Box 6: Gross Proceeds
Subtotals	138.00000			\$1,635.85	\$1,794.92	\$0.00	\$0.00	(\$159.07)	

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KATHLEEN PATTON WESTBY
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
JANUS CAPITAL GROUP INC CUSIP: 47102X105	467 00000	08/20/2015	02/19/2016	5,829.94	7,233.21	0.00	0.00	-1,403.27	Box 6: Gross Proceeds
JUNIPER NETWORK INC CUSIP: 48203R104	270.00000	02/19/2016	06/01/2016	6,281.41	6,571.80	0.00	0.00	-290.39	Box 6: Gross Proceeds
	43.00000	05/04/2016	06/01/2016	1,000.38	976.10	0.00	0.00	24.28	Box 6: Gross Proceeds
Subtotals	313.00000			\$7,281.79	\$7,547.90	\$0.00	\$0.00	(\$266.11)	
KLA-TENCOR CORP CUSIP: 482480100	18 00000	12/01/2015	02/19/2016	1,191.57	1,219.68	0.00	0.00	-28.11	Box 6: Gross Proceeds
	199 00000	12/01/2015	05/04/2016	13,881.98	13,484.24	0.00	0.00	397.74	Box 6: Gross Proceeds
Subtotals	217.00000			\$15,073.55	\$14,703.92	\$0.00	\$0.00	\$369.63	
KNOLL INC CUSIP: 498904200	444 00000	05/14/2015	02/19/2016	8,163.29	10,241.14	0.00	0.00	-2,077.85	Box 6: Gross Proceeds
	48 00000	12/01/2015	02/19/2016	882.52	1,077.60	0.00	0.00	-195.08	Box 6: Gross Proceeds
Subtotals	492.00000			\$9,045.81	\$11,318.74	\$0.00	\$0.00	(\$2,272.93)	
KOREA ELEC PWR CORP SPONSORED ADR CUSIP: 500631106	285 00000	04/01/2016	05/04/2016	7,535.27	7,272.06	0.00	0.00	263.21	Box 6: Gross Proceeds
KORN FERRY INTL CUSIP: 500643200	30 00000	02/19/2016	04/01/2016	840.52	840.30	0.00	0.00	0.22	Box 6: Gross Proceeds
LAM RESEARCH CORP CUSIP: 512807108	10 00000	12/01/2015	04/01/2016	828.58	791.60	0.00	0.00	36.98	Box 6: Gross Proceeds
	176.00000	12/01/2015	05/04/2016	13,391.55	13,932.14	0.00	0.00	-540.59	Box 6: Gross Proceeds
Subtotals	186.00000			\$14,220.13	\$14,723.74	\$0.00	\$0.00	(\$503.61)	
LITHIA MTRS INC CLA CUSIP: 536797103	59 00000	10/22/2015	05/04/2016	4,936.42	6,756.30	0.00	0.00	-1,819.88	Box 6: Gross Proceeds
	18 00000	02/19/2016	05/04/2016	1,506.03	1,538.64	0.00	0.00	-32.61	Box 6: Gross Proceeds
	9 00000	04/01/2016	05/04/2016	753.02	758.88	0.00	0.00	-5.86	Box 6: Gross Proceeds
Subtotals	86.00000			\$7,195.47	\$9,053.82	\$0.00	\$0.00	(\$1,858.35)	



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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
MASCO CORP CUSIP: 574599106	48 00000	07/20/2015	05/04/2016	1,472.35	1,107.36	0.00	0.00	364.99	Box 6: Gross Proceeds
	224 00000	12/01/2015	05/04/2016	6,870.98	6,767.71	0.00	0.00	103.27	Box 6: Gross Proceeds
Subtotals	272.00000			\$8,343.33	\$7,875.07	\$0.00	\$0.00	\$468.26	
MAXIMUS INC CUSIP: 577933104	216 00000	05/14/2015	02/19/2016	10,257.46	13,938.45	0.00	0.00	-3,680.99	Box 6: Gross Proceeds
	19 00000	08/20/2015	02/19/2016	902.27	1,163.07	0.00	0.00	-260.80	Box 6: Gross Proceeds
	24 00000	12/01/2015	02/19/2016	1,139.73	1,362.24	0.00	0.00	-222.51	Box 6: Gross Proceeds
Subtotals	259.00000			\$12,299.46	\$16,463.76	\$0.00	\$0.00	(\$4,164.30)	
MOLINA HEALTHCARE INC CUSIP: 60855R100	10 00000	12/01/2015	02/19/2016	591.49	621.00	0.00	0.00	-29.51	Box 6: Gross Proceeds
	167 00000	12/01/2015	05/04/2016	7,900.62	10,370.70	0.00	0.00	-2,470.08	Box 6: Gross Proceeds
Subtotals	177.00000			\$8,492.11	\$10,991.70	\$0.00	\$0.00	(\$2,499.59)	
MORGAN STANLEY & CO CUSIP: 617446448	26 00000	08/20/2015	05/04/2016	690.07	947.33	0.00	0.00	-257.26	Box 6: Gross Proceeds
	22 00000	12/01/2015	05/04/2016	583.91	773.96	0.00	0.00	-190.05	Box 6: Gross Proceeds
	127 00000	02/19/2016	05/04/2016	3,370.76	3,067.70	0.00	0.00	303.06	Box 6: Gross Proceeds
	25 00000	04/01/2016	05/04/2016	663.54	638.75	0.00	0.00	24.79	Box 6: Gross Proceeds
Subtotals	200.00000			\$5,308.28	\$5,427.74	\$0.00	\$0.00	(\$119.46)	
NAVIENT CORP CUSIP: 63938C108	408 00000	10/22/2015	02/19/2016	4,023.20	5,367.28	0.00	0.00	-1,344.08	Box 6: Gross Proceeds
	203 00000	12/01/2015	02/19/2016	2,001.74	2,433.28	0.00	0.00	-431.54	Box 6: Gross Proceeds
Subtotals	611.00000			\$6,024.94	\$7,800.56	\$0.00	\$0.00	(\$1,775.62)	
NETEASE INC ADR CUSIP: 64110W102	102 00000	05/04/2016	06/01/2016	17,900.61	14,092.83	0.00	0.00	3,807.78	Box 6: Gross Proceeds

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
NICE LTD ADR CUSIP 653656108	10 00000	08/20/2015	02/19/2016	594.09	649.29	0.00	0.00	-55.20	Box 6: Gross Proceeds
	156 00000	08/20/2015	05/04/2016	9,851.18	10,128.89	0.00	0.00	-277.71	Box 6: Gross Proceeds
	11 00000	12/01/2015	05/04/2016	694.64	685.74	0.00	0.00	8.90	Box 6: Gross Proceeds
Subtotals	177.00000			\$11,139.91	\$11,463.92	\$0.00	\$0.00	(\$324.01)	
PACKAGING CORP OF AMER CUSIP 695156109	9.00000	07/06/2016	08/02/2016	662.66	607.98	0.00	0.00	54.68	Box 6: Gross Proceeds
PAYPAL HOLDINGS INC CUSIP 70450Y103	371.00000	05/04/2016	06/01/2016	14,200.46	14,246.33	0.00	0.00	-45.87	Box 6: Gross Proceeds
PHILLIPS 66 CUSIP 718546104	1.00000	04/21/2015	04/01/2016	85.71	79.30	0.00	0.00	6.41	Box 6: Gross Proceeds
RITE AID CORPORATION CUSIP 767754104	892.00000	04/01/2016	05/04/2016	7,155.46	7,269.71	0.00	0.00	-114.25	Box 6: Gross Proceeds
SANOFI ADR CUSIP 80105N105	149 00000	10/22/2015	06/01/2016	6,138.66	7,449.37	0.00	0.00	-1,310.71	Box 6: Gross Proceeds
	100.00000	12/01/2015	06/01/2016	4,119.91	4,426.84	0.00	0.00	-306.93	Box 6: Gross Proceeds
	21 00000	04/01/2016	06/01/2016	865.19	850.52	0.00	0.00	14.67	Box 6: Gross Proceeds
Subtotals	270.00000			\$11,123.76	\$12,726.73	\$0.00	\$0.00	(\$1,602.97)	
SCHLUMBERGER LTD CUSIP 806857108	0 14000	04/04/2016	04/04/2016	10.15	10.10	0.00	0.00	0.05	Box 6: Gross Proceeds Cash in Lieu
	118 00000	04/04/2016	05/04/2016	9,064.47	8,510.16	0.00	0.00	554.31	Box 6: Gross Proceeds
Subtotals	118.14000			\$9,074.62	\$8,520.26	\$0.00	\$0.00	\$554.36	
SEAWORLD ENTERTAINMENT INC CUSIP: 81282V100	361.00000	05/04/2016	06/01/2016	6,239.42	7,061.12	0.00	0.00	-821.70	Box 6: Gross Proceeds



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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SELECT SECTOR SPDR FD MATERIALS CUSIP: 81369Y100	15.00000	08/20/2015	08/02/2016	723.21	669.00	0.00	0.00	54.21	Box 6: Gross Proceeds
	1.00000	06/01/2016	08/02/2016	48.22	47.06	0.00	0.00	1.16	Box 6: Gross Proceeds
Subtotals	16.00000			\$771.43	\$716.06	\$0.00	\$0.00	\$55.37	
SELECT SECTOR SPDR FD HEALTH CARE CUSIP: 81369Y209	9.00000	02/19/2016	05/04/2016	626.21	593.52	0.00	0.00	32.69	Box 6: Gross Proceeds
	23.00000	02/19/2016	07/06/2016	1,677.35	1,516.76	0.00	0.00	160.59	Box 6: Gross Proceeds
	168.00000	02/19/2016	08/02/2016	12,603.67	11,078.90	0.00	0.00	1,524.77	Box 6: Gross Proceeds
	13.00000	04/01/2016	08/02/2016	975.28	888.29	0.00	0.00	86.99	Box 6: Gross Proceeds
	12.00000	06/01/2016	08/02/2016	900.27	859.64	0.00	0.00	40.63	Box 6: Gross Proceeds
Subtotals	225.00000			\$16,782.78	\$14,937.11	\$0.00	\$0.00	\$1,845.67	
INDUSTRIAL SELECT ETF SECTOR SPDR CUSIP: 81369Y704	120.00000	05/04/2016	08/02/2016	6,886.67	6,671.46	0.00	0.00	215.21	Box 6: Gross Proceeds
	9.00000	06/01/2016	08/02/2016	516.51	503.60	0.00	0.00	12.91	Box 6: Gross Proceeds
Subtotals	129.00000			\$7,403.18	\$7,175.06	\$0.00	\$0.00	\$228.12	
SECTOR SPDR TR ETF TECHNOLOGY SELECT SECTOR CUSIP: 81369Y803	43.00000	08/20/2015	08/02/2016	1,984.12	1,780.84	0.00	0.00	203.28	Box 6: Gross Proceeds
	12.00000	04/01/2016	08/02/2016	553.71	534.00	0.00	0.00	19.71	Box 6: Gross Proceeds
	203.00000	05/04/2016	08/02/2016	9,386.94	8,523.77	0.00	0.00	863.17	Box 6: Gross Proceeds
	159.00000	06/01/2016	08/02/2016	7,336.67	7,009.66	0.00	0.00	327.01	Box 6: Gross Proceeds
Subtotals	417.00000			\$19,241.44	\$17,848.27	\$0.00	\$0.00	\$1,393.17	
SONY CORP ADR NEW CUSIP: 835698307	246.00000	06/19/2015	05/04/2016	5,924.57	7,349.81	0.00	0.00	-1,425.24	Box 6: Gross Proceeds
	18.00000	07/20/2015	05/04/2016	433.50	506.32	0.00	0.00	-72.82	Box 6: Gross Proceeds
	34.00000	02/19/2016	05/04/2016	818.86	750.38	0.00	0.00	68.48	Box 6: Gross Proceeds
Subtotals	298.00000			\$7,176.93	\$8,606.51	\$0.00	\$0.00	(\$1,429.58)	

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SOUTHWEST AIRLINES CO CUSIP: 844741108	45 00000	06/19/2015	06/01/2016	1,915.83	1,524.60	0.00	0.00	391.23	Box 6: Gross Proceeds
	176 00000	05/04/2016	06/01/2016	7,493.05	7,421.74	0.00	0.00	71.31	Box 6: Gross Proceeds
Subtotals	221.00000			\$9,408.88	\$8,946.34	\$0.00	\$0.00	\$462.54	
SPECTRA ENERGY CORP CUSIP: 847560109	233 00000	02/19/2016	05/04/2016	7,037.62	6,616.20	0.00	0.00	421.42	Box 6: Gross Proceeds
SPROUTS FARMERS MARKETS INC CUSIP: 85208M102	288.00000	06/01/2016	07/06/2016	6,622.28	7,299.80	0.00	0.00	-677.52	Box 6: Gross Proceeds
STEEL DYNAMICS INC CUSIP: 858119100	50 00000	07/20/2015	05/04/2016	1,246.52	946.51	0.00	0.00	300.01	Box 6: Gross Proceeds
	57 00000	12/01/2015	05/04/2016	1,421.05	996.93	0.00	0.00	424.12	Box 6: Gross Proceeds
Subtotals	107.00000			\$2,667.57	\$1,943.44	\$0.00	\$0.00	\$724.13	
UNITED RENTALS INC CUSIP: 911363109	28 00000	12/01/2015	04/01/2016	1,695.36	2,179.11	0.00	0.00	-483.75	Box 6: Gross Proceeds
	114.00000	12/01/2015	05/04/2016	7,272.38	8,872.08	0.00	0.00	-1,599.70	Box 6: Gross Proceeds
	67 00000	02/19/2016	05/04/2016	4,274.12	3,187.12	0.00	0.00	1,087.00	Box 6: Gross Proceeds
Subtotals	209.00000			\$13,241.86	\$14,238.31	\$0.00	\$0.00	(\$996.45)	
WNS HOLDINGS LTD ADR CUSIP: 92932M101	589.00000	06/01/2016	07/06/2016	15,644.68	18,141.14	0.00	0.00	-2,496.46	Box 6: Gross Proceeds
WESCO INTERNATIONAL INC CUSIP: 95082P105	10 00000	06/01/2016	08/02/2016	549.29	592.80	0.00	0.00	-43.51	Box 6: Gross Proceeds
WESTLAKE CHEMICAL CORP CUSIP: 960413102	143.00000	05/04/2016	06/01/2016	6,486.34	7,202.50	0.00	0.00	-716.16	Box 6: Gross Proceeds



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WHIRLPOOL CORP CUSIP 963320106	93 00000	02/19/2016	04/01/2016	17,022.36	13,170.65	0.00	0.00	3,851.71	Box 6: Gross Proceeds
ALLERGAN PLC CUSIP G0177J108	5 00000	05/04/2016	06/01/2016	1,215.32	1,067.50	0.00	0.00	147.82	Box 6: Gross Proceeds
MICHAEL KORS HOLDINGS LTD CUSIP G60754101	257 00000	10/22/2015	02/19/2016	13,607.85	10,208.04	0.00	0.00	3,399.81	Box 6: Gross Proceeds
NORWEGIAN CRUISE LINE HOLDINGS LTD CUSIP G66721104	21 00000 134 00000 153 00000 25 00000 38 00000 371.00000	02/19/2016 02/19/2016 05/04/2016 06/01/2016 07/06/2016	04/01/2016 08/02/2016 08/02/2016 08/02/2016 08/02/2016	1,138.60 5,359.89 6,119.88 999.98 1,519.98 \$15,138.33	893.76 5,703.04 7,553.00 1,163.13 1,541.07 \$16,854.00	0.00 0.00 0.00 0.00 0.00 \$0.00	0.00 0.00 0.00 0.00 0.00 \$0.00	244.84 -343.15 -1,433.12 -163.15 -21.09 (\$1,715.67)	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals				\$15,138.33	\$16,854.00	\$0.00	\$0.00	(\$1,715.67)	
SIGNET JEWELERS LTD CUSIP G81276100	59 00000	04/01/2016	05/04/2016	6,473.93	7,273.52	0.00	0.00	-799.59	Box 6: Gross Proceeds
MYLAN NV CUSIP N59465109	278 00000 13 00000 17 00000 25 00000 333 00000	12/01/2015 02/19/2016 04/01/2016 05/04/2016	06/01/2016 06/01/2016 06/01/2016 06/01/2016	12,360.72 578.02 755.87 1,111.58 \$14,806.19	14,786.82 592.02 804.10 1,061.25 \$17,244.19	0.00 0.00 0.00 0.00 \$0.00	0.00 0.00 0.00 0.00 \$0.00	-2,426.10 -14.00 -48.23 50.33 (\$2,438.00)	Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds
Subtotals				\$14,806.19	\$17,244.19	\$0.00	\$0.00	(\$2,438.00)	
BROADCOM LTD CUSIP Y09827109	0 07558 0 31220 3 00000 5 00000	03/25/2015 03/25/2015 05/14/2015	02/03/2016 02/19/2016 02/19/2016 04/01/2016	9.91 40.00 384.42 781.93	10.27 42.40 375.61 626.02	0.00 0.00 0.00 0.00	0.00 0.00 0.00 0.00	-0.36 -2.40 8.81 155.91	Box 6: Gross Proceeds Cash in Lieu Box 6: Gross Proceeds Box 6: Gross Proceeds Box 6: Gross Proceeds

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

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BROADCOM LTD	4 00000	07/20/2015	06/01/2016	619.14	538.48	0.00	0.00	80.66	Box 6: Gross Proceeds
CUSIP Y09827109	6 00000	08/20/2015	06/01/2016	928.73	709.68	0.00	0.00	219.05	Box 6: Gross Proceeds
Subtotals	18.38778			\$2,764.13	\$2,302.46	\$0.00	\$0.00	\$461.67	
Totals				\$626,266.21	\$633,509.21	\$0.00	\$0.00	(\$7,243.00)	



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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Noncovered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
LAZARD LTD CUSIP G54050102	24 00000	08/20/2015	08/02/2016	817.67	1,249.63	0.00	0.00	-431.96	Box 6: Gross Proceeds
	46 00000	12/01/2015	08/02/2016	1,567.20	2,140.84	0.00	0.00	-573.64	Box 6: Gross Proceeds
	131.00000	02/19/2016	08/02/2016	4,463.12	4,130.42	0.00	0.00	332.70	Box 6: Gross Proceeds
	48.00000	05/04/2016	08/02/2016	1,635.34	1,682.40	0.00	0.00	-47.06	Box 6: Gross Proceeds
	90 00000	07/06/2016	08/02/2016	3,066.27	2,653.19	0.00	0.00	413.08	Box 6: Gross Proceeds
Subtotals	339.00000			\$11,549.60	\$11,856.48	\$0.00	\$0.00	(\$306.88)	
Totals				\$11,549.60	\$11,856.48	\$0.00	\$0.00	(\$306.88)	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AETNA INC(NEW) CUSIP. 00817Y108	2 00000	11/02/2011	02/19/2016	206 71	79 16	0 00	0 00	127 55	Box 6: Gross Proceeds
	5 00000	06/05/2012	02/19/2016	516 79	208 45	0 00	0 00	308 34	Box 6: Gross Proceeds
	6 00000	07/02/2012	02/19/2016	620 15	233 92	0 00	0 00	386 23	Box 6: Gross Proceeds
	18 00000	07/02/2012	05/04/2016	2,042 54	701 74	0 00	0 00	1,340 80	Box 6: Gross Proceeds
	23 00000	08/07/2012	05/04/2016	2,609 91	849 52	0 00	0 00	1,760 39	Box 6: Gross Proceeds
	37 00000	01/18/2013	05/04/2016	4,198 56	1,736 04	0 00	0 00	2,462 52	Box 6: Gross Proceeds
	1 00000	03/12/2013	05/04/2016	113 47	50 60	0 00	0 00	62 87	Box 6: Gross Proceeds
	6 00000	08/08/2013	05/04/2016	680 84	382 56	0 00	0 00	298 28	Box 6: Gross Proceeds
	2 00000	10/04/2013	05/04/2016	226 95	130 70	0 00	0 00	96 25	Box 6: Gross Proceeds
	15 00000	11/11/2013	05/04/2016	1,702 12	956 19	0 00	0 00	745 93	Box 6: Gross Proceeds
	2 00000	01/07/2014	05/04/2016	226 95	136 58	0 00	0 00	90 37	Box 6: Gross Proceeds
	2 00000	04/02/2014	05/04/2016	226 95	149 78	0 00	0 00	77 17	Box 6: Gross Proceeds
	10 00000	08/08/2014	05/04/2016	1,134 75	757 87	0 00	0 00	376 88	Box 6: Gross Proceeds
	2 00000	10/22/2014	05/04/2016	226 95	157 00	0 00	0 00	69 95	Box 6: Gross Proceeds
	1 00000	04/21/2015	05/04/2016	113 47	108 56	0 00	0 00	4 91	Box 6: Gross Proceeds
Subtotals	132.00000			\$14,847.11	\$6,638.67	\$0.00	\$0.00	\$8,208.44	
ALASKA AIR GROUP INC CUSIP. 011659109	147 00000	07/01/2014	05/04/2016	10,224 36	7,071 12	0 00	0 00	3,153 24	Box 6: Gross Proceeds
	27 00000	08/08/2014	05/04/2016	1,877 94	1,150 32	0 00	0 00	727 62	Box 6: Gross Proceeds
	6 00000	03/25/2015	05/04/2016	417 32	392 74	0 00	0 00	24 58	Box 6: Gross Proceeds
	3 00000	04/21/2015	05/04/2016	208 67	193 19	0 00	0 00	15 48	Box 6: Gross Proceeds
Subtotals	183.00000			\$12,728.29	\$8,807.37	\$0.00	\$0.00	\$3,920.92	
BROADCOM CORP CL A CUSIP. 111320107	189 00000	08/08/2014	02/03/2016	9,730 28	6,286 91	0 00	0 00	3,443.37	Original Basis 6,392 75 Box 6: Gross Proceeds Merger



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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold (Box 1b)	Date Acquired (Box 1c)	Date Sold or Disposed (Box 1d)	Proceeds (Box 1e)	Cost or Other Basis (Box 1f)	Accrued Market Discount (Box 1g)	Wash Sale Loss Disallowed (Box 1h)	Gain/Loss Amount	Additional Information
CELGENE CORP CUSIP: 151020104	63 00000	03/11/2014	02/19/2016	6,475 75	4,977 22	0.00	0.00	1,498 53	Box 6: Gross Proceeds
	12 00000	04/02/2014	02/19/2016	1,233 47	883 74	0.00	0.00	349 73	Box 6: Gross Proceeds
Subtotals	75.00000			\$7,709.22	\$5,860.96	\$0.00	\$0.00	\$1,848.26	
DEAN FOODS CO NEW CUSIP: 242370203	68 00000	02/10/2015	02/19/2016	1,408 26	1,086 55	0.00	0.00	321 71	Box 6: Gross Proceeds
	287 00000	02/10/2015	04/01/2016	4,943 15	4,585 83	0.00	0.00	357 32	Box 6: Gross Proceeds
Subtotals	355.00000			\$6,351.41	\$5,672.38	\$0.00	\$0.00	\$679.03	
EVERCORE PARTNERS INC CLASS A CUSIP: 29977A105	126 00000	02/10/2015	06/01/2016	6,561 95	6,534 28	0.00	0.00	27 67	Box 6: Gross Proceeds
	1 00000	03/25/2015	06/01/2016	52 07	52 48	0.00	0.00	-0 41	Box 6: Gross Proceeds
	8 00000	04/21/2015	06/01/2016	416 63	398 08	0.00	0.00	18 55	Box 6: Gross Proceeds
Subtotals	135.00000			\$7,030.65	\$6,984.84	\$0.00	\$0.00	\$45.81	
FOOT LOCKER INC CUSIP: 344849104	85 00000	03/11/2014	04/01/2016	5,422 88	3,930 88	0.00	0.00	1,492 00	Box 6: Gross Proceeds
	2 00000	05/07/2014	04/01/2016	127 59	93 37	0.00	0.00	34 22	Box 6: Gross Proceeds
	3 00000	11/20/2014	04/01/2016	191 39	169 65	0.00	0.00	21 74	Box 6: Gross Proceeds
	11 00000	02/10/2015	04/01/2016	701 80	583 99	0.00	0.00	117 81	Box 6: Gross Proceeds
Subtotals	101.00000			\$6,443.66	\$4,777.89	\$0.00	\$0.00	\$1,665.77	
ING GROEP N V SPON ADR CUSIP: 456837103	441 00000	04/21/2015	05/04/2016	5,227 58	6,511 70	0.00	0.00	-1,284.12	Box 6: Gross Proceeds
ISHARES ETF U S TELECOMMUNICATIONS CUSIP: 464287713	18 00000	01/18/2013	04/01/2016	555 01	438 42	0.00	0.00	116 59	Box 6: Gross Proceeds
	21 00000	01/18/2013	05/04/2016	658 55	511 48	0.00	0.00	147 07	Box 6: Gross Proceeds
	24 00000	01/18/2013	07/06/2016	793 42	584 55	0.00	0.00	208 87	Box 6: Gross Proceeds
Subtotals	63.00000			\$2,006.98	\$1,534.45	\$0.00	\$0.00	\$472.53	

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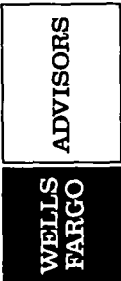
KATHLEEN PATTON WESTBY
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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
KORN FERRY INTL CUSIP: 500643200	125.00000	11/11/2013	04/01/2016	3,502.09	2,943.13	0.00	0.00	558.96	Box 6: Gross Proceeds
	25.00000	02/06/2014	04/01/2016	700.42	566.63	0.00	0.00	133.79	Box 6: Gross Proceeds
	11.00000	05/07/2014	04/01/2016	308.18	313.87	0.00	0.00	-5.69	Box 6: Gross Proceeds
	3.00000	07/01/2014	04/01/2016	84.05	89.79	0.00	0.00	-5.74	Box 6: Gross Proceeds
	15.00000	09/17/2014	04/01/2016	420.25	434.70	0.00	0.00	-14.45	Box 6: Gross Proceeds
	7.00000	10/22/2014	04/01/2016	196.11	186.62	0.00	0.00	9.49	Box 6: Gross Proceeds
	20.00000	11/20/2014	04/01/2016	560.34	521.40	0.00	0.00	38.94	Box 6: Gross Proceeds
Subtotals	206.00000			\$5,771.44	\$5,056.14	\$0.00	\$0.00	\$715.30	
MASCO CORP CUSIP: 574599106	27.00000	09/17/2014	04/01/2016	855.88	588.99	0.00	0.00	266.89	Box 6: Gross Proceeds
	161.00000	09/17/2014	05/04/2016	4,938.50	3,512.07	0.00	0.00	1,426.43	Box 6: Gross Proceeds
	9.00000	10/22/2014	05/04/2016	276.06	182.14	0.00	0.00	93.92	Box 6: Gross Proceeds
	4.00000	11/20/2014	05/04/2016	122.69	84.34	0.00	0.00	38.35	Box 6: Gross Proceeds
	12.00000	03/25/2015	05/04/2016	368.08	279.31	0.00	0.00	88.77	Box 6: Gross Proceeds
Subtotals	213.00000			\$6,561.21	\$4,646.85	\$0.00	\$0.00	\$1,914.36	
MORGAN STANLEY & CO CUSIP: 617446448	93.00000	11/11/2013	05/04/2016	2,468.34	2,782.54	0.00	0.00	-314.20	Box 6: Gross Proceeds
	6.00000	02/06/2014	05/04/2016	159.24	177.96	0.00	0.00	-18.72	Box 6: Gross Proceeds
	6.00000	04/02/2014	05/04/2016	159.24	189.06	0.00	0.00	-29.82	Box 6: Gross Proceeds
	230.00000	05/07/2014	05/04/2016	6,104.50	6,818.63	0.00	0.00	-714.13	Box 6: Gross Proceeds
	2.00000	11/20/2014	05/04/2016	53.08	70.32	0.00	0.00	-17.24	Box 6: Gross Proceeds
	18.00000	02/10/2015	05/04/2016	477.74	647.38	0.00	0.00	-169.64	Box 6: Gross Proceeds
	15.00000	03/25/2015	05/04/2016	398.12	532.95	0.00	0.00	-134.83	Box 6: Gross Proceeds
Subtotals	370.00000			\$9,820.26	\$11,218.84	\$0.00	\$0.00	(\$1,398.58)	



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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
PHILLIPS 66 CUSIP: 718546104	79.00000	03/25/2015	04/01/2016	6,770.95	6,292.99	0.00	0.00	477.96	Box 6: Gross Proceeds
SELECT SECTOR SPDR FD MATERIALS CUSIP: 81369Y100	94.00000	08/07/2012	08/02/2016	4,532.04	3,363.32	0.00	0.00	1,168.72	Box 6: Gross Proceeds
	1.00000	12/04/2012	08/02/2016	48.21	36.08	0.00	0.00	12.13	Box 6: Gross Proceeds
	18.00000	01/16/2013	08/02/2016	867.84	703.08	0.00	0.00	164.76	Box 6: Gross Proceeds
	4.00000	02/08/2013	08/02/2016	192.85	157.24	0.00	0.00	35.61	Box 6: Gross Proceeds
	5.00000	04/08/2013	08/02/2016	241.06	191.74	0.00	0.00	49.32	Box 6: Gross Proceeds
	6.00000	07/08/2013	08/02/2016	289.28	233.70	0.00	0.00	55.58	Box 6: Gross Proceeds
	2.00000	01/07/2014	08/02/2016	96.42	90.67	0.00	0.00	5.75	Box 6: Gross Proceeds
	2.00000	06/12/2014	08/02/2016	96.42	98.24	0.00	0.00	-1.82	Box 6: Gross Proceeds
	3.00000	09/17/2014	08/02/2016	144.64	151.44	0.00	0.00	-6.80	Box 6: Gross Proceeds
	5.00000	01/09/2015	08/02/2016	241.07	244.00	0.00	0.00	-2.93	Box 6: Gross Proceeds
	7.00000	03/25/2015	08/02/2016	337.50	342.02	0.00	0.00	-4.52	Box 6: Gross Proceeds
Subtotals	147.00000			\$7,087.33	\$5,611.53	\$0.00	\$0.00	\$1,475.80	
SELECT SECTOR SPDR TR CONSUMER STAPLES CUSIP: 81369Y308	161.00000	01/16/2013	02/19/2016	8,185.06	5,837.07	0.00	0.00	2,347.99	Box 6: Gross Proceeds
	201.00000	04/08/2013	02/19/2016	10,218.61	8,037.19	0.00	0.00	2,181.42	Box 6: Gross Proceeds
	43.00000	05/07/2013	02/19/2016	2,186.08	1,771.02	0.00	0.00	415.06	Box 6: Gross Proceeds
	12.00000	05/07/2013	05/04/2016	633.47	494.24	0.00	0.00	139.23	Box 6: Gross Proceeds
	119.00000	05/07/2013	06/01/2016	6,319.36	4,901.19	0.00	0.00	1,418.17	Box 6: Gross Proceeds
	39.00000	05/07/2013	08/02/2016	2,123.68	1,606.27	0.00	0.00	517.41	Box 6: Gross Proceeds
	36.00000	06/10/2013	08/02/2016	1,960.32	1,464.67	0.00	0.00	495.65	Box 6: Gross Proceeds
	14.00000	07/08/2013	08/02/2016	762.34	565.70	0.00	0.00	196.64	Box 6: Gross Proceeds
	129.00000	08/08/2013	08/02/2016	7,024.50	5,360.86	0.00	0.00	1,663.64	Box 6: Gross Proceeds
Subtotals	754.00000			\$39,413.42	\$30,038.21	\$0.00	\$0.00	\$9,375.21	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SELECT SECTOR SPDR FD CONSUMER DISCRETIONARY CUSIP 81369Y407	9 00000	04/12/2012	05/04/2016	715 21	400.92	0.00	0.00	314.29	Box 6: Gross Proceeds
	48 00000	04/12/2012	07/06/2016	3,777 99	2,138 22	0.00	0.00	1,639 77	Box 6: Gross Proceeds
	3 00000	08/07/2012	07/06/2016	236.12	134 54	0.00	0.00	101 58	Box 6: Gross Proceeds
	82 00000	10/03/2012	07/06/2016	6,454 08	3,843 87	0.00	0.00	2,610 21	Box 6: Gross Proceeds
	3 00000	11/06/2012	07/06/2016	236 12	140 16	0.00	0.00	95 96	Box 6: Gross Proceeds
	7 00000	01/07/2013	07/06/2016	550 95	339 33	0.00	0.00	211 62	Box 6: Gross Proceeds
	70 00000	01/18/2013	07/06/2016	5,509 58	3,468 26	0.00	0.00	2,041 32	Box 6: Gross Proceeds
	6 00000	02/08/2013	07/06/2016	472 25	304 38	0.00	0.00	167 87	Box 6: Gross Proceeds
	2 00000	06/10/2013	07/06/2016	157 41	113.60	0.00	0.00	43.81	Box 6: Gross Proceeds
	2 00000	08/08/2013	07/06/2016	157 41	120 16	0.00	0.00	37.25	Box 6: Gross Proceeds
	2 00000	09/09/2013	07/06/2016	157 41	118 36	0.00	0.00	39 05	Box 6: Gross Proceeds
	1 00000	11/11/2013	07/06/2016	78 70	63 34	0.00	0.00	15 36	Box 6: Gross Proceeds
	2 00000	01/07/2014	07/06/2016	157 41	132 26	0.00	0.00	25 15	Box 6: Gross Proceeds
	5 00000	02/06/2014	07/06/2016	393 54	316.20	0.00	0.00	77 34	Box 6: Gross Proceeds
	9 00000	04/02/2014	07/06/2016	708 38	595 31	0.00	0.00	113 07	Box 6: Gross Proceeds
	9 00000	05/07/2014	07/06/2016	708 38	568 13	0.00	0.00	140 25	Box 6: Gross Proceeds
	7 00000	09/17/2014	07/06/2016	550 96	479 15	0.00	0.00	71 81	Box 6: Gross Proceeds
	25 00000	06/19/2015	07/06/2016	1,967 75	1,942.15	0.00	0.00	25.60	Box 6: Gross Proceeds
Subtotals	292.00000			\$22,989.65	\$15,218.34	\$0.00	\$0.00	\$7,771.31	
SELECT SECTOR SPDR FD TR FINANCIAL CUSIP 81369Y605	173 00000	11/02/2011	02/19/2016	3,639 84	2,265 83	0.00	0.00	1,374 01	Box 6: Gross Proceeds
	59 00000	11/02/2011	07/06/2016	1,326 52	772 73	0.00	0.00	553 79	Box 6: Gross Proceeds
	50 00000	11/28/2011	07/06/2016	1,124 17	601 32	0.00	0.00	522 85	Box 6: Gross Proceeds
	271 00000	06/05/2012	07/06/2016	6,093 03	3,679 23	0.00	0.00	2,413 80	Box 6: Gross Proceeds
	7 00000	08/07/2012	07/06/2016	157 38	104 98	0.00	0.00	52 40	Box 6: Gross Proceeds
	14 00000	12/04/2012	07/06/2016	314 76	219 22	0.00	0.00	95 54	Box 6: Gross Proceeds
	135.00000	01/18/2013	07/06/2016	3,035 28	2,299.77	0.00	0.00	735.51	Box 6: Gross Proceeds



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SELECT SECTOR SPDR ETF TR FINANCIAL CUSIP: 81369Y605	2 00000	02/08/2013	07/06/2016	44.96	35.22	0.00	0.00	9.74	Box 6: Gross Proceeds
	6 00000	04/08/2013	07/06/2016	134.90	108.71	0.00	0.00	26.19	Box 6: Gross Proceeds
	6 00000	07/08/2013	07/06/2016	134.90	120.00	0.00	0.00	14.90	Box 6: Gross Proceeds
	17 00000	08/08/2013	07/06/2016	382.22	346.65	0.00	0.00	35.57	Box 6: Gross Proceeds
	10 00000	09/09/2013	07/06/2016	224.83	199.78	0.00	0.00	25.05	Box 6: Gross Proceeds
	10 00000	10/04/2013	07/06/2016	224.83	199.76	0.00	0.00	25.07	Box 6: Gross Proceeds
	3 00000	01/07/2014	07/06/2016	67.45	65.64	0.00	0.00	1.81	Box 6: Gross Proceeds
	15 00000	02/06/2014	07/06/2016	337.25	313.74	0.00	0.00	23.51	Box 6: Gross Proceeds
	7 00000	04/02/2014	07/06/2016	157.38	157.36	0.00	0.00	0.02	Box 6: Gross Proceeds
	9 00000	05/07/2014	07/06/2016	202.35	196.65	0.00	0.00	5.70	Box 6: Gross Proceeds
	6 00000	06/12/2014	07/06/2016	134.90	135.81	0.00	0.00	-0.91	Box 6: Gross Proceeds
	377.00000	07/01/2014	07/06/2016	8,476.34	8,616.57	0.00	0.00	-140.23	Box 6: Gross Proceeds
	340.00000	07/01/2014	08/02/2016	7,942.56	7,770.90	0.00	0.00	171.66	Box 6: Gross Proceeds
	142.00000	09/17/2014	08/02/2016	3,317.19	3,346.04	0.00	0.00	-28.85	Box 6: Gross Proceeds
Subtotals	1659.00000			\$37,473.04	\$31,585.91	\$0.00	\$0.00	\$5,917.13	
INDUSTRIAL SELECT ETF SECTOR SPDR CUSIP: 81369Y704	11 00000	01/09/2015	07/06/2016	613.57	615.78	0.00	0.00	-2.21	Box 6: Gross Proceeds
	102.00000	01/09/2015	08/02/2016	5,853.66	5,709.96	0.00	0.00	143.70	Box 6: Gross Proceeds
	9 00000	03/25/2015	08/02/2016	516.49	502.92	0.00	0.00	13.57	Box 6: Gross Proceeds
	13 00000	07/20/2015	08/02/2016	746.05	715.06	0.00	0.00	30.99	Box 6: Gross Proceeds
Subtotals	135.00000			\$7,729.77	\$7,543.72	\$0.00	\$0.00	\$186.05	
SECTOR SPDR TR ETF TECHNOLOGY SELECT SECTOR CUSIP: 81369Y803	75 00000	02/08/2013	02/19/2016	3,053.93	2,247.07	0.00	0.00	806.86	Box 6: Gross Proceeds
	12.00000	04/08/2013	02/19/2016	488.62	356.95	0.00	0.00	131.67	Box 6: Gross Proceeds
	2 00000	06/10/2013	02/19/2016	81.43	63.76	0.00	0.00	17.67	Box 6: Gross Proceeds
	28 00000	07/08/2013	02/19/2016	1,140.14	872.20	0.00	0.00	267.94	Box 6: Gross Proceeds
	12 00000	08/08/2013	02/19/2016	488.63	385.17	0.00	0.00	103.46	Box 6: Gross Proceeds

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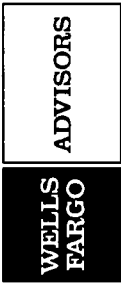
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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SECTOR SPDR TR ETF TECHNOLOGY SELECT SECTOR CUSIP 81369Y803	65 00000	09/09/2013	02/19/2016	2,646 76	2,090 21	0 00	0 00	556 55	Box 6: Gross Proceeds
	281 00000	09/09/2013	08/02/2016	12,966 04	9,036 11	0 00	0 00	3,929 93	Box 6: Gross Proceeds
	17 00000	10/04/2013	08/02/2016	784 42	546 13	0 00	0 00	238 29	Box 6: Gross Proceeds
	14 00000	01/07/2014	08/02/2016	645 99	495 67	0 00	0 00	150 32	Box 6: Gross Proceeds
	4 00000	03/11/2014	08/02/2016	184 57	145 24	0 00	0 00	39 33	Box 6: Gross Proceeds
	8 00000	04/02/2014	08/02/2016	369 14	294 48	0 00	0 00	74 66	Box 6: Gross Proceeds
	15 00000	09/17/2014	08/02/2016	692 13	604 80	0 00	0 00	87 33	Box 6: Gross Proceeds
	161 00000	10/22/2014	08/02/2016	7,428 94	6,211 86	0 00	0 00	1,217 08	Box 6: Gross Proceeds
	430 00000	01/09/2015	08/02/2016	19,841 28	17,808 41	0 00	0 00	2,032 87	Box 6: Gross Proceeds
	39 00000	03/25/2015	08/02/2016	1,799 55	1,625 52	0 00	0 00	174 03	Box 6: Gross Proceeds
	40 00000	06/19/2015	08/02/2016	1,845 70	1,709 80	0 00	0 00	135 90	Box 6: Gross Proceeds
Subtotals	1203.00000			\$54,457.27	\$44,493.38	\$0.00	\$0.00	\$9,963.89	
SECTOR SPDR TR UTILITIES SELECT SECTOR CUSIP 81369Y886	47 00000	01/18/2013	02/19/2016	2,171 36	1,667 80	0 00	0 00	503 56	Box 6: Gross Proceeds
	3 00000	05/07/2013	02/19/2016	138 59	121 89	0 00	0 00	16 70	Box 6: Gross Proceeds
	12 00000	06/10/2013	02/19/2016	554 39	456 01	0 00	0 00	98 38	Box 6: Gross Proceeds
	2 00000	07/08/2013	02/19/2016	92 40	74 94	0 00	0 00	17 46	Box 6: Gross Proceeds
	7 00000	09/09/2013	02/19/2016	323 40	259 49	0 00	0 00	63 91	Box 6: Gross Proceeds
	2 00000	12/10/2013	02/19/2016	92 40	75 94	0 00	0 00	16 46	Box 6: Gross Proceeds
	6 00000	12/10/2013	07/06/2016	316 55	227 82	0 00	0 00	88 73	Box 6: Gross Proceeds
	6 00000	01/07/2014	07/06/2016	316 55	225 54	0 00	0 00	91 01	Box 6: Gross Proceeds
	4 00000	03/11/2014	07/06/2016	211 03	159 24	0 00	0 00	51 79	Box 6: Gross Proceeds
	21 00000	05/07/2014	07/06/2016	1,107 95	907 12	0 00	0 00	200 83	Box 6: Gross Proceeds
Subtotals	110.00000			\$5,324.62	\$4,175.79	\$0.00	\$0.00	\$1,148.83	



2016 Year-End Account Summary

As of Date: 02/21/17

Account Number: 8171-2522

KATHLEEN PATTON WESTBY
FOUNDATION

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Please consult with your Financial Advisor or tax advisor regarding specific questions.

Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SOUTHWEST AIRLINES CO CUSIP 844741108	20.00000	03/25/2015	06/01/2016	851.48	885.31	0.00	0.00	-33.83	Box 6: Gross Proceeds
	93.00000	04/21/2015	06/01/2016	3,959.38	3,981.09	0.00	0.00	-21.71	Box 6: Gross Proceeds
Subtotals	113.00000			\$4,810.86	\$4,866.40	\$0.00	\$0.00	(\$55.54)	
STEEL DYNAMICS INC CUSIP 858119100	53.00000	11/20/2014	02/19/2016	953.46	1,183.36	0.00	0.00	-229.90	Box 6: Gross Proceeds
	43.00000	11/20/2014	04/01/2016	970.49	960.08	0.00	0.00	10.41	Box 6: Gross Proceeds
	159.00000	11/20/2014	05/04/2016	3,963.93	3,550.06	0.00	0.00	413.87	Box 6: Gross Proceeds
	55.00000	01/09/2015	05/04/2016	1,371.17	1,033.26	0.00	0.00	337.91	Box 6: Gross Proceeds
	3.00000	02/10/2015	05/04/2016	74.79	57.17	0.00	0.00	17.62	Box 6: Gross Proceeds
Subtotals	313.00000			\$7,333.84	\$6,783.93	\$0.00	\$0.00	\$549.91	
BROADCOM LTD CUSIP Y09827109	0.89279	08/08/2014	02/03/2016	117.06	121.27	0.00	0.00	-4.21	Box 6: Gross Proceeds
	3.68780	08/08/2014	02/19/2016	472.54	500.91	0.00	0.00	-28.37	Cash in Lieu Box 6: Gross Proceeds
	37.00000	05/14/2015	06/01/2016	5,727.10	4,632.48	0.00	0.00	1,094.62	Box 6: Gross Proceeds
Subtotals	41.58059			\$6,316.70	\$5,254.66	\$0.00	\$0.00	\$1,062.04	
Totals				\$293,935.54	\$235,831.86	\$0.00	\$0.00	\$58,103.68	

2016 Year-End Account Summary

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As of Date: 02/21/17

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains or Losses (Box 2) For Noncovered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
LAZARD LTD CUSIP: G54050102	58 00000	04/02/2014	04/01/2016	2,260 80	2,842 41	0 00	0 00	-581 61	Box 6: Gross Proceeds
	44 00000	04/02/2014	08/02/2016	1,499 05	2,156 30	0 00	0 00	-657 25	Box 6: Gross Proceeds
	7 00000	10/22/2014	08/02/2016	238 48	343 00	0 00	0 00	-104 52	Box 6: Gross Proceeds
	8 00000	11/20/2014	08/02/2016	272 55	389 72	0 00	0 00	-117 17	Box 6: Gross Proceeds
	1 00000	02/10/2015	08/02/2016	34 06	50 25	0 00	0 00	-16 19	Box 6: Gross Proceeds
	197 00000	05/14/2015	08/02/2016	6,711 71	11,020 16	0 00	0 00	-4,308 45	Box 6: Gross Proceeds
	9 00000	07/20/2015	08/02/2016	306 62	514 62	0 00	0 00	-208 00	Box 6: Gross Proceeds
Subtotals	324 00000			\$11,323.27	\$17,316.46	\$0.00	\$0.00	(\$5,993.19)	
Totals				\$11,323.27	\$17,316.46	\$0.00	\$0.00	(\$5,993.19)	

For some tax lots complete data is not available. Therefore, you may see N/A in the Proceeds, Gain/Loss or Cost columns. In these situations, you should determine the actual cost or proceeds and calculate the Gain/Loss. Please note that the totals will include any available cost or proceeds, even if the Gain/Loss is marked N/A.