Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2016

Open to Public Inspection

For calendar year 2016, or tax year beginning 01-01-2016 , and ending 12-31-2016

Name of foundation
ALBERT & MARY DICK CHARITABLE TRUST

A Employer identification number
74-6388649

Number and street (or P O box number if mail is not delivered to street address)
1 W 4TH STREET MAC D4000-0041

Room/suite

B Telephone number (see instructions)
(361) 574-5809

City or town, state or province, country, and ZIP or foreign postal code
WINSTONSALEM, NC 27101

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)*▶$ 3,222,451

J Accounting method ☑ Cash ☐ Accrual
☐ Other (specify) ________
(Part I, column (d) must be on cash basis)

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	65,416	65,416		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	92,560			
	b	Gross sales price for all assets on line 6a 925,824				
	7	Capital gain net income (from Part IV, line 2)		92,560		
	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) (attach schedule)				
	11	Other income (attach schedule)	831			
	12	**Total.** Add lines 1 through 11	158,807	157,976		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	41,660	31,245		10,415
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	1,060			1,060
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	2,954	1,879		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	3,215	3,215		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	48,889	36,339		11,475
	25	Contributions, gifts, grants paid	152,800			152,800
	26	**Total expenses and disbursements.** Add lines 24 and 25	201,689	36,339		164,275
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-42,882			
	b	**Net investment income** (if negative, enter -0-)		121,637		
	c	**Adjusted net income**(if negative, enter -0-)				

Part II	Balance Sheets — Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets 1	Cash—non-interest-bearing	1	642	642
2	Savings and temporary cash investments	228,983	55,753	55,753
3	Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
4	Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
5	Grants receivable			
6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
7	Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
8	Inventories for sale or use			
9	Prepaid expenses and deferred charges			
10a	Investments—U S and state government obligations (attach schedule)	688,741	712,350	711,685
b	Investments—corporate stock (attach schedule)	1,167,089	1,382,616	1,854,213
c	Investments—corporate bonds (attach schedule)			
11	Investments—land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
12	Investments—mortgage loans			
13	Investments—other (attach schedule)	653,153	539,915	600,157
14	Land, buildings, and equipment basis ▶ 1			
	Less accumulated depreciation (attach schedule) ▶	1	1	1
15	Other assets (describe ▶)			
16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	2,737,968	2,691,277	3,222,451
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 (attach schedule)			
22	Other liabilities (describe ▶)			
23	**Total liabilities**(add lines 17 through 22)		0	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
24	Unrestricted			
25	Temporarily restricted			
26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☑ and complete lines 27 through 31.			
27	Capital stock, trust principal, or current funds	10,000	10,000	
28	Paid-in or capital surplus, or land, bldg , and equipment fund			
29	Retained earnings, accumulated income, endowment, or other funds	2,727,968	2,681,277	
30	**Total net assets or fund balances** (see instructions)	2,737,968	2,691,277	
31	**Total liabilities and net assets/fund balances** (see instructions)	2,737,968	2,691,277	

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	2,737,968
2	Enter amount from Part I, line 27a	2	-42,882
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	2,695,086
5	Decreases not included in line 2 (itemize) ▶	5	3,809
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	2,691,277

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)
1 a	wells fargo advisors	P	2016-01-01	2016-01-01
b	wells fargo advisors	P	2010-01-01	2016-12-31
c	wells fargo capital gains	P	2010-01-01	2016-12-31
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	39,468		39,969	-501
b	861,027		793,295	67,732
c	25,329			25,329
d				
e				

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				-501
b				67,732
c				25,329
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } **2** 92,560

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)
If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 . . . . . **3** -501

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 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	160,559	3,369,844	0 04765
2014	135,421	3,518,797	0 03849
2013	190,506	3,036,982	0 06273
2012	161,100	3,148,252	0 05117
2011	167,650	3,205,055	0 05231

2 Total of line 1, column (d)	**2**	0 252339
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years . . .	**3**	0 050468
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 . . .	**4**	3,168,926
5 Multiply line 4 by line 3	**5**	159,929
6 Enter 1% of net investment income (1% of Part I, line 27b) . . .	**6**	1,216
7 Add lines 5 and 6	**7**	161,145
8 Enter qualifying distributions from Part XII, line 4 , ...	**8**	164,275

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	1,216
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	
3	Add lines 1 and 2			3	1,216
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	1,216
6	Credits/Payments				
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,404		
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	1,404
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	188
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 188	**Refunded** ▶		11	

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶STACEY ASHTON Telephone no ▶(704) 590-2828

Located at ▶1525 WEST WT HARRIS BLVD CHARLOTTE NC ZIP+4 ▶28262

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

			Yes	No
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		No
	See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. Yes No

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

(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No

(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No

(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☑ Yes ☐ No

(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☑ Yes ☐ No

(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No

(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☑ No

			Yes	No
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		No
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c		No

2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))

a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☑ No

If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____

			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)	2b		No

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here
▶ 20____ , 20____ , 20____ , 20____

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

			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)*	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		No

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)?	**5b**		**No**
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☑ No			
	If "Yes," attach the statement required by Regulations section 53 4945-5(d)			
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**		**No**
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		**No**

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	Title, and average hours per week **(b)** devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
WELLS FARGO TRUST DEPARTMENT ONE OCONNOR PLAZA SUITE 200 VICTORIA, TX 77901	Trustee 0 00	41,660		
STACEY ASHTON WELLS FARGO 1525 WEST WT HARRIS BLVD CHARLOTTE, NC 28262	Trustee 0 00	0		

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

(a) Name and address of each employee paid more than $50,000	Title, and average hours per week **(b)** 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 ▶

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

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
NONE		

Total number of others receiving over $50,000 for professional services. . . . . ▶

Part IX-A Summary of Direct Charitable Activities

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

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

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

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	3,124,335
b	Average of monthly cash balances.		1b	92,849
c	Fair market value of all other assets (see instructions).		1c	0
d	**Total** (add lines 1a, b, and c).		1d	3,217,184
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	
3	Subtract line 2 from line 1d.		3	3,217,184
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).		4	48,258
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	3,168,926
6	**Minimum investment return.** Enter 5% of line 5.		6	158,446

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	158,446
2a	Tax on investment income for 2016 from Part VI, line 5.	2a 1,216		
b	Income tax for 2016 (This does not include the tax from Part VI).	2b		
c	Add lines 2a and 2b.		2c	1,216
3	Distributable amount before adjustments Subtract line 2c from line 1.		3	157,230
4	Recoveries of amounts treated as qualifying distributions.		4	
5	Add lines 3 and 4.		5	157,230
6	Deduction from distributable amount (see instructions).		6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.		7	157,230

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	164,275
b	Program-related investments—total from Part IX-B.	1b	
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	164,275
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	1,216
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4.	6	163,059

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				157,230
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			5,178	
b Total for prior years 20___ , 20___ , 20___				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f **Total** of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 164,275				
a Applied to 2015, but not more than line 2a			5,178	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2016 distributable amount.				157,230
e Remaining amount distributed out of corpus	1,867			
5 Excess distributions carryover applied to 2016 *(If an amount appears in column (d), the same amount must be shown in column (a))*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,867			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions				
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)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) . . .				
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	1,867			
10 Analysis of line 9				
a Excess from 2012. . . .				
b Excess from 2013. . . .				
c Excess from 2014. . . .				
d Excess from 2015. . . .				
e Excess from 2016. . . . 1,867				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling. . . . . . . ▶

b Check box to indicate whether the organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

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

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

1 **Information Regarding Foundation Managers:**

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

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

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ▶ ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

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

STACEY ASHTON
1525 WEST WT HARRIS BLVD
CHARLOTTE, NC 28262
(704) 590-2828

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

GRANT APPLICATIONS MUST BE SUBMITTED IN WRITING, SHOULD INCLUDE BIOGRAPHICAL INFORMATION AND MUST INCLUDE SATISFACTORY EVIDENCE TO ASSURE THE TRUSTEES THE APPLICANT IS A QUALIFIED ORGANIZATION TO WHICH THE DICK FOUNDATION MAY PROVIDE FUNDS IN ACCORDANCE WITH PERTINENT INTERNAL REVENUE SERVICE CODE SECTIONS AND REGULATIONS THE APPLICANT SHOULD ALSO SPECIFY THE AMOUNTS OF FUNDS REQUESTED, THE INTENDED USE OF THOSE FUNDS AND THE ANTICIPATED LENGTH OF TIME WITHIN WHICH THE FUNDS WILL BE EXPENDED

c Any submission deadlines

SEMIANNUALLY MAY 5 AND NOVEMBER 5

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

QUALIFIED APPLICANTS SHOULD BE TEXAS BASED ORGANIZATIONS LOCATED PREFERABLY IN THE GULF COAST AREA ALTHOUGH NOT RESTRICTED BY THE FOUNDATION'S GOVERNING INSTRUMENTS, THE TRUSTEES PREFER TO CONFINE THE FUNDING ACTIVITIES TO RELIGIOUS AND CHARITABLE FIELDS

Part XV **Supplementary Information** (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				152,800
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion 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					
4 Dividends and interest from securities. . . .					65,416
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			14	92,560	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a OTHER NI INCOME			14	831	
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				93,391	65,416

13 **Total.** Add line 12, columns (b), (d), and (e). 13 158,807

(See worksheet in line 13 instructions to verify calculations)

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

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

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)**		**No**
(2) Other assets.	**1a(2)**		**No**
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization.	**1b(1)**		**No**
(2) Purchases of assets from a noncharitable exempt organization.	**1b(2)**		**No**
(3) Rental of facilities, equipment, or other assets.	**1b(3)**		**No**
(4) Reimbursement arrangements.	**1b(4)**		**No**
(5) Loans or loan guarantees.	**1b(5)**		**No**
(6) Performance of services or membership or fundraising solicitations.	**1b(6)**		**No**
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.	**1c**		**No**

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

(a) Line No	**(b)** Amount involved	**(c)** Name of noncharitable exempt organization	**(d)** Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule

(a) Name of organization	**(b)** Type of organization	**(c)** Description of relationship

Sign Here

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

******	2017-05-10	******	May the IRS discuss this return with the preparer shown below (see instr)? ☑ **Yes** ☐ **No**
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☐	PTIN
G DENNIS SHAY CPA				P00047016
Firm's name ▶ Bumgardner Morrison & Company LLP				Firm's EIN ▶
Firm's address ▶ 1501 E MOCKINGBIRD LN STE 300 Victoria, TX 77903				Phone no (361) 575-0271

Form 990PF Part XV Line 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*				
BILLY T CATTAN RECOVERY OUTREACH 1908 N LAURENT SUITE 120 VICTORIA, TX 77901	NONE	PC	PROVIDE TREATEMENT SERVICES TO THOSE WHO ARE INDIGENT AND FALL BELOW THE FEDERAL POVERTY LINE	10,000
GOLDEN CRESENT CASA PO BOX 1627 VICTORIA, TX 77902	NONE	PC	RECRUIT, TRAIN, AND RETAIN LOCAL VOLUNTEERS	7,000
FOSTER PARENTS OF VICTORIA PO BOX 1593 VICTORIA, TX 77902	NONE	PC	PROGRAMMING SUPPORT	4,000
ALBERT MARY DICK BETTY ZOE SCH FUND 788 CR 173 HALLETTSVILLE, TX 77964	NONE	PC	SCHOLARSHIP FUND FOR STUDENTS OF LEBANESE/SYRIAN DESCENT	9,500
THE VINE SCHOOL 2911 D AZALEA VICTORIA, TX 77901	NONE	PC	TOUCH MATH CURRICULUM	5,000
VICTORIA COUNTY SENIOR CITIZENS PO BOX 1433 VICTORIA, TX 77902	NONE	PC	PROVIDE 300 HOME-BOUND & CONGREGATE MEALS TO APPROXIMATELY 35 SENIORS	10,000
VICTORIA CHRISTIAN ASSISTANCE MINIS PO BOX 1786 VICTORIA, TX 77902	NONE	PC	CLIENT CHOICE FOOD PANTRY SUPPORT	9,000
DEVEREUX FOUNDATION PO BOX 2666 VICTORIA, TX 77902	NONE	PC	PROVIDE OVER $300 PER CHILD ADMITTED FOR BEHAVIORAL HEALTHCARE SERVICES TO PURCHASE BASIC NECESSITIES FOR SCHOOL	5,000
BOYS GIRLS CLUB OF VICTORIA PO BOX 2565 VICTORIA, TX 77902	NONE	PC	AFTER SCHOOL PROGRAM AND FACIILITY ENHANCEMENT	17,000
VICTORIA ADULT LITERACY COUNCIL 2200 E RED RIVER CEC STE 104 VICTORIA, TX 77901	NONE	PC	FAMILY LITERACY IN PRACTICE PROGRAM SUPPORT	6,000
CHILDREN'S DISCOVERY MUSEUM PO BOX 3781 VICTORIA, TX 77903	NONE	PC	PURCHASE EQUIPMENT TO BE USED IN CREATING CIRCUS TOTS EXHIBIT	17,000
GOLDEN CRESCENT HABITAT FOR HUMANIT PO BOX 1357 VICTORIA, TX 77902	NONE	PC	YOUTH PROGRAMS SUPPORT	4,500
GIRL SCOUTS OF GREATER TEXAS 2410 BEVECREST CORPUS CHRISTI, TX 78415	NONE	PC	OUTREACH PROGRAM FOR VICTORIA, TX	4,500
VICTORIA BUSINESS EDUCATION COALITI 3404 N BEN WILSON ST VICTORIA, TX 77901	NONE	PC	OPERATING SUPPORT	4,000
COMMUNITY ACTION AGENCY OF VICTORIA PO BOX 3607 VICTORIA, TX 77903	NONE	PC	RELOCATION OF KITCHEN FACILITIES USED FOR MEAL PREPARATION	5,000
Total . . . . ▶ **3a**				152,800

Form 990PF Part XV Line 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*				
LUTHERAN SOCIAL SERVICES OF THE SOU PO BOX 140767 AUSTIN, TX 78714	NONE	PC	SERVICES TO AT-RISK YOUTH PROGRAM (STAR)	4,500
PERPETUAL HELP HOME INC PO BOX 4305 VICTORIA, TX 77903	NONE	PC	UTILITIES, FOOD, & OTHER CONSUMABLE ITEMS	7,000
CAMP ARANZAZU INC 5420 LOOP 1781 ROCKPORT, TX 78382	NONE	PC	PROGRAM SUPPORT FOR CAMPERS WITH SPECIAL NEEDS	4,500
DONUM DEI PO BOX 462 NURSERY, TX 77976	NONE	PC	OPERATING EXPENSES FOR EQUINE THERAPY SESSIONS & FACILITY UPGRADES	5,000
GULF BEND MENTAL HEALTH CENTER 6502 NURSERY DRIVE SUITE 100 VICTORIA, TX 77904	NONE	PC	PROVIDE SERVICES TO AT RISK YOUTH PROGRAM	4,500
SONSHINE FELLOWSHIP 120 SUZANNE LN VICTORIA, TX 77901	NONE	PC	PROGRAMMING SUPPORT	1,000
VICTORIA BALLET THEATRE 2508 MOCKINGBIRD LANE VICTORIA, TX 77904	NONE	PC	DANCE EDUCATION AND MOVEMENT INITIATIVE PROGRAM SUPPORT	3,800
EXPERIENCE EXCELLENCE PO BOX 4629 VICTORIA, TX 77903	NONE	PC	OPERATIONS ASSISTANCE	5,000
Total . . . . ▶ **3a**				152,800

TY 2016 Accounting Fees Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX RETURN	1,060	0	0	1,060

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491130022687

TY 2016 Compensation Explanation

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Person Name	Explanation
WELLS FARGO TRUST DEPARTMENT	THE COMPENSATION REPORTED IN COLUMN (C) IS CALCULATED BASED ON PERIODIC MARKET VALUES AND/OR THE APPLICABLE FEE AGREEMENT IT IS NOT DETERMINED SOLELY ON AN HOURLY BASIS CORPORATE TRUSTEE SERVICES INCLUDE, BUT ARE NOT LIMITED TO, ADMINISTRATIVE SERVICES SUCH AS FIDUCIARY ACCOUNTING, CUSTODY OF ASSETS, COMPLYING WITH TAX FILING REQUIREMENTS, COMPLYING WITH DISTRIBUTION PROVISIONS, AND COMPLYING WITH FEDERAL AND STATE LAWS APPLICABLE TO PRIVATE FOUNDATIONS, PLUS ASSET MANAGEMENT SERVICES SUCH AS CREATING ASSET ALLOCATION STRATEGIES, INVESTMENT REPORTING AND REALLOCATING AND REBALANCING OF PORTFOLIOS AS NECESSARY

TY 2016 Investments Corporate Stock Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Name of Stock	End of Year Book Value	End of Year Fair Market Value
EQUITIES	1,382,616	1,854,213

TY 2016 Investments Government Obligations Schedule

Name:	ALBERT & MARY DICK CHARITABLE TRUST
EIN:	74-6388649
Software ID:	16000303
Software Version:	2016v3.0
US Government Securities - End of Year Book Value:	
US Government Securities - End of Year Fair Market Value:	
State & Local Government Securities - End of Year Book Value:	712,350
State & Local Government Securities - End of Year Fair Market Value:	711,685

TY 2016 Investments - Other Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
ALTERNATIVE INVESTMENTS	AT COST	323,183	323,905
REAL ESTATE FUNDS	AT COST	216,732	216,732

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491130022687

TY 2016 Land, Etc. Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Land	1		1	1

TY 2016 Other Decreases Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Description	Amount
BASIS ADJUSTMENTS	3,809

TY 2016 Other Expenses Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MISCELLANEOUS	3,215	3,215		

TY 2016 Other Income Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Other Income Schedule

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER NI INCOME	831		

TY 2016 Taxes Schedule

Name: ALBERT & MARY DICK CHARITABLE TRUST

EIN: 74-6388649

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAXES	1,075			
FOREIGN TAXES	1,879	1,879		

Wells Fargo

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR
Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
00203H859	AQR MANAGED FUTURES STR-I								
Sold		03/18/16	2254 902	23,000 00					
Acq		04/05/12	2254 902	23,000 00	21,331 37 ☐	21,331 37	1,668 63	1,668 63	L
			Total for 3/18/2016		21,331 37	21,331 37	1,668 63	1,668 63	
Note									
06738C778	IPATH DOW JONES-UBS COMMODITY INDEX								
Sold		02/22/16	1425	29,328 42					
Acq		12/18/15	1425	29,328 42	30,181 50 ☐	30,181 50	-853 08	-853 08	S
			Total for 2/22/2016		30,181 50	30,181 50	-853 08	-853 08	
Note									
084670702	BERSHIRE HATHAWAY INC								
Sold		08/30/16	20	2,995 03					
Acq		06/18/15	8	1,198 01	1,140 40 ☐	1,140 40	57 61	57 61	L
Acq		07/11/11	4	599 01	301 91 ☐	301 91	297 10	297 10	L
Acq		08/12/11	8	1,198 01	571 93 ☐	571 93	626 08	626 08	L
			Total for 8/30/2016		2,014 24	2,014 24	980 79	980 79	
Note									
084670702	BERSHIRE HATHAWAY INC								
Sold		10/03/16	115	16,526 60					
Acq		08/12/11	67	9,628 54	4,789 95 ☐	4,789 95	4,838 59	4,838 59	L
Acq		11/04/09	48	6,898 06	3,302 36 ☐	3,302 36	3,595 70	3,595 70	L
			Total for 10/3/2016		8,092 31	8,092 31	8,434 29	8,434 29	
Note									
097023105	BOEING COMPANY								
Sold		10/03/16	30	3,936 84					
Acq		08/30/16	13	1,705 96	1,703 20 ☐	1,703 20	2 76	2 76	S
Acq		08/07/14	17	2,230 88	2,034 25 ☐	2,034 25	196 63	196 63	L
			Total for 10/3/2016		3,737 45	3,737 45	199 39	199 39	
Note									

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR
Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
12572Q105	CME GROUP INC								
Sold		09/30/16	92	9,619 36					
Acq		06/07/12	92	9,619 36	4,933 22 ☐	4,933 22	4,686 14	4,686 14	L
			Total for 9/30/2016		4,933 22	4,933 22	4,686 14	4,686 14	
Note									
231021106	CUMMINS INC								
Sold		08/30/16	75	9,417 55					
Acq		02/07/14	27	3,390 32	3,628 47 ☐	3,628 47	-238 15	-238 15	L
Acq		08/07/14	48	6,027 23	6,683 76 ☐	6,683 76	-656 53	-656 53	L
			Total for 8/30/2016		10,312 23	10,312 23	-894 68	-894 68	
Note									
231021106	CUMMINS INC								
Sold		11/08/16	100	13,089 69					
Acq		02/07/14	20	2,617 94	2,687 76 ☐	2,687 76	-69 82	-69 82	L
Acq		11/14/13	80	10,471 75	10,590 60 ☐	10,590 60	-118 85	-118 85	L
			Total for 11/8/2016		13,278 36	13,278 36	-188 67	-188 67	
Note									
254687106	WALT DISNEY CO								
Sold		02/05/16	115	10,767 14					
Acq		03/08/06	115	10,767 14	3,184 54 ☐	3,184 54	7,582 60	7,582 60	L
			Total for 2/5/2016		3,184 54	3,184 54	7,582 60	7,582 60	
Note									
262028855	DRIEHAUS ACTIVE INCOME FUND								
Sold		03/18/16	2018 163	20,000 00					
Acq		11/22/13	2018 163	20,000 00	21,775 98 ☐	21,775 98	-1,775 98	-1,775 98	L
			Total for 3/18/2016		21,775 98	21,775 98	-1,775 98	-1,775 98	
Note									
262028855	DRIEHAUS ACTIVE INCOME FUND								
Sold		05/25/16	5859 501	58,184 84					
Acq		11/22/13	1225 581	12,170 02	13,224 02 ☐	13,224 02	-1,054 00	-1,054 00	L
Acq		06/23/14	4633 92	46,014 82	50,000 00 ☐	50,000 00	-3,985 18	-3,985 18	L
			Total for 5/25/2016		63,224 02	63,224 02	-5,039 18	-5,039 18	
Note									

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR
Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
38141G104	GOLDMAN SACHS GROUP INC								
Sold		06/10/16	72	10,798 67					
Acq		04/13/11	42	6,299 22	6,746 04 ☐	6,746 04	-446 82	-446 82	L
Acq		07/11/11	30	4,499 45	3,954 36 ☐	3,954 36	545 09	545 09	L
			Total for 6/10/2016		10,700 40	10,700 40	98 27	98 27	
Note									
404280406	HSBC - ADR								
Sold		03/02/16	374	11,947 36					
Acq		02/07/14	250	7,986 20	12,961 37 ☐	12,961 37	-4,975 17	-4,975 17	L
Acq		07/03/13	103	3,290 32	5,388 84 ☐	5,388 84	-2,098 52	-2,098 52	L
Acq		02/25/13	21	670 84	1,145 83 ☐	1,145 83	-474 99	-474 99	L
			Total for 3/2/2016		19,496 04	19,496 04	-7,548 68	-7,548 68	
Note									
411511306	HARBOR INTERNATION FD INST 2011								
Sold		03/18/16	994 08	59,495 70					
Acq		06/15/05	554 256	33,172 23	23,700 00 ☐	23,700 00	9,472 23	9,472 23	L
Acq		11/12/04	439 824	26,323 47	18,283 48 ☐	18,283 48	8,039 99	8,039 99	L
			Total for 3/18/2016		41,983 48	41,983 48	17,512 22	17,512 22	
Note									
46625H100	JPMORGAN CHASE & CO								
Sold		09/30/16	113	7,525 63					
Acq		10/12/11	53	3,529 72	1,770 82 ☐	1,770 82	1,758 90	1,758 90	L
Acq		03/02/16	60	3,995 91	3,579 09 ☐	3,579 09	416 82	416 82	S
			Total for 9/30/2016		5,349 91	5,349 91	2,175 72	2,175 72	
Note									
478366107	JOHNSON CONTROLS INC								
Sold		04/25/16	350	14,593 07					
Acq		03/12/12	126	5,253 51	4,005 19 ☐	4,005 19	1,248 32	1,248 32	L
Acq		03/17/11	59	2,459 97	2,381 25 ☐	2,381 25	78 72	78 72	L
Acq		01/22/13	165	6,879 59	5,110 62 ☐	5,110 62	1,768 97	1,768 97	L
			Total for 4/25/2016		11,497 06	11,497 06	3,096 01	3,096 01	
Note									

Statement of Capital Gains and Losses From Sales

(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR

Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
487300808	KEELEY SMALL CAP VAL FD CL I 2251								
Sold		10/27/16	4924 051	156,584 82					
Acq		03/09/10	4924 051	156,584 82	103,602 03 ☐	103,602 03	52,982 79	52,982 79	L
			Total for 10/27/2016		103,602 03	103,602 03	52,982 79	52,982 79	
Note									
517834107	LAS VEGAS SANDS CORP								
Sold		11/08/16	60	3,540 69					
Acq		09/10/14	60	3,540 69	3,775 94 ☐	3,775 94	-235 25	-235 25	L
			Total for 11/8/2016		3,775 94	3,775 94	-235 25	-235 25	
Note									
63872T885	ASG GLOBAL ALTERNATIVES-Y 1993								
Sold		05/25/16	8857 396	86,093 89					
Acq		06/23/14	8857 396	86,093 89	100,000 00 ☐	100,000 00	-13,906 11	-13,906 11	L
			Total for 5/25/2016		100,000 00	100,000 00	-13,906 11	-13,906 11	
Note									
641069406	NESTLE S A REGISTERED SHARES - ADR								
Sold		04/25/16	253	18,712 53					
Acq		06/18/15	60	4,437 75	4,505 48 ☐	4,505 48	-67 73	-67 73	S
Acq		04/25/06	193	14,274 78	5,832 46 ☐	5,832 46	8,442 32	8,442 32	L
			Total for 4/25/2016		10,337 94	10,337 94	8,374 59	8,374 59	
Note									
68389X105	ORACLE CORPORATION								
Sold		03/16/16	379	15,295 27					
Acq		06/04/10	379	15,295 27	8,683 53 ☐	8,683 53	6,611 74	6,611 74	L
			Total for 3/16/2016		8,683 53	8,683 53	6,611 74	6,611 74	
Note									
693390882	PIMCO FOREIGN BD FD USD H-INST 103								
Sold		11/15/16	2887 392	30,000 00					
Acq		04/05/12	2887 392	30,000 00	31,126 08 ☐	31,126 08	-1,126 08	-1,126 08	L
			Total for 11/15/2016		31,126 08	31,126 08	-1,126 08	-1,126 08	
Note									

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR
Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
693390882	PIMCO FOREIGN BD FD USD H-INST 103								
Sold		11/21/16	1928 64	20,000 00					
Acq		04/05/12	1928 64	20,000 00	20,790 74 ☐	20,790 74	-790 74	-790 74	L
			Total for 11/21/2016		20,790 74	20,790 74	-790 74	-790 74	
Note									
722005220	PIMCO FOREIGN BOND (UNHEDGED) 1853								
Sold		10/27/16	5855 442	56,622 12					
Acq		12/02/10	5855 442	56,622 12	62,773 05 ☐	62,773 05	-6,150 93	-6,150 93	L
			Total for 10/27/2016		62,773 05	62,773 05	-6,150 93	-6,150 93	
Note									
74925K581	ROBECO BP LNG/SHRT RES-INS								
Sold		03/18/16	4045 853	60,000 00					
Acq		06/23/14	4045 853	60,000 00	60,485 50 ☐	60,485 50	-485 50	-485 50	L
			Total for 3/18/2016		60,485 50	60,485 50	-485 50	-485 50	
Note									
77958B402	T ROWE PRICE INST FLOAT RATE 170								
Sold		03/18/16	7142 857	70,000 00					
Acq		06/23/14	7142 857	70,000 00	73,500 00 ☐	73,500 00	-3,500 00	-3,500 00	L
			Total for 3/18/2016		73,500 00	73,500 00	-3,500 00	-3,500 00	
Note									
872540109	TJX COS INC NEW								
Sold		08/30/16	119	9,228 55					
Acq		06/29/11	119	9,228 55	3,098 28 ☐	3,098 28	6,130 27	6,130 27	L
			Total for 8/30/2016		3,098 28	3,098 28	6,130 27	6,130 27	
Note									
87612E106	TARGET CORP								
Sold		12/09/16	70	5,409 42					
Acq		06/30/14	70	5,409 42	4,076 57 ☐	4,076 57	1,332 85	1,332 85	L
			Total for 12/9/2016		4,076 57	4,076 57	1,332 85	1,332 85	
Note									

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 33-1831-00

DICK, ALBERT & MARY CHARITABLE TR
Trust Year Ending 12/31/2016

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
949917538	WELLS FARGO ADV HI INC-INS 3110								
Sold		03/18/16	10541 477	67,781 70					
Acq		06/26/06	10541 477	67,781 70	79,922 56 ☐	79,922 56	-12,140 86	-12,140 86	L
			Total for 3/18/2016		79,922 56	79,922 56	-12,140 86	-12,140 86	
Note									
			Total for Account: 33-1831-00		833,264 33	833,264 33	67,230 56	67,230 56	

Total Proceeds:

900,494 89

	Fed	State
S/T Gain/Loss	-501 22	-501 22
L/T Gain/Loss	67,731 78	67,731 78